

# Final Recommendations on Graduate Education

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From the Academic Issues and Student Administrative  
Processes Work Groups

**Submitted to the Provost on  
4/30/2010**

April 30, 2010

## INTRODUCTION TO THE GRADUATE EDUCATION WORK GROUP REPORTS

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In September 2009 Provost Tom Sullivan formed two work groups to advance efforts undertaken during the past year to renew and transform graduate education. The reports of the Academic Issues Work Group and the Student Administrative Processes Work Group are presented here for review and public comment by the University community before final recommendations are forwarded to Provost Sullivan.

The genesis of these efforts was a February 9, 2009 memo from the senior vice presidents and Twin Cities collegiate deans to the University community, followed by the Provost's formation of a Committee on Graduate Education, chaired by Dean Steven Crouch. That committee's April 24, 2009, report, "Recommendations on the Oversight and Support of Graduate Education at the University of Minnesota,"<sup>1</sup> led to President Bruininks issuing a series of decisions in June 26, 2009, report, "Renewing Graduate and Professional Education at the University of Minnesota."<sup>2</sup> In his report, the President pointed to a "high priority opportunity for the University to refocus and renew our success in graduate and professional education by restructuring and streamlining operations to preserve and further promote academic excellence, enhance student services and support, and lower operating costs, particularly during this time of great fiscal challenge and increasing competition for students and research."

Provost Sullivan's charge to the Academic Issues Work Group was to develop specific recommendations for action in 1) governance structure and student advising standards; 2) program reviews and approval; 3) financial support of graduate education including fellowships, block grants, and other student support; and 4) metrics for and measurement of performance-based outcomes. The charge to the Student Administrative Processes Work Group was to recommend improvements in administrative processes supporting graduate education—from recruitment of students, through their progress toward program completion, and graduation. The assignment to both groups was made in the context of the President's decision to decentralize the overall administration of master's degree and professional and advanced professional degree programs to collegiate units and the Duluth campus.<sup>3</sup>

The Student Administrative Processes Work Group and the Academic Issues Work Group spent considerable time discussing the concepts of what it means for programs to "remain," "opt in," or "opt out" of the Graduate School in the context of the April 2009 Crouch Report, President Bruininks' June 2009 report to the University community, and the Provost's charge to these two Work Groups. At the outset of the effort to restructure and streamline administrative processes the work groups anticipated that while master's degrees and professional and

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<sup>1</sup> [http://www.academic.umn.edu/provost/reports/documents/grad\\_report042409\\_000.pdf](http://www.academic.umn.edu/provost/reports/documents/grad_report042409_000.pdf)

<sup>2</sup> <http://www.academic.umn.edu/provost/graduate/academicissuescmte.html>

<sup>3</sup> The Twin Cities campus is the academic home of undergraduate and graduate programs offered at and administered by the University of Minnesota Rochester. The Rochester campus is working toward accreditation by the Higher Learning Commission, the University's accrediting agency, by 2013.

advanced professional degrees would be decentralized to collegiate units and the Duluth and Rochester campuses, there would be an opportunity for programs to be able to make a case to remain under the general administration of the Graduate School. As these discussions continued, however, both Work Groups came to adopt a more fine-grained, focused approach.

The groups' thinking evolved to view centralization primarily in relation to standards, guidelines, technology, and support and to view decentralization primarily in relation to decision-making processes. In particular, the Student Administrative Processes Work Group reviewed each task and made a recommendation on whether it was reasonable for the task to be performed centrally or decentralized to units. With this approach, it no longer made sense to use the phrase "opting back in" to Graduate School administration. Both Work Groups concluded it is not efficient to retain infrastructure in the Graduate School to continue to perform all of the functions for only some programs.

This approach was confirmed in the public comment phase following the February 3, 2010 posting of the draft report. The two work groups held six feedback sessions—three on the East Bank (including the Council of Graduate Students and the University Faculty Senate) and one on the West Bank of the Minneapolis campus, on the St. Paul campus, and on the Duluth campus—and solicited online comments during the public comment period, which ended March 3, 2010. The work groups held a joint session to discuss these comments and suggestions from faculty, staff, and students before issuing their final reports.

Both groups worked from a central principle to "put students first." The changes recommended throughout these reports aim to improve every aspect of graduate students' educational experience, similar to University-wide efforts to enhance the undergraduate student experience and improve important measures of undergraduate student success, including time to graduation. This principle should carry forward during the implementation of these recommendations.

For purposes of clarity, the following terms used throughout the reports of both work groups are defined as follows:

- Graduate education: Post-baccalaureate degree programs, post-baccalaureate certificates, and graduate minors
- Graduate programs: All credit-bearing, post-baccalaureate courses and programs.
- Graduate minor: A series of courses approved by the minor-granting graduate program. Currently only students enrolled in Graduate School programs may pursue Graduate School minors. Both Work Groups recommend eliminating the existing policy so that all graduate and professional students may enroll in a graduate minor with the permission of the major and minor-granting graduate and professional programs.
- Graduate students: Full- and part-time students admitted to and enrolled in graduate programs.

The new vision for the role of the Graduate School is to provide support for and play a coordinating and convening role in sharing effective practices and innovative ideas across programs, departments, colleges, and campuses, coordinating activities that benefit graduate stu-

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dents, encouraging cross-unit collaboration, and, in every way possible, facilitating excellence in the provision of services and support for graduate education. In addition, the Graduate School will be accountable for compliance with applicable policies and laws or regulations relating to the delivery and funding of graduate education. In this new vision, every graduate student at the University will have a meaningful research experience (the research may vary depending on the type of degree), central to the graduate student experience, from the very beginning of their program, learning how to overcome the frustration of dead-ends and experiencing the excitement of breakthroughs.

During graduate education, students transition from knowledge absorbers to knowledge generators. Master's degree students apply existing knowledge in new ways, while Ph.D. students create new knowledge. Students from diverse cultural backgrounds also bring to the University their own ways of knowing and being, and those perspectives need to be integrated into the graduate student experience. Graduates of the University will be autonomous; that is, they will know how to evaluate problems in a critical manner by conducting independent research. Autonomy is an asset to any career path chosen by the graduate. The graduate student experience will extend beyond research to include an inspiring, interactive, inclusive, and robust intellectual community with diverse students from many graduate programs and backgrounds; a meaningful and culturally sensitive orientation, with opportunities for development of cultural competence; the opportunity for study and/or research abroad especially early in the graduate education experience; opportunities for minors in graduate and professional programs; spaces for dialogue to deepen understanding and advance knowledge sharing at the cultural intersections; opportunities to build strong and mutually respectful relationships with faculty mentors and advisers; assistance from the program, department, college, and/or Graduate School in applying for external fellowships; an understanding of what it means to be a graduate in the major field; a culture that empowers graduate students and supports the idea that they are responsible for helping to shape their education; and development of alumni relations within the graduate program. Students will be funded in order to continue their pursuit of research and complete degrees in a timely manner. The University will be known for adapting existing programs and approving new ones in a timely manner to stay globally competitive. So that all graduate students will enjoy full access to all of the benefits just named, we will work to create a culture of inclusion that actively supports and embraces, and accords legitimacy to, a full range of knowledge, thought, and cultural traditions. Thus, graduate education will continue to attract students who seek to pursue their own curiosity and are thrilled by the prospect of becoming knowledge creators.

The reports' recommendations seek to sustain the University's century-long course of excellence in graduate education and shape and transform it for the challenges of the century ahead, including the dramatically changing demographic landscape. Graduate education indisputably is a core mission of the University. It is core to the future of the state and one of the University's greatest assets through which we share the impact of our achievements with the nation and the world. The instruments of our continuing capacity for impact at home and in the world are our students. They will form the next generations of leaders for our increasingly diverse communities—teachers, scholars, scientists, professionals in every industry, and artists—to assure that Minnesota's impact is as powerful in the future as it has been in the past.

One of the outcomes of the recommendations in the two reports is a streamlined Graduate School, where the locus of authority for programmatic decisions rests with collegiate and program leaders and faculty, where administrative processes are more efficient and user-friendly, and where enterprise technology resources are leveraged for efficiency and effectiveness. As duplication of efforts and inefficiencies are removed at the central and program levels, the cost of administrative overhead for managing graduate programs will be reduced. Instead of collegiate resources being spent in central oversight offices outside of the college, more resources will remain with the colleges and programs to directly support students and locally controlled administrative processes. Accountability for the quality of graduate education and effectiveness of administrative processes will rest ultimately with collegiate deans, who will carry out their responsibilities through established collaborative processes with college faculty and leadership. Accountability, transparency, and communication are paramount in the new era of graduate education, with collegiate deans included in the oversight of graduate education, and a strong relationship among the different layers of University governance (i.e., faculty, student, and collegiate leadership). Under these recommendations, collegiate units will assume more responsibility, accountability, and communication for decision-making about graduate education including strategic planning and investment as part of the compact process.

The reports provide a more fine-grained and focused look at how graduate education is governed, managed, and supported at the master's, Ph.D., and post-baccalaureate certificate levels within the University. The recommendations and reforms propose a significant shift in the roles that different entities (programs, departments, colleges, centers, faculty, Graduate School, and other central offices) play in support of students and accountability and governance of graduate education. It is important to note that the process improvements and technology enhancements recommended by the Student Administrative Processes Work Group apply not only to master's-level programs but to Ph.D. programs and post-baccalaureate certificates as well, although some modifications and differences between the master's and Ph.D. processes are required and noted. In addition, the Work Groups considered other components of graduate education, but were mindful of the overall cost of graduate education at the University, as well as staff workloads.

The shift to new roles must occur smoothly; the reports call for a carefully planned and well-managed transition period. Technology tools will need to be made available centrally (some can be multi-purpose), paper-based reports must be recreated for electronic distributed use or may be eliminated, staff and user training needs to take place, communication between and among all parties involved in graduate education must be carefully planned, coordinated, and implemented, and new relationships among University offices, staff, and students must be given time to develop. One of the first leadership tasks of the new Vice Provost and Dean of Graduate Education, Dr. Henning Schroeder, will be to lead this transition. The reports provide a blueprint for the transition as Dr. Schroeder works with deans, faculty, graduate students, and staff. For the Administrative Processes recommendations, a portion of the changes would begin in July 2010 to support 2011-12 applications for admission. Similarly, for the Academic Issues recommendations, some of the changes could be implemented almost immediately, while others would require two or three years to implement smoothly and seamlessly.

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## EXECUTIVE SUMMARY TO THE GRADUATE EDUCATION WORK GROUP REPORTS

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### Academic Issues Work Group

The Academic Issues Work Group, formed in September 2009, was charged by Provost Tom Sullivan to develop specific recommendations for action in the areas of: 1) governance structure and student advising standards; 2) program reviews and approval; 3) financial support of graduate education including fellowships, block grants, and other student support; and 4) metrics for and measurement of performance-based outcomes.

The Work Group consulted widely with graduate students, faculty, directors of graduate studies, department chairs, deans, and staff currently involved in graduate education. In addition to holding six open-invitation meetings with these stakeholder groups, stakeholders were surveyed electronically. In total, the Work Group received in-person and online feedback from nearly 150 individuals at the University, which helped to inform the 20 recommendations outlined in the report. The Academic Issues Work Group also studied the findings and recommendations from numerous previous University task forces and related efforts convened since 1992, which focused on various aspects of the Graduate School.

Recommendations are made following guiding principles created by the Work Group in four major areas: policy, governance, and academic programs; student advising; fellowships, block grants, and other student financial support; and metrics and measurement. Where possible, recommendations include where the locus of responsibility and authority should reside, as well many instances where technology tools should be used.

The Work Group proposes a new collaborative model for graduate education, characterized by transparency and timely communication between and among faculty and students, directors of graduate studies, deans, faculty and student governance groups, and the vice provost and dean of graduate education, all of whom play distinct and key roles. The new proposed governance system is streamlined, allowing graduate programs to respond nimbly to internal and external changes and opportunities. The Work Group articulates recommendations for effective, high-quality graduate student advising as a partnership involving students, faculty, programs, departments, colleges, the Graduate School, and the Provost's Office. The Work Group proposes shifting the Graduate School block grant funding process so that colleges and coordinate campuses with graduate programs retain funds for investment in graduate education, with the stipulation that funds be spent only on graduate education and fellowships. Shifting total responsibility for fellowship spending to the collegiate and coordinate campus level provides greater flexibility in recruiting, retaining, and supporting top graduate students. In addition, the Work Group recommends development of meaningful graduate education metrics that are linked to strategic goals, measure outcomes, serve as benchmarks, and are easily accessible to faculty, students, staff, and collegiate and University leaders to assist in the continuous quality improvement of graduate education programs.

## **Student Administrative Processes Work Group**

The Student Administrative Processes Work Group, formed in September 2009, was charged by Provost Tom Sullivan with identifying and making recommendations to improve the administrative processes by which graduate education is supported, from recruitment of students, through their progress toward program completion, and graduation. The scope of the charge included master's degrees, which were to have overall administration decentralized to collegiate units and the Duluth campus. Administrative support processes associated with Ph.D. programs on the Twin Cities and Rochester campuses also were addressed as part of the scope of the report, especially where efficiencies, removal of duplication, and improvements available through applications of technology recommended for master's programs can be used to improve Ph.D. administration.

The Work Group consulted widely with offices and staff that currently provide administrative support for graduate education, including the Graduate School, and identified more than 100 tasks associated with 1) recruiting and admitting students; 2) tracking and supporting student progress toward degree (or program completion in the case of certificates; and 3) degree certification, record maintenance, and alumni relationships. The Work Group also conducted seven open-invitation meetings with various stakeholder groups to gather input on what currently works well within the context of the three major administrative processes, and where there is need for improvement as we collectively seek to provide effective services to graduate students, streamline operations, and lower operating costs.

Recommendations are made with respect to where the locus of responsibility and authority should reside for each of the tasks identified, as well as many instances where technology tools should be employed. Specific recommendations for each task are shown in Appendices 2 and 3 of the report (for master's and Ph.D. programs, respectively). Among the tasks which should remain with centralized offices are aspects of processing international and U.S. citizen/permanent resident applications; providing a single, streamlined electronic application system (currently Apply Yourself) for use in coordination with local program offices; creating and maintaining student records in PeopleSoft and other central systems; setting University policies; and maintaining legally required student records. For tasks which are recommended to be decentralized, the Work Group generally intends that it be up to the colleges to determine where in the college the responsibilities should reside, but it is clear that the accountability for the quality of graduate education and support services rests with the dean, and will be part of the annual compact process. Among the tasks recommended to be decentralized to the colleges (or remain with the colleges, where they reside already) are admissions inquiries and advising; admission decisions; development and management of student funding packages, including graduate fellowships; orientation of new students (with guidelines, effective practices, and perhaps several other services provided by the Graduate School); tracking (with the aid of new technology tools) and advising students on degree progress, and issuing holds as necessary; and performing degree clearance.

Implementation of the recommended changes should begin with the application cycle for 2011, which begins in July 2010. To enable that to occur, work on various systems operated by

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the offices of Academic Support Resources (ASR), including the Office of the Registrar, must be completed. One-time funding will need to be provided for systems development. This will require a close partnership between ASR, the Office of Information Technology (OIT), and the vice provost and dean of graduate education. For new tasks becoming decentralized, administrative staff in colleges will need to establish specific processes in collaboration with ASR and the Graduate School. Shared learning should be facilitated by the vice provost and dean of graduate education. Current graduate students need to be transitioned to the new processes in a seamless way, guided by a carefully developed communication plan prepared collaboratively by the vice provost and dean of graduate education and the colleges. From the students' perspective, either incoming or current, changes in administrative processes should be seamless.

The role of the vice provost and dean of graduate education and the staff of the Graduate School will be to provide support for and play a coordinating role in sharing effective practices and innovative ideas across colleges, coordinating activities that benefit graduate students, encouraging cross-program/department/college collaboration, and in every way possible facilitating excellence in the provision of services and support for graduate education. The graduate experience at the University of Minnesota should allow students to become critical, independent thinkers. This requires a delicate balance of intense advising and coursework as well as providing the freedom for individual student growth and new ideas in graduate education. The Graduate School will work with all programs to create an environment for graduate students in which they can thrive, mature and reach this educational goal.

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## Provost's Academic Issues Work Group

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## Introduction

Part I of this report charts new directions for several essential elements of graduate education at the University of Minnesota. The report's recommendations seek to sustain our century-long course of excellence in graduate education and how to shape and transform it for the century ahead. Graduate education indisputably is a core mission of the University of Minnesota. It is core to helping produce the future leaders of the state and one of the University's greatest assets through which we share the impact of our achievements with the nation and the world. The instruments of our continuing capacity for impact at home and in the world are our students. They will form the next generations of leaders—teachers, academics, scholars, scientists, professionals, and artists—to assure that Minnesota's impact will continue to be as powerful in the future as it has been over our history.

A key challenge of our time is maintaining excellence at land-grant public research universities. President Bruininks has described this as the challenge of confronting “the new normal.” Minnesota is not alone in this challenge. The forces at work today and in the future demand a significant reassessment of the University's scope and how best to achieve its core missions. Unlike any other institutions of higher education in Minnesota, the University bears a singular role and obligation as a land-grant institution and flagship public research university. With the advent of the “new normal” the University must redouble its efforts to assure that graduate education is positioned, aligned, organized, and implemented for excellence, effect, and efficiency as it moves into the future.

In the spirit that new challenges create new opportunities, the Academic Issues Work Group recognized that graduate education could serve as an exemplar for responding to the “new normal” urged by the president and provost. In consulting with many groups in the University community and hundreds of faculty, staff and students, we were impressed and heartened by the awareness, knowledge, and insight so many individuals exhibited about the challenges facing the University in the coming years. Most agreed that the times require us to re-examine how well our programs and activities align with our values, goals, strategies, and budgets in achieving our missions.

In summary, we focused on leadership, governance, and management of graduate education to form our restructuring recommendations as follows:

- redirect to deans (in collaboration with department chairs, directors of graduate studies, faculty, college-based graduate program staff, and graduate students) the necessary planning and decision-making authority, accountability, and resources to direct, manage, and communicate about graduate programs within their scope, including the linking of graduate education performance and investment to the University compact process between the provost and collegiate deans;
- restructure the centralized activities and associated costs for support of graduate education, resulting in greater control of and accountability for graduate support resources at the collegiate level;

- define the key role of the vice provost and dean of graduate education in providing central leadership as a convener of important stakeholders; a catalyst for development of strategic vision, plans, investment and effective practices and innovative ideas; a leader in supporting interdisciplinary approaches and innovation; and a coordinator of University-wide policy development and implementation as well as management and performance outcomes;
- streamline program approval processes by combining multiple policy and review councils into a single elected body;
- enhance graduate education with renewed and strengthened emphasis on putting students first, especially through effective practices and innovative ideas in graduate student advising and financial support;

This report originates in the September 2009 charge by Provost Sullivan to develop specific recommendations for action in the areas of: 1) governance structure and student advising standards; 2) program reviews and approval; 3) financial support of graduate education including fellowships, block grants, and other student support; and 4) metrics for and measurement of performance-based outcomes.<sup>4</sup>

It follows on the important analysis begun in April 2009 by the Committee on Graduate Education at the behest of Provost Sullivan and chaired by Dean Steven Crouch, Institute of Technology. The Committee found that graduate education at the University could be better positioned for the future by re-thinking governance processes, restructuring student support decisions, streamlining program and course review approval processes, making greater use of technology, and considering more efficient use of all resources, including staff time and financial resources.

In reviewing the Crouch Report, President Bruininks, in his June 2009 report to the University community, remarked that “there is a great potential for realigning responsibilities and accountability for graduate programs in a way that provides greater local control of graduate programs to the deans, graduate faculty, and the Duluth campus while maintaining central leadership and oversight where most appropriate.” In drafting recommendations for this report, we also relied for guidance upon several previous initiatives to reform graduate education at the University since 1992. We note our debt to these groups and acknowledge their contributions, many of which have directly informed our recommendations.

Finally, the Academic Issues Work Group recognizes that this report is only the start of a renewed leadership and decision-making process that we believe will create and clarify policy, effective practices and operational processes to improve graduate education for the present and put it on the necessary trajectory for the future. This is a second important step following the April 2009 report of the Committee on Graduate Education but it is not the end of that process. Thus, not all of the specific answers or solutions to every issue or question are included herein. In the coming months, many others at different leadership levels of the University must continue the process of improving graduate learning through implementation of these recommendations. It will be important to leverage and to communicate these efforts within and among faculty, stu-

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<sup>4</sup> See Appendix A for full text of provost’s charge.

dent, and staff groups as ongoing strategies aimed at raising and sustaining the excellence and impact of graduate education at the University of Minnesota.

Although our recommendations are directed toward graduate education, we affirm the importance of aligning, integrating, and building essential links between and among undergraduate, graduate, and professional programs. It is with that goal in mind that we encourage faculty, students, and staff to consider the applicability of our recommendations to all levels and types of education provided at the University.

## **Organization of the Report**

*Section 1: Context and Connections* summarizes the Work Group's consultation process as well as other factors that influenced its recommendations.

The next four sections provide the guiding principles, Work Group's findings resulting from its consultation and research, and specific recommendations:

*Section 2: Policy, Governance, and Academic Programs* addresses proposals for streamlining the governance and management of graduate education while promoting collaboration, transparency, and innovation.

*Section 3: Graduate Student Advising* underscores the essential role of faculty in guiding and advancing the development of their students and describes the coordinated efforts of programs and the Graduate School in supporting and promoting excellence.

*Section 4: Fellowships, Block Grants and Other Student Financial Support* proposes a rebalancing of graduate education resources to foster greater local control and accountability.

*Section 5: Metrics and Measurement* provides a framework to assist faculty and students, programs, departments, colleges, and campuses to assess their effectiveness and progress toward their graduate education goals.

*Section 6: Other Key Issues* lists additional issues outside the scope of the provost's charge that the Work Group believes merit further consideration as recommendations are implemented.

The *Appendices* provide background and supplementary data that the Work Group reviewed during its deliberations. This information also was included to preserve for the historical record a number of perspectives on the current Graduate School, its policies, and practices.

## 1: Context and Connections

The work of University task forces and work groups does not take place in a vacuum. The Academic Issues Work Group not only consulted widely with faculty, students, and staff, but also reviewed the history of previous graduate education task forces, looked nationally at standards and processes used at other leading research universities, sought guidance from documents published by the Council of Graduate Schools, and examined the recent recommendations of a task force on the financial future of the University of Minnesota.

**Graduate Student, Faculty, and Staff Consultations:** During fall semester 2009 and into January 2010, the Work Group gathered input from stakeholders across the University on the following topics: advising and governance; finance; and program review and approval, closures, and mergers. Input was gathered in a variety of ways, including: six in-person consultation sessions, led by Work Group chair Dean John Finnegan and attended by a number of Work Group members, which were held on the East Bank and West Bank of the Minneapolis campus and the St. Paul campus, including meetings with the Council of Graduate Students (COGS) Executive Committee and the Twin Cities Deans Council; consultation with the Duluth campus through Work Group member and Associate Vice Chancellor for Academic Administration and UMD Director of Graduate Programs Timothy Holst; and a survey to provide electronic feedback (either self-identified or anonymously) on academic issues. The Work Group sent an email to the University community to notify them of the consultation sessions and included the survey questions and a link for completing the survey online. In particular, the Work Group encouraged graduate students, faculty, directors of graduate studies, and deans to attend these sessions. In total, the Work Group received in-person and online feedback from nearly 150 individuals at the University.

In addition to these consultations, the Work Group met for two hours weekly and divided into three subgroups—program review, finances, governance and advising—to consider these issues in greater depth. Also, metrics initially were addressed by the Work Group as a whole; however, later in fall semester an ad hoc subgroup formed around this area as well. Subgroups met weekly or biweekly during the fall. Incoming Vice Provost and Dean of Graduate Education Henning Schroeder attended several Work Group meetings as an observer. In January 2010, representatives from the Academic Issues Work Group and the Student Administrative Processes Work Group met to share recommendations and create complementary final reports on graduate education.

The Work Group and its subgroups heard from a variety of graduate education experts at the University, including R. Timothy Mulcahy, vice president for research and interim vice provost and dean of graduate education; Shirley Garner, associate dean of the Graduate School; Vicki Field, director, Office of Interdisciplinary Inquiry; Karen Starry, director, Graduate Student Support Services; Myrna Smith, director, Graduate School Fellowship Office; Robert Lysak, professor, Institute of Technology, and co-chair, Graduate School Fellowship Committee; Susan VanVoorhis, University registrar and director of academic support resources; Kristin Anderson, professor, School of Public Health, member of the Academy of Distinguished Teachers, and co-author of a report on graduate advising standards; Jan Morse, director of the Student Dispute Resolution Center, University ombudsman, and co-author of the report on graduate advising

standards; Steven Rosenstone, vice president for scholarly and cultural affairs, to discuss the Financing the Future Report and its integration with our work; and Arlene Carney, vice provost for faculty and academic affairs.

In addition, the Work Group considered the key recommendations contained in the September 2009 report to President Bruininks from the Future Financial Resources Task Force.<sup>5</sup> In particular, the Work Group noted that task force's call for the sharpening of academic priorities; deciding what is best done locally and centrally; managing enrollments strategically; simplifying systems, processes, policies and infrastructure; strengthening technology-based measurement and reporting; and developing stronger data-driven analytical capabilities.

**Previous Graduate Education Task Forces and Related Efforts:** As noted in this report's introduction, the Academic Issues Work Group studied the findings and recommendations from numerous previous University task forces convened since 1992, which focused on various aspects of the Graduate School. These task forces and other related efforts and reports include:

- [Report of the Committee to Review the Graduate School \("Johnson Report"\), Fall 1992](#)
- [Appendices to the Johnson Report, Fall 1992](#)
- [Follow-up Report to the 1992 Report, October 6, 1995](#)
- [The Graduate School: Adding Value to the University of Minnesota, October 16, 1995](#)
- [Report of the Ad Hoc Committee for the Redesign of the Functions of the Office of the Vice President for Research and Dean of the Graduate School, August 1996](#)
- [2004 Evaluation of Value Added by the Graduate School, Budget Advisory Committee Working Group on the Graduate School, April 2004](#)
- [Report of the Financing Graduate Education Task Force, January 25, 2005](#)
- *The Foundation of Graduate Study and the Graduate School*, University Archives, 2005
- [Graduate Reform: Student Support, Strategic Positioning Task Force Report, February 2006](#)
- [Graduate Reform: Discipline Evolution, Strategic Positioning Task Force Report, May 2006](#)
- [Responsible Conduct of Graduate and Professional Advising, Academy of Distinguished Teachers, March 14, 2008](#)
- [Graduate School Progress from 2005-2008, July 30, 2008](#)
- [Restructuring the Oversight and Support of Graduate Education to Enhance Excellence, Senior Vice Presidents and Collegiate Deans, February 9, 2009](#)

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<sup>5</sup> *Advancing the Excellence of the University of Minnesota*, Report of the Future Financial Resources Task Force, September 2009 (<http://www1.umn.edu/regents/docket/2009/october/worksession.pdf>)

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- [Recommendations on the Oversight and Support of Graduate Education at the University of Minnesota, Committee on Graduate Education, April 24, 2009](#)
- [Council of Graduate Students \(COGS\) Committee on Advising Quality and COGS Biennial Graduate Student Survey, June 23, 2009](#)
- [President Bruininks' Report to the University Community, June 26, 2009](#)

A summary of these previous recommendations is included in Appendix B. The Academic Issues Work Group noted that a significant number of recommendations made by previous groups mirrored its own current recommendations.

**Major Roles of Graduate Schools:** In providing a broad framework for its deliberations, the Academic Issues Work Group noted and affirmed the major roles of a graduate school within a research university as defined by the Council of Graduate Schools:

- *Articulate a vision of excellence for the graduate community*
- *Provide quality control for all aspects of graduate education*
- *Maintain equitable standards across all academic disciplines*
- *Define what graduate education is and what it is not*
- *Bring an institution-wide perspective to all post-baccalaureate endeavors*
- *Provide an interdisciplinary perspective*
- *Enhance the intellectual community of scholars among graduate students and faculty*
- *Serve as an advocate for graduate education*
- *Emphasize the importance of training future college and university teachers*
- *Develop ways for graduate education to contribute to and enhance undergraduate education*
- *Support graduate student services*
- *Serve as an advocate for issues and constituencies critical to the success of graduate programs<sup>6</sup>*

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<sup>6</sup> *Organization and Administration of Graduate Education*, Council of Graduate Schools (2004)

## **2: Policy, Governance, and Academic Programs**

### **Guiding Principles**

The Academic Issues Work Group adopted the following principles to guide the development of recommendations in this area:

- Place primary responsibility for graduate program content and its delivery (courses and requirements) with faculty.
- Assign responsibility for the appointment of graduate faculty to programs, departments, and colleges.
- Assign primary responsibility for academic program adherence to University policies and quality standards with the Graduate School.
- Provide deans with greater input and authority in the review, approval, merger, and discontinuation of graduate programs, within the context of all academic programs of a college.
- Provide incentives, ongoing support, and advocacy for entrepreneurial and interdisciplinary program development and facilitate timely review and approval for these new programs.
- Require that campus and system-wide policies governing graduate education, as they currently do for undergraduate education, reside in the University-wide Policy Library and undergo periodic review.
- Ensure that faculty, graduate students, colleges, and the Graduate School have timely input into policy development and review.
- Enhance networking opportunities for diverse academic disciplines and graduate and professional programs.
- Develop processes and structures to ensure that each step of the program approval process adds value.
- Ensure that policies, procedures, changes, and decisions are communicated clearly with relevant stakeholder groups.

### **Findings**

The Graduate School oversees the creation, development, administration, discontinuation, and periodic review of nearly all of the University's post-baccalaureate certificates and master's degrees, and all of its Ph.D. degree programs. These processes are carried out through six Policy and Review Councils whose membership is composed of directors of graduate studies for all disciplinary and interdisciplinary graduate programs governed by the Graduate School and student representatives from the Council of Graduate Students. Appendix C shows the disciplinary representation on the current Policy and Review Councils.

The Policy and Review Councils currently have responsibility for a full range of issues—from recommending approval for creating, modifying, or discontinuing individual graduate-level courses to complete post-baccalaureate certificates, master’s degrees, and doctoral degrees. Subcommittees formed within each Council conduct much of this work.

Chaired by the dean, the 22-member Executive Committee of the Graduate School reviews and takes action on all recommendations from the six Policy and Review Councils. The vice provost and dean of graduate education forwards these recommendations to the senior vice president for academic affairs and provost. If approved by the provost, the recommendations are submitted to the Board of Regents for final action. Generally, Graduate School proposals are presented to the Regents twice yearly, in February and July.

The Academic Issues Work Group, in its consultations with collegiate deans, directors of graduate studies, faculty, and in its examination of the findings and recommendations of previous graduate education task forces, agreed with the Crouch Report that the Graduate School’s current governance system has become unwieldy and time-consuming. Consistent with previous findings, faculty described the approval process for new programs or changes to existing ones as cumbersome. Policy and Review Council members described meetings as lengthy, spending time receiving information that could have been communicated by other means, and being asked to make decisions outside their areas of expertise and at a level (e.g., course and credit changes) that could have been handled better at the collegiate, department, or program level. In addition, the documentation of changes from one version of a program to the next was seen as difficult to capture for current decision making and future reference. All of these factors have resulted in the loss of potential competitive advantage and innovation in some graduate programs.

There also was broad agreement that appropriate peer review of policies, standards, and programs must be continued at a central level in order to maintain and improve quality and to protect and enhance the University of Minnesota’s reputation. In addition, there was widespread comment that current graduate education policies are too broadly dispersed and not easily accessible in a commonly organized, searchable format available to faculty, staff, and students. These policies should reside in a single place, the University-wide Policy Library. Those consulted agreed that graduate programs could be maintained and enhanced with a more streamlined, locally accountable process within a framework of University policies and standards. They also voiced strong support for the role played by the Council of Graduate Students in these processes.

### **Recommendations**

In light of the guiding principles, findings, and recommendations of the Student Administrative Processes Work Group, the Academic Issues Work Group recommends changes in how graduate education policies are created, approved, and archived; in the review and approval process for new and changed graduate programs; and in the governance structure of the Graduate School. To provide more flexibility and more local control while still maintaining high standards, the Work Group recommends that all master’s degree programs and associated minors as well as post-baccalaureate certificates follow a review and approval process that resides in the home college

(or colleges in the case of programs that cross collegiate boundaries) before being submitted by the dean(s) to the provost and the Board of Regents for final review and approval.

Ph.D. degree programs and associated minors would follow a review and approval process that includes the college as well as a new review panel in the Graduate School before being submitted to the provost. This additional level of review takes into account Ph.D. programs' critical importance in training the next generation of academic leaders and the need for centralized coordination of new and emerging fields across the disciplines. To streamline the approval process, the Work Group recommends a new, single review-and-approval body at the Graduate School that would replace the current six Policy and Review Councils and the Executive Committee.

The specific recommendations are:

**Recommendation 1:** All graduate programs<sup>7</sup> should continue to be governed by applicable University policies and standards. The addition of new programs and substantive changes to existing programs (e.g., addition of tracks, mergers, and discontinuations) should continue to require the approval of collegiate deans, the senior vice president for academic affairs and provost, and the Board of Regents.<sup>8</sup> Graduate programs and their collegiate units—in collaboration with the Provost's Office and, for health sciences-related programs, the Office of the Senior Vice President for Health Sciences—should continue to be responsible for all matters related to accreditation requirements and procedures.

**Recommendation 2:** All proposals for new and changed graduate programs should undergo a review and approval process at the collegiate level, including approval by the collegiate dean. Colleges should establish such a process that includes faculty and graduate students.<sup>9</sup> In the case of new and changed interdisciplinary programs that cross collegiate boundaries a review process that includes faculty and student representation from participating colleges should be required, as well as approval from participating collegiate deans.<sup>10</sup>

In addition to the above approval process, all new and changed Ph.D. programs should require the approval of a newly created Graduate Education Council (see Recommendation 4).

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<sup>7</sup> Graduate programs include post-baccalaureate degree programs, post-baccalaureate certificates, and graduate minors.

<sup>8</sup> It should be noted that prior to being submitted to the senior vice president for academic affairs and provost, health sciences post-baccalaureate professional program proposals require the approval of the senior vice president for health sciences and coordinate campus graduate programs require the approval of the chancellor. Proposals for health sciences programs, in particular, with their unique accreditation and clinical practice requirements and standards, require specialized knowledge resident in the Academic Health Center.

<sup>9</sup> Most colleges have undergraduate curriculum review committees and it is envisioned that graduate curriculum review committees could follow the same model.

<sup>10</sup> It is expected that the provost, in consultation with the appropriate deans, the Graduate School, and faculty will resolve issues relating to conflicting programs.

**Recommendation 3:** The provost should charge the vice provost and dean of graduate education to lead a collaborative effort to implement the Student Administrative Processes Work Group's recommendation that relate to the governance and management of graduate programs and specifically those that should be centralized and those that reside in programs, departments, and/or colleges. The vice provost and dean of graduate education will need to collaborate with the Office of Budget and Finance to determine how cost pool charges should be recalculated as a result of these changes. It is anticipated that cost pool adjustments will be phased in over a two- to three-year transition period.

**Recommendation 4:** The provost should charge the vice provost and dean of graduate education to streamline and transform the Graduate School's six Policy and Review Councils and the Executive Committee into a single, elected Graduate Education Council. As a first step in this process, the vice provost and dean of graduate education should lead the formation of a provisional Graduate Education Council to meet regularly during the 2010-11 academic year. The provisional Council would be responsible for developing criteria and procedures for electing a permanent Graduate Education Council whose members' terms would commence July 1, 2011, and assisting in the formation of the new Graduate and Professional Education Assembly (see Recommendation 6) as well as fulfilling the duties envisioned for the permanent Council described below.

The permanent Graduate Education Council, chaired by the vice provost and dean of graduate education,<sup>11</sup> should meet regularly during the academic year to review and act on: a) proposals for new and changed Ph.D. programs, b) results of internal and external program reviews of these programs; c) the revision and updating of new graduate education policies, and d) providing input to the Graduate and Professional Assembly and its agendas. Other items for consideration by the Council could be submitted by the vice provost and dean of graduate education, directors of graduate study, collegiate deans, or Council members. Agendas and minutes should be recorded and published to enhance transparency.

The permanent Council would be composed of about 15 faculty members from academic discipline areas or colleges affiliated with the Graduate School,<sup>12</sup> at least one faculty member from an interdisciplinary program and designated as such, and several Council of Graduate Students representatives. Faculty members would serve for three years on a rotating, staggered-term basis. Thus, initially, one-third of the faculty members would be elected for one-year terms, another one-third would be elected for two-year terms, and the final one-third would be elected for three-

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<sup>11</sup> This leadership role is consistent with the University's current practice of the dean chairing the Graduate School Executive Committee and also reflects the standard practice of many of the University's peer institutions.

<sup>12</sup>For example, if the Council's faculty seats were allocated now by the proportion of disciplines represented by directors of graduate studies in each of the current six Policy and Review Councils (total of 136), the distribution would be: Biological Sciences (3), Education/Psychology (1), Engineering, Physical, Mathematical Sciences (4), Health Sciences (2), Language, Literature, and Arts (2), and Social Sciences (3). If the seats were allocated by the proportion of certificates and master's/doctoral degrees conferred over the last five years, the distribution would be: Biological Sciences (2), Education/Psychology (2), Engineering, Physical, Mathematical Sciences (4), Health Sciences (2), Language, Literature, and Arts (1), and Social Sciences (4). See Appendix C for current Policy and Review Council discipline representation.

year terms. In order to attract the broadest range of candidates with the highest level of commitment to excellence in graduate education, all faculty members should be eligible for election. The graduate student representatives would be elected annually in April by students through the Council of Graduate Students' executive officer elections. A collegiate dean and a member of the Academic Health Center Academic Council would serve as ex-officio members of the Council.

**Recommendation 5:** The responsibility for determining who is qualified to fulfill the faculty responsibilities associated with graduate education (e.g., service on dissertation committees, service as graduate student advisors, etc.) should be moved from the Graduate School to programs, departments, and colleges, and reviewed by the dean (or deans, in the case of multiple appointments), in accordance with program, departmental, and collegiate governance policies and procedures. The responsibility for the appointment of directors of graduate studies also resides ultimately with the dean of the college in consultation with the vice provost and dean of graduate education.

**Recommendation 6:** The provost should charge the vice provost and dean of graduate education to lead the creation of a new Graduate and Professional Education Assembly for directors of graduate studies, chairs of professional programs, Graduate and Professional Students Assembly (GAPSA) president and each GAPSA constituent council president or their designee, Academic Health Center Student Consultative Committee representative, and interested administrators and staff to meet periodically during the academic year, as a whole or perhaps in sub-groups. The Assembly will cover specific topics in graduate and professional education, professional program chair and director of graduate studies development, and collaboration and networking across diverse disciplines, as well as creating a climate for University-wide innovation in graduate and professional program creation, evaluation, and training. The Assembly would be headed by co-chairs (a faculty member from the Graduate Education Council appointed by the vice provost and dean of graduate education and a professional programs chair elected from among its members) and facilitated by the Graduate Education Council in conjunction with Graduate School staff.

**Recommendation 7:** Under the direction of the provost and the vice provost and dean of graduate education, and in consultation with the Graduate Education Council and appropriate University Faculty Senate committees, review, update, and integrate existing graduate education policies and procedures with University-wide academic program policies, procedures and definitions, clearly delineating roles and responsibilities of the Board of Regents, provost, vice provost and dean of graduate education, Graduate Education Council, collegiate deans, directors of graduate studies, existing faculty governance groups, graduate student governance, and graduate students. The revised policies should be vetted through the University's established policy review process that includes the University Policy Committee, appropriate University Faculty Senate committees, and other relevant bodies, including the new Graduate Education Council described above.

In addition to applicable University-wide policies,<sup>13</sup> graduate education programs are governed by policies that fall into two categories:

- Policies that apply to all graduate education programs: These policies should be vetted through the University Faculty Senate (and its appropriate committees) and established review processes.<sup>14</sup> These policies should reside in the University-wide Policy Library in order to increase accessibility and transparency.
- Policies specific to particular individual programs and/or colleges. These policies must be consistent with University-wide policies and reported to the Graduate School. Such policies would be established by units within a college, subject to approval by the collegiate dean, and posted on the graduate program's Web site.

**Recommendation 8**: The provost should charge the vice provost and dean of graduate education, in consultation with appropriate University offices and groups, to establish a new set of policies that remove current obstacles and simplify and clarify the process for establishing interdisciplinary programs that cross collegiate units or exist outside the collegiate unit structure. For example, the policies should clearly identify processes for shared governance between units, how faculty responsibilities will count towards their home department commitments, and other rights, duties, and obligations. In addition, the policies should clarify the principles for tuition attribution for courses used in interdisciplinary programs, particularly cross-listed courses, and other funding for interdisciplinary graduate programs.<sup>15</sup> Using these policies as a base, the vice provost and dean of graduate education should lead the development of memorandum-of-agreement or memorandum-of-understanding templates for interdisciplinary faculty (as well as graduate students enrolled in interdisciplinary programs).

**Recommendation 9**: The provost should charge the vice provost and dean of graduate education to lead the development of continuous quality improvement guidelines for programs, departments, colleges, and centers to replace the current process of internal reviews, and to complement and supplement external reviews and program accreditation. The goals of these changes are to shorten the time between internal reviews, to use external reviews strategically, and to coordinate efforts across programs and with accrediting bodies. When appropriate, internal and external graduate program reviews should take place with reviews of the parallel undergraduate program. The Graduate School should work with collegiate deans and faculty to develop review processes for Ph.D. programs that could be used as models for collegiate-based master's degree programs.

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<sup>13</sup> Some existing educational policies already in place in the University-wide Policy Library are applicable to all students, e.g., course numbering, class scheduling, holds on student records, etc.

<sup>14</sup> Examples include: processes for approving new programs, substantive changes to current programs, and discontinuation or merging of current programs; minimum standards for awarding master's degrees at the University; expectations for annual review of student progress; guidelines for insuring due process to students in decisions concerning suspensions; and expectations regarding program self-study and continuous improvement.

<sup>15</sup> This may require an interdisciplinary education fund to make up for net tuition losses by units or colleges as a result of inter-collegiate programs.

April 30, 2010

*External reviews:* Collegiate deans and faculty should be encouraged to lead and employ formal external peer reviews only on a selective basis for graduate programs, e.g., when warranted by internal review or through the compact process, or when high demand, distinction, or other indicators of excellence merit significant new investment in a program.

*Program accreditation:* For graduate programs accredited by an outside agency, internal and external reviews should be coordinated with programs' preparation of their self-study document.

*Internal reviews:* Reviews should demonstrate value added, through 360-degree participation by faculty, students, staff, and alumni in creating a brief self-study and interaction with faculty, students, and staff in related programs. The self-study should lead to program-driven change that addresses issues such as the quality of incoming students, alignment with the future of the discipline and the diversity of careers available to graduates, evaluation of advising within the program, and improvements to multiple aspects of the program that can be implemented easily and immediately.<sup>16</sup>

**Recommendation 10:** The provost should charge the vice provost and dean of graduate education to work with the Office of Information Technology and the Office of Academic Support Resources (Registrar) to complete as soon as possible the development and implementation of a University-wide electronic graduate program/course approval system similar to the PCAS (Program and Curriculum Approval) system for undergraduate education, including posting of proposals for new programs for public comment. (See the report of the Student Administrative Process Work Group for current and potential technology options.)

The 10 recommendations above are intended to ensure that graduate education is fully planned, aligned, implemented and evaluated in the context of the University's mission. To help illustrate and reiterate recommended changes in governance of graduate education, we offer several figures and comments below.

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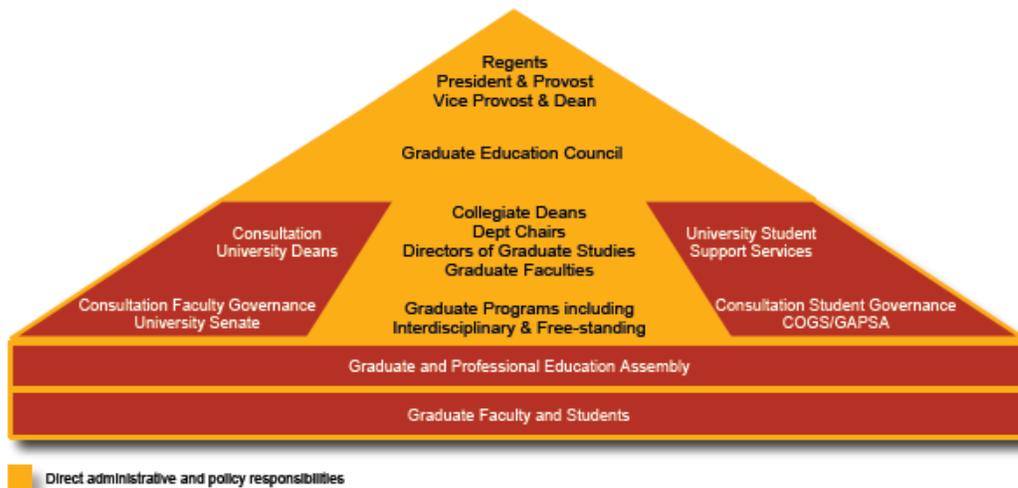
<sup>16</sup> The Carnegie Initiative on the Doctorate and other programs such as the Woodrow Wilson Foundation Responsive Ph.D. are models for this type of internal program review.

Figure 1 displays the key stakeholders that shape, administer, and support graduate learning. The portions of the figure in gold indicate direct decision-making responsibilities in administration and policy (described further below). Portions in maroon indicate consultative, advising and support roles in shaping decision-making. The figure is not hierarchical, but rather shows the interrelationships between and among various stakeholders in a shared governance system.

**Graduate and Professional Education Assembly:** The base of the “pyramid” is composed of faculty and students. In this model, we propose that program and student leaders come together with others as the Graduate and Professional Education Assembly for discussion of post-baccalaureate learning. The larger goals of this University forum are to:

- create an engaged and networked community of stakeholders in graduate and professional education;
- identify, share and communicate about common issues and state, national and international trends; and
- shape vision and planning relating to emerging fields of knowledge and the development of cutting-edge post-baccalaureate learning.

**Figure 1. Graduate Education at the University of Minnesota Stakeholders, Administrative, Consulting & Support Service Components**



**Collegiate Units and Graduate Programs:** The rest of the pyramid consists of the various stakeholder groups involved in formal decision-making and consultative duties and obligations.

The most significant change resulting from our recommendations shifts the primary center of responsibility and accountability for graduate education to the collegiate units. We mean by this specifically to empower deans, department chairs, directors of graduate studies, and faculty to develop processes and procedures for decision-making about planning, administration, implementation, and performance evaluation. In particular, the vice provost and dean of graduate education should play a leading role in specifying and enhancing the duties and obligations of directors of graduate studies. In addition, significant dialogue and communication about graduate education within the context of all academic offerings should take place within the colleges.

**Vice Provost and Dean:** The vice provost and dean of graduate education is the key leader, administrator, and

convener of the stakeholders that shape graduate education. The authority and scope of the position is designated from the Regents through the president to the provost who is the University's chief academic officer. The position therefore resides in the provost's office and is responsible for planning, policy, procedures, coordination, and appropriate University-wide support services and staffing. The vice provost and dean of graduate education will organize the office as appropriate to these functions and may convene an executive or operations group to assist in the transition.

**Consultation and Support Services:** The central portion of Figure 1 also includes key stakeholders that shape graduate learning in different ways primarily through consultation and advising. For example:

- University faculty governance through the University Senate consults with and advises the provost, president and Regents on policy matters;
- Graduate and professional student governance groups consult with and advise on post-baccalaureate learning. We recommend that graduate students be actively engaged in consulting and advising at the collegiate level, the Graduate Education Council, and at the level of the vice provost and dean of graduate education.
- Collegiate deans consult with and advise the vice provost and dean of graduate education about strategic planning and investment for graduate learning.
- University student support service units play an important role in shaping graduate education especially through the student experience.

**Graduate Education Council:** Figure 1 also shows the Graduate Education Council. It is an elected body from across the University whose principal purpose is reviewing and making recommendations to the vice provost and dean of graduate education regarding new and changed Ph.D. program proposals. It also advises as needed or requested on policy and administrative issues regarding fellowships, student affairs, and graduate education generally, and helps to shape the agenda for the Graduate and Professional Education Assembly described earlier.

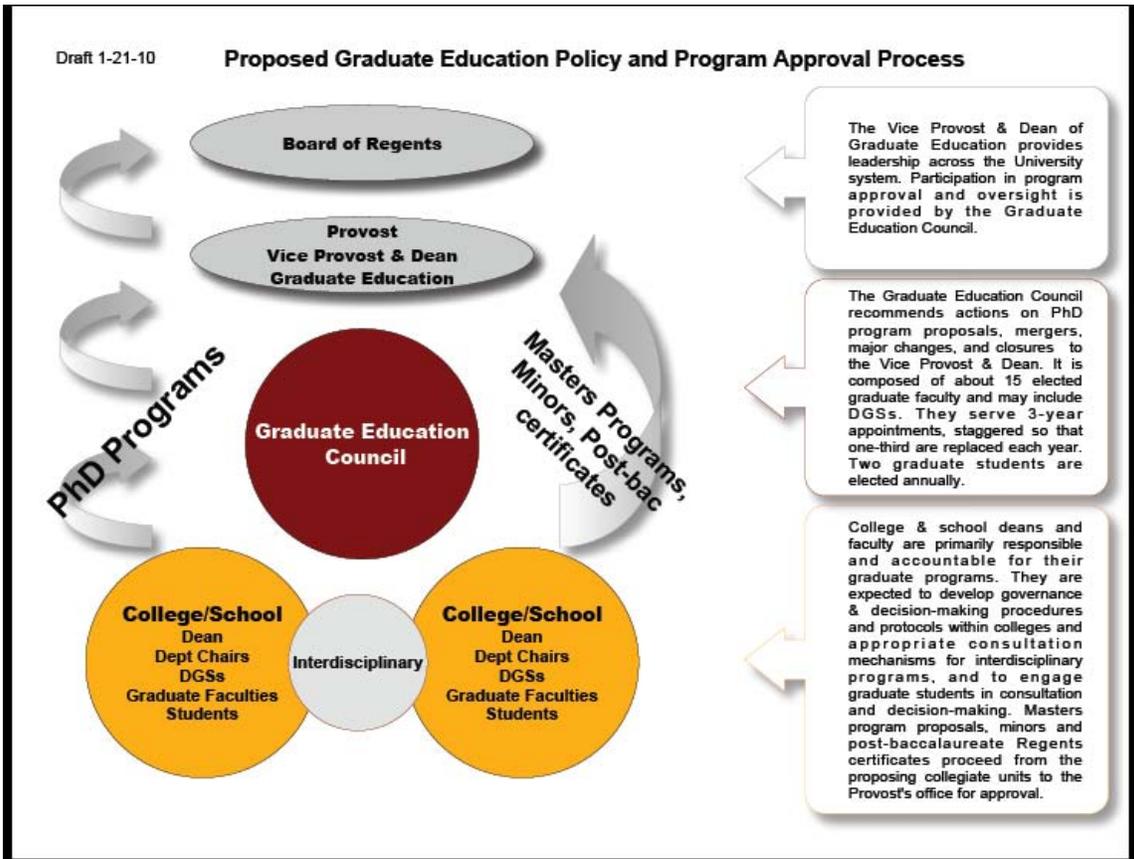
The Council replaces the current network of six Policy and Review Councils and the Executive Committee. As described, the Council's elective framework will make use of the disciplinary groupings of the old councils to assure disciplinary representation and also will include several graduate students elected annually through student governance procedures, at least one faculty member from an interdisciplinary program, and a collegiate dean and member of the AHC Academic Council as ex-officio members.

**Program Approval Processes:** As shown in Figure 2, we recommend that master's degree programs, graduate minors and post-baccalaureate certificates become the primary responsibility of the collegiate deans and faculty. They would be expected under these recommendations to develop governance and decision-making procedures to meet this obligation, if not already established. Proposed new programs, mergers, closures or significant revisions would proceed for approval directly from the unit after approval by the dean to the provost's office. With this recommended change, comes also the collegiate unit obligation to assure that master's and other post-baccalaureate proposals are thoroughly vetted with relevant constituencies across the University. The Graduate School will continue to assist collegiate units to assure smooth and timely processes and full information. It should be noted that health sciences graduate programs require the approval of the senior vice president for health sciences, and coordinate campus graduate programs require the approval of the chancellor before being submitted to the senior vice president for academic affairs and provost.

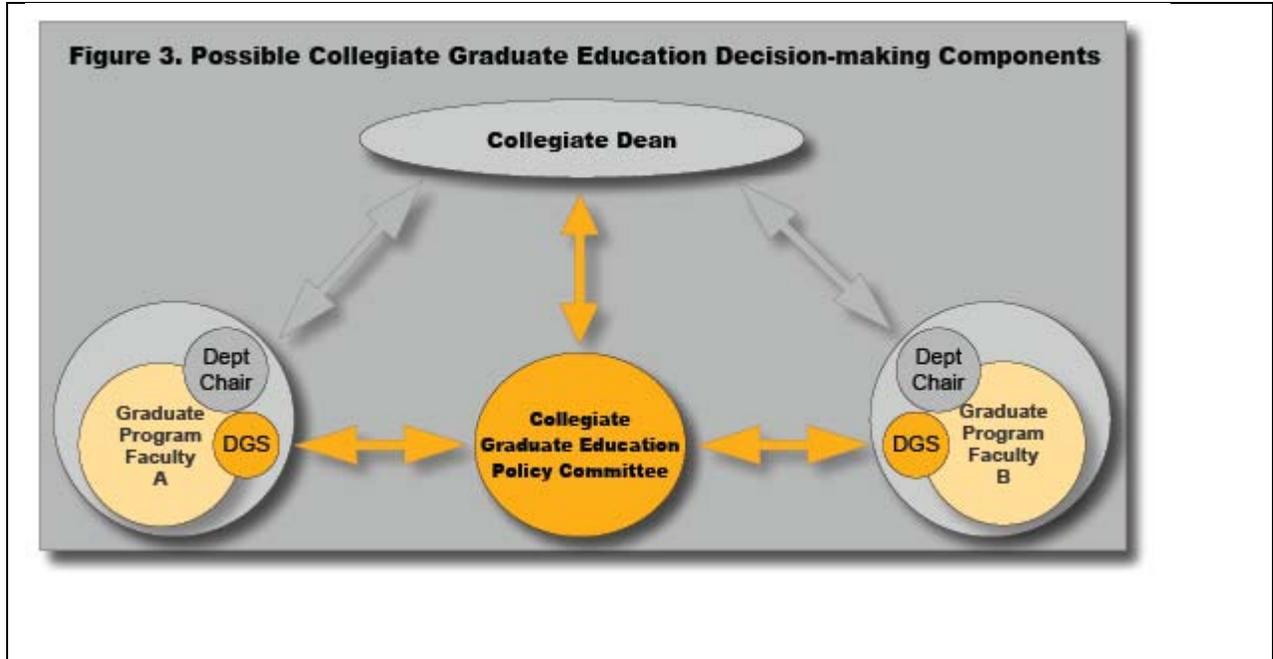
Collegiate proposals for new or changed Ph.D. programs, however, would proceed for consideration and approval to the Graduate Education Council. Why the recommendation to involve the Graduate Education Council in Ph.D. programs but not master's or other post-baccalaureate programs? The Academic Issues Work Group discussed several ideas having to do with the distinctiveness of Ph.D. education. The Ph.D. is the highest degree offered by the University and lies at the heart of its educational mission as a research university. As such, Ph.D. education is

the primary means by which we produce the next generation of academic, scholarly, and scientific leaders. It is they who will intimately shape future knowledge, create new fields of intellectual endeavors, shape the form of the academy itself, and further the impact of the University as a force for advancement in the state, nation, and world. Because of the special nature and contribution of Ph.D. education, responsibility, and accountability for each Ph.D. program's strategic directions, quality, performance, and accountability should appropriately be a collective concern distinct from other graduate and professional learning. The Graduate Education Council is an important mechanism to better assure a strong and continuing focus on the improvement of Ph.D. education.

**Figure 2. Proposed Graduate Education Policy and Program Approval Process**



We recognize that the University has plenty of experience analogously in undergraduate learning from which to draw in establishing these relationships. For example, Figure 3 illustrates a common collegiate unit approach. Here, programs, policies and procedures flow from graduate faculties through a collegiate graduate education policy (or program) committee for approval by the dean as appropriate. Conversely, the dean may propose policy or procedures for consideration by the program committee. Moreover, in this illustration, department chairs and directors of graduate studies are accountable to the dean for graduate program planning and performance on an annual basis. This applies also to interdisciplinary programs under the joint care of multiple colleges. In turn, the dean is responsible to the provost for graduate program planning and performance as part of the annual compact process.



### **3: Graduate Student Advising**

#### **Guiding Principles**

The Academic Issues Work Group adopted six principles to guide the development of recommendations in this area:

- Effective, high-quality graduate student advising is a partnership involving students, faculty, programs, departments, colleges, the Graduate School, and the Provost's Office.
- Institutional guidelines and resources are critical for support of quality advising.
- Students' responsibilities for supporting quality advising relationships must be clearly articulated.
- Graduate programs should be charged with establishing specific advising expectations for faculty.
- Advising is a core aspect of graduate faculty activities, and needs to be regularly evaluated and routinely rewarded.
- Policies, recommended practices, changes, and decisions should be communicated clearly with relevant stakeholder groups.

#### **Findings**

Advising students is a primary responsibility of graduate faculty. Students and faculty value a high-quality advising relationship, which is widely regarded as key to student retention, progress, and satisfaction as well as to students' contributions to the University's core mission. Although student advising may differ by discipline, some needs are broadly shared among graduate programs. These common needs include advising on program requirements and processes, mentoring in the selection and conduct of research, and providing guidance and advice for professional and career development.<sup>17</sup>

The Academic Issues Work Group heard from college leaders that they share a strong commitment to high-quality advising and are poised to engage with their faculty and students to ensure such relationships in their colleges. Despite widely shared support for the value of an effective advising relationship, however, in our consultations we found that students, faculty, and directors of graduate studies identified several areas for improvement. When facing responsibilities as a new graduate adviser, many faculty members find that they draw primarily on their own experiences as students, rather than on program guidelines or published effective practices and few have experience in conducting performance reviews. Moreover, faculty indicated that the resources they need differ widely according to their career stage. Directors of graduate studies voiced interest in orientation or training opportunities that could teach these skills and acquaint

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<sup>17</sup> While this section of our report focuses on issues of graduate student advising, we recognize that some aspects of our findings and recommendations could also apply more broadly to post-doctoral fellows and their needs and concerns. Post-doctoral fellowships are now under the purview of the Office of the Vice President for Research.

faculty with institutional policies and resources for dealing with problems. Students emphasized that different student groups, such as part-time or international students, may have unique concerns and may benefit from different approaches in advising. Other common concerns among students were the desire for more frequent or more substantive input from faculty advisers, for guidelines for effective communication with advisers, and for appropriate opportunities to evaluate the advising relationship. The process for seeking help with advising concerns should be clear to students.

Currently, many resources exist to support implementation of effective practices in advising, but these resources are dispersed and effective practices are unevenly implemented. Appendix D lists available resources and parallel efforts to encourage effective practices. These local efforts provide an exceptional platform for implementing University-wide procedures and effective practices as described in the recommendations below.

Most departmental 7.12 statements<sup>18</sup> recognize graduate student advising as part of teaching responsibilities, but advising activities are not consistently evaluated across all programs. This is especially complicated for interdisciplinary programs, which may not align specifically with the academic units where merit review, evaluation of progress toward tenure and promotion, and post-tenure review take place. Finally, the Graduate School currently has awards for outstanding directors of graduate studies and program assistants, but no mechanism to identify and reward outstanding faculty mentors.

### **Recommendations**

**Recommendation 11:** The provost should charge the vice provost and dean of graduate education to convene a group, including graduate students, to formulate University-wide guidelines that define effective practices for graduate student advising (e.g., maintaining confidentiality of student feedback on advisers, international student and adviser expectations, graduate students who are parents, etc.) . The group should consult the recommendations of previous groups and other resources summarized in Appendix D. Guidelines could be introduced at new faculty, new department head, and new interdisciplinary program head orientation sessions sponsored by the vice provost for faculty and academic affairs, at the Graduate and Professional Education Assembly, and through ongoing workshops co-sponsored by the Graduate School and the professional programs.

The vice provost and dean of graduate education should determine the best ways to coordinate resources and ensure that a Web site bringing together the University's and other institutions' best advising resources are widely communicated (e.g., during new graduate student orientation), maintained, and updated.

**Recommendation 12:** In addition to these University-wide guidelines, each graduate program should be required to establish specific guidelines for faculty and students in effective practices in advising, taking into account the specific needs of the discipline and by faculty members' particular needs at different stages of their careers. These guidelines, along with adviser and student

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<sup>18</sup> Academic units specify the criteria and standards for tenure and/or promotion of their faculty. These criteria and standards are called "7.12 statements" to reflect Section 7.12 of the Board of Regents Policy on *Faculty Tenure*.

expectations and responsibilities and the timeline of program requirements, should be included in the graduate handbook for each program and included in new graduate student orientation at the program level. Collegiate deans and coordinate campus chancellors in concert with the vice provost and dean of graduate education should ensure that an appropriate assessment of advising quality and student progress be established.

All faculty should be provided orientation in advising standards and resources prior to commencing advising activities. Programs may choose to join forces with other programs or departments within or across colleges to set guidelines or carry out orientation.

Student input about the quantity and quality of advising should be sought regularly at the program level as a development tool for programs. These assessments should seek to recognize effective practices for diverse sub-groups of graduate students and faculty, and should take cultural differences into account.

Advising contributes importantly to program quality, and should therefore be covered during program review and approval. Advising standards, activities, and outcomes should be addressed in internal and external reviews.

**Recommendation 13:** The provost should charge the vice provost and dean of graduate education to work with the vice provost for faculty and academic affairs to evaluate and reward advising of graduate students and mentoring of faculty. Advising should be established as part of the faculty mentoring process, wherein regular and formative conversations are part of faculty members' ongoing self-assessments.

Advising activities of faculty should be evaluated routinely as part of merit, promotion and tenure, and post-tenure review. The two vice provosts should lead the development of a rubric for peer evaluation of graduate student advising and faculty mentoring.

Recognition for outstanding faculty advisers should be established centrally by the vice provost and dean of graduate education. Establishment of college-level and program awards is also encouraged.<sup>19</sup>

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<sup>19</sup> At least one such University-wide award exists: the Award for Outstanding Contributions to Post-Baccalaureate Graduate and Professional Education, <http://www1.umn.edu/usenate/policies/gradaward.html>.

## **4: Fellowships, Block Grants and Other Student Financial Support**

### **Guiding Principles**

The Academic Issues Work Group adopted six principles to guide the development of recommendations in this area:

- Excellent graduate education should be supported by a funding model of local empowerment, combined with central support, within the context of shared policy, authority, information, and responsibility, focused on clear institutional goals.
- Funding for graduate education should be structured in such a way as to promote and reward excellence of graduate programs.
- Decisions regarding the allocation of resources for graduate education should be made by those closest to the relevant information, at all levels—graduate program, department, college, and University.
- University administration and collegiate deans should retain sufficient academic and fiscal leverage and flexibility to ensure achievement of institutional and collegiate goals for graduate education, including interdisciplinary graduate education.
- Metrics and measurement systems are necessary to provide those responsible for graduate education at all levels with timely, comparable, and accurate information.
- Policies, procedures, changes, and decisions should be communicated clearly with relevant stakeholder groups.

### **Findings**

Currently, departments, colleges, and centers support graduate education in numerous ways including:

- hiring and support of tenured and tenure-track faculty,
- graduate program, laboratory, and administrative staff support,
- office, research, and laboratory space,
- teaching and research assistantships,
- collegiate-based fellowships and scholarships,
- funding for graduate student activities,
- cost pool charges to support the Graduate School's awarding of block grants and University-based fellowships.

The provost asked the Work Group to focus specifically on “the impact, efficiency, transparency, and accountability of the award process for graduate fellowships and block grants.”

Each year the Graduate School allocates funds it receives via the cost pool charges to colleges back to various graduate programs for graduate student fellowships and graduate program block

grants.<sup>20</sup> The majority of the fellowship funds support Graduate School fellowships and doctoral dissertation fellowships.<sup>21</sup> Each year, about 500 nomination slots for the two fellowship competitions are distributed among all Ph.D. programs. The number of nomination slots a program is assigned is reviewed and adjusted annually by the 18-member Graduate Fellowship Committee. Adjustments are based on the overall success of that program in competing for fellowships the previous year.

Graduate School fellowship nominations and doctoral dissertation fellowships are evaluated by four Fellowship Committee sub-committees, each composed of two subject matter experts and two breadth members to judge nominations outside their field. After this evaluation, the full Fellowship Committee makes about 200 offers with an expectation of a 30 percent acceptance rate. The Graduate School fellowships are three-year awards, so some funds are reserved for supporting first-year awardees in their second and third years. All unexpended funds from the Graduate School fellowship awards each year have been applied to the doctoral dissertation fellowship awards, so that the funds are spent fully each year.

Graduate programs also compete for block grant awards from the Graduate School on a three-year cycle. As stated on the Graduate School Web site, “Programs do not apply for these funds, but rather, they are asked to provide an evaluation of their fund use. These evaluations are reviewed by the Fellowship Committee, which looks at the effectiveness of prior use, the size and quality of the program, and how the program supports all enrolled students through degree completion.”<sup>22</sup> A subset of the Fellowship Committee reviews the program block grant evaluation reports and makes recommendations to the vice provost and dean of graduate education for final determination of these funds. A review of the distribution of the funds showed that the Graduate School’s distribution of block grants has not changed significantly over the past five years.

Representatives from the Fellowship Committee urged continuation of the University-wide fellowship awards using the current process. They felt there is an important benefit for recipients having won an award through a rigorous all-University competition. They also believe that the financial offer is an important part of the Graduate School fellowship award, which includes full tuition, insurance, and a three-year stipend, with guaranteed support for five years. They also recognize the need programs may have for flexibility regarding the stipend level. The representatives also recommended continuation of the doctoral dissertation fellowship program, as these awards assist in launching careers of Ph.D. graduates.

The Work Group learned that many students, directors of graduate studies, and their assistants spend a great deal of time on aggregating funding for graduate student awards and understanding the nuances of the various awards. For example, a student may receive a prestigious external

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<sup>20</sup> This process is described in *Graduate School Award Programs and Competitions* from the Graduate Fellowship Office and Faculty Grants Office.

<sup>21</sup> The remaining fellowship funds have supported DOVE (Diversity of Views and Experiences) fellowships, the majority of which are now administered by the Office of Equity and Diversity.

<sup>22</sup> [http://www.grad.umn.edu/dgs/handbook/fellowships/block\\_grant.html](http://www.grad.umn.edu/dgs/handbook/fellowships/block_grant.html)

award and a University award, but fall into a classification where they are ineligible for health insurance. Another student may receive a prestigious external award and a University award, and need only a part of the University award to equal the program stipend level; however, the University award may stipulate that only the full amount can be taken.

There are currently no metrics in place to track fellowship awardees and their cohorts. Fellowship recipients are asked to participate in a Council of Graduate Students survey regarding the benefit of their awards, but there is no general survey of non-recipients nor are data available to assess the performance of fellowship recipients versus other graduate students. This lack of data limits the ability of the University to assess the effectiveness of its investments in these programs.

On a broader level, there are no reliable data to assess how much each college, department, and program spends each year to support graduate education in all the additional categories described above.

Efficient and intelligent use of funds is always important. However, in the University's present fiscal situation, it is imperative that we ensure expenditures made in support of graduate education are not only efficient and wise, but are demonstrably better than alternative investments that could have been made. This is difficult, and perhaps not always even possible, but efforts should be made to evaluate graduate education funding decisions and investments over the past few years. We ought to have a better picture than we do of the possible negative implications of not spending funds as we have, and of the opportunity cost that has been borne through these expenditures, by not making other investments.

A common theme expressed during the Work Group's consultations was that a better balance between University oversight and local control of resources must be achieved. This balance would provide college, department, and graduate program leaders and faculty with the flexibility to make resource investments to support unit and institutional priorities, as well as to make investments to foster innovation within and among disciplines, and to develop partnerships with other institutions.

### **Recommendations**

**Recommendation 14:** Based on the principles above, the provost should charge the vice provost and dean of graduate education, in collaboration and consultation with appropriate University offices and groups to make recommendations regarding the funding of graduate education. The following should be considered:

- Change the Graduate School block grant funding process so that colleges and coordinate campuses with graduate programs retain and have direct control of funds for investment in graduate education in their academic unit, consistent with present practice to be used for direct student support, and reported as such through the compact process. NOTE: Block grants for 2010-11 have already been committed using existing cost pools, so this part of the recommendation could not be implemented until 2011-12 or 2012-13. Current funding commitments will continue to be honored.

- Review the allocation methodology and basis for graduate student services. Currently, costs are allocated to academic units based on the total headcount of students enrolled in the Graduate School plus the headcount of Graduate School faculty. Reorganization of responsibilities between the Graduate School and the Office of the Vice President for Research (OVPR) has moved most of the programs that are primarily faculty-centered to OVPR, leaving the administration of the Graduate School primarily focused on services to students.
- Leave roughly half of funds used to pay current Graduate School cost pool charges in the colleges and coordinate campuses having graduate programs so they can recruit and retain the best graduate students through locally based (i.e., colleges and programs) graduate education fellowships as well as centrally coordinated Doctoral Dissertation Fellowships.
- Retain, to the extent possible, the same number of centrally funded Doctoral Dissertation Fellowships as currently awarded, but allow recipients to de-couple the stipend from the fellowship, if desired; these prestigious University-wide awards are critical to graduate students' career development and advancement.
- Continue recent efforts to ensure that Ph.D. students are adequately supported in a combination of collegiate-based and University-wide resources to facilitate timely completion of their degrees.
- Increase central funding to support interdisciplinary graduate programs and promising traditional graduate programs.
- Reduce financial support of centralized graduate education administration and achieve cost savings through improved, transparent, streamlined processes and better use of technology.

Because these changes require shifts in responsibility and resources, as well as some non-recurring start-up costs (e.g., technology enhancements—see Recommendation 10), it is anticipated that cost pool adjustments and related charges will be phased in over a three-year transition period.

This re-balancing of graduate education funding offers the University and its collegiate units greater flexibility in using funds to support graduate education to support graduate programs that have the ability to increase substantially their status and ranking if provided with additional investment, as well as to support interdisciplinary programs. Academic deans and faculty, in collaboration with the Graduate School, would make decisions on these investments based on well-defined objectives and metrics.

Shifting these decisions to colleges, departments, and programs—and eliminating duplicative processes— would also enable the University to make substantial progress on President Bruininks' stated goal of reducing administrative costs in the Graduate School by \$1 million through reducing the administration of block grants, providing greater flexibility in how funds are used (less monitoring and take-back of unused funds), and incurring fewer budgetary transactional costs.

**Recommendation 15:** The provost should charge the vice provost and dean of graduate education to work with the Graduate Education Council and the Office of Planning and Analysis to develop metrics to help programs, departments, colleges, and centers track and assess the impact of all forms of support to graduate education. (See Section 5 for metrics discussion and examples.)

**Recommendation 16:** The provost should charge the vice provost and dean of graduate education to lead the effort to create a single source to coordinate graduate student funding packages, as many graduate programs currently use resources for this purpose, resulting in duplicative efforts. Coordination is necessary for students receiving full and partial fellowships and other awards, health insurance coverage (demonstrating that students on fellowships are full-time students), and teaching assistant and research assistant positions.

In addition, the Graduate School should serve as a resource for programs and colleges with graduate students who wish to apply for external fellowships. We envision this to parallel the University Honors Program's National and International Scholarships Office, providing valuable information about fellowship deadlines, effective practices in applications, connecting applicants with past awardees, etc.

We recommend exploring effective practices for tracking, coordinating, and assisting students with applying for national and international external fellowships at the undergraduate, graduate, and post-doctoral levels. Furthermore, we recommend consideration of how administrative processes and tools might be shared to achieve efficiencies and garner more fellowships for all levels of students.

## 5: Metrics and Measurement

### Guiding Principles

The Academic Issues Work Group adopted seven principles to guide the development of recommendations in this area. The measurement of graduate education quality should:

- Be linked to the strategic goals of the University and the colleges in which they are housed.
- Be accurate, comparable, and easily accessible to faculty, students, and staff to assist in the continuous quality improvement of graduate education programs.
- Measure outcomes rather than inputs, wherever possible.
- Contain benchmarks against which progress can be measured.
- Provide meaningful policy direction for improving graduate education.
- Be able to be developed, revised, and updated regularly at a reasonable cost.
- Be communicated clearly with relevant stakeholder groups.

The Work Group also agreed that measurement and metrics should be developed to document the progress of the University toward achieving the following goals for graduate students and programs:

- Graduate programs should attract diverse applicants who have demonstrated high ability and prior academic excellence, and should be a destination of choice for those students to whom admission is offered.
- Graduate students should compete for and receive institutional, disciplinary, national, and international awards for excellence.
- Graduate students should report high levels of satisfaction with their programs, the services provided by the University, and other aspects of their graduate experience.
- Graduates should report in alumni surveys that their degree program was helpful to them in securing meaningful employment and advancing their careers.
- Graduate programs should strive for continuous improvement and remove deficiencies that impede student progress, e.g., poor advising, low instructional quality, lack of appropriate goals, etc.

Access to information that measures progress on these characteristics is essential for alignment with the University's strategic direction and continuous quality improvement of the operational management of those programs.

## Recommendations

**Recommendation 17:** The Graduate School should collaborate with the Office of Institutional Research, Office of Information Technology, Office of Academic Support Resources (Registrar), and graduate student governance groups to ensure the availability, integrity, and comparability of data about graduate programs, faculty, and students. Critical information also includes the continued development of surveys for internal and external reporting, the reporting of descriptive data about programs,<sup>23</sup> and key performance indicators. Efforts should be integrated with parallel processes for undergraduate and professional education. Responsibility for data and surveys for graduate education should be shifted into the portfolio of the Office of Planning and Analysis. Some surveys may be conducted in partnership with other University offices and groups. Responsibility for application development and support for graduate education should be shifted into Academic Support Resources and the Office of Information Technology. (See also Recommendation 10.)

**Recommendation 18:** The provost, vice provost and dean of graduate education, collegiate deans, faculty, and faculty and student governance groups should ensure that data are used strategically to evaluate the size, support, and performance of graduate programs and to ensure accountability. The measures used and standards applied must be linked to the mission and structure of the programs, and should be determined with input from students, faculty, and administrators. Examples of strategies that may be useful include:

- **Access, affordability, and financial sustainability:** While levels of financial support will vary by type of program, the proportion of students who receive institutional support, their debt at graduation relative to their expected earning potential, and the instructional costs associated with the delivery of graduate education provide some evidence about a program's performance in maintaining access and affordability.
- **Alignment of instructional resources:** For academic programs serving undergraduate and graduate students, the degree of reliance on graduate students to deliver the undergraduate curriculum, and the balance between undergraduate and graduate teaching by faculty may provide a means for assessing whether the relative size of the graduate and undergraduate programs in a subject area is appropriate.
- **Disciplinary evolution:** As workforce needs and fields of inquiry change, programs should respond through curricular changes, re-sizing of programs, or potentially closing programs that are no longer in demand and shifting resources to new programs. Some information about these changes will be visible in alumni surveys, but much will rely on the knowledge and judgment of faculty, deans, and administrators.
- **Geographic impact:** Graduate programs intended to train the next generation of scholars, researchers, scientists, policy makers, and government, business, and non-profit leaders will likely draw applicants and place graduates throughout the nation and world. Graduate programs intended to meet state or regional workforce needs will likely draw appli-

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<sup>23</sup> Current reports can be found at <http://www.grad.umn.edu/data/stats>

cants and place graduates within the state and region, with particular reference to underserved areas.

- **Production of graduates:** The completion rates of entering graduate students and of doctoral candidates, along with the number of degrees awarded per year and/or per member of the program's graduate faculty, can provide some evidence of the program's performance in retaining students and producing graduates. The appropriate ratio of graduate degrees produced to faculty would vary by field.

**Recommendation 19:** In support of this strategic approach, graduate programs, departments, colleges, and faculty and student governance groups should consider the use of specific qualitative and quantitative metrics in the following categories, as appropriate, in monitoring and improving quality:

1. Measures of student quality (e.g., entering test scores, geographic reach, diversity, etc.)
2. Measures of satisfaction (e.g., surveys of current students and alumni, etc.)
3. Measures of efficiency (e.g., time-to-degree, degrees awarded per year, etc.)
4. Measures of affordability (e.g., debt at graduation, financial support per student, etc.)
5. Measures of advising (e.g., graduate student-faculty ratio)
6. Measures of output (e.g., placement of graduates, student publications, etc.)
7. Measures of national and international ranking (e.g., National Research Council assessment of doctoral programs, etc.)

**Recommendation 20:** The provost should charge the vice provost and dean of graduate education to develop and use measures of efficiency, effectiveness, and satisfaction to evaluate the administrative performance of the Graduate School and its alignment with the University's strategic priorities. The Office of Planning and Analysis should provide support in the development of measures, collection of data, and analysis of results.

## 6: Other Key Issues

We note here twelve additional key issues that were outside the scope of the Provost's charge to the Academic Issues Work Group. These issues also need to be addressed as the University moves to implement any of the recommendations contained in this report:

1. The appropriate size of graduate education and individual graduate programs, relative to undergraduate education enrollment at the University and market demand in order to adequately serve and financially support graduate students enrolled in them.<sup>24</sup>
2. The appropriate areas of focus, areas that will not be developed, and areas that should have an undergraduate program but not a graduate program (and vice versa).
3. The right size of individual graduate programs to adequately serve and financially support students.
4. The costs and benefits of structuring multiple graduate tuition rates.
5. The optimum structure for the tuition benefit fringe rate for graduate assistants. (The Office of the Vice President for Research is currently leading a study of this and related issues.)
6. The critical mass of faculty and students needed to sustain a quality experience.
7. Assessment of the University's competitive advantage and current and potential demand for programs in different fields.
8. The financial impact of new graduate programs on space, libraries, research facilities, information technology systems, and other infrastructure.
9. Factors affecting time-to-degree: Rationale for maintaining the supporting program, graduate thesis credits and their tie to lengthy time-to-degree and financial concerns (e.g., graduate students costing more than post-doctoral fellows); and percentage of student funding coming from teaching and research assistant demands.
10. How to enhance study and research abroad opportunities for graduate students.
11. Coordination among the University of Minnesota Foundation, colleges, departments, and programs regarding the use of and access to alumni data.
12. The impact of the proposed financial recommendations on interdisciplinary programs.

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<sup>24</sup> Research conducted by the Work Group on the number of post-baccalaureate certificates, master's degrees, and doctoral degrees awarded from 2004 to 2009 showed the following: 22% of the programs awarded 100 or more degrees/certificates; 23% awarded 50-99 degrees/certificates; 22% awarded 26-49 degrees/certificates; and 33% awarded 0-25 degrees/certificates.

April 30, 2010

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## Appendix A:

### Provost's Charge to the Work Group<sup>25</sup>

On September 17, 2009, Provost E. Thomas Sullivan charged two groups to study and make recommendations regarding the report of the Committee on Graduate Education issued earlier in the year: the Academic Issues Work Group and the Student Administrative Process Work Group.

#### Academic Issues Work Group

The Provost's charge to the Academic Issues Work Group included the following:

- **Governance Structure.** The governance structure of the Graduate School should include appropriate roles for graduate faculty and graduate students. At the same time, the governance structure must not be so complex that it adds to inefficiency and hinders timely innovation and creativity. Does the current governance structure, consistent with the President's direction in his June 26, 2009 report, optimally position the Graduate School to insure excellence of graduate programs, responsiveness to student needs, interdisciplinarity, and timely innovation and creativity necessary for the University to achieve its goal of becoming one of the top three research universities?
- **Program Reviews.** Program reviews should efficiently and effectively provide the University with assessments that will enable the University to evaluate and improve programs, to assess their strengths, weaknesses, and overall success, and provide information to guide future decision making. The provost's office, through the Graduate School, needs to participate, but it is unclear whether reviews are most efficiently and effectively run centrally through the Graduate School, or whether reviews may better be run at the collegiate level. I would like you to consider the issues surrounding program reviews and provide recommendations regarding the program review process.
- **Program Approvals.** In addition to formal program reviews, I would like you to examine the process currently in place for consideration of requests for new programs, for changes in programs, and for discontinuation of programs. Although all program change requests ultimately come to the provost's office for review and then to the Board of Regents, change requests relating to graduate programs initially are considered by the Graduate School. It is the Graduate School review process I am interested in having you examine. How can processes be designed to most efficiently and effectively safeguard the excellence of the University's graduate programs in a way that promotes innovation and the timely capture of opportunities to build on excellence and distinction? Should there be different processes for different types of program change requests? Should the authority to approve change requests rest in the same place regardless of the nature of the request, or should authority vary with the nature of the request?
- **Advising Standards/Training Programs for University Faculty.** Graduate students, including members of COGS, have identified the need to enhance the quality, consistency, standards, and accountability of graduate and professional student advising, including the development, support, and mentoring of research and teaching assistants. I would like your recommendations for how the University can improve advising and enhance the success of our students, including increasing their satisfaction with their educational experience and improving their time to degree through improved advising.

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<sup>25</sup> <http://www.academic.umn.edu/provost/graduate/academicissues091709.pdf>

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- **Fellowships, Block Grants and Other Student Financial Support.** Building on the work begun by the Committee on Graduate Education, I would like you to review the impact, efficiency, transparency, and accountability of the award process for graduate fellowships and block grants.

For fellowships, should awards be determined centrally within the Graduate School or should the award process be decentralized? Should there be a combination with some University-wide fellowship competitions and some localized awards, as is the case at some other universities? If some or all fellowship awards should be determined locally, on what basis should the central pool of fellowship money be distributed among colleges and/or programs, including interdisciplinary programs? What process should be used for the application for and award of fellowships? How do we insure that interdisciplinary programs are nurtured and protected?

For block grants, what is the most efficient mechanism for distribution of block grant funds in a way that will nurture and support excellence, innovation and interdisciplinary exploration that builds on existing disciplinary strength while creating new areas of distinction? Should block grants be distributed through the compact process (revised in some way to include an application for block grant monies) or by the Graduate School? If you recommend distribution by the Graduate School, what is the process and mechanism that should be used to most efficiently achieve the goals articulated in the opening paragraphs of the memorandum, and ensure alignment with strategic goals articulated at the collegiate level and endorsed centrally? Should the distribution of fellowship funds be combined in some way with the distribution of block grant funds?

- **Metrics and Measurement.** The University must do a better job of measuring, monitoring, and reporting the quality of graduate and professional education, including the caliber, success, and satisfaction of our graduate students. For instance, we need to have more regular data and review of time to degree and placement after receipt of degree. Your team should coordinate with the official University institutional research office. Please review existing studies related to establishing appropriate reporting metrics on graduate and professional education and develop a plan to align, measure, monitor, and report overall program quality and student metrics with the new director of the Office of Planning and Analysis. It also is important to clarify existing institutional reporting, survey, and research responsibilities across central University offices.

## **Appendix B:**

### **Summary of Previous Graduate Education Task Force Recommendations and Their Status**

The Academic Issues Work Group examined a number of historical documents produced by task forces and studies related to graduate education at the University. The key recommendations from these documents, which provided helpful guidance to the Work Group, are summarized in this appendix. The documents examined include:

- [\*Report of the Committee to Review the Graduate School \(“Johnson Report”\), Fall 1992\*](#)
- [\*Appendices to the Johnson Report, Fall 1992\*](#)
- [\*Follow-up Report to the 1992 Report, October 6, 1995\*](#)
- [\*The Graduate School: Adding Value to the University of Minnesota, October 16, 1995\*](#)
- [\*Report of the Ad Hoc Committee for the Redesign of the Functions of the Office of the Vice President for Research and Dean of the Graduate School, August 1996\*](#)
- [\*2004 Evaluation of Value Added by the Graduate School, Budget Advisory Committee Working Group on the Graduate School, April 2004\*](#)
- [\*Report of the Financing Graduate Education Task Force, January 25, 2005\*](#)
- *The Foundation of Graduate Study and the Graduate School* , University Archives, 2005
- [\*Graduate Reform: Student Support, Strategic Positioning Task Force Report, February 2006\*](#)
- [\*Graduate Reform: Discipline Evolution, Strategic Positioning Task Force Report, May 2006\*](#)
- [\*Responsible Conduct of Graduate and Professional Advising, Academy of Distinguished Teachers, March 14, 2008\*](#)
- [\*Graduate School Progress from 2005-2008, July 30, 2008\*](#)
- [\*Restructuring the Oversight and Support of Graduate Education to Enhance Excellence, Senior Vice Presidents and Collegiate Deans, February 9, 2009\*](#)
- [\*Recommendations on the Oversight and Support of Graduate Education at the University of Minnesota, Committee on Graduate Education, April 24, 2009\*](#)
- [\*Council of Graduate Students \(COGS\) Committee on Advising Quality and COGS Bi-ennial Graduate Student Survey , June 23, 2009\*](#)
- [\*President Bruininks’ Report to the University Community, June 26, 2009\*](#)

**Governance and Reviews**

Recommendation	Source	Status
Faculty should have greater authority in the central functions of graduate education.	1992 Report 2004 Report 2009 Crouch Report 2009 President's Report	
Graduate students through COGS should be involved in graduate governance.	2009 President Report	
Create smaller P&R Councils with DGSs, faculty at large, and graduate students (3 DGSs, 3 faculty, 2 graduate students) appointed by Grad School dean. Nominations from COGS should be considered for student appointments. Council review process should be less cumbersome.	1992 Report 2009 Crouch Report	Smaller P&R Council recommendation from 1992 Not adopted. Instead, Council agendas were refocused to deal with large issues affecting graduate education and careful selection of P&R Council representatives.
P&R Councils must play significant role in maintaining grad education standards as part of a three-part system: 1) Annual audits to review student data and progress; 2) Internal reviews every 4-5 years with recommendations to dean for program probation, closure, or consolidation; and 3) External review every 10 years (unless a program is deteriorating in quality) that avoids duplication of effort (i.e., accreditation reviews) couple undergraduate and graduate program review.	1992 Report 1995 Adding Value Report 1996 Report (accreditation suggestion)	As of 1995, this was to be future direction of Councils, which will evaluate programs more frequently than external reviews. Provost will send representatives to P&R Council meetings. As of 1996, reviews did include undergraduate programs. As of fall 1995, establishment of committee in P&R Councils to evaluate overproduction of Ph.D.s in some disciplines.
Improve effectiveness of external reviews by: 1) reducing time between reviews (shorter than 7-10 years); 2) launching a pilot program of 3-4 year review cycles; and 3) use the external review committee as an ongoing advisory committee to the graduate program. It will be easier to suggest mergers, dissolution, and continuance of programs. Consider reviewing related programs in clusters to facilitate optimum use of resources. Advocates for Grad School to ensure that all review elements are done in close collaboration with and full participation by all the colleges. In some cases college may want to organize review (2004 report).	1996 Report 2004 Report	
Require a written response from administration to suggestions from external reviewers or require follow-up to external reviews by graduate programs. Reviews should be used.	1996 Report	
Establish an Executive Council with a small number of graduate faculty and	1992 Report	Not adopted as of 1995. Graduate faculty and students pre-

students from each new P&R Councils (6 faculty and 2 students). Council will review regularly P&R Council and reconstitute if necessary.		ferred current structure. Instead, the agenda of the Grad School Executive Committee will be refocused.
Combine the position of Associate Vice Chancellor for Academic Administration at UMD with the position of Associate Dean of the Graduate School at UMD. Both positions are part-time; the reorganization would allow the campus to coordinate graduate costs into campus-wide budget planning.	1992 Report	Recommendation adopted as of 1995.
Deans or their representatives or Provost's representatives should sit on P&R Councils to link grad education to RCM.	1995 Adding Value Report 1996 Report	
Grad School Dean should be a member of highest councils at University, such as University Executive Committee and Twin Cities Deans Council. Dean should carry title of Vice Provost as well, participating with collegiate deans.	2004 report	As of 2009, Vice Provost and Dean of Graduate Education sits on Twin Cities Deans Council, but not University Executive Committee. Graduate School is represented on Executive Committee through SVP for Academic Affairs and Provost.
Review grad ed policies as part of Senate Committee on Educational Policy.	2009 President Report	

**Role of the Graduate School**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Add functions to assist on-going determination of quality of graduate programs. Biennial reports to Grad School should include research accomplishments and be forwarded to dean/provost. Can be used in self-study portion of external reviews and provide helpful background for block grants. Include providing uniform and standardized student processes (1995 report). Move tracking student progress, admissions data to large programs willing to accept responsibilities (2004 report).	1992 Report 1995 Adding Value Report 1996 Report 2004 Report	As of 1995, a computer program was being developed by Grad School to help programs evaluate attrition data.
Take major responsibility for determining overall grad education goals. Recognize areas of increasingly important scholarship, invest in activities, etc. Link vision and excellence to decision-making and resource allocation (RCM). 2009 Report recommended functions to be administered by Grad School: fellowships, admissions, student services including conflict resolution and student records,	1992 Report 1995 Adding Value Report 1996 Report 2009 Crouch Report	Grad School developed strategic plan that identifies issues, goals, and objectives beyond 2000.

communications and Web, governance, temporary grad faculty appointments, career services, postdoc services, DGS orientation, interdisciplinary programs, commencement, advising, and metrics.		
Better align immediately cost of graduate education and program activities. Restriction of thesis credit until after passing oral prelim seems rigid, and the low cost thesis credit policy post-36 thesis credits should be reconsidered.	1992 Report	In 1995, Grad School considered changes in eligibility for thesis credit registration. Goal was to have central administration review and implement tuition waiver and policy on thesis credit registration to P&R Council in 1996.
Necessary for Grad School Dean and VP for Research to play more central role in decision-making in order for U to remain world-class. Dean needs to be visionary, strong advocate for grad ed., able to build cross-college relationships; identify new opportunities for grad study; develop strong relationships across U and with OVPR and collegiate units; and maintain active contact with research faculty.	1996 Report 2004 Report 2008 Report	Establishing new programs on UMD and UMR campuses as of 2007. As of 2008, continue to collaborate with OVPR. Collaborate with deans, OVPR, and HR to raise grad teaching assistantship and postdoc wages. Partnered with AHC and OVPR to launch the Interdisciplinary Informatics Initiative.
Streamline activities to make less bureaucratic, examine role of pass-through funding, and be efficient and administratively simple. Grad School must have strong service orientation to support grad students and programs. Minimize administrative costs, simplify procedures, and use technology to improve speed, communications, and ease-of-use.	1995 Adding Value Report 1996 Report 2004 Report 2005 Report 2009 Crouch Report	1995 report stated goals for online theses/dissertation submission by 1997 and student paperwork online by 1996. Since 2005, Grad School has started to implement technology to facilitate service-orientation. Digitization still is needed (2008 report). Launched Apply Yourself, electronic admissions system, in 2002. As of 2009, electronic filing of theses and dissertations.
Grad School should lead charge to find new models of funding/external funds for grad ed.	1996 Report 2005 Report	Since 2005, central administration has increased investment in block grants and fellowships by \$27 million.
Position Grad School (then OVPR/Grad School) at highest level under President regardless of U's administrative structure. Crouch Report states Grad School should be called Office of Graduate Education or the Graduate School/Graduate College. 2009 President's Report advocates for Graduate School name, but leaves door open for possible alternatives in future.	1995 Adding Value Report 1996 Report 2009 Crouch Report 2009 President's Report	As of 2009, OVPR reports jointly to President and Provost and Grad School reports to Vice Provost and Dean of Graduate Education and Senior Vice President for Academic Affairs and Provost.
Consider allowing professional master's to be administered outside of Grad School under collegiate oversight.	2004 Report 2009 Crouch Report 2009 President's Report	

Crouch Report added applied doctorates to this category and terminal master's programs at UMD.		
Initiate new collaborative programs with other universities.	1995 Adding Value Report	As of 1995, Grad School established collaboration with U of Wisconsin for shared distance education and leadership academy with St. Cloud State.
Reorganize and reduce Grad School staff to align with size of peer institutions (20% reduction).	1995 Report 2009 Crouch Report	As of spring 1996, Grad School services reorganized into four key areas: Admissions, Student Progress, Equal Opportunity, and Information Systems.

**Financial Areas**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Grad School should retain current financial authority-tuition waivers, block grants, fellowships, recruitment/retention of minority students, minimum level of guaranteed support to grad programs with flexibility to respond to program quality changes. Funds to graduate programs should continue to be review-based, not formula-based pass-through. Grad School should be more flexible with block grants and fellowships, allow collegiate deans to make program allocation decisions. Grad School needs to reallocate funds based on U priorities, program quality.	1992 Report 1996 Report 2004 Report 2009 Crouch Report	Grad School continues to retain this function, though as of 2009, recruitment/retention of minority students now shared with Office of Vice President/Vice Provost for Equity and Diversity. OVRP now administers faculty research awards (as of 2009). As stated in 2008 Report, block grant and other funds are being used as incentives for programs that reduce time-to-degree and increase completion rates.
Grad School should aggressively seek funds to support multi-year grad fellowships (three and four year packages).	1992 Report	As of 1995, Grad School working to create packages that combine fellowships and TA/RA-ships. Top students appear less concerned about fellowships than previously thought (1995). In 2008, over half of offers were for 3-year fellowships.
Graduate School should aggressively seek funds to support better recruitment and retention of minority students	1992 Report 2008 Report	As of 1995, Grad School set up national network of contacts to identify grad student candidates. U received major grant for grad students of color. In 2006, U launched system for tracking prospective grad students. In 2004, U-wide task force developed plan for strategic international recruitment. Grad School began 3-year project, Reexamining Graduate and Professional School Admissions, with 20

		departments, to explore diverse student admissions.
Grad School should create central office to coordinate functions from Grad Assistants Office with grad student employment, fringe benefits. Central office should coordinate these issues.	1992 Report	Merger did not occur. Graduate Assistant Health Insurance Office and Graduate Assistant Office remained independent.
Evaluate ability of programs to generate external support through grants and fellowships, compare these to sources at other institutions. Grad School should lead charge to find new models of funding and external dollars for grad ed.	1992 Report 1996 Report 2005 Report	
Adjust budgetary resources to align with administration of grad programs when budgets are impacted. Collegiate deans should be expected to support the administrative costs of grad programs.	1992 Report 2004 Report	Adopted as of 1995.
Grad School should play a prominent role in determining ICR use and should hold ICR users accountable. 2004 Report recommended Dean play this role.	1996 Report 2004 Report	
Increase the amount of fellowship dollars requested biennially on the condition that it be matched by private donations. This can be enhanced by a major fundraising campaign centrally and in the colleges.	2005 Report	Since 2005, U increased investment in block grants/fellowships by \$27 million. Non-recurring allocation of \$175,000 for Interdisciplinary Doctoral Fellowships to support promising Ph.D. students for one year at U-wide interdisciplinary research center/institute. Over 100 new fellowships created in 2006-08, bringing total to 700 compared to fewer than 250 in 2004.
Include grad ed in compact process to balance against other expenditures and so colleges can reallocate money for grad ed, in line with grad program priorities.	2005 Report	
Consider hiring Teaching Specialists in programs where grad admissions are driven by TA needs.	2005 Report	
Consider deferring faculty hiring and increase grad student support in small-enrollment programs compared to faculty.	2005 Report	
Spread fringe benefits over- or under-recovery across a rolling 3-year period to avoid fiscal swings. Some subsidies may be required in under-recovery years.	2005 Report	

**Admissions**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Maintain an office to assist individual grad programs in evaluating international applicants	1992 Report 1995 Adding Value Report 1996 Report	Adopted in 1995. Grad School trains DGSs to use electronic system for international grading, and additional support. 1996 report endorsed this function.
Authority for admissions should rest solely with the grad programs. Need oversight of the practice of decentralized admissions. Need electronic central admissions system with 'smart forms' that avoid duplication and redundancies in the application system (between programs and central application).	1992 Report 1996 Report 2004 Report 2009 Crouch Report	As of 1995, Grad School reviews applicants who do not meet standards, collects applications/fees, routes applications to programs, sends acceptance/rejection letter. 1996 Report endorsed this. Launched Apply Yourself, electronic admissions system (2002).
Increase student diversity in graduate education.	1995 Adding Value Report	In 2006, U launched new system for tracking prospective graduate students. In 2004, U-wide task force developed plan for strategic international recruitment. Grad School launched 3-year project: Reexamining Grad/Professional School Admissions, with 20 volunteer departments, to explore diverse student admissions. In 2008-09, 54 programs received funding.
		MyU 'admitted student portal' launched to recruit admitted students, facilitate transition to U. 2008 data indicate steadily increasing numbers of students using admitted student portal, which automatically transitions upon student enrollment to become 'enrolled student portal.'
		Significant changes made to online application to allow better representation of its diverse applicant pool. It is hoped this more holistic application will aid faculty review committees.
		Launch of online application system for UMD and UMR campuses and adding to Twin Cities campus listings.

**Metrics**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
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<p>Programs should establish admissions and education standards and assessment methods for goals such as quality of incoming class and faculty, interaction with other programs, intellectual and academic interaction between faculty and students, resource availability, placement, and professional development. Goals sent to P&amp;R Councils and dean to form basis for reviews.</p>	<p>1992 Report</p>	<p>Program Management Evaluation (PME) form with information on admissions decisions, DGS selection, recruiting, student participation/progress, OEO, student environment and handbook, forecast of program size implemented in 1993 to identify program standards, goals. PME form is used by P&amp;R Councils. As of 2008, working to set common metrics with other institutions. Electronic spreadsheets to evaluate program attrition were to be available in 1996.</p>
<p>Grad School can place programs on probation and/or withhold funds if standards of quality listed above are not met.</p>	<p>1992 Report 2004 Report</p>	
<p>Add to Grad School record-keeping: time of enrollment for advanced degree, placement of degree recipients. Move this responsibility to large programs that are willing to accept this role. Crouch Report advocates for working with OIR on creating metrics, as does President's Report.</p>	<p>1992 Report 2004 Report 2009 Crouch Report 2009 President's Report</p>	<p>Since 2005, Grad School has surveyed graduates through national Survey of Earned Doctorates, is working with U Foundation on career outcomes of Ph.D. alumni over past 50 years and on related national effort. In 1996, Grad School began administering exit interviews to graduates.</p>
	<p>2009 COGS Report</p>	<p>COGS conducts biennial survey of grad student data, detailed by P&amp;R Council area, on student debt, travel funds availability, academic/advising quality, publications, adviser changes, teaching experiences, personal development, health/housing, transportation, family life, obstacles to academic progress, etc.</p>

**Advising**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
<p>Create an ombudsperson system for grad students, particularly for grievances. In addition, clear system for problems and ensuring quality and consistency of advising should be created. (1995 Report and 2009 Reports)</p>	<p>1992 Report 1995 Adding Value Report 1996 Report 2009 Crouch Report 2009 President's Report 2009 COGS Report</p>	<p>Student Dispute Resolution Center, U Student Legal Service, Grad School provide these services. Grad School will better publicize resources to students (1995). Endorsed by 1996 report. Academic Incivilities Committee meeting; Provost's Student Mental Health group formed (2008). In 1995, Grad School served role of ensuring faculty are intellectual and professional mentors, not employers. Grad</p>

		School began planning for mentoring office during 1993-96), but it did not open. P&R Councils were to vote on graduate student rights and responsibilities document in 1996.
Supplement advising and improve time-to-degree with dissertation writing support and other intellectual development.	1995 Adding Value Report 2008 Report	Grad School Writing Initiative launched in 2007.
		As of 2008, collaboration of OIT, DGSs and assistants, and students in initial planning of Grad School Degree Management System (on-line tool to plan student programs, inform academic advising, monitor degree progress). Focus groups, usability testing overwhelmingly positive; completion awaits funding.
U should set minimum guidelines for adviser/grad student relationship. Include adviser, student responsibilities clearly, as well as accountability framework.	2009 COGS Report	

**Graduate Education at the University of Minnesota**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Reduce number of graduate programs immediately (close marginal quality programs, consolidate closely related programs). Result may be umbrella programs with multiple tracks. Appoint work group to explore policy issues. All units should review appropriate number of grad students in programs. Right-sizing driven by TA and RA positions, availability of post-grad jobs. Reallocate dollars to support grad ed priorities.	1992 Report 2004 Report 2005 Report	Ten degree programs were eliminated in 1994-1995, and others are targeted for closure or merger in 1995-1996.
U should establish task force to identify, examine issues re: grad programs outside of Grad School (e.g., M.Ed., M.P.H.).	1992 Report 2005 Report	As of 1995, Grad School initiated dialog with deans, DGSs of practitioner-oriented programs.
Grad ed should reflect emerging intellectual developments and U strengths. Dean should champion new grad ed and research initiatives.	1995 Adding Value Report 1996 Report 2004 Report	
Work group should explore Grad School operational efficiencies, possible record keeping duplication with Grad School, programs, college dean offices, and Office of Registrar (chaired by Registrar) with initial recommendations due 2005.	2004 Report 2005 Report	The working group was not charged. 1996 report stated importance of Grad School in reducing redundancies.

Urge grad programs to improve student time-to-degree and completion rates.	2005 Report 2008 Report	Block grant and other funds being used as incentives for programs that reduce time-to-degree and increase completion rates; Grad School joined national Ph.D. Completion Project (2006); launched Graduate Writing Initiative (2007).
Allow production of collaboratively produced theses and dissertations	2008 Report	In 2007-08, four P&R Councils approved new policy to start in 2008-09.
	1995 Adding Value Report	In 1995, grad ed was viewed as enhancement to undergrad ed through UROP, and other mentoring of undergraduate students.

### **Records and Technology Resources**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Retain current record-keeping functions. Include data currently collected and add: time of enrollment for advanced degree, placement of degree recipients. Records provide database for forecasting and retrospective analyses. 2004 Report advocates that large programs willing to accept this responsibility to do it themselves.	1992 Report 1995 Adding Value Report 2004 Report 2008 Report	By 1995, Grad School created spreadsheets to evaluate each student's degree progress in every program. Electronic data system for student files started in 1995. Grad School continues to work on collecting placement information. Since 2005, Grad School has surveyed graduates through national Survey of Earned Doctorates, is working with U Foundation on career outcomes of Ph.D. alumni over past 50 years, and is working on related national effort.
		Electronic filing of theses and dissertations as of 2009.

### **Role of Graduate Programs**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Approval of student programs should rest with grad programs. DGSs should be trained in this area. P&R Councils should provide oversight.	1992 Report	Adopted as of 1995.
Each grad program should provide a handbook to each new graduate student upon arrival.	1992 Report	Adopted in 1995. Handbooks sent to Grad School with PME form; Grad School provided assistance to programs in creating/updating handbook. Established grad student rights/responsibilities document

		for vote by P&R Councils in 1996.
Urge grad programs to improve student time-to-degree and completion rates.	2005 Report 2008 Report	Grad School was to begin program in 1996 to evaluate program attrition data. In 2006, Grad School joined national Ph.D. Completion Project. By 2008, block grants, other funds used to incent reduced time-to-degree, increase completion.

### Graduate Faculty

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Admission to grad faculty should rest solely with grad programs and (Crouch) should be automatic with tenure line.	1992 Report 2009 Crouch Report	Initiated in 1993. Data analysis of faculty participating in multiple programs done in 1995.
Continued membership of grad faculty should be reviewed by P&R Councils during periodic program review. Criteria for membership included in report. Final discretion lies with dean.	1992 Report 1995 Adding Value Report	
Dean should maintain better contact with research faculty.	2004 Report	

### Interdisciplinary Programs

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Grad School should provide resources for administration of cross-college programs and champion interdisciplinary programs.	1992 Report 2004 Report 2009 Crouch Report	Adopted in 1995, though financial climate created challenges. Office of Interdisciplinary Initiatives launched (2006); Collaborative Leadership Development Series (2008); Network of Interdisciplinary Initiatives (2007).
Set aside portion of U budget for interdisciplinary programs through tax or set-aside. Grad School would control dollars. Upon conversion of interdisciplinary program to a department, it, not Grad School, would control money. (Incentive to create new departments.)	1996 Report	In 2008-09, 20 programs began to develop plans to move toward financial stability.
Grad School dean needs to ensure budgetary collegiate home of interdisciplinary program is working with, not against, other colleges involved in program.	2004 Report 2009 Crouch Report	In 1995, this was accomplished by grants for interdisciplinary research planning and short-term programmatic centers.
		Consortium on Fostering Interdisciplinary Inquiry (2007), Provost's Interdisciplinary Team, new associate dean to

		review interdisciplinary centers (2007).
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**Directors of Graduate Study**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Graduate programs should provide resources to support and evaluate DGS position, e.g., reduced teaching load, GA support money, compensation, summer research. Programs need to evaluate, train, and, if needed, replace DGSs.	1992 Report	The PME form has been very helpful in adopting this recommendation.
Grad School should continue to meet quarterly with DGSs to exchange information.	1992 Report 1995 Adding Value Report	As of 1995, Grad School offered DGS workshops. Electronic data management system for DGSs was to be in place by 1997. In 2008, Grad School Student Progress (GSSP) staff and DGS assistants collaborated on process-mapping project to improve communications to DGSs, assistants, & students re: degree-progress and clearance. Solutions to challenges being implemented; new collaboration opportunities being investigated.
Vice Provost/Dean of Grad Ed in consultation with dean and leaders of interdisciplinary programs will appoint DGSs.	2009 President Report	

**Student Administrative Processes**

<b>Recommendation</b>	<b>Source</b>	<b>Status</b>
Restructured the Graduate School Student Service policies and procedures.	1995 Adding Value Report	Final changes and report to DGSs in fall 1995
Electronic communication with students and faculty	1995 Adding Value Report	Admissions, grad student progress, intl. students, fellowships, equal opportunity, DGS listservs as of 1994. Web page launched in 1995 with all grad programs to have Web pages by 1996.
Electronic versions of student service forms (admissions, program, oral prelim) available.	1995 Adding Value Report 2009 Crouch Report	Goal to have these in place by fall 1996. GSDM project started in late 2000s, but put on hold.
Electronic filing of theses, dissertations.	1995 Adding Value Report	Goal to have available by 1996.
One commencement annually administered by Grad School. Collegiate administration to begin in 2010-11.	2009 Crouch Report 2009 President Report	

## **Other Notes of Interest**

1. University students pushed for the organization of the Graduate School to create a prestigious structure that organized graduate study and ensured quality in the graduate degree.
2. Graduate faculty have existed at the University since 1905.
3. In 1910, the first money became available to fund graduate fellowships. These fellowships were available due to a \$10,000 commitment from the state legislature. Fellowships helped the University compete for the most talented students. The money was supplemented with a \$225,000 commitment from the Rockefeller Foundation from 1931-1938, which helped to fund faculty research, and, in turn, graduate students. NSF, NIH, and NEH dollars helped during the 1960s. A large Bush Foundation grant helped offset cuts in federal funds in the 1970s. Minority fellowships began with additional money from the Bush Foundation at the same time.
4. From 1913-1946, the Graduate School was heavily involved in faculty hiring, research, and the library.
5. Graduate assistants (teaching and research) became a means to supplement graduate student fellowships starting in 1913. In 1937-39, there were 200 graduate assistants and over 400 by 1940-42.
6. The demand for professional master's degrees in the 1920s, especially in education, led to the Graduate School overseeing all of graduate education at the University by the end of the 1920s. Also contributing to this restructuring was the need to control quality and provide opportunities for interdisciplinary study.
7. Plan A and Plan B theses were established in 1935.
8. Degree requirements were more flexible in the 1930s than today: no minimum number of course credits, primary points of decision-making were among the student, adviser, and Grad School. Flexibility and unity were integral to grad ed. That is, grad ed was independent of departments. By the mid-1960s, centralization no longer was working, given the size of graduate education. This was the beginning of devolving more responsibility for graduate education to departments and programs. Programs and thesis proposals were then completely devolved to graduate programs and the new P&R Councils in the 1970s. P&R Councils replaced Group and Unit Committees.
9. Challenges: Student programs were reviewed by the Grad School, but supporting programs were reviewed by the faculty adviser and another member of the grad faculty. By the end of the 1960s, the Grad School gave up its responsibility for language and research technique requirements. Departments decided whether to set such requirements. However, the Grad School retained language proficiency exam responsibility. Maintaining degree quality was the top priority of the Grad School. The Grad School continued to balance bureaucracy and quality control into the 1970s.
10. In the 1950s, the Graduate School became concerned with providing sufficient breadth in new, emerging fields, and allowing students to understand interrelations among a variety of subjects.
11. The supporting program was authorized in the mid-1960s, allowing a cluster of classes to be substituted for a traditional minor.
12. In the early 1970s, concerns began to be raised around national rankings in graduate education and the importance to continue funding for student financial aid, research, and program reviews (program review was a new idea in the 1970s).
13. Also in the early 1970s, Dean Brodbeck encouraged programs to train students for opportunities outside of traditional college teaching positions.
14. Student role in Grad School governance began with the new P&R Councils in the 1970s. Students were not present on the old Group and Unit Committees.
15. External program reviews began in the mid-1970s as a means to analyze the scholarly and pedagogical effectiveness of programs. Reviews helped programs understand their strengths and weakness, propose plans for the

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future, learn discipline direction, and propose future priorities. Reviews were coordinated with programs and colleges, and occurred every 5-7 years.

16. All programs had DGSs by 1975 and the first formal constitution of the Grad School.
17. Tuition was included in the graduate assistant package starting in 1987. Health coverage was added in the early 1990s.

**Appendix C: Current Discipline Representation on Policy and Review Councils**

<b><u>Biological Science (28)</u></b>	<b><u>Education/Psych. (10)</u></b>	<b><u>Engineering, Physical, Mathematical Sci. (34)</u></b>	<b><u>Health Sciences (15)</u></b>	<b><u>Language, Literature and Arts (21)</u></b>	<b><u>Social Sciences (28)</u></b>
Animal Sciences	Aud; Spch-Language-Hearing	Aerospace Eng. & Mechanics	Biostatistics	American Studies	Accountancy
Applied Plant Sciences	Child Psychology	Applied/Comp. Math (UMD)	Clinical Laboratory Science	Art	Anthropology
Biochem., Molecular Biology	Commun. Sci./Disord (UMD)	Architecture	Clinical Research	Art (Duluth)	Applied Economics
Biological Science	Ed., Curriculum & Instruction	Astrophysics	Dentistry	Art History	Bioethics
Cognitive Science	Ed. Policy and Administration	Biomedical Engineering	Environmental Health	Asian Literatures, Cultures, and Media	Business Administration
Comp. & Molec. Biosciences	Educational Psychology	Biomed. Informatics & Com- putational Biology	Epidemiology	Classical/Near Eastern Studies	Business Admin(UMD)
Conservation Biology	Kinesiology; Sport Mngmnt.	Biophysical Sci./Med. Physics	Health Informatics	Comp Lit; Comp Studies in Discourse & Society	Business Taxation
Ecology/Evolution/Behavior	Psychology	Bioproducts and Biosystems Science, Eng. & Mgmt.	Hlth Serv. Res/Policy/Admin	Creative Writing	Communication Studies
Entomology	Teaching & Learning (UMD)	Chemical Engineering	Nursing	Design	Criminology (UMD)
Food Science	Work/Human Resource Ed.	Chemistry	Otolaryngology	English	Economics
Integrated Biosciences		Chemistry (UMD)	Physical Therapy	English (Duluth)	Family Social Science
Integrative Biol. & Physiology		Chemical Physics	Rehabilitation Science	English as a Second Language	Feminist Studies
Land & Atmospheric Science		Civil Eng.; Geological Eng.	Social/Admin/Clinical Pharm.	French	Geographic Information Sci.
Landscape Architecture		Computer Science	Surgery	Germanic Studies	Geography
Medicinal Chemistry		Computer Science (UMD)	Veterinary Medicine	Hispanic & Lusophone Litera- tures/Cultures/Linguistics	Hlth. Journalism/Commun.
Microbial Engineering		Control Sci./Dynamical Sys.		Liberal Studies	History
Microbiology, Immunology and Cancer		Elec./Computer Eng. (UMD)		Linguistics	HR and Industrial Relations
Molecular, Cellular, Develop. Biology & Genetics		Engineering Mngmnt. (UMD)		Music	Liberal Studies (UMD)
Natural Res. Sci. & Mgmt.		Electrical Engineering		Music (Duluth)	Management of Technology
Neuroscience		Geological Sciences (UMD)		Rhetoric and Scientific and Technical Communication	Mass Communication
Nutrition		Geology; Geophysics		Theatre Arts	Philosophy
Oral Biology		History of Sci/Tech/Med			Political Science
Pharmaceutics		Industrial and Systems Eng.			Public Affairs; Public Policy; Urban/Regional Planning; Science, Technology, and Environmental Policy
Pharmacology		Infrastructure Systems Eng.			Sci./Technical Commun.
Plant Biological Sciences		Materials Science and Eng.			Social Work
Plant Pathology		Mathematics; Financial Math			Social Work (UMD)
Stem Cell Biology		Mechanical Engineering			Sociology
Toxicology		Mech. & Indust. Eng. (UMD)			Strategic Communication
		Physics			
		Physics (UMD)			
		Scientific Computation			
		Software Engineering			
		Statistics			
		Water Resources Science			

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## Appendix D:

### Effective Practices in Graduate Student Advising— University of Minnesota Resources and Activities

**Graduate School:** The Graduate School provides resources to assist graduate faculty and directors of graduate studies in identifying and implementing effective practices and innovative ideas in advising graduate students.

- **Dissertation Completion Project:** In conjunction with the Council of Graduate Schools in 2005-06, the Graduate School began a multi-year process to identify factors influencing Ph.D. completion. Mentoring was one of six areas evaluated. Examples of findings are available at [http://www.grad.umn.edu/dgs/enrolled\\_students/phdcompletion/](http://www.grad.umn.edu/dgs/enrolled_students/phdcompletion/).
- **Workshops:** The Graduate School sponsors workshops for directors of graduate studies and their assistants, graduate faculty, and/or students on topics related to effective practices and innovative ideas in advising. An example of a recent offering is “Faculty Member as Mentor: Best Practices in the Successful Mentoring of Graduate Students,” a December 2009 workshop for directors of graduate studies.
- **Web links:** The Graduate School maintains a Web page with links to University resources and others’ on mentoring graduate students (<http://www.grad.umn.edu/dgs/mentoring/index.html>). The page is linked from the Graduate School’s page titled “Information for Faculty and Staff” (<http://www.grad.umn.edu/faculty-staff/>).

**University of Minnesota Council of Graduate Students (COGS):** COGS has prepared a guide for graduate students and faculty, “Staying on Course: Mutual Roles and Responsibilities in the Graduate School Experience. In addition to many other suggestions for navigating graduate school effectively, the guide considers the mutual responsibilities of student and faculty for developing an effective advising relationship (<http://www.cogs.umn.edu/publications.html#course>).

**Academy of Distinguished Teachers (ADT):** An ADT ad hoc committee, chaired by Professor of Epidemiology Kristen Anderson, has developed recommendations to “improve the quality and consistency of graduate and professional student advising at the University of Minnesota, including supervision of research and teaching assistants.” The results of their deliberations, a March 2008 Report on “Responsible Conduct of Graduate and Professional Advising,” is available at [http://www.adt.umn.edu/activities/documents/ReportRCPGA\\_3\\_14.pdf](http://www.adt.umn.edu/activities/documents/ReportRCPGA_3_14.pdf). Major recommendations are similar to those of the current working group, and include establishing University-wide effective practices for advising of graduate and professional students; providing training to faculty; and providing administrative support and Web resources through the Graduate School.

**Student Conflict Resolution Center:** In an effort to reduce incidences of academic incivility involving graduate students, the Center initiated an academic civility initiative. The Center’s working group conducted a survey in 2007, and found that advisers are critical to the experiences of students. As a result, the working group has decided to focus on developing clear, cogent re-

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sources that focus on advising. See the survey's results and available tools, including a graduate student advising guide, at [http://www.sos.umn.edu/staffaculty/academic\\_civility.php](http://www.sos.umn.edu/staffaculty/academic_civility.php).

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**GRADUATE EDUCATION  
STUDENT ADMINISTRATIVE PROCESSES WORK GROUP**

**FINAL REPORT  
April 30, 2010**

Submitted by:

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*Alisa Salewski*, Office of Service and Continuous Improvement, provided valuable assistance to the Work Group through their expert knowledge of process improvement and experience in using established process improvement tools. Members of the Work Group extend their thanks to them.

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## **BACKGROUND**

The Student Administrative Processes Work Group was formed in September, 2009, by Provost E. Thomas Sullivan, to advance efforts that have been undertaken in the past year to reform graduate education. The current sequence of efforts began with a memo to the University community by the three Senior Vice Presidents and the Twin Cities collegiate deans on February 9, 2009. A Committee on Graduate Education was formed, chaired by Dean Steven Crouch, and on April 24, 2009, the Committee issued its report ([http://www.academic.umn.edu/provost/reports/documents/grad\\_report042409\\_000.pdf](http://www.academic.umn.edu/provost/reports/documents/grad_report042409_000.pdf)). Responding to and building on the Committee's report, President Bruininks issued a report entitled "Renewing Graduate and Professional Education at the University of Minnesota," June 26, 2009 (<http://www.academic.umn.edu/provost/graduate/academicissuescmte.html>). The opening of his report pointed to a "high priority opportunity for the University to refocus and renew our success in graduate and professional education by restructuring and streamlining operations to preserve and further promote academic excellence, enhance student services and support, and lower operating costs, particularly during this time of great fiscal challenge and increasing competition for students and research."

The charge to the Student Administrative Processes Work Group has been to identify and make recommendations to improve the administrative processes by which graduate education is supported, from recruitment of students, through their progress toward program completion, and graduation. This is in the context of a prior decision announced in June 2009, to decentralize the overall administration of master's degree programs to collegiate units and the Duluth campus.<sup>26</sup> The Work Group's report makes specific recommendations on where the locus of authority should reside for critical tasks associated with the administrative support of graduate education. The report provides rationale for decentralization of some tasks, and centralization of others. It also identifies some processes and tasks that should be added to the work that is considered part of graduate education support, and removes others that are redundant or do not add value.

The Work Group did not find a philosophic basis for handling master's degree programs with wholly separate approaches from Ph.D. programs. Therefore, the approach of identifying administrative support tasks and recommending where the locus of authority for specific tasks should be centralized or decentralized applies to the full spectrum of graduate education programs. However, recommendations as to whether specific tasks should be centralized or decentralized varied somewhat between Ph.D. programs and all others. The differences are identified in this report, and are highlighted on the spreadsheets in Appendices 1 and 2.

Also, at the outset of the effort to restructure and streamline administrative processes it was anticipated that while master's degrees would be decentralized to collegiate units and the Duluth and Rochester campuses, there would be an opportunity for programs to be able to make a case to remain under the general administration of the Graduate School. The concern was voiced in stakeholder meetings that if a master's program is decentralized, but the program is inextricably linked with a Ph.D. program which is centralized, it would be extremely difficult to manage the situation. With the more fine-grained, focused approach taken by the Work Group, it is not the case that entire programs are centralized or decentralized. Instead, each task associated

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<sup>26</sup> Professional and advanced professional degree programs already are administered at the collegiate level.

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with program administration is reviewed and a recommendation made on whether it is logical for the task to be performed centrally or decentralized to units. Thus, it no longer makes logical sense to talk of “opting back in” to Graduate School administration. Moreover, it is not efficient to retain infrastructure in the Graduate School to continue to perform all of the task functions for some programs.

The Work Group met for 1.5 hours weekly during fall semester 2009 and into January 2010, and divided into subgroups to consider the following issues in greater depth: principles and standards; and future student administrative processes for master’s and Ph.D. programs. Incoming Vice Provost and Dean of Graduate Education Henning Schroeder was a member of the Work. In January 2010, representatives from the Academic Issues Work Group and the Student Administrative Processes Work Group met to share recommendations and create a combined final report on graduate education.

The approach taken by the Student Administrative Processes Work Group involves the following:

- a) A set of principles and standards pertaining to support of graduate education was drafted prior to creating recommendations and consulting with stakeholders, and served to guide the group’s thinking throughout. These are presented in more detail in the next section.
- b) Three major cross-cutting administrative processes were identified to frame our work. That is, we identified processes whose primary focus is on graduate students, and which involve contribution of efforts from across different offices or units, and throughout different levels of the organization. The three processes are: Recruiting and Admitting Students; Student Progress toward Degree or Program Completion; Degree Certification, Record Maintenance, and Alumni Relationships.
- c) Key stakeholder groups were gathered in a series of seven meetings to provide input about existing processes. The groups were asked to inform us about what currently works well, with regard to the major processes, and where there is opportunity for improvement in effectiveness, efficiency, or user-friendliness. The input gathered in those sessions was very valuable, and is discussed more fully later.
- d) Specific tasks associated with each of the major processes were listed, with generous assistance from staff with expertise in the Graduate School, members of the committee, and staff in the colleges. The resulting list of more than 100 tasks is displayed on spreadsheets, with the Work Group’s recommendations on where the locus of authority and the responsibility for carrying out the specific tasks should reside.
- e) An initial evaluation of the recommendations was made by consulting with various stakeholder groups in a range of units, from colleges to central administrative offices, to certain offices within the Graduate School. This initial evaluation led the committee to refine its recommendations.

It may appear that recommending some tasks should remain centralized and others decentralized is inefficient and uncoordinated. Quite the contrary—programs and colleges can act nimbly to provide unique, quality graduate education programs, while using centralized technology tools and processes. For example, a new master’s degree program developed by a college (decentralized) can use the centralized admissions application software managed by the Graduate School. Thus, centralization and decentralization are complementary.

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As background to the presentation of the Work Group's recommendations, we share the considerations that went into decisions on whether to recommend centralizing or decentralizing specific tasks. Expertise is one factor. If a task requires considerable specialized expertise, such as knowledge of the quality of degree credentials presented by international student applicants, it is a candidate for being performed centrally. If it is highly routine and repetitive, the task may be able to be aided by a technology tool, whether it is centralized or decentralized. Responsiveness is another factor, and usually, but not always, argues for performing the task closest to where the specific knowledge of the student and his/her program resides, and where the quickest response can be given. Duplication of effort is nearly always unnecessary (and yet the Work Group found a great deal of that). Duplication is not user-friendly from a student perspective, it is inefficient overall, and if there is appropriate accountability there should be no need for it. When certain tasks are decentralized, there is often an accompanying need for providing some coordination across the University, or sharing of good practices and new knowledge. In our recommendations, we often cited this coordinating or facilitating role as being a very helpful one for the Graduate School to perform. We encourage the Graduate School to convene graduate program support staff in sharing effective practices and innovative ideas and disseminating procedures surrounding new centralized resources to reduce staff workload demands as the transition proceeds.

### **PRINCIPLES AND STANDARDS FOR IMPROVING GRADUATE STUDENT SERVICES AND SUPPORT**

Early in its work, the Administrative Processes Work Group prepared the following set of principles and standards, which served to guide our later decisions. They are meant to convey a basic vision and set of orienting principles rather than a concrete plan for implementation. Although at least some of these principles may appear to be in tension with each other – improving services to students while holding the line on costs, for example – the impending reorganization of Graduate School functions represents an important opportunity for positive change. The standards and principles are not necessarily presented in a hierarchical fashion beyond the foundational principles, nor must every aspect of re-organization necessarily conform fully to every principle. We do, however, recommend that these principles and the spirit behind them guide the implementation phase of both Work Groups' recommendations. This report has two Foundational Principles, followed by seven additional Principles and Standards.

#### **Foundational Principles:**

**Put Students First.** Administrative systems and processes must provide effective services to graduate students. While evolving systems must also meet the needs of administrators, faculty, staff, and other stakeholders, the well-being and success of graduate students in their programs must remain the primary concern.

**Recognize and Support the Diversity of Student Needs and Experiences.** New administrative systems and processes must meet the needs of a tremendous diversity of graduate students. The interests of students from historically underrepresented groups, international students, and non-traditional students must be represented.

#### **Additional Principles and Standards:**

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**Preserve a Strong Central Advocate for Graduate and Professional Students.**

Throughout the transition and beyond, the Graduate School and the vice provost and dean of graduate education must assure that graduate students continue to have a strong advocate in central administration and the Provost's Office. Subsequent administrative arrangements should work to preserve this core advocacy function and support the expertise needed to troubleshoot or otherwise address the wide-ranging issues that arise in the course of graduate study.

**Streamline Routine Processes and Preserve Data.** We expect some efficiency to be found by clarifying procedures, eliminating redundancies, and reducing or simplifying the forms and procedures needed to accomplish standard transitions in student status. It is essential that changes in the system ensure that data (academic records management) are captured in enterprise systems.

**Improve Time-to-Degree.** By reducing redundancies, exploiting technologies, and streamlining processes, the new administrative processes should facilitate degree completion. This would allow students to devote correspondingly greater attention to their degree program and individual research and correspondingly less attention to navigating bureaucratic hoops and hurdles. Ultimately it should be possible to not only prevent a further increase in time-to-degree but to find ways to reduce it where necessary.

**Investigate Underlying Causes of Attrition.** The vice provost and dean of graduate education, with the support of the Provost's Office, should investigate the structural, systemic, and cultural causes of graduate student withdrawal from programs and develop an action plan for addressing these issues.

**Direct Financial Savings to Students.** Implementation of new systems may introduce some short-term costs during a transition period. Nevertheless, in light of the current financial environment in the State and University and the rising costs of graduate education, it is imperative to avoid adding any significant or recurring new administrative costs. It is our goal to improve the student funding situation by making administrative cost savings available for direct and/or indirect measures that have a positive impact on students.

**Preserve Needed Flexibility at College, Department, and Program Level.** The search for simple and streamlined solutions must not reduce to a rigid "one size fits all" model. While some degree of standardization is desirable, a Ph.D. program in the arts and humanities, for example, will differ greatly from a Ph.D. program in the natural sciences. Similarly, programs of smaller size are likely to have different administrative support needs than programs that operate on a larger scale.

## **STAKEHOLDER MEETINGS AND RESULTS**

The Work Group organized meetings to gather input from four distinct stakeholder groups—graduate program staff in collegiate units; deans/associate deans/directors of graduate studies; graduate students; and Duluth campus graduate program leaders. Two meetings were scheduled for each of the first three stakeholder groups, and one meeting was held at the Duluth campus. The UMD meeting was led by Associate Vice Chancellor for Academic Administration and Director of Graduate Programs, UMD, Tim Holst (member of the Academic Issues Work Group). The other six meetings were led by the chair or members of the Student Administrative

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Processes Work Group. Several Work Group members were present at each meeting, with the exception of the UMD meeting. The meetings were scheduled for two hours each. Attendance at the meetings included 58 graduate program staff, 32 deans/associate deans/directors of graduate studies, and 59 graduate students. Approximately 20 attended the meeting at UMD. Altogether there was good representation of programs, colleges, and roles, with a mixture of small and large programs. Interdisciplinary programs were represented, as well as some programs for which administration has previously been decentralized to home colleges. In addition to these 7 meetings, individual interviews were conducted with more than 20 current Graduate School staff members to gain information and perspectives.

For the stakeholder meetings, structured group discussions and affinity process were used to gather input, and responses were then grouped into common themes by the Work Group. Two questions were asked of all groups to ensure accuracy when pairing up the responses. The two questions were as follows:

- What are your greatest concerns/greatest opportunities for improvement with the current administrative and student services (processes)?
- What is working within the current system? Processes you don't want to lose...

The input received in the meetings is clustered in the following areas of focus:

*Apply Yourself*—this is the electronic application system currently used by the Graduate Admissions Office of the Graduate School and many programs. It is viewed as a useful tool, managed well by the Graduate School. There is desire to have it be more flexible, so it can be customized to programs, and incorporate more features that would enhance efficiency for staff. It is seen as fairly user-friendly, but with room for improvement.

*Centralized processes*—there were a range of concerns about losing some centralized processes. Where special expertise is involved, such as international credential checking, there was concern. Small graduate programs with a single staff have concern about workload. The need to have a central office to check quality of work and decisions performed by college-based officials was mentioned by some. There was a broad concern that resources need to flow to where the work is performed in the future.

*Fellowships and funding-related issues*—these are seen as critically important. They are important both for funding and prestige associated with them. There is uncertainty about how block grants are allocated, and how competitive funds are distributed, which is an issue being addressed by the Academic Issues Work Group. The Graduate School also plays a helpful role in linking with other University services, such as Disability Services, and can play a useful role in conflict resolution.

*Interdisciplinary programs*—some stakeholders saw it as important to have a central office provide oversight for interdisciplinary programs as administration of master's programs is decentralized. The concerns are how they will be managed and funded when they are not aligned with a specific department. There is confusion about what will happen with master's interdisciplinary minors. Students would like more clarification about funding and lines of authority with interdisciplinary programs, as well as a definition (e.g., intercollegiate, intracollegiate).

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*International student administrative processes*—these are broadly seen as operating smoothly, and there would be broad concern if responsibility for the tasks were moved to colleges. The tasks are seen as requiring considerable expertise that is not easily learned, and cannot be maintained if used only occasionally. This includes evaluation of international transcripts, coordinating visa and other immigration processes, financial certification, TOEFL and GRE testing, I-20 process. In addition there are Federal constraints on how many University staff are authorized to perform certain tasks.

*Orientation for new students*—there is currently a brief centrally-sponsored graduate student orientation, and a variety of orientation practices across graduate programs and colleges. Some meeting participants view them as duplicative, while others see them as complimentary. Some students attend one but not the other, while some students attend no orientation. Thus, there is inconsistency across the University in the type of information incoming graduate students receive. Participants generally see value in providing students with an orientation to University-wide resources and policies, along with program-specific information.

*Recruiting*—this important function currently involves both programs and the Graduate School. Programs have specific knowledge of their field. They are in the best position to understand the market they are recruiting from, and where graduates may eventually be employed. There is opportunity to share effective practices and innovative ideas in recruiting, as well as increase the effectiveness and efficiency of this important function. Specific concern was expressed about not losing ground on the effort to recruit a diverse graduate student body. Here, too, there are efficiencies to be gained from centralized efforts, and coordination across programs is desirable. (It should be noted that the Diversity Office formerly in the Graduate School is now part of the University's Office of Equity and Diversity.)

*Streamline administrative and student support processes*—this was a widespread theme, and there were many examples of opportunities for improvement cited. They involved eliminating non-valued-added steps, eliminating duplication between programs/departments and the Graduate School, empowering departments/programs to make some decisions, utilizing technology to simplify processes, and using electronic forms and electronic signatures. There was considerable attention paid to using existing tools and developing new technology tools to streamline these processes.

In addition, following the February 3, 2010 posting of the draft report for public comment, the two work groups held five feedback sessions—three on the East Bank (including the Council of Graduate Students and the University Faculty Senate) and one on the West Bank of the Minneapolis campus, on the St. Paul campus, and on the Duluth campus—and solicited online comments during the public comment period, which ended March 3, 2010. The work groups held a joint session to discuss these comments and suggestions from faculty, staff, and students before issuing their final reports.

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## CENTRALIZED TECHNOLOGY TOOLS

Effective applications of centralized technology present opportunities to reduce overhead costs of administering graduate education, streamline processes for students, reduce workload for graduate program staff, and empower collegiate staff to respond quickly and effectively to needs of graduate students and faculty.

The current state of centralized technology and application use for graduate student administrative processes is weak. Current paper intensive processes must be analyzed so that duplicate tasks are eliminated and the remaining tasks automated. In addition, some administrative processes may be eliminated. Whenever possible, existing centralized technology at the University should be used or expanded to meet graduate student needs. In addition, centralized technology tool development and use needs to be a coordinated effort among the colleges the Graduate School, and ASR.

Although information gathered from sessions with stakeholders included positive statements about Graduate School staff, there was considerable frustration with the lack of more progressive uses of centralized technology. The following technology-related requests were mentioned repeatedly:

Website management: A University-wide strategy for graduate education Web design and development is critical as a means to provide information to prospective students. The web must successfully showcase all University graduate programs with a consistent and clear design to ensure that students know they are investigating a University of Minnesota graduate program.

One-stop page and/or Portal (not just the student application portal): Students request a user-friendly site with a single sign-on that pushes information to them based on their major and minor supporting field. Colleges, departments, and programs need to perform updates on a timely basis in order to provide students with valuable information. Information placed here could supplement in-person orientations, inform students of opportunities such as study abroad, and link to social networking tools.

Document Imaging: Faculty and staff request document imaging as a means to eliminate unnecessary paper and provide immediate access to information pertinent to graduate student administrative processes. Document imaging creates an electronic image of a piece of paper and stores it on a computer; the electronic version then allows others to access and share it instantly and concurrently. Data from documents are then linked with existing records allowing for effective organization of related documents, quick retrieval, and electronic routing for necessary approvals.

The above areas represent but a few of the areas for centralized technology applications. Issues and needs should be well understood and defined before identifying possible technology solutions. Again, Graduate School collaboration with colleges and campuses is critical, and a focus on students is essential. To realize the benefits that technology applications can bring, partnership efforts among the Office of Information Technology (OIT), Academic Support Resources (ASR), and the Graduate School should focus on the development and rollout of ap-

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plications that improve the administration of graduate education. One-time investments in the development of some of these technology applications will likely be required.

In addition to stakeholder input, the Work Group reviewed existing centralized technology applications at the University, some of which are already in use to some degree by the Graduate School to support graduate education. The following list of centralized technology applications currently used by undergraduate (and a few professional) programs at the University may be expanded for use in graduate education:

### Information Systems

The Graduate School and ASR provide support for the enterprise PeopleSoft student administration system that is the underlying information database for processing and creating a data warehouse for reporting. In addition to PeopleSoft, they support other software systems such as Apply Yourself, WorkflowGen and databases.

### Applications, Systems, Software

#### *PeopleSoft*

PeopleSoft is the single source of student, human resources, and financial enterprise system data for the University and feeds many other systems. Data warehouse tables are created from this information.

#### *Apply Yourself (AY)*

Apply Yourself is the admission/recruiting software currently being used by the Graduate Admissions Office and some colleges. We recommend continued use of this program coupled with streamlining efforts to eliminate duplication.

#### *Academic Progress Audit System (APAS)*

The APAS system monitors the academic progress of a student's degree program. Required courses and course options for a degree can be programmed into APAS. If course selection is student specific, exceptions to APAS must be entered student by student. Though labor intensive, use of APAS is likely less time-intensive than the current practice of manual review of degree programs against transcripts, and will increase accuracy and eliminate the need for duplicate review.

#### *Graduation Planner*

Graduation Planner is a planning tool for undergraduate students. This tool could be used in conjunction with APAS to create a degree progress tool for graduate students and advisers.

#### *Program and Curriculum Approval System (PCAS)*

This tool allows program (curriculum) data to be entered into a central location that captures information needed for PeopleSoft, catalog production, APAS and Graduation Planner. It creates a workflow process so all areas of the University are notified and appropriate action can be taken. This tool allows for changes, discontinuation, and re-activation of degree programs.

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*Electronic Course Authorization System (ECAS)*

ECAS allows for entry of new courses for approval. This system is used to update a course as well. Graduate School, colleges and campuses currently use this system.

*Electronic Course Scheduling (ECS)*

ECS allows department and college schedulers to enter or update class schedule information for a specific term. This information is used to produce the *Class Schedule*.

*WorkflowGen*

WorkflowGen is a software package that was purchased by the Graduate School. WorkflowGen offers a full Web-based tool to design and monitor workflows automating many paper tasks and optimizing human to human processes. This tool could assist with many of the forms that may be required after a business process redesign occurs.

*ImageNow*

ImageNow is a document storage and retrieval system. This document imaging and management tool allows the user to capture, organize and manage data. ImageNow allows one to scan, file, retrieve, print, fax, or distribute electronic objects. It allows indexed images to be retrieved simultaneously by different users on campus.

**RECOMMENDATIONS**

The Work Group's recommendations address where the locus of authority should reside for the more than 100 tasks it identified that are associated with 1) Recruiting and Admitting Students; 2) Student Progress Toward Degree or Program Completion; 3) Degree Clearance and Alumni Relations, as they relate to master's degrees (including interdisciplinary), post-baccalaureate certificates, and Ph.D. programs. For ease of presentation, the tasks are grouped into the following logical clusters:

- 1) Recruitment
- 2) Admissions
- 3) Student funding support processes
- 4) Orientation
- 5) Academic record information
- 6) Academic advising—progress to degree
- 7) Student services
- 8) Graduation
- 9) Placement/career advising
- 10) Alumni relations
- 11) Record retention
- 12) Data management

The choices for “locus of authority” for each task were to *decentralize* to the *college level* (or campus, in the case of UMD), *decentralize* to the *department level* (which is equivalent to decentralizing to the program level, but aligns the responsibility with an administrative unit), or to *centralize* the task (where the Work Group specified, when possible, the central location, e.g.

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the Graduate School, Office of International Programs, Office of Equity and Diversity, and others). In most instances, recommendations to decentralize refer to both the college and the departmental level. The Work Group's general intentions were to delegate to the college and allow the college to delegate further to the department/program level if it desires. In some instances, a task is decentralized as well as centralized. The Foundational Principles guided these decisions, and the Work Group also considered the importance of centralized and decentralized tasks in order to reduce graduate education support staff workload. *Accountability* for college graduate education-related tasks rests ultimately with the *collegiate dean*. In its recommendations, the Work Group also noted many instances where centralized technology tools exist and can be adapted for use, or where tools should be considered and developed. Decentralization should not result in increased cost.

The Work Group also has a general recommendation that a very useful role for the Graduate School going forward is to provide support for and play a coordinating role in sharing effective practices and innovative ideas across colleges, coordinating activities that benefit graduate students, encouraging cross-program/department/college collaboration, and in every way possible facilitating excellence in the provision of services and support for graduate education.

In this section of the report, a narrative presentation of the recommendations is provided for each of the clusters. **Associated spreadsheets in Appendix 2 and 3 show the Work Group's recommendation for each task for all master's programs (Appendix 2) and Ph.D. programs (Appendix 3).** The spreadsheets list each of the more than 100 tasks, along with the recommendation for whether the locus of authority for the task should reside, technology tools, and explanatory notes. The differences for Ph.D. programs are shown by gray highlighting of tasks in Appendix 3.

### **1. Recommendations--Recruitment:**

**(Recommendations in this cluster are the same for Ph.D. programs, all master's programs, and others.)**

There should be a centrally maintained University Web page that helps direct prospective students to program specific information (programs/departments/colleges must keep their info and links up to date). This page should complement the current undergraduate program listing page, which is part of the collegiate listing page (one-off from the University home page). The Graduate School should maintain this page.

The Graduate School should continue to be the "front door" to handle the relatively large volume of requests that come for answers to non-specific questions, or for general graduate education presentations to outside groups, or requests for classroom visits, etc. The Graduate School can save college staff time by triaging these requests, handling what they can, and knowing when to involve the colleges and programs more in specific requests.

Management of recruitment funds should be decentralized to colleges. They should not be allocated by the Graduate School, but either through the compact process, or permanently added to department/college recruitment budgets, or through reductions in cost pool charges. The Work

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Group recommends that the vice provost and dean of graduate education maintain a pool of funds to support University-wide recruitment initiatives (e.g., regional, national and international recruitment fairs, AY recruitment module, etc.).

Apply Yourself (AY) is a technology tool that can be widely adopted to support collegiate recruiting efforts. It is a tool with great potential that could be better and more fully utilized. It should be maintained by the Graduate School, and training should be centrally provided for all potential users.

The Office of Equity and Diversity, which now contains the former Diversity Office of the Graduate School, should continue to support diversity recruitment efforts by and within the colleges, and the Graduate School should facilitate productive collaboration across programs (e.g., coordinating attendance at recruitment fairs, sharing information, etc.).

International recruitment efforts should be aided by the expertise of central offices, such as the Office of International Programs or individuals in the Graduate School, (even if it is as simple as collecting names at international events and sharing them with programs). The Graduate School should facilitate coordination and collaboration across programs to increase the efficiency and yield from international recruiting efforts.

National recruitment efforts should be aided by coordination support from the Graduate School (even if it is as simple as collecting names at national events and sharing them with programs). This would not limit individual program recruitment activities, but offer opportunities for broader outreach and greater collaboration.

## **2. Recommendations--Application/Admissions:**

**(Recommendations are the same for Ph.D. programs, all master's programs, and others.)**

Most admissions inquiries ultimately will be handled by departments/programs. However, the Work Group believes that a concerted effort should be made, led by the Graduate Admissions Office, to make information much clearer to applicants in order to significantly reduce the number of inquiries received. The number appears to be much larger than should be necessary. It is estimated by staff in the Graduate School that approximately 50% of inquiries are technical questions.

Enrollment targets should be set by the college and program/department.

The University should have a central, streamlined, electronic application system (currently Apply Yourself). The system must be easy for applicants to use and understand, and allow for a single set of application materials (including transcripts, test scores, recommendations, resumes, statements, application fees, and any other program-specific materials) to be submitted for multiple University graduate and professional programs. The University's system should include re-admissions and change of program (status) application processes as well. (Currently these processes are electronic for student applications, but still paper for student program review.)

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All programs should use the common University application system (currently AY) for compelling reasons of efficiency. Any variations from this practice should be specifically requested in writing to the vice provost and dean of graduate education and the University Registrar. The electronic application system (AY) must be tailored to individual program needs for application materials, communications with applicants, and data/information downloads for application tracking and review. To this end, the University should *approve a change in the current privacy policy in order to allow full program access to applicant information and materials as soon as the application is started (not waiting until payment of the fee)*.

Departments or programs that are using paper-based applications should end this practice and move to electronic applications by the time the 2011 application cycle begins (July, 2010).

Given that the AY system contract runs through 2012, we recommend continuing to use this system through 2012. While the AY system is being expanded to include increased program-specific customization, the University should also explore opportunities for using existing application/admissions systems in use at the University (for undergraduate admissions, or at specific colleges) and evaluate the costs and benefits of adapting and utilizing those systems for graduate and professional admissions.

International transcript evaluation should be done at a central level, utilizing existing expertise, and saving significant resources (vs. training staff in every college to do credential evaluation or forcing international students to pay significant fees for an outside service).

Final verification of the award of the bachelor's degree should also be done at a central level (in part because the applicant may be applying to more than one program), as well as holds for bachelor's degree award and ESL.

Programs/departments should write tailored admissions and rejections letters that can be sent securely and electronically through the electronic admissions system. Templates (created by the Graduate Admissions Office) should be available as a resource to departments. Program admissions letters will need to contain certain specific University resource information, and instructions for international students regarding visa processing.

The financial certification and I-20 processing for international students must be maintained centrally. The current electronic process (in AY) offers the quickest way to complete these processes, which saves staff resources, and minimizes the delays in document processing that can make it impossible for some international students to enroll (on time, or at all, if another school can process their documents more quickly). All graduate/professional I-20s should be processed using this electronic system (if they are using the AY application system).

Admission decisions remain with the colleges. Confusion about this was expressed by several individuals during the stakeholder meetings, and it is useful to reiterate that the Graduate School does not currently make admissions decisions. They can play a helpful role in conferring with departments regarding admission of students with below-recommended TOEFL scores, who don't have an internationally equivalent four-year degree, etc. It is possible that in order to reduce staff effort, some "checks/reviews" could be build into the electronic admissions system,

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such as a “pop up” message that says “this applicant’s TOEFL score is below your minimum requirements, do you still want to admit?”

**3. Recommendations—Student Funding Support Processes (including tuition waivers)**

**(Recommendations are the same for Ph.D. programs and all master’s and others.)**

The Academic Issues Work Group has made recommendations concerning where funds for graduate student support should reside. The Student Administrative Processes Work Group thus recommends that development of packages for new admits, and management of the flow of funds should reside in the colleges.

Decisions to grant partial to full-tuition waivers to international students should reside with the colleges, in collaboration with International Student and Scholar Services (ISSS). The procedures necessary to process the tuition waivers should be done centrally for international students as well as US students.

There are certain dedicated funds that were raised for international students and scholars. Administration of these should be handled by the Office of International Programs (OIP) in collaboration with the Graduate School.

**4. Recommendations—Orientation**

**(Recommendations are the same for Ph.D. programs, all master’s programs and others.)**

Colleges should be responsible for orientation of new students with regard to providing program/department/college-specific materials.

The Graduate School should coordinate with colleges and relevant administrative offices to ensure that students receive University-wide information, in addition to college and program level material.

**5. Recommendations—Academic Record Information**

**(Recommendations are the same for Ph.D. programs and all master’s and others.)**

Responsibilities that must be retained centrally include: creating and assigning a student ID and X.500, downloading information into PeopleSoft for incoming students, determining residency, establishing any University-wide minimum degree requirements (including total number of credits, minimum GPAs, time limit to degree, etc.), application for degree, and issuing of diploma. The responsibilities for these tasks needs to be worked out among various central offices with a goal of maximizing efficiency and minimizing costs of administrative overhead, and meeting legal requirements.

Change the current active status policy to be more user-friendly for colleges and graduate students to retain active status for a full year (without requiring enrollment),.

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The vice provost and dean of graduate education should convene appropriate individuals to set policy with regard to dual career term registration.

#### **6. Recommendations—Academic Advising/Progress to Degree**

There should continue to be defined specific or minimum University degree requirements, set collaboratively with the leadership of the Graduate School.

**(Note: For Ph.D. programs, the Academic Issues Work Group recommends that a Graduate Council, along with the Graduate School, be the bodies that set uniform policies.)**

Specific department degree requirements should be set by colleges and departments.

Many tasks associated with academic advising and tracking progress to degree are currently carried out by colleges or departments, and should remain there. Specifically, these tasks are developing and documenting degree plans with students, approving degree plans, tracking completion of degree plans, advising students on degree progress, providing (mandated) annual feedback on student progress. It is recommended that various technology tools be provided for colleges and departments to support these functions. Tools to examine include expanding PeopleSoft capabilities, adapting APAS and Grad Planner for graduate and professional students.

Colleges or departments should be given access to enter and maintain adviser information in PeopleSoft.

Determination of final exam requirements (including committee composition and exam format) should reside with departments or programs, and specifications for probation, unsatisfactory/satisfactory progress should reside with colleges and departments.

Determination of graduate minor/supporting program course requirements should reside with departments/programs. Graduate minors should be open to all students in graduate and professional programs, as long as the student obtains permission from the major- and minor-granting programs.

Colleges or departments should be allowed to do their own grad-999 holds and student group assignments as a means to issue warnings and enforce department/program policies on time limits, incompletes, grad-999, and grades. Centrally-developed technology tools should be provided to support these functions.

#### **7. Recommendations--Student Services/Progress to Degree**

Many of these functions are currently performed at the central level as well as the college (or department or program) level. Most functions should be retained at or transferred to the college level (to be further assigned to department or program level, as determined by individual colleges).

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There should be greater use of existing University systems (PeopleSoft milestones and UM reports; APAS, GradPlanner) to more effectively monitor and communicate with students regarding progress toward degree, problems (e.g., grades, incompletes, non-registration, time limits), and degree completion. There should be central design and programming support for the use and tailoring of these systems, as well as training for college staff.

Simple, common policies and processes for resolving registration issues (such as late or incorrect registrations, course changes, etc.) should be established collaboratively, with the vice provost and dean of graduate education and ASR, and the colleges should administer the policies locally.

For official degree program clearance, central policies should be established to ensure relevant guidelines, policies, and practices are followed. Responsibility for official degree program clearance should reside within the colleges. Degrees should continue to be processed on a monthly basis. The Graduate School should officially enter the thesis title information because of record maintenance requirements.

**(Note: For Ph.D. programs, it is recommended that the process for verifying completion of degree requirements should be reviewed by the Graduate School in collaboration with colleges.)**

For international students, visa extensions and changes should be handled by colleges, in coordination with ISSS.

As it is recommended that there will no longer be “Graduate School faculty” *per se*, directors of graduate studies should provide an accurate list of active graduate faculty and update it regularly in a publicly accessible database maintained by the Graduate School.

Responsibility for approval of petitions should reside with departments or colleges, removing central oversight of this function. Tuition and refund petitions must remain with ASR.

Professional development seminars and workshops for students on topics such as career information, preparation as a future faculty member etc., should be managed in the interests of students by the colleges, though the vice provost and dean of graduate education can play a valuable role in facilitating collaboration across programs where there are common needs.

**For Ph.D. programs (see Appendix 3, items 82-89), there are a number of processes that are recommended to be reviewed in collaboration between programs, colleges, and the Graduate School/Graduate Council). Included among these items are coordinating special registration categories, ABD status, 8444 status; reviewing preliminary written exam form and dissertation proposal form; and scheduling and holding the final exam.**

## **8. Recommendations—Graduation**

Degree clearance steps should begin first with the department or program, then be checked and approved at the college level, and then posted centrally (by ASR). These processes need to be

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reviewed and then automated, either with enhancements to existing technology tools or development of new tools.

Departments or colleges determine the thesis format, then electronically submit the completed thesis to a central office (to be determined, possibly the library), for required historical record maintenance. Duplicative efforts of the Graduate School will be eliminated.

**(Note: For Ph.D. programs, dissertation format should continue to be determined centrally in order to maintain one ProQuest contract rather than incurring the costs of having multiple contracts across the University).**

The application for degree is initiated by the student with a request to a central administrative office (to be named), and should be electronic for graduate students (as it is for undergraduate students).

The college should evaluate and approve transfer credits (with central review only to affirm valid credentials of the transfer institutions for international students). The credits should be entered centrally and appear on student transcripts.

**(For Ph.D. programs, the doctoral surveys should continue to be managed by the Graduate School. Included are the survey of earned doctorates, the National Opinion Research Center exit survey, and the University's exit survey).**

#### **9. Recommendations—Placement/Career Advising**

**(Recommendations are the same for Ph.D. programs and all master's and others.)**

These functions require combined attention from departments/programs, colleges, and the Graduate School. See Appendix 2 and 3 for detailed tasks associated with this function.

#### **10. Recommendations--Alumni Relations**

**(Recommendations are the same for Ph.D. programs and all master's and others.)**

These functions also require collaborations, and the Work Group recommends exploring specific relationships with the University of Minnesota Alumni Association and University of Minnesota Foundation to share current information on graduates.

#### **11. Recommendations—Record Retention**

**(Recommendations are the same for Ph.D. programs and all master's and others)**

Record and retention guidelines must be followed. All applications of students admitted to the University must be archived indefinitely, and applications of prospects must be retained for one year. This function should remain a centralized responsibility.

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It is an historical requirement that academic records, dissertations, and theses be maintained, and therefore should remain centralized.

Other historical records of students can be maintained by colleges.

## **12. Recommendations--Data management/reporting**

**(Recommendations are the same for Ph.D. programs and all master's and others.)**

UMReports are crucial to the success of decentralized degree program management. There must be no gap in access to these reports. The Graduate School, Academic Support Resources, the Office of Institutional Research (OIR), and OIT must collaborate so that these programs are created centrally and able to be run at the college or department levels. A group of college "data users" should be convened to review and assist in the creation of useful reports.

Responses to national required surveys (National Science Foundation, National Research Council, etc.) should be centrally coordinated (by the Graduate School or Office of the Vice President for Research) with college input and review.

The Graduate School in coordination with OIR should maintain comparative degree program data, including application, enrollment, and progress to degree data.

The Office of University Relations should prepare the PDF (online) version of the Graduate Education Catalogue.

## **IMPLEMENTATION CONSIDERATIONS**

The major administrative processes associated with supporting graduate education are highly complex and very detailed, involving many offices and nearly every level of the organization. The changes being recommended in this report are quite sweeping, primarily with regard to where the responsibility and accountability should reside for carrying out many of the administrative tasks involved. There are more than 11,000 current graduate students, and in recent years, the University has processed more than 14,500 new applications annually. It is a large enterprise with lots of data records, supported by technical systems and processes, most of which are operated by the Academic Support Resources unit, which includes the Office of the Registrar, as well as the Graduate School. The "back-office" operations need to remain stable and perform accurately despite the changes taking place in other tasks associated with supporting graduate education.

The Work Group offers the following suggestions with regard to implementation of the changes recommended in this report, most of which are geared to removing duplicative efforts. The success of these implementation steps will rely not only on high levels of collaboration and consultation, but also on clear, timely communication about the changes to be made and their status:

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1. Before administrative tasks are shifted to colleges or departments, there is system work that must be done first, which includes changes in set-up tables and UM Reports. The Graduate School, ASR and OIT can begin this work immediately. Resources will be required to complete it quickly.
2. Applications for admission for Fall 2010 are currently under way, and would be continued using existing processes.
3. The goal should be to have back-office systems and new processes ready for incoming 2011 students, in order to begin handling the application cycle for 2011 admissions. "Process groups" should be formed to define in detail the new processes and align the systems support, with leadership provided by ASR.
4. Changes in the locus of responsibility and authority recommended in this report would begin at the point where applications begin to be collected and processed for students who would enroll in Fall 2011.
5. Students who are already admitted before the changes take place need to be transitioned into the new processes. A communication plan will need to be developed specifically for them so the changes cause no disruption or confusion.
6. A number of master's programs have been administered by colleges for some time, after having been previously administered by the Graduate School. We recommend that a couple of programs that have successfully accomplished the change be asked to share what they have learned with others. The vice provost and dean of graduate education should facilitate this exchange.
7. It was clear to the Work Group, as a result of meeting with DGS assistants that there would be a great deal gained from convening regularly to share knowledge and practices. Even within colleges this does not take place to the extent it should. As preparation begins for implementation of the changes recommended in this report, it would be an excellent time to increase the collaboration, along with providing the systems and process training that will be required to support graduate students effectively. Working collaboratively with appropriate offices, the vice provost and dean of graduate education should convene these groups for the purpose of sharing information and improving practices for the benefit of students and for the staff whose important work supports them.

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## Appendix 1: Provost's Charge to the Work Group

On September 17, 2009, Provost E. Thomas Sullivan charged two groups to study and make recommendations regarding the report of the Committee on Graduate Education issued earlier in the year: the Academic Issues Work Group and the Student Administrative Process Work Group.

### Student Administrative Processes Work Group

The Provost's charge to the Student Administrative Processes Work Group included the following:

1. An administrative workflow analysis of key existing processes that support our graduate students from recruitment through graduation, including the admission process, tracking of progress toward degree, verification of program completion, etc. Your analysis should identify gaps, redundancies, and opportunities for improving and administration and delivery of service for our students.
2. A list of principles and standards for improving services and support for graduate and professional students.
3. A redesigned administrative workflow process map/model that achieves highly streamlined, effective, and user-friendly services to our students and stakeholders (i.e., admissions, student records, and other student services). Part of this process should include the decentralization of the administration of masters' degree and professional and advanced professional degree programs. (There may be an option for a program to apply for an exemption to decentralization, but the presumption should be that administration of all but the Ph.D. degrees will be decentralized.) Your plan should clearly designate an appropriate division of responsibility between central and more localized levels of control.<sup>27</sup>
4. The number of FTEs required to implement your proposed model. At a minimum, I would like your recommendations regarding the number of FTEs required centrally. To the extent possible, I also welcome your input regarding the number of FTEs required locally.

The end result should be an efficient, effective, and user-friendly provision of services to students and other stakeholders that is a model in higher education. The final design must not exceed current costs; instead, based on preliminary work done by the Committee on Graduate Education and other estimates, substantial savings should be obtainable. You may want to consider the possibility of cultivating some "early adopters" from whom we can learn before a new system takes effect across all graduate programs.

Based on the outcome of your work, the Vice Provost and Dean of Graduate Education, the Provost, and the collegiate deans will develop a streamlined central and local staffing plan that eliminates redundant operations and creates a higher level of service and support to faculty and students.

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<sup>27</sup> See the Executive Summary of these reports for a discussion of the "opt-in/opt out" language of the original charge.

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REPORT FOR PUBLIC DISCUSSION - APPENDIX 2 (4-30-10)						
GRADUATE EDUCATION STUDENT ADMINISTRATIVE PROCESSES WORK GROUP						
MASTER'S AND INTERDISCIPLINARY MASTER'S PROGRAMS						
<i>This document shows recommendations for administrative functions related to Master's programs, and which areas should perform those functions. The tasks listed are associated with processes that are relatively high-level. The work group understands that training, process details and some policy issues must still be addressed. Also, this document is based on the assumption that Apply Yourself will be available for all admission applications.</i>						
<b>SECTION ONE: RECRUITMENT/ADMISSIONS</b>						
#	FUNCTION	PROGRAM / DEPT	COLLEGE/ CAMPUS	CENTRAL	TECH TOOLS	NOTES
<b>RECRUITMENT</b>						
1	Maintain graduate program websites/materials	•	•	GS		This is a program/college/central collaboration.
2	Maintain a Graduate Education website/links			GS		Establish a customizable common UMN system.
3	Develop new and maintain UMN website/links			UMN/GS		Establish new graduate education web presence. The addition of AY/UMT Connect recruitment module will include applicant inquiry home page.
4	Manage recruitment funds	•	•	GS		Maintain relevant amount of U-wide recruitment funding in GS, but disburse the majority of funds to colleges.
5	Recruit admitted students, including Recruiting Weekend	•	•			

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6	Research trends in recruitment/employment/opportunities	•	•	IR		Each program should know their market and central support should be leveraged to share effective practices and innovative ideas and encourage collaboration.
7	Support diversity initiatives and recruitment	•	•	OED	AY	GS should promote collaboration of diversity initiatives and recruitment across programs.
8	Conduct international recruitment	•	•	OIP/GS	AY	Central coordination/facilitation/resources
9	Conduct national recruitment	•	•	GS	AY	Graduate School assumes coordination/collaborating role
10	Conduct regional recruitment	•	•	GS	AY	
11	Produce recruitment publication			GS		This is a publication for UMN graduate programs.
12	Offer AY event system technology to programs			GS	AY	Support additional technical resources for programs.
13	Represent UMN in outreach/group presentations			GS		Graduate School offers a "front door" to visiting/ prospective students, and visiting dignitaries, providing informational triage. Programs and colleges should be more involved in this process, where relevant.
<b>ADMISSIONS</b>						
14	Answer applicant inquiries	•	•	GS		Program admission inquiries are directed to prog/dept/college. GS does not advise on program specifics, but rather general questions on the application process. Recommend strengthening technology tools to ease student information

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						gathering.
15	Process annual application system updates	•	•	GS		Programs, departments and colleges provide new information to the Graduate School in order to meet federal, legal, and admission application requirements. This will remain a collaborative effort.
16	Determine program/department application requirements	•	•			Develop one form - consider those students applying to interdisciplinary programs or to more than one program.
17	Maintain training resources			GS/ASR	Various	All programs new to AY and all technology system upgrades will require access to training resources including online tutorials.
18	Provide administrative support for new, restructuring, suspended, or closing programs			GS		
19	Set enrollment targets	•	•			
20	Receive and process application materials (application form, transcripts, GRE/TOEFL score uploads, reference letters, resumes, statements, etc.)			GS	AY	Graduate Admissions Office - Recommend improvements to AY to allow for customization by program. Recommend that students submit one official transcript no matter how many programs applied to (unofficial for decision, official for admits)

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21	Process fee payment			<b>GS</b>	<b>AY</b>	Graduate Admissions Office - Recommend policy change to provide programs access to submitted materials before the application fee has been paid/processed.
22	Maintain annual GRE/TOEFL score upload services			<b>TBD/GS</b>	<b>AY</b>	
23	Develop means to receive and track college/program-specific materials (resumes, statement...)			<b>TBD/GS</b>	<b>AY</b>	Recommend improvements to AY to allow for customization by program.
24	Review international transcripts (and domestic)			<b>GS</b>	<b>AY</b>	Graduate School Admissions Office
25	Confirm Bachelors degree award			<b>GS</b>	<b>AY</b>	Graduate School Admissions Office - Central confirmation is recommended because a student may be applying to more than one program.
26	Manage application holds - ESL and official transcript			<b>GS</b>	<b>PS</b>	Current process coordinates ease of management.
27	Review applications	•	•			
28	Make admissions decision	•	•			
29	Write program admission letters	•	•	<b>GS</b>	<b>AY</b>	Explore enhancement of the AY system for letter generation - template and training will be required. GS helps ensure necessary U-wide information (especially financial certification and I-20 instructions for international students) is included in each p
30	Send Admission/Decline letters	•	•	<b>GS</b>	<b>AY</b>	Explore enhancement of the AY system for letter generation - template and training will be required.
31	Decision - Change of Status/Major/Degree Objective	•	•			Decision point is the college/program.

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32	Process - Change of Status/Major/Degree Objective			<b>OTR/GS</b>		Central coordination is recommended. Goal is to develop an electronic process.
33	Prepare and distribute international student applications and certification documents			<b>GS/OIP</b>	<b>AY</b>	
34	Set/establish TOEFL/MELAB/IELTS minimum score requirements	•	•	<b>MELP/GS/OIP</b>		
35	Process Readmission/Express Readmission		•			Recommend review of the policy and processes for readmission. The current process impacts national clearing house student data.
36	Maintain myU Admitted Student Portal - Super Users/Program cells	•		<b>TBD/OIP</b>	<b>Current</b>	GS needs to be informed because of the sequence of letters and the use of the portal that follows.
37	Handle admission decision appeals	•	•			Admission decision appeals stop at the college.
<b>STUDENT FUNDING SUPPORT PROCESSES</b>						
38	Solicit funds for graduate student support		•			
39	Develop support packages for new admits		•			
40	Manage the flow of graduate student support funds		•			
41	Nominate students for U-wide fellowships	•	•			
42	Grant tuition waivers to international students (partial to full)		•			College decides and works in collaboration with ISSS.
43	Process tuition waivers to international students (partial to full)			<b>TBD</b>		GS/OIP manages the procedure to implement the decision.
44	Process tuition waivers to US students (partial to full)			<b>TBD</b>		
45	Administer dedicated funds for international students and scholars			<b>GS/OIP</b>		

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<b>ORIENTATION</b>						
46	Develop/distribution program/department/college-specific materials		•			
47	Hold program/department/college-specific orientation		•			Some activities are shared between college and program.
48	Coordinate orientation with colleges and relevant administrative offices to ensure graduate students receive U-wide, college, and program level materials.			<b>GS</b>		Activities are coordinated with OFYP.
<b>ACADEMIC RECORD INFORMATION</b>						
49	Assign UMN ID (and x.500)			•	<b>AY/PS</b>	The responsibilities for these tasks needs to be worked out among various central offices with a goal of maximizing efficiency and minimizing costs of administrative overhead, and meeting legal requirements.
50	Create/maintain official UMN student record			<b>TBD</b>	<b>Image Now</b>	See note box in line 52.
51	Upload student information from application to PeopleSoft			<b>TBD</b>	<b>AY/PS</b>	See note box in line 52.
52	Determine student residency			<b>TBD</b>		GS does the initial assessment, students can appeal to the residency office. See note box in line 52.
53	Dual career term registration			<b>TBD</b>		Recommend GS Dean convene appropriate individuals to set policy. See note box in line 52.
<b>SECTION TWO: PROGRESS TO DEGREE</b>						

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<b>ACADEMIC ADVISING - PROGRESS TO DEGREE</b>						
54	Develop specific program degree requirement (In addition to GS)	•	•		<b>Various</b>	Recommend enhancements and expansion of existing technology to accommodate these functions.
55	Develop degree program planning tools (online/paper)	•	•		<b>Various</b>	Programs may have some of their own tools.
56	Enter and maintain adviser information in PeopleSoft	•	•		<b>PS</b>	Give colleges access to enter adviser information and make changes in PS.
57	Develop and document Degree Plan (with student)	•	•		<b>Various</b>	No change.
58	Approve Degree Plan	•	•		<b>Various</b>	No change.
59	Track completion of degree requirements	•	•		<b>Various</b>	No change.
60	Advise students on degree progress	•	•		<b>Various</b>	No change.
61	Develop <b>uniform</b> policies for graduate degree requirements		•	<b>GS</b>		GS/UMN defined specific or minimum/uniform degree requirements and time completion requirements should be established collaboratively. Currently, GS follows the Council of Graduate Schools national norms and standards for graduate programs.
62	Complete mandated annual feedback on student progress	•	•		<b>Various</b>	No change.
63	Determine final exam requirements (committee composition, exam format...)		•		<b>Various</b>	
64	Determine specifications for probation, unsatisfactory/satisfactory progress	•	•		<b>Various</b>	
65	Determine minor/supporting program, course requirements	•	•		<b>Various</b>	Determination of minor/supporting program course requirements should reside with the departments/programs. Currently only GS students may pursue GS minors. Recommend elimination of existing policy.

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66	Issue warning on time limits being exceeded		•		Various	Allow colleges to do their own grad-999 holds and student group assignments.
67	Issue warning on incompletes		•		Various	
68	Issue warning on grad-999		•		Various	
69	Issue warning on grades		•		Various	
<b>SECTION THREE: DEGREE CLEARANCE/ALUMNI RELATIONS</b>						
<b>STUDENT SERVICES</b>						
70	Resolve registration issues (late, incorrect, course changes...)		•		Various	Develop common policies/processes for colleges. There should be a simple central policy, locally administered.
71	Place holds		•			Give colleges access and authority to designate who places holds (grad-999, academic holds).
72	Verify completion of degree requirements		•			Currently departments verify that program-specific requirements have been met. Eliminate redundant GS review. Also, research the policy of deactivation/activation and the associated fees for students. Only the system requires that students must have ac
73	Standard reports (incomplete, GPA...)		•			Need to have central design and programming support.
74	Handle visa extensions and changes		•	ISSS		
75	Monitor committee assignments	•	•			

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76	Monitor graduate faculty roster	•	•	GS		Recommend review of current policy/practice.
77	Training and other support (workshops and seminars)		•	GS		This is done in colleges with central communication. The Graduate school coordinates and offers these activities as well.
78	Sponsor courses (Preparing Future Faculty)		•	GS		This is done in colleges with central communication. The Graduate school coordinates and offers these activities as well.
79	Approve petitions	•	•			Decentralized approach with centralized communication - central oversight no longer required.
80	Help adjudicate INTRA program faculty/student/program disputes	•1st	•2nd	•3rd TBD		Need to determine if this remains a GS role or moves to a Conflict Resolution Office role.
81	Adjudicate INTER program disputes	•1st	•2nd	•3rd TBD		Need to determine if this remains a GS role or moves to a Conflict Resolution Office role.
82	Provide thesis writing support		•			
<b>GRADUATION</b>						
83	Finalize degree clearance	•1st - clear	•2nd - okays	•3rd - ASR Posts	Various	Recommend enhancements and expansion of existing technology to accommodate these functions. Degree clearance should be finalized at the college.
84	Determine thesis format	•	•			
85	Support electronic submission of thesis	•		TBD/ Libraries	DC	
86	Notification of outstanding degree requirements	•	•		Various	
87	Certify students for graduation	•	•		Various	

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88	Electronic submission of application for degree (student-initiated applications)			TBD		Recommend technology enhancement - electronic process like Ugrad.
89	Transfer credit evaluations (who accepted)		•	GS		Recommend technology enhancement. Entry by Central GS is required for international students.
90	Enter transfer credits for transcripts			TBD		Transfer credits should be put on transcripts.
<b>PLACEMENT/CAREER ADVISING</b>						
91	Advise students on career opportunities	•	•	•		
92	Develop career materials/website for students/employees	•	•	•	GoldPass	
93	Host/sponsor employer recruitment visits/trips	•	•	•		GS facilitates collaboration to ensure student access to career and placement information.
94	Administer travel grants for job search/conferences		•			
95	Alumni mentoring	•	•	TBD		
<b>ALUMNI RELATIONS</b>						
96	Maintain complete alumni database			TBD		Investigate collaboration with UMAA.
97	Conduct alumni surveys regarding placements, evaluations, future plans...	•	•	GS		GS can coordinate, but may be the work of colleges.
98	Alumni mentoring	•	•	TBD		
<b>RECORD RETENTION</b>						

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99	Receive and archive all applications to the U of M ( <b>admitted</b> students)			<b>TBD</b>	<b>AY</b>	Legal requirement - central oversight needed. Note: there is a legal requirement to archive all applications for one year. Also, maintaining applications centrally will ease retrieval and since students can apply and be accepted to more than one program
100	Retain historical academic theses			<b>GS/ Libraries</b>		Historical requirement - central oversight needed.
101	Retain historical student records			<b>ASR</b>	<b>Various</b>	Legal requirement - central oversight needed. The academic record resides with the Registrar.
<b>DATA MANAGEMENT</b>						
102	UMReports	•	•	<b>GS/ ASR/ OIR</b>		Reports are created centrally, run at college/department level. Program support is needed to ensure continued access for programs.
103	Online Survey of Program Data					Recommend review and possible elimination.
104	Maintain Graduate Student Handbook	•	•			
105	Edit program information included in the Graduate School Catalog		•	<b>GS</b>	<b>Examine use of PCAS</b>	
106	Conduct survey for annual NSF/NIH Survey of Grad Students and Postdocs		•	<b>GS/OVPR</b>		Joint effort. Central coordination with program/department review.
107	Prepare PDF version of Graduate Education Catalog			<b>U REL</b>		Online catalog will continue to be available.
108	Maintain comparative degree program application, enrollment and progress to degree data.			<b>GS/IRR</b>		
109	Respond to federal government, NRC... inquiries		•	<b>OVPR/GS</b>		

<b>REPORT FOR PUBLIC DISCUSSION – APPENDIX 3</b> (4-30-10)						
<b>GRADUATE EDUCATION STUDENT ADMINISTRATIVE PROCESSES WORK GROUP</b>						
<b>Ph.D. AND INTERDISCIPLINARY Ph.D. PROGRAMS</b>						
<i>This document shows recommendations for administrative functions related to Ph.D. programs, and which areas should perform those functions. The tasks listed are associated with processes that are relatively high-level. The work group understands that training, process details and some policy issues must still be addressed. Also, this document is based on the assumption that Apply Yourself will be available for all admission applications.</i>						
<b>SECTION ONE: RECRUITMENT/ADMISSIONS</b>						
<b>#</b>	<b>FUNCTION</b>	<b>PROGRAM/ DEPT</b>	<b>COLLEGE/ CAMPUS</b>	<b>CENTRAL</b>	<b>TECH TOOLS</b>	<b>NOTES</b>
<b>RECRUITMENT</b>						
1	Maintain graduate program websites/materials	•	•	GS		This is a program/college/central collaboration.
2	Maintain a Graduate Education website/links			GS		Establish a customizable common UMN system.
3	Develop new and maintain UMN website/links			UMN/GS		Establish new graduate education web presence. The addition of AY/UMT Connect recruitment module will include applicant inquiry home page.
4	Manage recruitment funds	•	•	GS		Maintain relevant amount of U-wide recruitment funding in GS, but disburse the majority of funds to colleges.
5	Recruit admitted students, including Recruiting Weekend	•	•			

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6	Research trends in recruitment/employment/opportunities	•	•	IR		Each program should know their market and central support should be leveraged to share effective practices and innovative ideas and encourage collaboration.
7	Support diversity initiatives and recruitment	•	•	OED	AY	GS should promote collaboration of diversity initiatives and recruitment across programs.
8	Conduct international recruitment	•	•	OIP/GS	AY	Central coordination/facilitation/resources.
9	Conduct national recruitment	•	•	GS	AY	Graduate School assumes coordination/collaborating role
10	Conduct regional recruitment	•	•	GS	AY	
11	Produce recruitment publication			GS		This is a publication for UMN graduate programs.
12	Offer AY event system technology to programs			GS	AY	Support additional technical resources for programs.
13	Represent UMN in outreach/group presentations			GS		Graduate School offers a "front door" to visiting/ prospective students, and visiting dignitaries, providing informational triage. Programs and colleges should be more involved in this process, where relevant.
<b>ADMISSIONS</b>						
14	Answer applicant inquiries	•	•	GS		Program admission inquiries are directed to prog/dept/college. GS does not advise on program specifics, but rather general questions on the application process. Recommend strengthening technology tools to ease student information

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						gathering.
15	Process annual application system updates	•	•	GS		Programs, departments and colleges provide new information to the Graduate School in order to meet federal, legal, and admission application requirements. This will remain a collaborative effort.
16	Determine program/department application requirements	•	•			Develop one form - consider those students applying to interdisciplinary programs or to more than one program.
17	Maintain training resources			GS/ASR	Various	All programs new to AY and all technology system upgrades will require access to training resources including online tutorials.
18	Provide administrative support for new, restructuring, suspended, or closing programs			GS		
19	Set enrollment targets	•	•			
20	Receive and process application materials (application form, transcripts, GRE/TOEFL score uploads, reference letters, resumes, statements, etc.)			GS	AY	Graduate Admissions Office - Recommend that students submit one official transcript no matter how many programs applied to (unofficial for decision, official for admits).
21	Process fee payment			GS	AY	Graduate Admissions Office - Recommend policy change to provide programs access to submitted materials before the application fee has been paid/processed.
22	Maintain annual GRE/TOEFL scores, upload services			TBD/GS	PS/AY	

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23	Develop means to receive and track college/program-specific materials (resumes, statement...)			<b>TBD</b>	<b>AY</b>	Recommend improvements to AY to allow for customization by program.
24	Review international transcripts (and domestic)			<b>GS</b>	<b>AY</b>	Graduate School Admissions Office
25	Confirm Bachelors degree award			<b>GS</b>	<b>AY</b>	Graduate School Admissions Office - Central confirmation is recommended because a student may be applying to more than one program.
26	Manage application holds - ESL and official transcript			<b>GS</b>	<b>PS</b>	Current process coordinates ease of management.
27	Review applications	•	•			
28	Make admissions decision	•	•			
29	Write program admission letters	•	•		<b>AY</b>	Explore enhancement of the AY system for letter generation - template and training will be required.
30	Send Admission/Decline letters	•	•	<b>GS</b>	<b>AY</b>	Explore enhancement of the AY system for letter generation - template and training will be required. Recommend one tailored letter including program welcome/info and required basic UMN information (including FC/I-20 instructions for international students).
31	Decision - Change of Status/Major/Degree Objective		•			Decision point is the college.
32	Process - Change of Status/Major/Degree Objective			<b>OTR/GS</b>		Central coordination is recommended. Goal is to develop an electronic process.
33	Prepare and distribute international student applications and certification documents			<b>GS/OIP</b>	<b>AY</b>	
34	Set/establish TOEFL/MELAB/IELTS minimum score requirements	•	•	<b>MELP/GS/OIP</b>		

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35	Process Readmission/Express Readmission		•			Recommend review of the policy and processes for readmission. The current process impacts national clearing house student data.
36	Maintain myU Admitted Student Portal - Super Users/Program cells	•		TBD/OIP	Current	GS needs to be informed because of the sequence of letters and the use of the portal that follows.
37	Handle admission decision appeals	•	•			Admission decision appeals stop at the college.
<b>STUDENT FUNDING SUPPORT PROCESSES</b>						
38	Solicit funds for graduate student support		•			
39	Develop support packages for new admits		•			
40	Manage the flow of graduate student support funds		•			
41	Nominate students for U-wide fellowships		•			
42	Grant tuition waivers to international students (partial to full)		•			College decides and works in collaboration with ISSS.
43	Process tuition waivers to international students (partial to full)			TBD		GS/OIP manages the procedure to implement the decision.
44	Process tuition waivers to US students (partial to full)			TBD		
45	Administer dedicated funds for international students and scholars			GS/OIP		
<b>ORIENTATION</b>						
46	Develop/distribution program/department/college-specific materials		•			
47	Hold program/department/college-specific orientation		•			Some activities are shared between college and program.

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48	Coordinate orientation with colleges and relevant administrative offices to ensure graduate students receive U-wide, college, and program level materials.			<b>GS</b>		Activities are coordinated with OFYP.
<b>ACADEMIC RECORD INFORMATION</b>						
49	Assign UMN ID (and x.500)			•	<b>AY/PS</b>	The responsibilities for these tasks needs to be worked out among various central offices with a goal of maximizing efficiency and minimizing costs of administrative overhead, and meeting legal requirements.
50	Create/maintain official UMN student record			<b>TBD</b>	<b>Image Now</b>	See note box in line 52.
51	Upload student information from application to PeopleSoft			<b>TBD</b>	<b>AY/PS</b>	See note box in line 52.
52	Determine student residency			<b>TBD</b>		GS does the initial assessment, students can appeal to the residency office. See note box in line 52.
53	Dual career term registration			<b>TBD</b>		Recommend GS Dean convene appropriate individuals to set policy. See note box in line 52.
<b>SECTION TWO: PROGRESS TO DEGREE</b>						
<b>ACADEMIC ADVISING - PROGRESS TO DEGREE</b>						
54	Develop specific program degree requirement (In addition to GS)	•	•		<b>Various</b>	Recommend enhancements and expansion of existing technology to accommodate these functions.
55	Develop degree program planning tools (online/paper)	•	•		<b>Various</b>	Programs may have some of their own tools.

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56	Enter and maintain adviser information in PeopleSoft	•	•		<b>PS</b>	Give colleges access to enter adviser information and make changes in PS.
57	Develop and document Degree Plan (with student)	•	•		<b>Various</b>	No change.
58	Approve Degree Plan	•	•		<b>Various</b>	No change.
59	Track completion of degree requirements	•	•		<b>Various</b>	No change.
60	Advise students on degree progress	•	•		<b>Various</b>	No change.
61	Develop <b>uniform</b> policies for graduate degree requirements		•		<b>GS/Grad Council</b>	GS/UMN defined specific or minimum/uniform degree requirements and time completion requirements should be established collaboratively. Currently, GS follows the Council of Graduate Schools national norms and standards for graduate programs.
62	Complete mandated annual feedback on student progress	•	•		<b>Various</b>	No change.
63	Determine final exam requirements (committee composition, exam format...)		•		<b>Various</b>	
64	Determine specifications for probation, unsatisfactory/satisfactory progress	•	•		<b>Various</b>	
65	Determine minor/supporting program, course requirements	•	•		<b>Various</b>	Determination of minor/supporting program course requirements should reside with the departments/programs. Currently only GS students may pursue GS minors. Recommend elimination of existing policy.
66	Issue warning on time limits being exceeded		•		<b>Various</b>	Allow colleges to do their own grad-999 holds and student group assignments.
67	Issue warning on incompletes		•		<b>Various</b>	
68	Issue warning on grad-999		•		<b>Various</b>	
69	Issue warning on grades		•		<b>Various</b>	

<b>SECTION THREE: DEGREE CLEARANCE/ALUMNI RELATIONS</b>						
<b>STUDENT SERVICES</b>						
70	Resolve registration issues (late, incorrect, course changes...)		•		<b>Various</b>	Develop common policies/processes for colleges. There should be a simple central policy, locally administered.
71	Place holds/milestones		•			Give colleges access and authority to designate who places holds (grad-999, academic holds).
72	Verify completion of degree requirements (PhD all academic requirements must be met before scheduling oral exam - determined by faculty)		•	<b>GS</b>		Recommend review of this process.
73	Provide standard reports (incomplete, GPA...)		•			Need to have central design and programming support.
74	Handle visa extensions and changes		•	<b>ISSS</b>		Colleges will work with ISSS on visa extensions.
75	Monitor committee assignments	•	•			PhDs require committees based on CGS standards; some masters do not require this.
76	Monitor graduate faculty roster	•	•	<b>GS</b>		Recommend review of policy/practice.
77	Training and other support (workshops and seminars)		•	<b>GS</b>		This is done in colleges with central communication. The Graduate School coordinates and offers these activities as well.
78	Sponsor courses (Preparing Future Faculty)		•	<b>GS</b>		This is done in colleges with central communication. The Graduate School coordinates and offers these activities as well.

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79	Approve petitions	•	•			Decentralized approach with centralized communication - central oversight no longer required.
80	Help adjudicate INTRA program faculty/student/program disputes	•1st	•2nd	•3rd TBD		Need to determine if this remains a GS role or moves to a Conflict Resolution Office role.
81	Adjudicate INTER program disputes	•1st	•2nd	•3rd TBD		Need to determine if this remains a GS role or moves to a Conflict Resolution Office role.
<b>NOTE: The following PhD processes (lines 82-89) need to be reviewed and assessed for technology enhancements.</b>						
82	Provide dissertation writing support		•			
83	Coordinate special registration categories; ABD status, 8444 status (8333 for masters)		•			Requires manual oversight for some special registration based on federal requirements (8444).
84	Review prelim written exam form	•	•	GS		Requirements are determined by program, GS monitors successful completion; milestones are based on national norms; GS monitors eligibility.
85	Hold prelim oral exam	•	•	GS entry		Based on national norm; Programs have some free-range in what is covered in prelim oral exam; passage bestows doctoral candidacy; record PASS, PASS with reservation, FAIL, RETAKE; monitor to make sure the reservations are corrected; exam scheduling is correctly done on-line. Process would have to go back to paper if moved out of GS.
86	Assign final exam committee	•	•			
87	Review dissertation proposal form	•	•	GS entry		Redesign form.

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88	Schedule/hold final exam	•	•	TBD		Based on the national norm; record PASS or FAIL; exam scheduling is currently done on-line - would have to go back to paper if moved out of the GS; monitor eligibility to sit for exam.
89	Record results			GS		Record PASS or FAIL
<b>GRADUATION</b>						
90	Finalize degree clearance	•1st - clear	•2nd - okays	•3rd - ASR Posts	Various	Recommend enhancements and expansion of existing technology to accommodate these functions. Degree clearance should be finalized at the college.
91	Determine dissertation format	•	•	GS		Remain centralized to maintain cost savings on ProQuest contract and to avoid cost to the college offices.
92	Support electronic submission of thesis	•		TBD Libraries	DC	
93	Notification of outstanding degree requirements	•	•		Various	
94	Certify students for graduation	•	•		Various	
95	Electronic submission of application for degree (student-initiated applications)			TBD		Recommend technology enhancement - electronic process like Ugrad.
96	Transfer credit evaluations (who accepted)		•	GS		Recommend technology enhancement. Entry by Central GS is required for international students.
97	Enter transfer credits for transcripts			TBD		Transfer credits should be put on transcripts.
98	Doctoral exit survey			GS		Survey of earned doctorates and the NORC exit survey; also U of M exit survey - GS monitors

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<b>PLACEMENT/CAREER ADVISING</b>						
95	Advise students on career opportunities	•	•	•		
96	Develop career materials/website for students/employees	•	•	•	GoldPass	
97	Host/sponsor employer recruitment visits/trips	•	•	•		GS facilitates collaboration to ensure student access to career and placement information.
98	Administer travel grants for job search/conferences		•			
99	Alumni mentoring	•	•	TBD		
<b>ALUMNI RELATIONS</b>						
100	Maintain complete alumni database			TBD		Investigate collaboration with UMAA.
101	Conduct alumni surveys regarding placements, evaluations, future plans...	•	•	GS		GS can coordinate, but may be the work of colleges.
102	Alumni mentoring	•	•	TBD		
<b>RECORD RETENTION</b>						
103	Receive and archive all applications to the U of M ( <b>admitted</b> students)			TBD		Legal requirement - central oversight needed. Note: there is a legal requirement to archive all applications for one year. Maintaining applications centrally will ease retrieval and since students can apply and be accepted to more than one program, this eliminates unnecessary duplication.
104	Retain historical academic dissertations			GS/ Libraries		Historical requirement - central oversight needed.

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105	Retain historical student records			ASR	Various	Legal requirement - central oversight needed. The academic record resides with the Registrar.
<b>DATA MANAGEMENT</b>						
106	UMReports	•	•	GS/	ASR/ OIR	Reports are created centrally, run at college/department level. Program support is needed to ensure continued access for programs.
107	Online Survey of Program Data					Recommend review and possible elimination.
108	Maintain Graduate Student Handbook	•	•			
109	Edit program information included in the Graduate School Catalog		•	GS	<b>Examine use of PCAS</b>	
110	Conduct survey for annual NSF/NIH Survey of Grad Students and Postdocs		•	GS/OVPR		Joint effort. Central coordination with program/department review.
111	Prepare PDF version of Graduate Education Catalog			U REL		Online catalog will continue to be available.
112	Maintain comparative degree program application, enrollment, and progress to degree data.			GS/IRR		
113	Respond to federal government, NRC... inquiries		•	OVPR/GS		