

**Bylaws of the Executive Board of the
Horace H. Rackham School of Graduate Studies**

University of Michigan

Approved by the Rackham Executive Board, March 23, 2022
Amended September 27, 2023

Table of Contents

- 1. General Considerations**
- 2. Responsibilities of the Rackham Executive Board**
- 3. The Graduate Faculty**
- 4. Composition of the Executive Board and Elections**
- 5. Meeting Procedures**
- 6. Amending the Bylaws**
- 7. Appendix 1: Bylaws of the Board of Regents (Selected Sections)**
- 8. Appendix 2: Rackham Graduate School Statement of Values, Privileges, and Responsibilities of the Rackham Graduate Faculty**
- 9. Appendix 3: Policy and Process to Address Allegations of Failure to Uphold the Professional Standards of the Rackham Graduate Faculty**

1. General Considerations

Graduate education is central to the academic purposes of the University of Michigan, one of the first research universities in the United States. The university conferred its first master's degree in 1849 and was the first public university to confer a doctorate in 1876. The university created a separate unit for graduate education in 1912, independent of the other individual academic units, with management vested in an Executive Board composed of members of the faculty and chaired by the dean. In 1935, with a generous endowment from Horace H. and Mary A. Rackham, the Graduate School was named the Horace H. Rackham School of Graduate Studies.

The mission of the Rackham Graduate School is to partner with University of Michigan graduate faculty and programs to advance excellence in graduate education, to cultivate a vibrant and diverse student community, and to impact the public good through the scholarship and discoveries of its students and degree recipients.

The Graduate School promotes and safeguards the interests of graduate education as a shared university enterprise by:

- Building bridges and collaborations with faculty and students across the university to enhance the quality of graduate education,
- Promoting excellence in graduate education by providing funds to support graduate students and the graduate faculty and programs,
- Helping to ensure a diverse, equitable, and inclusive environment for graduate education,
- Providing a central site with facilities for graduate students and the graduate faculty and for activities in support of graduate education, and
- Collaborating with other research universities, higher education organizations, and government agencies on issues and policy concerning graduate education nationally.

2. Responsibilities of the Rackham Executive Board

As established by the by-laws of the Regents of the University of Michigan, the Rackham Executive Board is the governing body of the Horace H. Rackham School of Graduate Studies.¹

¹ Bylaws of the University of Michigan Board of Regents, Sec. 5.02., Governing Bodies in Schools and Colleges (revised January 1993); Sec. 5.06., The Deans and Executive Committees; Sec. 11.22., The Horace H. Rackham School of Graduate Studies: The Dean and the Executive Board (revised February 2012).

The Rackham Executive Board represents the graduate faculty on matters related to the interests and policies of the Graduate School.² Its responsibilities include³:

1. Establishing academic policies
2. Establishing general graduate admissions policies
3. Establishing policies governing academic and professional integrity for graduate education
4. Providing advice and guidance to the dean regarding the administration of academic policies and the operations of the Graduate School and the graduate programs
5. Providing more general issues of graduate education including faculty awards and student fellowships and awards
6. Approving proposals to establish new graduate degree and graduate certificate programs under the purview of the Graduate School
7. Approving major revisions to graduate and graduate certificate programs
8. Approving suspension of admissions to Rackham degree and certificate programs
9. Approving discontinuation of Rackham degree and certificate programs
10. Recommending candidates to the Board of Regents of students under its jurisdiction who qualify for Rackham graduate research and professional degrees including the M.A., M.S., M.S.E., M.Des., M.F.A., M.L.A., M.P.A., M.P.P., M.U.R.P., D.M.A., Ph.D., dual degrees, and graduate certificates located in the schools and colleges of the campuses of the University of Michigan, including:⁴

Ann Arbor Campus

A. Alfred Taubman College of Architecture and Urban Planning
 Penny W. Stamps School of Art and Design
 Stephen M. Ross School of Business
 School of Dentistry
 School of Education
 College of Engineering
 School for Environment and Sustainability
 School of Information
 School of Kinesiology
 College of Literature, Science, and the Arts
 Medical School
 School of Music, Theatre & Dance
 School of Nursing
 College of Pharmacy

² Bylaws, Sec. 5.02.; Sec. 11.22.

³ Bylaws, Sec. 5.03, Powers and Duties of the Governing Faculties.

⁴ Bylaws, Sec. 9.02, Recommendations for Degrees in Course (revised September 2016).

School of Public Health
 Gerald R. Ford School of Public Policy
 School of Social Work

The University of Michigan-Dearborn
 College of Arts, Sciences, and Letters
 College of Education, Health, and Human Services
 School of Engineering and Computer Science

The University of Michigan-Flint
 College of Arts and Sciences

1. Approving appointments and promotions of non-tenure-track clinical appointments in the Graduate School ⁵

The Board may from time to time invite guests to its meetings to discuss graduate education. The president or provost will be invited to join a meeting of the Board every year to discuss issues and priorities concerning graduate education in the university.

3. The Graduate Faculty

Through their research, scholarship, and teaching, the graduate faculty ensure that graduate education remains a cornerstone of the university's reputation for academic excellence. The graduate faculty have distinctive academic and professional responsibilities for guiding their students in advanced study, research, and creative activity, and for preparing them as scholars, researchers, teachers, creative artists, and professionals in many fields. The ways in which the graduate school expects that, as intellectual guides and mentors, the Rackham graduate faculty uphold professional standards in their work with students and the Rackham community, are expressed in Appendix 2 of these Bylaws.

The policy and procedure to be followed in case there are allegations that a member of the Rackham graduate faculty has not upheld the professional standards described in Appendix 2 are described in Appendix 3 of these Bylaws.

⁵ Bylaws, Sec. 5.23., Clinical Instructional Staff (revised June 2001); Sec. 5.24., Research Scientists and Research Professors (revised October 2003); Sec. 11.23., The Horace H. Rackham School of Graduate Studies: Institutes and Bureaus; Sec. 11.24., The Horace H. Rackham School of Graduate Studies: Mary A. Rackham Institute (revised November 2015).

The graduate faculty are responsible for the curriculum, requirements, and initiatives of the graduate programs where they are appointed or affiliated, and the conformance of program policies with the governing policies of the Rackham Graduate School.

Members of the graduate faculty include:

- Tenured or tenure track faculty with a 0.5 appointment or greater in an academic unit or department where a Rackham program is administratively located, and
- Tenured or tenure track faculty who have courtesy appointments or appointments of 0.5 or lower in these units (including those appointed in interdepartmental degree programs) who have assigned responsibilities for teaching, advising, and mentoring of graduate students in Rackham programs.

4. Composition of the Executive Board and Elections

The Executive Board of the Rackham Graduate School is composed of the following voting members:⁶

- Three regular members elected by the graduate faculty from the four divisions of the Graduate School (Biomedical Sciences, Physical Sciences and Engineering, Social and Behavioral Sciences, and Humanities and the Arts) for three-year terms,
- One faculty member from the University of Michigan-Flint selected by the provost and vice chancellor for academic affairs of that campus,
- One faculty member from the University of Michigan-Dearborn selected by the provost and vice chancellor for academic affairs of that campus, and
- The dean of the Graduate School, as chair *ex officio*

Ex officio non-voting participants include:

- The associate deans of the Graduate School, and
- One graduate student representative selected by each of the following organizations:
 - Rackham Student Government
 - Students of Color of Rackham (SCOR)
 - Graduate Rackham International (GRIN)

Nominating and election process for members of the Executive Board

All members of the graduate faculty who are tenured and affiliated with a Rackham degree program are eligible to serve on the Executive Board as representatives of their division.

⁶ Bylaws, Sec. 11.22.

Each year the four elected members of the Board who are completing their term of service form a nominating committee with the dean. The nominating committee solicits suggestions from graduate chairs and directors and deans for names of members of the graduate faculty to serve on the Board, and proposes a slate of candidates and alternates for each of the four Rackham divisions: Biological and Health Sciences, Physical Sciences and Engineering, Social Sciences, and Humanities and the Arts.

The dean reaches out to the proposed nominees to identify two graduate faculty members to stand for election for the open seat in each division.

The full graduate faculty votes on all nominees.

Terms of appointment

Faculty members of the Executive Board serve three-year staggered terms, with one position in each division being filled each year so that four vacancies will occur each year. New members take their place on the Board at the start of the fall term.

The dean may recommend to the provost the interim appointment of a member of the graduate faculty to fill a temporary vacancy when an elected member is unable to serve.

5. Meeting Procedures

The dean is chair of the Executive Board which meets at the request of the dean, normally semi-weekly through the fall and winter terms. The dean may invite others as non-voting participants to any meeting of the Board as appropriate.

A simple majority of the voting members constitutes a quorum. Once a quorum has been established, a simple majority of votes cast, ignoring abstentions, determines the outcome of decisions. The rules of parliamentary procedure as described in *Robert's Rules of Order* are followed.⁷

All Board agendas, materials, and discussions are confidential to the extent permitted by law unless the Dean, with the advice of the Board, determines otherwise.

De-identified minutes record the main points of discussion and actions taken by the Board and are publicly available.

⁷ Bylaws, Sec. 5.04. Faculty Procedure.

6. Amending the Bylaws

As the bylaws set forth the rules governing the administration and governance of the Horace H. Rackham School of Graduate Studies, these may be amended by a majority vote of the full membership of the Rackham Executive Board.

7. Appendix 1: Bylaws of the Board of Regents (Selected Sections)

Sec. 5.01. Definitions (*revised October 2003*)

As used in these bylaws:

1. The term faculty shall include members of the teaching and research staff together with the executive officers, the directors of various teaching, research, and library units, research associates, curators, and persons with similar duties.
2. The term professorial staff shall include professors, associate professors, and assistant professors.
3. The term governing faculty, when used in connection with a school or college, shall include those members of the school or college who are professors, associate professors, and assistant professors. The governing faculty shall include instructors and lecturers who hold appointments of one-half time or more; provided, however, that such instructors and lecturers may vote at faculty meetings only if they have held appointments for one or more years and are authorized to vote by a majority of the professorial staff of the appropriate school or college. The governing faculty may include clinical professors, clinical associate professors, clinical assistant professors, research scientists, associate research scientists, assistant research scientists, research investigators, research professors, research associate professors, and research assistant professors when authorized by, and in accordance with, the policies and bylaws of the appropriate school or college....

Sec. 5.02. Governing Bodies in Schools and Colleges (*revised January 1993*)

In each school, college, or degree granting division of the university, including those at the University of Michigan-Dearborn and at the University of Michigan-Flint, the governing faculty shall be in charge of the affairs of the school, college, or division, except as delegated to the executive committee, if any, and except that in the School of Graduate Studies the governing body shall be the executive board, and in the UMMS shall be the executive faculty.

Sec. 5.03 Powers and Duties of the Governing Faculties

The faculty of each school and college shall from time to time recommend to the board for approval such regulations as are not included within these bylaws and which are pertinent to its structure and major operating procedures, such as departmental organization, requirements for admission and graduation, and other educational matters, the determination of which is within the peculiar competence of the faculties of the several schools and colleges. All such recommendations when approved by the board shall be recorded in the Proceedings of the Board of Regents.

Subject to the ultimate authority of the board, the faculty of each school and college is also vested with plenary powers to make rules and regulations concerning other matters such as

grading regulations, class attendance, committee organization and related internal matters. All such regulations shall be recorded in the minute books of the adopting authority and filed with the secretary of the university.

Each faculty shall provide suitable instruction for the students enrolled in its school or college. Each faculty shall recommend to the board students under its jurisdiction who qualify for university degrees. It shall, subject to the board, possess such other powers as are necessary to the performance of its duties.

Sec. 5.04. Faculty Procedure

Each faculty shall adopt rules for its own government and procedure and shall appoint a secretary, define the secretary's duties, and keep a record of faculty action.

In the absence of specific rules to the contrary, the rules of parliamentary procedure as described in Robert's Rules of Order shall be followed by school and college faculties, committees, boards, and other deliberative bodies.

Sec 5.05. Faculty Communications to the Board

Each faculty shall submit its communications to the board in writing through its dean, and at the University of Michigan-Dearborn and the University of Michigan-Flint through the chancellor, and through the president of the university. Each dean shall endorse faculty communications, making appropriate explanatory statements as needed.

Sec. 5.06. The Deans and Executive Committees

The dean or director, or administrative head of a school, college, or department of instruction or research will be appointed by the board on the recommendation(s) required under these bylaws, and in all cases, on the recommendation by the president, to act as executive officer of the school, college, or department.

If an executive committee has been created by the board for the school, college, or department, the dean, director, or head will be assisted by the executive committee of which he or she will be ex officio the chair. The executive committee in addition to assisting with administrative functions will be charged with the duties of investigating and formulating educational and instructional policies for consideration by the faculty and will act for the faculty in matters of budgets, promotions, and appointments.

Sec. 5.23. Clinical Instructional Staff (*revised June 2001*)

1. *Adjunct Clinical Instructional Staff.* Any academic unit may appoint professional practitioners in the community or within the university at appointment fractions below 50 percent as adjunct clinical professors, adjunct clinical associate professors, adjunct clinical assistant professors, adjunct clinical instructors, or adjunct clinical lecturers to support the instructional program.

Appointments as adjunct clinical instructional staff are on an annual or shorter basis and are without tenure. Appointment and/or promotion criteria shall be consistent with those for regular instructional staff to the extent applicable. Adjunct clinical appointments and reappointments are recommended by the appropriate instructional unit and school, college, or division and are approved by the chancellor (Flint or Dearborn) and president.

2. *Clinical Instructional Staff.* An academic unit may be authorized to appoint clinical instructional staff to support its instructional program only if a policy authorizing such appointments has been adopted by the school, college, or division in accordance with the bylaws of that unit and has been approved by the appropriate provost, chancellor (Flint or Dearborn), president, and Board of Regents.

Clinical appointments are at appointment fractions of 50 percent or greater and are without tenure. The following titles may be used for clinical appointments: clinical professor, clinical associate professor, clinical assistant professor, or clinical instructor.

Appointments to the clinical track are for a fixed term, cannot exceed seven years in duration, and may be renewed. Appointment and promotion criteria shall be consistent with those for the regular instructional staff to the extent applicable. Further definition of the rights and responsibilities of clinical faculty, not inconsistent with the bylaws of the Board of Regents, may be addressed by the bylaws of the academic units.

Clinical appointments, reappointments, and promotions are recommended by the appropriate instructional unit and school, college, or division and are approved by the appropriate provost, chancellor (Flint or Dearborn), and president.

The vice president and secretary of the university shall maintain a list of those schools, colleges, and divisions that are authorized to make appointments to the clinical instructional staff.

Sec. 5.24. Research Scientists and Research Professors (*revised October 2003*)

Research Scientists. An academic or research unit may appoint research scientists to support the research activities of the university if a policy to authorize such appointments has been adopted by the school, college, division, or research unit in accordance with the bylaws of that unit and has been approved by the vice president for research.

Research scientist appointments are not appointments to the tenured or tenure-track instructional faculty. The following titles may be used for research scientist appointments: research scientist, associate research scientist, assistant research scientist, and research investigator. Further definition of the rights and responsibilities of research scientists, not inconsistent with the bylaws of the Board of Regents, may be addressed by the bylaws of the academic or research units.

Research scientist appointments and promotions are recommended by the appropriate instructional unit and school, college, division, or research unit and are approved by the vice president for research, the chancellors (Dearborn or Flint), and the president.

The vice president and secretary of the university shall maintain a list of those schools, colleges, and divisions that are authorized to make research scientist appointments.

Research Professors. An academic unit may appoint research professors to support the research activities of the university if a policy to authorize such appointments has been adopted by the school, college, division, or research unit in accordance with the bylaws of that unit and has been approved by the vice president for research and the appropriate provost.

Research professor appointments are not appointments to the tenured or tenure-track instructional faculty. The following titles may be used for research professor appointments: research professor, research associate professor, or research assistant professor. Further definition of the rights and responsibilities of research professors, not inconsistent with the bylaws of the Board of Regents, may be addressed by the bylaws of the academic or research units.

Research professor appointments and promotions are recommended by the appropriate instructional unit and school, college, division, or research unit and are approved by the vice president for research, the appropriate provost, the chancellor (Dearborn or Flint), and the president.

The vice president and secretary of the university shall maintain a list of those schools, colleges, divisions, and research units that are authorized to make research professor appointments.

Sec. 6.02. Undergraduate and Graduate Degree Programs (*revised May 2020*)

There are 19 schools and colleges on the Ann Arbor campus of the University of Michigan, four schools and colleges on the Dearborn campus, and five schools and colleges on the Flint campus.

The university offers four types of degree programs: Undergraduate ("U"), Rackham graduate ("RG"), non-Rackham graduate ("NRG"), and graduate professional ("GP"). Graduate degrees fall under the aegis of the Horace H. Rackham School of Graduate Studies or the individual schools and colleges, as indicated below.

The following is a list of the schools and colleges and degree programs offered at each. The Office of the Registrar on each campus maintains an official list of all specific degrees offered at every school and college on that campus.

Ann Arbor Campus

A. Alfred Taubman College of Architecture and Urban Planning (U, NRG, RG)

Penny W. Stamps School of Art and Design (U, RG)

Stephen M. Ross School of Business (U, NRG, RG)

School of Dentistry (U, RG, GP)

School of Education (U, RG)
 College of Engineering (U, NRG, RG)
 School for Environment and Sustainability (RG)
 Horace H. Rackham School of Graduate Studies (RG)
 School of Information (U, NRG, RG)
 School of Kinesiology (U, RG)
 Law School (GP)
 College of Literature, Science, and the Arts (U, RG)
 Medical School (GP, RG)
 School of Music, Theatre & Dance (U, NRG, RG)
 School of Nursing (U, RG)
 College of Pharmacy (U, RG, GP) School of Public Health (U, NRG, RG)
 Gerald R. Ford School of Public Policy (U, RG)
 School of Social Work (NRG, RG)

The University of Michigan-Dearborn

College of Arts, Sciences, and Letters (U, RG, NRG)
 College of Business (U, NRG)
 College of Education, Health, and Human Services (U, NRG, RG)
 School of Engineering and Computer Science (U, NRG, RG)

The University of Michigan-Flint

College of Arts and Sciences (U, NRG, RG)
 College of Health Sciences (U, NRG)
 School of Education and Human Services (U, NRG)
 School of Management (U, NRG)
 School of Nursing (U, NRG)

Sec. 9.02. Recommendations for Degrees in Course (*revised September 2016*)

Recommendations of candidates for degrees in course will be made by the governing bodies of the appropriate schools or colleges and approved by the Board of Regents. No student will be recommended for a degree in course until all of the student's requirements for the degree have been met.

Degrees in course will be awarded at commencement and at such other times as prescribed by the Board of Regents.

Sec. 11.22. The Horace H. Rackham School of Graduate Studies: The Dean and the Executive Board (*revised February 2012*)

The executive function of the graduate school will be performed by a dean assisted by an executive board. The executive board will consist of the dean and fourteen members to be appointed by the board upon recommendation by the president. One of the fourteen will be from

the University of Michigan-Flint and a second will be from the University of Michigan-Dearborn. The committee members will hold office for terms of three years each, so adjusted that four vacancies will occur each year. The dean will be chair of the board.

Sec. 11.23. The Horace H. Rackham School of Graduate Studies: Institutes and Bureaus

Institutes and bureaus whose purposes are of a graduate nature and which by action of the board are permitted to organize special graduate curriculums for professional training will be, when ordered by action of the board, responsible to the executive board and dean of the graduate school.

Sec. 11.24. The Horace H. Rackham School of Graduate Studies: Mary A. Rackham Institute (*revised November 2015*)

The Mary A. Rackham Institute will be maintained as a part of the graduate school for the purpose of conducting research, training, and service in those areas which concern the adjustment of the individual with respect to the individual's personal well-being and to the individual's place in the community.

The institute will be responsible to the dean, assisted by the executive board of the graduate school.

8. Appendix 2: Rackham Graduate School Statement of Values, Privileges, and Responsibilities of the Rackham Graduate Faculty

Preface

The particular responsibilities of faculty who teach and mentor graduate students have been recognized since the graduate school was established over a century ago. In 1995, Rackham inaugurated distinguished graduate mentoring awards to honor the contributions of outstanding graduate mentors to their students and to graduate education more generally. Awards for outstanding mentors of doctoral students recognize faculty “who support their intellectual, creative, scholarly, and professional growth, and foster a culture of intellectual engagement in which they thrive.” Awards for outstanding mentors of master’s students honor those who “demonstrate commitment to fostering the intellectual, creative, and professional growth of their master’s students.” More than 170 faculty have been recognized with these awards for their excellence and sustained commitment to graduate education and the success of their students.

Through the years, Rackham’s research has confirmed that the character of the multidimensional relationship that graduate faculty have with their students—as teachers, mentors, and advisers—contributes significantly to the quality of their graduate experience and success. Conversely, the graduate school has witnessed the difficult and sometimes devastating consequences that result when a faculty member misuses or abuses the faculty-student mentoring relationship or other standards of professional ethics in their role as a member of the graduate faculty. This statement of values, a complement to the academic and professional standards that have been established for Rackham students⁸, is intended to inspire and guide the faculty who for decades have made the University of Michigan a world leader in graduate education.

Values of the Rackham Graduate Faculty

The cornerstone of the university’s reputation as a leading research university is the excellence of its graduate programs. The graduate faculty have distinctive academic and professional responsibilities for guiding their students in advanced study, research, and creative activity, and for preparing them as scholars, researchers, teachers, creative artists, and professionals in many fields. The graduate school expects that, as intellectual guides and mentors, the Rackham graduate faculty will:

- uphold the principles of the academic freedom of inquiry and expression, and encourage the free pursuit of learning and research of their students;
- adhere to the highest standards of scholarship, ethical norms, and values in the conduct of research, creative, and professional activities;

⁸ [Rackham Academic and Professional Integrity Policy](#).

- in the conduct of teaching and advising, ensure inclusive, equitable, and consistent treatment of students; maintain respect toward students as individuals; and, when discussing academic performance as part of student evaluations, maintain professional standards with colleagues and the trust that underpins the relationship between faculty and student;
- support the academic progress and advancement of all students while recognizing the importance of student wellbeing;
- promote and maintain an environment free of exploitation, harassment, intimidation, retaliation, or discrimination, or other mistreatment of students, as defined by the policies of the University of Michigan⁹;
- maintain cooperative and productive interactions with other members of the graduate community—including faculty, staff, and students—in promoting the quality of graduate education.

Privileges and Responsibilities of the Rackham Graduate Faculty

Members of the Rackham graduate faculty are invested with the privileges of and responsibilities for teaching, advising, and mentoring graduate students, and with the governance of the degree and certificate programs of the Rackham Graduate School with which they are affiliated. The Rackham graduate faculty:

- provide regular and ongoing mentoring of students and for the development of their research and creative work, and give timely feedback and assessment on the academic work and progress of all students;
- serve on dissertation committees, thesis committees of master's students, and committees evaluating keystone projects for graduate certificate programs; • support the professional development of all students;
- promote and inculcate the highest standards of ethical and professional conduct; • bring to the attention of the graduate program or the Rackham Graduate School any concern regarding policy or action affecting graduate education.

As members of responsible committees of the programs with which they are affiliated, the Rackham graduate faculty:

- recommend applicants for admission and reinstatement by the Rackham Graduate School;
- review and recommend for approval, as required, by program faculty and the Rackham Graduate School:
 - curriculum and requirements for degrees and graduate certificates

⁹ [SPG 201.89-1, Discrimination and Harassment](#); [SPG 201.35, Nondiscrimination Policy Notice](#)

- program governance procedures, academic policies and processes, and other program-related initiatives
- suspension of admissions or discontinuation of the graduate program;
- establish norms for faculty responsibilities and student achievement; consider recommendations for academic probation and dismissals of students as outlined in the program's policy.

Members of the Rackham graduate faculty who are tenured are eligible to serve on the Rackham Executive Board as members of their Rackham division. All members of the Rackham graduate faculty may be nominated for awards from the Rackham Graduate School that recognize excellence in graduate student mentoring.

9. Appendix 3: Policy and Process to Address Allegations of Failure to Uphold the Professional Standards of the Rackham Graduate Faculty

Policy

The Rackham Graduate School recognizes the deep significance of graduate education to the University of Michigan's mission and excellence. The Rackham graduate faculty have distinctive academic and professional responsibilities for guiding Rackham doctoral, masters, and certificate students in advanced study and research and for preparing them as scholars, researchers, teachers, and professionals in many fields. To advance graduate education in Rackham programs, the Rackham Executive Board has established a Statement of Values, Privileges, and Responsibilities of the Rackham graduate faculty ("the Statement"). The Rackham graduate faculty – defined by the bylaws of the Rackham Executive Board – are University of Michigan faculty who engage in the education, mentorship, and training of Rackham graduate students. The Statement describes the professional standards of the Rackham graduate faculty; the present document describes the policy and process to be followed upon allegations that a Rackham graduate faculty member has not upheld the professional standards of the Statement. This policy and process represent implementation of the university's Professional Standards for Faculty ([SPG 201.96](#)) in the graduate school and in the context of faculty activity relevant to membership in the Rackham graduate faculty.

The Graduate School acknowledges the complex nature of the academic, scholarly, and professional relationships that Rackham graduate faculty hold with members of the Rackham community, including Rackham students. Disputes between Rackham graduate faculty and others may naturally arise, even in situations when Rackham graduate faculty are upholding the professional standards of the Statement. The Rackham Graduate School has adopted an [Academic Dispute Resolution Policy and Procedures](#) to provide both informal and formal mechanisms to address such conflicts and to recognize the responsibilities of faculty and students in their various roles. Allegations of inequity and/or unfairness in decisions or procedures that affect students' academic standing and progress to degree will always be handled under the dispute resolution policy. The present policy and procedures apply to allegations that a member of the Rackham graduate faculty has seriously violated the professional standards of the Statement.

Process

Scope

The graduate school will use the following process to respond to an allegation that a member of the Rackham graduate faculty has seriously violated the professional standards and responsibilities of the Statement ("an allegation").

Other university policies and procedures may apply to an allegation of Rackham graduate faculty misconduct or professional standards violation; the following matters are governed by the appropriate policies administered by Rackham or other university units:

- Allegations of inequity and/or unfairness in decisions or procedures that affect students' academic standing and progress toward the degree will be handled under [Rackham's Academic Dispute Resolution Policy and Procedure](#).
- Allegations that a member of the Rackham graduate faculty has violated the university's non-discrimination and harassment policies will be referred to the university's [Office of Equity, Civil Rights, and Title IX \(ECRT\)](#).
- Allegations that a member of the Rackham graduate faculty has engaged in [research misconduct](#) will be referred to the Office of the Vice President for Research (OVPR).
- Allegations that a member of the Rackham graduate faculty has violated an employment contract will be referred to the relevant academic school/college.

The graduate school accepts the findings of the above-listed units as well as investigations undertaken by another college, school, or institute, insofar as they involve allegations in which a member of the Rackham graduate faculty has violated the professional standards of the Statement. In consultation with the dean of the appropriate academic unit and with the Rackham Executive Board, the Dean of the Rackham Graduate School ("Rackham dean") has responsibility to ensure that appropriate action, up to and including the issuance of sanctions, is taken to address situations in which a violation of the Statement is determined to have occurred.

Submission of Allegations

Allegations that a Rackham graduate faculty member (the "Respondent") has seriously violated the professional standards of the Statement can be submitted confidentially to the attention of the Dean of the Rackham Graduate School. The identity of the person submitting the allegation will be protected to the extent possible, and consistent with principles of due process. A submission can be brought forward anonymously but, depending on the level of information available about the incident and the individuals involved, the ability to respond to an anonymous report may be limited. In this case, the Rackham dean will take steps to address a submitted allegation consistent with the information available. The graduate school upholds the university's non-retaliation policy ([SPG 601.90](#)) at all times. Individuals engaged in this process will be offered

support and consultation resources, as coordinated by an independent member of Rackham's Graduate Student and Program Consultation Services (GSPCS) team.

Preliminary Inquiry of Submitted Allegations

If an allegation is received under this policy, the Rackham dean can establish a committee composed of a Rackham assistant dean and a representative of the GSPCS team to perform a preliminary inquiry. Barring exceptional circumstances the preliminary inquiry should be completed in 14 calendar days. In case of [conflict of interest](#) the Rackham dean will appoint a different Rackham assistant dean. If no Rackham assistant dean is available, then a Rackham staff member will perform the preliminary inquiry. Both the assistant dean and the Rackham staff member are individuals with reporting obligation (IRO).

As a result of the preliminary inquiry, the committee will make a recommendation to the Rackham dean. There are three possible recommendations of the preliminary inquiry:

- a) The allegation does not require further action because it does not rise to the status of serious under this policy; or there is insufficient information to pursue the complaint.
- b) The allegation should be referred to another university unit to be addressed under its policy and procedures; the Rackham dean will make the referral to the other unit;
- c) The allegation is recommended for investigation.

The committee communicates the results of the preliminary inquiry and their recommendation to the Rackham dean. The Rackham dean evaluates the results of the preliminary inquiry and decides whether to accept the recommendation. The assistant dean will inform the person who submits an allegation of the Rackham dean's decision (if this person is known). There is no appeal of this decision. The types of allegations that might not warrant further investigation in most cases include disagreement with Rackham graduate faculty feedback on graduate student work and an isolated, unintentional instance of unprofessionalism.

In instances in which the allegation will not receive further action, the Rackham dean may at their discretion, and as part of a restorative approach, engage the Respondent in discussion about the professional standards of the Statement and/or refer the matter for resolution under the [Rackham Academic Dispute Resolution Policy and Procedure](#).

In instances in which the Rackham dean accepts the recommendation that an allegation be investigated the Rackham dean will inform the dean of the school/college and together they will inform the chair of the department in which the Rackham graduate faculty member holds primary appointment that a Rackham investigation will be opened. At this stage, the confidentiality of the person who made the complaint cannot be guaranteed.

Investigation of Allegations

If the Rackham dean decides to open an investigation of the allegation, the dean constitutes an investigatory committee consisting of a Rackham divisional associate dean whose responsibility is outside of the division in which the graduate program is located (chair), an associate dean of the school/college in which the graduate program is administratively located, and a Rackham graduate faculty member from outside the discipline, selected by the Rackham dean. All members of the investigatory committee need to report any conflict of interest to the Rackham dean for resolution. The investigatory committee will be assisted by a Rackham staff member and may, at its discretion, request support from other organizations, including Academic Human Resources and Office of General Counsel. The Rackham dean informs the Respondent that an investigation has been opened before the committee interviews the Respondent. Barring exceptional circumstances the investigation will be concluded within 45 calendar days.

The committee investigates the allegation. This investigation will include, at a minimum, invitations to the following to meet individually with the committee: (1) the person who submitted the allegation (if known); (2) the Respondent; and, (3) the chair(s) of the Respondent's graduate program. Other meetings can be scheduled, or information requested, at the discretion of the committee. Any participant in this process may bring an adviser (e.g., a friend, colleague, family member, attorney, etc.) to any meetings with the investigatory committee, with prior notification and to serve in an advisory capacity only. During the investigatory process, the graduate school upholds the university's non-retaliation policy ([SPG 601.90](#)) at all times; the investigatory committee will reinforce to all participants that they must do the same.

The committee issues a written report, signed by all members, summarizing the findings of the investigation and a determination, by the preponderance of the evidence, of whether the allegation of a serious violation of the professional standards of the Statement is substantiated. The written report can include a dissent by any member of the committee. The committee will share the report with the Respondent. The Respondent may submit a response to the report to the committee within ten calendar days. The response may be no more than 1000 words. The committee will submit its final report and any responses received to the Rackham dean.

Outcome of the Investigation

Upon receiving the report, the Rackham dean will provisionally decide whether sanctions are warranted and, if so, what these sanctions are. At this stage in the procedure the Rackham dean will also receive findings of any investigations undertaken by another college, school, or institute, insofar as they involve allegations in which a member of the Rackham

graduate faculty has violated the professional standards of the Statement as described above under the scope of this policy. The Rackham dean will also decide whether sanctions are warranted on the basis of these findings, and if so, what these sanctions are.

In determining sanctions, the Rackham Dean may use the findings of investigations by other campus organizations, as described under the Scope of this Process. Sanctions are limited to actions the Rackham dean can take with respect to the Respondent as it relates to their role as a member of the Rackham graduate faculty and can include measures such as exclusion from service on Rackham dissertation committees as well as suspension of membership in the Rackham graduate faculty for a specified period of time. Before issuing a final sanction decision the Rackham dean will perform the following steps:

First, the Rackham dean will share the investigative report with the dean (“the academic unit dean”) of the school/college in which the member of the Rackham graduate faculty holds appointment. The Rackham dean will confer with the academic unit dean about the provisional decision. The Rackham dean will confer with each academic unit dean in the event that the Rackham graduate faculty member holds joint appointments.

Second, the Rackham dean will convene a standing subcommittee of the Rackham Executive Board, which is the elected faculty governance of the graduate school. The standing subcommittee will consist of at least four members of the Rackham Executive Board, one from each disciplinary division. The Rackham dean will summarize the investigative report, the provisional decision, and the result of the conference with the academic unit dean. The Rackham dean will confer with the standing subcommittee about the provisional decision, thereby receiving their counsel.

After completing these steps, the Rackham dean will issue a final sanction decision.

The Rackham dean will draft a decision letter to the Respondent describing the process followed, summarizing the investigative findings, and communicating the final sanction decision. The Rackham dean will share this letter in draft form with the academic unit dean. After the academic unit dean has reviewed the draft letter, the Rackham dean will finalize it and submit it to the Respondent. The Rackham dean will provide copies of the final letter to the person who submitted the allegation (if known) and each academic unit dean in which the Respondent holds appointment.

Appeal

A Rackham graduate faculty member who receives a sanction under the process described above may submit a written appeal of the final decision by the Rackham dean within 20 working days

of the receipt of that decision. The appeal shall be submitted to the Rackham Graduate Faculty Appeal Panel. The findings and proposed sanction of the Rackham dean decision shall be presumed valid on appeal and shall be rejected only because of substantial errors of fact or interpretation of university regulations, or because of serious procedural irregularities.

The Rackham Graduate Faculty Appeal Panel shall consist of three Rackham graduate faculty members selected by lot from a list of 20 former members of the Rackham Executive Board who have an active appointment at the University of Michigan. If there is a conflict of interest ([SPG 201.65-1](#)), a different member will be selected by lot. One of Rackham's associate deans not previously involved in the case will convene the Rackham Graduate Faculty Appeal Panel and receive its findings. The Rackham Graduate Faculty Appeal panel can either confirm or overturn the sanction proposed by the Rackham dean. Either decision ends the process and procedure.

Sanction

Any sanctions imposed as a result of this policy and process would take effect only after the appeal process has run out.

Annual Report to the Executive Board

The Rackham dean will annually report to the Executive Board what the outcomes of this policy and process were. This report will be general and not include personal information.

Records

Records of all preliminary inquiries, investigations, and sanctions will be kept at Rackham Graduate School. Records of sanctions will be kept in the personnel file of the Respondent.

Review and updates

This procedure will be reviewed and updated by Rackham's Executive Board on a three-year cycle. The next review will occur in the academic year 2025-2026.