Published by:

The Graduate School
408 Capen Hall
University at Buffalo
Buffalo, NY 14260-1608
Phone: (716) 645-2939
Fax: (716) 645-6142
E-mail: gradschl@buffalo.edu
Internet: http://www.grad.buffalo.edu

Last Revised August 19, 2014
# TABLE OF CONTENTS

## INTRODUCTION

- Preamble

## ADMISSIONS

- Application Fee Waivers and Deferrals
- Standardized Test Requirement for Ph.D. level
- Minimum Undergraduate GPA for Admission to Master's and Ph.D. Level Programs
- Combined Degree Programs
- Non-Matriculated Graduate Student Attendance
- Summer Session Attendance
- Continuous Registration Requirement
- Associated Fee
- Limits on Undergraduate Enrollment in Graduate Undergraduate Student / Graduate Courses
- Cross-Divisional Registration
- Cross Registration with Other SUNY Schools
- Maximum Credit Hour Overrides
- Full-Time Status
- Returning Student Semester Record Activation and Class Attendance
- Course Syllabi Requirements Policy
- Financial Documentation
- Responsibilities
- International Academic Standards for International Applicants
- Canadian Citizens with Native American Status
- English Language Proficiency
- The English Language Institute (ELI)
- TOEFL and IELTS Minimum Requirements
- TOEFL (PBT and CBT)
- TOEFL (iBT)
- Conditional Admission with TOEFL iBT Scores
- International English Language Testing System (IELTS)
- Examine-on-Arrival / Deferral
- Automatic English Language Proficiency Waivers
- International Teaching, Research and Graduate Assistants
- SPEAK Test and TOEFL iBT
- International Graduate Students with Teaching Responsibilities
- Financial Documentation

## CALENDAR/CLASS SCHEDULE

- Official Calendar
- Course Syllabi Requirements Policy
- Class Attendance
- Attendance on Religious Holy Days

## INSTRUCTION OF GRADUATE STUDENTS

- Teaching and Grading of Graduate Level Courses

## REGISTRATION

- Continuous Registration Requirement
- Leaves of Absence
- Returning Student Semester Record Activation and Associated Fee
- Full-Time Status
- Maximum Credit Hour Overrides
- Cross Registration with Other SUNY Schools
- Cross-Divisional Registration
- Graduate Student / Undergraduate Courses
- Undergraduate Student / Graduate Courses
- Limits on Undergraduate Enrollment in Graduate Courses
- Registration Service Indicators

## INTRODUCTORY LANGUAGE COURSES

- Procedures for Enrolling in Introductory Language Classes

## GRADING PROCEDURES

- Grading
- Weighted Grades
- Grade Submission Dates
- Satisfactory/Unsatisfactory (S/U) and Written Evaluation (with grades)
- Audit Grade (N)
- Incomplete Grade (I)
- Blank / Missing Grade
- Change of Grade Policies
- Incomplete (I) Change Policy
- Grades for Dissertation, Research, Thesis, Project or Portfolio Work (L Grades)
- Changing Grades After Degree Conferral
- Grade Reports
- Repeating Courses
- Academic Withdrawal

## STUDENT RECORDS

- Confidentiality of Records
- Change of Name or Address
- New York State Residency
- Transcripts
- Diplomas

## MONITORING STUDENT PROGRESS

- Good Academic Standing
- Minimum Academic Requirements
- Satisfactory Academic Progress (SAP) Criteria for Federal Financial Aid Eligibility
- Annual Academic Review of Ph.D. Students
- Probation
- Academic Dismissal and Transcripts
- Reinstatement

## GENERAL GRADUATE DEGREE REQUIREMENTS

- Transfer Credits
- Use of Prior Coursework Toward a Graduate Degree
- Use of Dual-Listed Courses Toward both an Undergraduate and a Graduate Degree Program
- Limits on "Course Sharing"
- Language Requirement
- Application to Candidacy
- Informal Courses
- Application to Candidacy/Degree Completion Timetable
- Thesis/Dissertation in a Foreign Language
- Time Limits for Degree Conferral
- Registration Prior to Degree Conferral
- Posthumous Award of a Graduate Degree
- Thesis/Dissertation Embargo Option

## Ph.D. DEGREE REQUIREMENTS

- Responsible Conduct of Research (RCR) Training Requirement
- Collaborative Institutional Training Initiative (CITI) Online Program in Responsible Conduct of Research
- Ph.D. Candidacy Qualification
- Ph.D. Dissertation Committee
Changes in Major Advisor and Committee Membership when Graduate Faculty Leave UB .......................... 23
Dissertation .................................................................................. 23
Review of the Dissertation ............................................................... 23
Oral Defense of the Doctoral Dissertation ........................................ 23
Formatting Requirements ............................................................... 23
Copyrighting ................................................................................ 24
Ph.D. Graduation Checklist ............................................................. 24
Required Degree Forms ................................................................. 24
M-Form (Multi-purpose Form) ........................................................... 24
Doctoral Degree Recipients Surveys ............................................... 24
MASTER’S CANDIDATES REQUIREMENTS ................... 24
Master’s Program Supervision ......................................................... 24
Master’s Candidate Final Abstract Requirement ......................... 24
Master’s Thesis ............................................................................. 25
Master’s Thesis Option Requirements ......................................... 25
Master’s Thesis Formatting Requirements .................................... 25
Oral Defense of a Master’s Thesis .................................................. 25
Changes in Major Advisor and Committee Membership when Graduate Faculty Leave UB .................. 25
Master’s Thesis Copyrighting Option ............................................. 25
Master’s Final Project .................................................................... 25
Differences between a Master’s Thesis and a Master’s Project .......... 26
Master’s Portfolio Option ............................................................... 26
Graduation Checklist ..................................................................... 26
ADVANCED CERTIFICATE CONFERAL REQUIREMENTS .................. 26
RESEARCH INVOLVING HUMAN SUBJECTS.................... 26
ACADEMIC INTEGRITY POLICIES AND PROCEDURES .............. 27
Preamble ...................................................................................... 27
Examples of Academic Dishonesty ............................................... 27
Consultative Resolution ................................................................. 27
University Sanctions ................................................................. 28
Right to Appeal ............................................................................. 28
Departmental Level Procedures .................................................... 28
University Sanctions ................................................................. 29
Right to Appeal ............................................................................. 29
Decanal Level Procedures ............................................................. 29
University Sanctions ................................................................. 30
Right to Appeal ............................................................................. 30
Graduate School Level Procedures .............................................. 30
University Sanctions ................................................................. 31
No Right to Further Appeal .......................................................... 31
Appendix A Departmental Grievance Committee Membership ......................................................... 31
Appendix B Confidentiality of Proceedings .................................. 31
Appendix C Decanal Grievance Committee Membership .............. 31
Appendix D Graduate School Grievance Committee Membership ......................................................... 32
Panel Development ...................................................................... 32
ACADEMIC GRIEVANCE POLICIES AND PROCEDURES .......... 32
Preamble ...................................................................................... 32
Grievance Definitions and Limits .................................................. 33
Consultative Resolution ................................................................. 33
Formal Resolution ........................................................................ 33
I. Departmental Level Review ........................................................ 33
II. School or College Level Appeal .................................................. 34
III. Graduate School Level Appeal .................................................. 34
Appendix A Departmental Grievance Committee Membership ......................................................... 35
Appendix B Confidentiality of Proceedings .................................. 36
Appendix C Decanal Grievance Committee Membership .............. 36
Appendix D Graduate School Grievance Committee Membership ......................................................... 36
Panel Development ...................................................................... 36
OTHER UNIVERSITY POLICIES RELATED TO ACADEMIC INTEGRITY AND GRIEVANCE POLICIES .. 36
1. Responsible Conduct in Research and Creative Activity .............................................................. 37
2. Other University Policies and Procedures .............................................................. 37
3. Professional School and Program Policies .............................................................. 37
OTHER UNIVERSITY RESOURCES .................................... 37
INTRODUCTION
The Graduate School of the State University of New York at Buffalo is authorized to offer programs and recommend the granting of degrees at levels beyond the baccalaureate. The College, Schools and Divisions of the University with graduate programs conducted under the aegis of the Graduate School are listed below:

School of Architecture and Planning (M.Arch, MUP, Ph.D.)
College of Arts and Sciences (MA, MFA, MM, MS, Ph.D., Au.D., Advanced Certificate)
School of Dental Medicine (MS, Ph.D.)
Graduate School of Education (MS, MA, Ph.D., Advanced Certificate)
School of Engineering and Applied Sciences (MS, ME, Ph.D., Advanced Certificate)
School of Public Health and Health Professions (MS, MA, MPH, Ph.D.)
School of Management (MS, Ph.D., Advanced Certificate)
School of Medicine and Biomedical Sciences (MS, MA, Ph.D.)
School of Nursing (MS, Ph.D., DNP, Advanced Certificate)
School of Pharmacy and Pharmaceutical Sciences (MS, Ph.D.)
Roswell Park Graduate Division (MS, Ph.D.)
School of Social Work (Ph.D.)

ADMISSIONS
Graduate students must apply directly to a department for admission to specific degree and/or advanced certificate programs. The individual Schools, departments, and programs establish their own requirements for admission. In all cases, a baccalaureate degree or its equivalent from an accredited or recognized undergraduate institution is required. Application materials should be requested from the individual School, department, or program in which the student wishes to undertake graduate study. A non-refundable application fee, payable in U.S. funds, is required of all applicants for graduate admission.

Application Fee Waivers and Deferrals
In general, waivers of graduate application fees are not granted. Categorical exceptions are made only for those applicants who provide sufficient documentation of their participation as an undergraduate student in an EOP, HEOP or SEEK program within New York State (only), or as an undergraduate participant in the CSTEP, MARC, PREP, RISE, LSAMP or McNair Scholars programs on any campus, or as an applicant through Project 1000.

An appeal for a deferral (not a waiver) of the application fee can be made by departments on behalf of applicants who provide documentation of receipt of a GRE Fee Waiver. In all other cases, a deferral (not a waiver) will be considered by the Office of Graduate Enrollment Management Services only in extraordinary cases of financial hardship, and then only when clear documentation from an appropriate official at an institution of higher education certifying this financial need is provided. Please note that self-declaration of need by an applicant or mere eligibility for student financial aid (loans) is not adequate justification. For more information, applicants should consult the department in which they are applying to graduate study.

Standardized Test Requirement for Ph.D. level
Completion of the Graduate Record Examination (GRE) or other appropriate standardized national exam (e.g., Miller Analogies Test [MAT]) is required for admission to all Ph.D. programs at UB, within 5 years of application to a UB doctoral level program. However, there is no specified minimum test score for admission consideration or actual admission. Departments interested in admitting Ph.D. applicants without a GRE or other approved standardized test score must petition the Office of Graduate Enrollment Management Services and provide necessary documentation (transcripts, essays, recommendation letters, etc.) supporting their case.

Minimum Undergraduate GPA for Admission to Master's and Ph.D. Level Programs
The minimum cumulative undergraduate grade-point-average (GPA) for admission to Master's and Ph.D. level programs is 3.0. Departments interested in admitting applicants with a cumulative undergraduate GPA below 3.0 must petition the Office of Graduate Enrollment Management Services and provide necessary documentation (transcripts, standardized test scores, etc.) supporting their case.

Combined Degree Programs
Combined degree programs offer UB students the opportunity to pursue multiple degree objectives at an accelerated pace and are designed for students who have demonstrated exceptional promise. Combined degree programs pair the curricula of two degree programs from different levels (e.g., bachelor's and master's), resulting in a condensed format where students may complete the combined degree in less time (and often less cost) than is normally required to complete the two degree programs separately. By reducing some courses within the undergraduate major (normally taken near the end of the undergraduate degree) and substituting equivalent graduate-level courses customarily taken during the initial stages of a graduate degree, students are able to shorten the time needed to gain competence in all required curricular content of both degree programs. When completed, students’ records will indicate two degrees individually awarded as part of a combined degree program.

Combined degrees have a two-tier tuition structure. Over the course of a combined degree program, the student is charged the tuition rate each semester that corresponds to the appropriate career or program rate for that semester. While the student is completing the undergraduate portion, tuition is charged at the undergraduate rate. When the student is admitted at the graduate level, tuition charges change to the appropriate graduate or professional rate. For example, a student
adhering to the prescribed curriculum in the combined BS/MBA in Business Administration program is typically required to complete three years of undergraduate coursework and two years of graduate coursework. Thus, the student is classified as undergraduate and is billed at the undergraduate rate for three years. Thereafter, through acceptance to the MBA component in UB's graduate admissions application system (GrAdMIT), the student's career changes to graduate, and the student's bill reflects the appropriate graduate tuition rate until the student completes the combined degree program.

Domestic students pursuing combined degree programs may be eligible for New York State sponsored grants and scholarships and federal financial aid, which is comprised of Federal PELL Grants, Federal Supplemental Educational Opportunity Grants (SEOG), Federal Direct Subsidized and Unsubsidized Loans, and Federal Perkins Loans while completing the undergraduate portion of their program. However, once admitted to the graduate portion of their program and charged graduate tuition, domestic students may no longer be eligible for one or more of these awards. Instead, domestic graduate students are eligible to apply for Federal Direct Unsubsidized Loans as well as a Federal Direct Graduate PLUS Loan. For more information regarding student aid, and how to apply, please visit UB’s Financial Aid website at [http://financialaid.buffalo.edu/aid/loans/direct.php](http://financialaid.buffalo.edu/aid/loans/direct.php).

Any student who receives a UB-sponsored undergraduate award (such as an Acker, Provost, or Presidential scholarship) and who later pursues a combined degree program, will continue to remain eligible for their undergraduate award through its normal duration (typically 4 years total) even after matriculating into the graduate portion of their combined degree program. The award amount will continue to be at the undergraduate level.

Any student choosing to leave the combined degree program prior to its completion will have his/her bill altered in the following manner. A student pursuing the undergraduate portion of the combined program when s/he chooses not to pursue the combined degree program will continue with undergraduate coursework and will be billed accordingly. However, such a student is no longer permitted to pursue a graduate program until s/he completes the baccalaureate degree in full and is admitted formally to a regular graduate degree program. A student pursuing the graduate portion of the combined degree program when s/he chooses to abandon that combined program of study will continue to be charged at the graduate rate until formally re-matriculated into the undergraduate career for the following semester.

The minimum undergraduate residency requirement for the undergraduate portion of any combined degree program is 18 credit hours. The minimum graduate residency requirement for the graduate portion of any combined degree program varies by program. However, in no case is the graduate residency requirement for any combined degree program ever less than 24 credit hours.

In certain circumstances, a combined degree program may not qualify the student for professional licensure if such licensure requires the completion of a full (non-abbreviated) undergraduate degree program. Students in licensure-eligible programs should discuss these requirements with an advisor to confirm any such limitations.

For a listing of UB’s Combined Degree Programs, refer to the Degree Program Summary chart.

**Non-Matriculated Graduate Student Attendance**

Students who hold a bachelor’s degree are permitted to register for graduate coursework as non-matriculated students for a maximum of 12 credit hours. Information about this opportunity may be obtained from the individual department. Once registration reaches twelve hours, a service indicator will be placed on the student’s academic record by the Graduate School prohibiting further registration until the student matriculates into a graduate degree program.

**Summer Session Attendance**

Currently enrolled UB graduate students need only to register in order to attend Summer Sessions. Students enrolled in graduate programs at other universities who have been accepted to UB in the subsequent fall semester, or students who have completed a baccalaureate degree, may register as non-matriculated students for the summer session. Non-matriculated students must first secure the approval of the appropriate department or faculty member for each graduate level course to be taken.

Once approval is obtained from the department, completion of an online non-degree application is required. For more information, applicants should consult the department in which they are applying to graduate study.

**ADMISSIONS INTEGRITY POLICIES AND PROCEDURES**

**Preamble**

When an instance of a suspected or alleged admissions integrity breach by a student arises, it shall be resolved according to the procedures set forth herein.

**Introduction**

According to the UB Student Rights and Responsibilities Code, Article 12, Item 45: “Falsifying University Credentials,” the following is noted:

Students found to have knowingly falsified application information may be subject to suspension, dismissal, or other administrative penalties.

Falsified application information may include but is not limited to: making inaccurate statements on the application, withholding information requested on the application, giving false information, or submitting fraudulent or falsified documents in support of a graduate admissions application.

When falsification of application information is suspected, the Office of International Admissions (OIA), the Office of Graduate Enrollment Management Services
Informal Procedures

Step 1: If the OIA, GEMS, or the academic unit believes the student committed an act in violation of admissions integrity standards, OIA, GEMS, or the chair or director of graduate study in the academic unit shall provide a written statement of notification to that effect to the VPGE within 20 calendar days after discovery of the alleged incident. In the case where the OIA or GEMS provides a written statement of notification, a copy of such notification will be sent to the academic unit.

Step 2: GEMS will temporarily assign the student a “GRD” service indicator, and will inform the academic unit of this action. The “GRD” service indicator can only be removed by resolution of the pending case.

Step 3: In a case involving a suspected admissions integrity breach on the part of a domestic applicant, GEMS will notify the student of the specific allegation and will request a written explanation. In a case involving a suspected breach on the part of an international applicant, OIA will notify the student of the specific allegation and will request a written explanation. The academic unit shall receive copies of this communication.

Step 4: If the explanation is deemed reasonable by either OIA or GEMS and adequately addresses the concern, the case will be considered resolved, and the service indicator will be removed. The academic unit will be informed of this resolution and of the removal of the student’s service indicator. Every effort shall be made by OIA or GEMS to resolve such cases through the Informal Procedures outlined above. However, if the explanation provided by the student is deemed unreasonable, inadequate or inconclusive, formal proceedings shall be invoked in accordance with the following Formal Procedures.

Formal Procedures

Step 1: The OIA, GEMS, or the academic unit will submit a written request to the Office of the Vice Provost for Graduate Education to initiate formal proceedings.

Step 2: The Office of the Vice Provost for Graduate Education will officially notify the student (via certified return-receipt mail) of the allegation of admissions dishonesty and the initiation of these formal proceedings.

Step 3: If not already in place, GEMS will temporarily assign the student a “GRD” service indicator. The “GRD” service indicator can only be removed by resolution of the pending case.

Step 4: The Vice Provost for Graduate Education will convene an Admissions Integrity Committee to consider the case. The Committee will consist of a minimum of five representatives. In all cases the VPGE will select at least one representative from GEMS, the academic unit, and the Office of Judicial Affairs. In cases where international admissions integrity is in question, the OIA must also have representation on the Committee. The VPGE may select more than one representative from any of the units involved in order to form the full Committee of five representatives.

The Committee shall convene a hearing within 20 calendar days from the date the Office of the Vice Provost for Graduate Education received written notification from the academic unit or the OIA requesting the initiation of these formal proceedings.

The Admissions Integrity Committee shall give the student at least 72 hours prior notice of date, time and place of the hearing. Prior to the hearing, the student shall provide the Office of the Vice Provost for Graduate Education with a written statement including evidence to support his/her position.

Step 5: At the hearing, the Admissions Integrity Committee shall provide the student sufficient opportunity to present his/her position. The student shall have the right to be present and have one advisor present at the hearing. [In no case shall the advisor be an attorney, unless he or she is a member of the UB faculty not acting in a legal capacity.] These hearings are conducted in confidence. The technical and formal rules of evidence applicable in a court of law are not controlling, and the Admissions Integrity Hearing may receive and consider all relevant material and reliable evidence that will contribute to an informed result. The Chair of the Committee may exclude irrelevant or unduly repetitious evidence.

Step 6: Once the hearing has adjourned, the Committee will review all applicable evidence and submit a written statement of recommendations and reasons for recommendations to the VPGE. The written statement of recommendations shall be submitted to the VPGE within 10 calendar days after the final meeting of the Committee. Recommendations may include:

- **Dismissal of Case:** Insufficient evidence shall be grounds for dismissal of a case. No file shall be kept.

- **Not Responsible for breaching Admissions Integrity standards:** No sanctions shall be imposed, and no file shall be kept.

- **Responsible for breaching Admissions Integrity standards/Sanctions Imposed:** If a majority of the Admissions Integrity Committee is convinced that the student committed a violation, the Committee has the right to recommend to the VPGE one or more of the following sanctions:
  a) **Admonition:** An oral statement to the student that he or she has violated a University standard of integrity.
  b) **Warning:** Written notice to the student that subsequent repetition of the wrongful conduct may be cause for more severe sanctions including dismissal, expulsion, or other appropriate sanctions.

---

1. Academic unit is defined as either a university department or a graduate program where there exists no departmental affiliation.
c) Dismissal from the graduate program to which the student was admitted: With written comment on the transcript.
d) Expulsion from the University: With written comment on the transcript. [Note: only the University President or his/her designee may expel a student from the university.]
e) Other sanctions as appropriate to each individual situation.

Step 7: Upon thorough consideration of the Committee’s findings and recommendations, if the VPGE finds the student is responsible for breaching admissions integrity standards, he/she shall create and maintain, in the Office of the VPGE, a file on the matter consisting of all written communications, all written evidence, and audiotape or other records of the hearing, and the letter communicating the VPGE’s decision in the matter. If the VPGE finds the student is not responsible for breaching admissions integrity standards, he/she shall expunge the student’s record regarding this matter.

Step 8: The final decision and sanction(s) to be imposed shall be submitted in writing from the VPGE to the student within 20 calendar days of receiving the Admissions Integrity Committee’s statement of recommendations in the matter. The decision of the Vice Provost for Graduate Education is final. The only ground upon which a student may challenge the decision of the VPGE is a substantiated claim of due process violation.

INTERNATIONAL STUDENT ADMISSIONS POLICIES

The University at Buffalo welcomes applications from qualified international students. Application information regarding specific programs may be obtained by contacting the academic department in which enrollment is desired. Applicants presenting international educational credentials must possess a university degree that is recognized as equivalent to a U.S. bachelor’s degree prior to beginning graduate study. International applicants must meet the following requirements imposed by University policy and by U.S. Immigration Service regulations.

Institutional Academic Standards for International Applicants

In order to be compliant with federal regulations pertaining to the admission and enrollment of international students, the Office of International Admissions (OIA) must review all international applicants the department wishes to accept. OIA checks and verifies all academic documents, test scores and financial documentation, as well as the offer letter from the department. After reviewing submitted dossiers, OIA enters a decision in GrAdMIT (Accept Provisional or Accept Final). This action triggers an automatic e-mail confirmation of acceptance to the student from the Dean of the Graduate School.

Canadian Citizens with Native American Status

Students who are Canadian citizens with Native American status do not need immigration documents and may be eligible to pay in-state tuition rates if they meet certain domicile requirements. However Canadian Native American status does not change a student's citizenship nor the manner UB is required to enter that student into university computer systems. Admission records indicate these students as Canadian citizens. Because the Office of International Admissions is not authorized to show a non-U.S. citizen as having in-state status, the student needs to contact the Student Response Center to take the next steps for approval of in-state residency status. Details about in-state tuition, domicile requirements for New York State residency, and deadlines can be found on the UB Student Accounts website.

English Language Proficiency

All international applicants (unless exempted) must demonstrate proficiency in the English language. International students may demonstrate proficiency by submitting official test scores from either the TOEFL (Test of English as a Foreign Language) or the IELTS (International English Language Testing System).

The English Language Institute (ELI)

International applicants who desire or need to improve their English language proficiency may do so through the University’s English Language Institute, which offers Intensive English Programs during the fall, spring, and summer semesters (the summer programs are six- and 12-weeks in duration, while the fall and spring programs are 15-weeks in duration). For further information, contact the English Language Institute, 320 Baldy Hall, North Campus, (716) 645-2077.

TOEFL and IELTS Minimum Requirements

TOEFL (PBT and CBT)

Although departments may require higher scores, the university’s official minimum score for the TOEFL is 550 for the paper-based (PBT) test or 213 for the computer-based (CBT) test. The TOEFL score must be dated within two years of the time the application is reviewed by International Admissions in GrAdMIT.

TOEFL (iBT)

Although departments may require higher scores, the university’s official minimum score for the TOEFL iBT is 79. UB does not currently require minimum cut-off scores for the four individual subsections. However Graduate Admission Committees are advised to examine and consider section scores as they are relevant to the linguistic needs and expectations of their departments. Though there is no required minimum section score, most accepted students are expected to achieve the following section scores: Reading: 19/30 Listening: 15/30 Speaking: 19/30 Writing: 19/30.
Conditional Admission with TOFEL iBT Scores

Graduate students who score 70 - 78 on the iBT may be admitted to UB under the following condition: The student must enroll in and successfully complete one of three full-time intensive English programs in the UB English Language Institute, depending on score received, as detailed below:

- Students accepted to a fall semester with an iBT score of 70 - 74 must complete a twelve-week summer ELI program at UB.
- Students accepted to a fall semester with an iBT score of 75 - 78 must complete a six-week summer ELI program at UB.
- Students accepted to a spring semester with an iBT score of 70 - 78 must complete a fifteen-week fall semester ELI program at UB.

Conditional Admission cannot be granted retroactively. University admission cannot be offered if the TOEFL score is below 500/173/70. Upon successfully completing the required ELI program, the student is free to begin the academic program of study with no further ESL language requirements (with the exception of international teaching, research, and graduate assistants, who may be required to register for ESL 512). "Successful completion" is defined as passing the ELI program (with an overall grade of "C" or higher) and meeting the ELI minimum attendance policy, or having the endorsement of ELI teachers and the Director of the ESL Program.

International English Language Testing System (IELTS)

The required minimum IELTS (International English Language Testing System) score is 6.5 overall with no individual sub-score below 6.0. The IELTS score must be dated within two years of the time the application is reviewed by International Admissions in GrAdMIT. Only the official original IELTS score report is acceptable; photocopies are not acceptable. Conditional Admission is not permitted based on low IELTS scores.

Examine-on-Arrival / Deferral

Departments can petition the Graduate School for a TOEFL deferral. A granted deferral results in the student being examined upon arrival at UB. Examine-on-Arrival means the student sits for an Institutional Paper-and-Pencil TOEFL test offered through UB's English Language Institute, not the Computer or Internet-Based Test (C/iBT). Examine-on-Arrival tests are offered on specific dates/times during the International Student Orientation prior to each semester. When a student is granted a TOEFL deferral, the department's acceptance letter must clearly state:

- Examine-on-Arrival is being offered;
- a specific minimum score must be met in order to matriculate into the degree program (see cut-off scores below);
- not meeting the minimum score requirement means the student cannot begin matriculated study and must enroll in UB English Language Institute classes (and no degree/academic subjects may be taken without permission from the Director of ESL Programs, the Director of ELI and the Chair or DGS of the academic unit);
- costs for the ELI programs are in addition to the regular university costs and are borne by the student.

Based on the deferred Examine-on-Arrival TOEFL score, students may or may not be permitted to begin their academic program of study depending on the "arrival score" they earn.

Students who achieve an Examine-on-Arrival TOEFL score of at least 550 are exempt from further English language course requirements (with the exception of foreign teaching, research, and graduate assistants, who may be required to register for ESL 512).

Students who achieve an Examine-on-Arrival TOEFL score between 537 and 547 may matriculate into their graduate program; these students will be required to register for one ESL course during their first semester of academic study and no more than a total of four courses, including supervised teaching and ESL courses, until they complete their ESL course requirement.

Students who achieve an Examine-on-Arrival TOEFL score between 523 and 533 may matriculate into their graduate program; these students will be required to register for two ESL courses during their first semester of academic study and no more than a total of four courses, including supervised teaching and ESL courses, until they complete their ESL course requirement.

Students who score below 523 may not matriculate into their graduate program. These students must enroll in an intensive language ELI program. Students required to complete an intensive English program may not register for any academic courses while they are enrolled in the Intensive English Program.

Automatic English Language Proficiency Waivers

The following categories of students are automatically exempt from the English Language Proficiency Requirement.

1. Students who are citizens of, and who claim to be native speakers of English, and who were educated in the English medium from Australia, Canada (except Quebec), Ireland, New Zealand, and the United Kingdom (England, Scotland, Wales and Northern Ireland).
2. Citizens of Singapore who completed their education in an English medium environment and who obtained a grade of D or better on the Singapore O-level examination.
3. Non-matriculated students attending UB under reciprocal exchange agreements with international institutions of higher education.
4. Students who were enrolled at UB and are moving from one degree-level to another or one program to another with a break in their studies up to one calendar year at the time the application file is reviewed by the Office of International Admissions.
For example, if a student graduated from UB on June 1, 2011 and applies for admission to a UB graduate program in Fall 2012, and as long as the file is reviewed and approved by International Admissions before June 1, 2012, the English language proficiency requirement will be automatically waived.

5. International students transferring from another U.S. institution to UB, with a break in their studies up to one calendar year at the time the application file is reviewed by the Office of International Admissions, who would have met UB's minimum requirements and who had a valid TOEFL/IETS at the time they commenced study at the other institution. Departments must submit a photocopy of the applicant's TOEFL/IETS score result that was used for admission at the other U.S. institution. Institutional TOEFL score reports are not valid at UB and cannot be used for admission purposes.

International Teaching, Research and Graduate Assistants

In addition to the English Language Proficiency Requirement (demonstrated with a valid TOEFL or IELTS score), all international students who have been awarded graduate, research, or teaching assistantships (including Presidential Fellowships) must take the Speaking Proficiency English Assessment Kit (SPEAK) test upon arrival on campus. Registration for classes is only possible after taking the SPEAK test. International graduate students in certain programs are also required to take the SPEAK test as a policy of the program, regardless of whether or not they receive an assistantship. Applicants who take and submit a score of at least 55 from a Test of Spoken English (TSE) are exempt from the SPEAK test.

The SPEAK test is given at the beginning of each fall and spring semester during International Student Orientation. Students required to take the SPEAK test at that time must pick up a SPEAK Test Admission Form at the International Student Orientation site or at the English Language Institute, 320 Baldy Hall, North Campus. The SPEAK test can also be administered by appointment during the semester to students who are applying for assistantships. Individual students are allowed to take a SPEAK test a maximum of two times during a semester.

SPEAK Test and TOEFL iBT

The SPEAK test is used for all international students who have been offered assistantships as well as for departments that currently require the SPEAK test as part of their own admission process. The Speaking section of the TOEFL iBT does not replace the SPEAK test.

International Graduate Students with Teaching Responsibilities

International students expected to have teaching duties and who achieve a score of 55 or 60 on the SPEAK (from a total of 60 scored in five-point increments) are automatically certified to teach lecture, seminar, recitation, and lab classes. Those students with a score of 50 are given opportunity to demonstrate their communication skills by means of a teaching demonstration before representatives from the ELI Program and their own department, in order to determine eligibility to teach. A teaching demonstration is only at the request of the student's department, and can be requested even for a student with a SPEAK score below 50, if the department feels that the test results do not completely reflect the student's true abilities.

Students whose scores are below 55 on the SPEAK test are advised or even required to take Communication Skills for International Teaching Assistants (ESL 512) before being allowed to take on any teaching duties, regardless of the TOEFL score used for admission purposes. This is a graduate-level training course, offered each fall and spring, that provides instruction and practice in oral communication skills and fundamental teaching techniques. Participants in this course prepare a series of microteaching presentations, which are videotaped. The students and instructor review these presentations. Upon completion of this course, Teaching Assistants take the SPEAK test again and are reevaluated to determine competence for assuming teaching responsibilities.

Students expected to have teaching responsibilities, but whose SPEAK scores are 35 or less are advised to take Advanced Spoken English (ESL 411/412) as a precursor to ESL 512. The English Language Institute also offers a pronunciation course in the evening, to assist students who desire to reduce their accent. It is recommended that these students be assigned reduced duties and responsibilities until they have satisfactorily completed ESL 512.

Students who cannot pass ESL 512 within two semesters (fall and spring) after entering the University will not be permitted to teach or supervise undergraduate students. The English Language Institute communicates such failures to the academic department and works with them to help the student. Directors of Graduate Study should work with international students to integrate them into the department and encourage them to speak the English language during the time they are registered for ESL 512.

Financial Documentation

All international applicants must document their ability to meet all educational and personal expenses for the duration of their programs. Applicants will receive more detailed information regarding this requirement with their application. Funds must be documented with liquid assets in the form of bank statements, mutual funds, certificates of deposit, stocks, etc. Documentation must be original and dated within one year of the date the student will enroll at UB.

International applicants are eligible for departmental assistantships and some Graduate School fellowships. International students are not eligible for any New York State or federal scholarships or loans. No other financial assistance is available for international students.

A Certificate of Visa Eligibility may only be issued after the applicant has satisfied both the English proficiency and
financial requirements and after department recommendation for admission is made and academic documentation reviewed by the Office of International Admissions.

**CALENDAR/CLASS SCHEDULE**

**Official Calendar**

The official University calendar is issued by the Office of the Registrar. New graduate students or non-matriculated students may obtain a class schedule from the University’s Web site at: [http://registrar.buffalo.edu/schedules/index.php](http://registrar.buffalo.edu/schedules/index.php)

**Course Syllabi Requirements Policy**

UB's institution-wide Course Syllabi Requirements Policy can be found in the online undergraduate catalog. While this policy was written specific to the needs of undergraduate education at UB, its principles define the content expectations for graduate level course syllabi as well. Please note the following: Where this institution-wide policy refers to reviewing the undergraduate policy for incomplete grades, please refer instead to the graduate Incomplete Grade (IU) policy. Where the policy refers to the undergraduate Academic Integrity Policy, please refer instead to the graduate Academic Integrity Policies and Procedures; and finally, the section of the policy regarding “Controlled Enrollment Courses” is not applicable to graduate level courses.

**Class Attendance**

Since the University desires to promote student responsibility, there is no general rule concerning absences from class. Instructors may, however, take account of such absences in determining final grades.

**Attendance on Religious Holy Days**

On those religious holy days when members of a faith observe the expectation of their religion that they be absent from school or work, individual students will be excused from class without penalty if expressly requested. If such a requested absence results in a student’s inability to fulfill the academic requirement of a course scheduled on that particular day, the instructor must provide an opportunity for the student to make up the requirement without penalty. Students shall not be charged any fees or experience any adverse or prejudicial effects due to absence from coursework due to religious observance.

In the event that a student absence situation cannot be resolved between the student and the class instructor, or either party is aggrieved by the process, appeal shall proceed to the Office of the Senior Vice Provost for Academic Affairs.

**INSTRUCTION OF GRADUATE STUDENTS**

Instruction of graduate students is not limited to members of UB’s Graduate Faculty. Academic departments are free to use their judgment in determining those individuals who are deemed suitably qualified, by virtue of their academic training and professional experience, to provide high quality and relevant instruction at the graduate level. Consult the Graduate School for more information regarding the suitability of individuals to instruct at the graduate level at UB.

**Teaching and Grading of Graduate Level Courses**

Graduate level courses should normally be taught by Members or Associate Members of the UB Graduate Faculty. On occasion, other suitably qualified UB faculty (not graduate students) who have adjunct, visiting, or other qualified rank appointments may also teach graduate level courses (see previous section “Instruction of Graduate Students”). Due to conflict of interest and other risks, regardless of appointment type (e.g., Teaching Assistant, Graduate Assistant, Research Assistant, Lecturer, Instructor, etc.), graduate students may not be the Primary Instructor or the determiner of final grades for any graduate level course. Exceptions to this restriction can only be made on a case-by-case basis by the Dean of the Graduate School, and will only be considered under extraordinary circumstances.

**REGISTRATION**

As part of the registration process, students select a program of courses with the advice of their advisors or committee and with the approval of their program director. Students must then officially register every semester for the appropriate courses according to established registration procedures and within the deadline dates announced by the Office of the Registrar on their website at [http://registrar.buffalo.edu/registration/index.php](http://registrar.buffalo.edu/registration/index.php).

**Continuous Registration Requirement**

Graduate students must register for (and pay all tuition and fees not covered by a tuition scholarship) a minimum of one credit hour each fall and spring term until ALL requirements for the degree are completed. If continuous registration is impossible, the student must secure a Leave of Absence from the Graduate School. Failure to secure a Leave of Absence by the end of the first week of the semester in which the Leave is to begin will result in a $350 reactivation fine being assessed to the student’s account when the student subsequently registers for classes. Students may not be on a Leave of Absence in the semester immediately preceding degree conferral. Under some circumstances, the continuous registration requirement may be waived for the semester immediately prior to degree conferral if the student has an approved Application to Candidacy on file in the Graduate School, will not be using any University services or faculty time, and has submitted all required conferral materials to the Graduate School prior to the first day of the semester. Students may request a waiver of continuous registration by filing a Graduate Student Petition Form with the Graduate School.
Leaves of Absence

Requests for Leaves of Absence must be negotiated through the chair or director of graduate studies of the student’s major department using a Graduate Student Petition Form. The form must then be forwarded to the Graduate School for review by the end of the first week of the semester in which the leave is to begin.

Normally, Leaves are granted for a maximum of one year, but may be extended for up to one additional year if circumstances warrant. Each department may establish its own policies within the limits of these guidelines. All Leave requests must be supported by adequate documentation.

Students approved for a Leave of Absence remain liable for any outstanding tuition and fee charges.

International students are advised to consult with International Student and Scholar Services, 210 Talbert Hall, North Campus, (716) 645-2258, prior to applying for a Leave of Absence.

Failure to register for classes or secure a Leave of Absence by the end of the first week of the semester in which the Leave is to begin, will result in the student losing his/her access to register for classes in a future semester. To regain registration access within a subsequent five-year period, the student’s home academic department must file a semester record activation request on behalf of the student (see the Returning Student Semester Record Activation and Associated Fee section immediately below for more details).

Returning Student Semester Record Activation and Associated Fee

Academic departments may file a semester record activation request for graduate students who were previously admitted into an academic program through GrAdMIT, and had a break in attendance of no more than five (5) years, and had neglected to secure an approved Leave of Absence from the Graduate School. Once reviewed and approved by the Vice Provost for Graduate Education, a new semester record will be created with exactly the same academic career, program, and plan as recorded for the last semester in which the student attended UB. At the time of semester record activation, the student will be assessed a non-refundable record activation fee (currently $350).

It is the prerogative of the academic department to decide whether or not to process/endorse a former student’s request for Semester Record Activation and return to graduate study as described in the previous paragraph. The department also determines how much of the previously completed work may be applied toward the graduate degree program, within established Graduate School guidelines.

Any graduate student who has had an enrollment lapse of more than five (5) years must reapply through the graduate program’s regular application process.

Full-Time Status

All graduate students must be registered for a minimum of 12 credit hours during each fall and spring semester or a minimum of 9 hours if the student holds a graduate, teaching, or research assistantship to be considered full-time by certain outside agencies/organizations such as lending institutions, health insurance carriers, the U.S. Citizenship and Immigration Service, etc.

Under certain circumstances, students can be certified full-time even though they are registered for fewer than 12 credits (or fewer than 9 credits if they concurrently hold an assistantship). A student must have on file an Application to Candidacy approved through departmental level, must be registered for between 1 and 11 credits, and must be working on his/her thesis, final project, or dissertation, or preparing for a comprehensive exam, or participating in a University-approved foreign exchange program extensively enough according to the following schedule:

<table>
<thead>
<tr>
<th>Semester Credits Registered:</th>
<th>Number of Weekly Hours required (in addition to in-class hours) for Certified Full-Time Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td>0</td>
</tr>
<tr>
<td>11</td>
<td>3</td>
</tr>
<tr>
<td>10</td>
<td>6</td>
</tr>
<tr>
<td>9</td>
<td>9</td>
</tr>
<tr>
<td>8</td>
<td>12</td>
</tr>
<tr>
<td>7</td>
<td>15</td>
</tr>
<tr>
<td>6</td>
<td>18</td>
</tr>
<tr>
<td>5</td>
<td>21</td>
</tr>
<tr>
<td>4</td>
<td>24</td>
</tr>
<tr>
<td>3</td>
<td>27</td>
</tr>
<tr>
<td>2</td>
<td>30</td>
</tr>
<tr>
<td>1</td>
<td>33</td>
</tr>
</tbody>
</table>

If a student meets the conditions described above, certification must be formally requested through use of a Certification of Full-Time Status form available on the Graduate School website at: www.grad.buffalo.edu/forms.

Maximum Credit Hour Overrides

Graduate students may register for no more than 19 credit hours per semester. The chair or director of graduate studies interested in allowing students to exceed this maximum credit hour limit must submit a letter of justification to the Graduate School for review. In considering such requests, the Graduate School will not grant the 19-credit override to any student who has less than a 3.0 overall average or who carries two or more incomplete (I) and/or resign (R) grades.

Cross Registration with Other SUNY Schools

The SUNY institutions approved for graduate cross registration are the University at Buffalo, State University College at Buffalo, State University College at Fredonia, State University College at Brockport, and the State University College at Geneseo. Students must abide by the rules and regulations established by the visiting institution where they intend to cross register. Students in the cross
registration program may take only those courses where space is available, that are approved by the student's home department, and that are also not available at their home institution.

The Graduate Cross Registration form is obtained from the Registrar's Office of the student's home institution. In order to be enrolled in a cross-registered course, a student must get the Graduate Cross Registration form approved by both the home and visiting institutions and then return it to the Registrar of the student's home campus by the published deadline date. Students who do not meet these deadlines will not be enrolled into a cross registration course, and therefore will not receive credits or grades. Also, the student must be registered at the home institution for a minimum of three credit hours while participating in a cross registration program. Each participating institution may establish its own registration procedures and materials. Tuition and fees are paid at the student's home campus. Grades are forwarded to the home institution after the close of the semester. Contact the Office of the Registrar for information (716-645-5698).

Cross-Divisional Registration

Graduate Student / Undergraduate Courses

Undergraduate courses may be taken by graduate students as appropriate prerequisites to their chosen field of study but may not be used to satisfy graduate program requirements or carry graduate credit. Exceptions are possible for some 400-level courses subject to approval in advance by the Graduate School. In order to obtain approval, the student must file a Petition for Course Credit Outside Your Primary Academic Career that must include:

- justification for taking an undergraduate course for graduate credit. (For example: that the course curriculum is important to the student’s program and not offered in a graduate course.)
- the signature of the course instructor, who must be a UB tenured or tenure-track faculty member.
- a brief description of the nature and extent of the extra work to be assigned graduate students.
- the signature of the department chair or director of graduate studies of the student’s graduate program.

A student may file a maximum of two petitions for up to eight credit hours of this nature while pursuing a graduate degree. All such petitions must be filed prior to the end of the official add/drop period of the semester of registration. The student must officially register for the course during the designated registration period.

Undergraduate Student / Graduate Courses

Within certain academic limitations described in the Limits on Undergraduate Enrollment in Graduate Courses section, undergraduate students with senior standing can be registered into graduate level courses by an academic department with permission of the course instructor. Graduate credit will be awarded for the course unless the student petitions to use the course for undergraduate credit through the department. A graduate level course applied toward an undergraduate degree cannot also be applied toward a graduate degree.

Limits on Undergraduate Enrollment in Graduate Courses

Prior to receipt of his/her baccalaureate degree, a UB undergraduate student may register for up to two courses (not to exceed 8 credits) at the graduate level that may be applied later to a graduate, professional, or advanced certificate program at UB. In order to exercise this option, the student must have the permission of the department offering the graduate course(s); senior standing; and possess a minimum cumulative undergraduate grade point average (GPA) of 3.0 at the time of graduate course enrollment. Note that the graduate credit hour limit described above does not apply to students formally admitted to, and currently enrolled in, an SED-registered combined undergraduate/graduate (multi-award) degree program at UB, provided that the graduate courses taken are part of that student’s specific combined degree program curriculum and are taken in the proper sequence defined for that curriculum.

Any graduate level courses successfully petitioned for use at the undergraduate level are not included in the 8 credit limit. However, a graduate level course applied toward an undergraduate degree cannot also be applied toward a graduate degree.

Registration Service Indicators

The Graduate School is responsible for processing registration service indicators (to prevent a student from registering) upon receipt of appropriate information from the academic department. Students who have been dismissed from a graduate program due to unsatisfactory academic progress will find a “GRD” service indicator on their record if they attempt to register. Such students may contact the chair of the department from which they were dismissed to seek advice regarding potential removal of this service indicator.

Students who have been registered as non-degree seeking students or who have not complied with departmental or Graduate School policies and procedures may also encounter a “GRD” service indicator when they attempt to register. These students should contact the Graduate School or the department through which they were previously enrolled to determine what is necessary to have the service indicator removed.

Departments wishing to have a “GRD” service indicator issued or removed should forward a letter or email to the Graduate School containing the following information:

- Name of department
- Name of student
- Student’s person number
- Semester or Date for which the service indicator action is effective
- Reason for the service indicator action with documentation
- Name of the person requesting the service indicator action
INTRODUCTORY LANGUAGE COURSES

Graduate students are sometimes encouraged to conduct research or utilize reference sources in languages other than English. In addition, graduate students enrolled in certain UB degree programs may be required to demonstrate basic competence in at least one language other than English.

Procedures for Enrolling in Introductory Language Classes

UB graduate students may start their study of languages, or increase their proficiency, by enrolling in coursework at UB in any of the following ways:

- Register directly for an undergraduate language course (levels 1xx-4xx) for undergraduate credit. To facilitate this registration, students complete the Course Outside Career Petition Form (pdf). The form requires the signatures of the Director of Undergraduate Studies of the department offering the course, the course instructor, and your academic advisor, and should be submitted as early as possible to ensure timely enrollment in the class. A graduate student cannot earn graduate credit for these undergraduate courses, nor can they be applied toward a graduate degree. Exceptions may be possible for some 400-level language courses, subject to prior approval by the Director of Graduate Studies (or the Director of the Language Program) of the department offering the course, and the Graduate School. Note that all courses registered for in a given term (graduate and undergraduate) count toward the minimum of 9 credit hours (for TA/GA/RAs) or 12 credit hours (non-TA/GA/RAs) required for full-time enrollment status.

- Sit-in (as a non-registered attendee) and fully participate in an undergraduate language course at the 1xx through 4xx levels while concurrently registered for an appropriate graduate level tutorial course. While a graduate student does not need to file the Course Outside Career Petition Form, approval is still required from the Director of Undergraduate Studies (or the Director of the Language Program) of the department offering the language course, the undergraduate course instructor, and the student’s academic advisor. The graduate student’s advisor or another suitable faculty member serves as the instructor of the graduate course and will ensure that the graduate student completes sufficient extra work and performs at a more advanced (graduate) level than is required of undergraduate students in the lower-level language course the graduate student attends. A graduate student must fulfill all requirements of the undergraduate language course, as well as fulfill the requirements outlined in the associated graduate level tutorial course.

- Register for a 500-level or higher graduate language course designed for graduate students.

Currently, such courses are routinely offered in a limited number of language areas, and can be offered upon request in other language areas.

GRADING PROCEDURES

Grading

The following grading system is designed to provide the greatest possible flexibility in planning academic programs. The instructor shall announce the grading procedures for the course at the first meeting of the semester. This announcement should include the specification of an S/U option or a letter grade only system.

Students who wish to be graded on a basis different from the one announced by the instructor must submit a written request to the instructor by the fourth week of class. The instructor’s decision will be final and will be transmitted to the student in writing.

Weighted Grades

A, A-, B+, B, B-, C+, C, D, F, and FX (never attended) carry quality points of 4.0, 3.67, 3.33, 3.0, 2.67, 2.33, 2.0, 1.0, 0, and 0, respectively and are considered the Graduate School’s weighted grades. Instructors are required to indicate the bases for determining course grades in each course syllabus. Similarly, any deviation from standard grading practice must be made known to all students within a course, in writing, in order to ensure that the standard of equality of opportunity for all students is met.

Grade Submission Dates

Faculty shall submit grades for all courses by the due date scheduled for each term, which shall be no less than seven days [including weekends and holidays] after the last day of the term’s final examination sessions or the last day of classes of a term not having separately scheduled final examination sessions. Courses offered in a non-standard term, e.g., a non-standard summer session, may have a shorter time for grade submission. Grades may be obtained by students and advisors through the HUB Student Center available through the “MyUB” portal the day after they are submitted.

Satisfactory/Unsatisfactory (S/U) and Written Evaluation (with grades)

An ‘S’ indicates credit earned and ‘U’ indicates no credit earned. The ‘S’ grade should be awarded only in those instances where a student’s weighted grade would have been equivalent to a ‘B’ or better. No more than 25 percent of required formal course credits in a student’s graduate program (not including courses taken as research, thesis, project, portfolio, or dissertation guidance) shall be graded on an S/U basis. Satisfactory (Written) ‘SW’ grades shall not be construed as ‘S’ grades for this purpose. An academic unit may establish a lower percentage limit.

Exclusive of ‘S’ grades, courses to be included as satisfying degree program requirements must average ‘B’ or better. The ‘U’ grade indicates unsatisfactory
Auditor Grade (N)
An audited course carries no weight and does not count as attempted or accumulated hours. A student desiring an “Audit” grade in a course must officially register for the course. The student must also submit a written request to the instructor by the fourth week of class indicating the desire to receive an “Audit” grade. The instructor’s decision is final and must be communicated to the student in writing in a timely manner. A student may repeat a previously audited course and receive a weighted grade and academic credit.

Resign Grade (R)
Graduate Students have the prerogative to resign any course for which they have registered without Q.P.A. penalty through the end of the 11th week of the fall or spring term. All course resignations processed during the permissible dates (as published in the Class Schedule available through the Office of the Registrar) will be indicated as officially resigned courses by the notation ‘R’ on all grade reports, transcripts, and other official University documents. Resignation from all courses should be done through the HUB Student Center which students may access through the “MyUB” portal www.myub.buffalo.edu. There are no quality points attached to an ‘R’ designation.

Incomplete Grade (IU)
For all graduate-level courses, an interim grade of Incomplete (I) may be assigned if the student has not completed all requirements for the course. An interim grade of Incomplete (I) shall not be assigned to a student who did not attend the course. For all graduate courses the default grade accompanying an interim grade of ‘I’ shall be ‘U’ and will be displayed on the UB record as ‘IU.’ The default Unsatisfactory (U) grade shall become the permanent course grade of record if the ‘IU’ is not changed through formal notice by the instructor upon the student’s completion of the course.

Assignment of an interim ‘IU’ is at the discretion of the instructor. A grade of ‘IU’ can be assigned only if successful completion of unfulfilled course requirements can result in a final grade better than the default ‘U’ grade. The student should have a passing average in the requirements already completed. The instructor shall provide the student specification, in writing, of the requirements to be fulfilled. The default ‘U’ grade shall become the grade of record if the ‘IU’ is not replaced by a permanent grade within twelve (12) months after the close of the term for which the ‘IU’ is assigned according to the following chart.

<table>
<thead>
<tr>
<th>Courses Taken In Any Given Year During</th>
<th>Deadline for Change of Grade or Graduate Petition for Extension of Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summer Semester</td>
<td>Aug. 31st of the following year</td>
</tr>
<tr>
<td>Fall Semester</td>
<td>Dec. 31st of the following year</td>
</tr>
<tr>
<td>Spring Semester</td>
<td>May 31st of the following year</td>
</tr>
</tbody>
</table>

The instructor may set an earlier deadline for completion of the course requirements. If an earlier date for completion is set, the instructor shall inform the student thereof in writing. A student may not re-register for any course in which the student has an interim ‘IU’ grade.

Blank / Missing Grade
The appearance of a space ‘ ‘ next to a class on the transcript denotes that no grade has been recorded for that class. All UB students are responsible for checking their transcripts at the end of each term. Should a student discover a “missing grade” he/she should consult immediately with the instructor, or the staff in the associated department, to validate their grade. At the end of the following term an ‘F’ grade will be recorded on the student’s record if an alternative grade is not recorded by that time. A student’s Application to Candidacy cannot be approved with any class listed on his/her transcript that does not have a grade.

Change of Grade Policies
Changes to previously recorded grades must be submitted within twelve months following the end of the term during which the student was registered for the class. Changes from one weighted grade to another (see the “Weighted Grade” section of these policies) are made using the Universal Grade Change Form, and must include a justification. The form must be signed by the instructor, the department chair, and then submitted to the Graduate School for formal review.

A weighted grade may be changed at the instructor’s discretion only to correct a calculation or data-entry error. Any such change must include justification by the instructor and be approved by the department chair and The Graduate School. A request to change a weighted grade is not permitted under any other circumstance.

Faculty are to maintain student exams, reports and other assignments submitted to the course instructor but not returned to the student that are determinants of a student’s course grade for six [6] months following the term in which the course is offered. Faculty are to maintain records of all graded assignments and other student
assessments that are determinants of a student’s course grade for twelve [12] months following the end of the term in which the course is offered. Such retention is to ensure availability of grade determinant materials and records to address requests for grade correction (should a calculation or data-entry error be detected) or student grievances.

After one year, grades are considered final. Any request to change any grade after one year requires documentation describing why the Universal Grade Change Form was not filed during the appropriate period.

The director of graduate studies or chair of any department/program may request a change of grade on behalf of any department/program faculty member who is no longer associated with UB, and who is not available to address his/her own grading errors. However such requests must include an explanation.

Incomplete (IU) Change Policy
Changing an existing Incomplete (IU) grade before the default date does not require an explanation nor approval of the Graduate School. Once an ‘IU’ grade has defaulted to a ‘U,’ it cannot be changed. However, if an instructor makes an error, a correction can be made to that final grade if it was assigned before the default date. Such a correction must be requested before the end of the term following the default date listed on the Incomplete (IU) Default Date Chart.

Once an Incomplete ‘IU’ is changed to an Unsatisfactory ‘U’ grade, the course, if offered again, may be repeated for credit.

The Incomplete ‘IU’ should not be used for dissertation guidance, thesis, project, or portfolio credits in which continual registration is required by the University.

Grades for Dissertation, Research, Thesis, Project or Portfolio Work (L Grades)
Load (L) grades may be assigned to signify adequate progress in dissertations, research, theses, projects and portfolios since continuous registration is required. All ‘L’ grades will be changed to ‘S’ grades by the Office of the Registrar upon final acceptance of the dissertation, thesis, project or portfolio and completion of all degree requirements. If the instructor wishes to have a default grade other than ‘S’ recorded, a Universal Grade Change Form must be submitted. For Master’s degree students, if all degree requirements are satisfied by means other than the thesis, research, project or portfolio (e.g., comprehensive exam), any ‘L’ grades received will permanently remain on the transcript.

Faculty are encouraged to assign Satisfactory ‘S’ or Unsatisfactory ‘U’ or weighted grades to any term of dissertation, research, thesis, project or portfolio work, since these grades do not imply final approval of the dissertation, thesis, project or portfolio itself.

Changing Grades After Degree Conferral
Grades shall not be changed any later than one year following a student’s receipt of a degree or permanent departure from UB.

Grade Reports
Grades are available through the “HUB Student Center” within the “MyUB” portal at: www.myub.buffalo.edu.

Repeating Courses
If a graduate student repeats a course that is not normally “repeatable” (“repeatable” courses include dissertation, research, thesis, project or portfolio guidance; independent study; directed readings, etc.), only the highest grade earned in the course will be counted toward the degree and used to calculate the grade point average associated with the graduate degree program requirements. However, the student's official graduate transcript will record all courses attempted (including repeated courses). All resulting grades earned are calculated in the cumulative GPA reflected on the students’ final official transcript.

Academic Withdrawal
Under extraordinary circumstances, graduate students may petition for total academic withdrawal from a given term. The Graduate School will only consider cases where the student or department (on the student’s behalf) can document
- lengthy medical incapacitation of the student or a member of the student’s immediate family or
- death of a student’s immediate family member or
- military orders issued to a student or
- other similarly extraordinary measures as petitioned by the student

Academic withdrawal is for the entirety of a student’s registration in that term (i.e. these cases are considered on an all or nothing basis). The deadline for graduate students to submit petitions for total academic withdrawal is the end of the subsequent academic term. The Graduate School reserves the right to consult members of the faculty and others as appropriate when reviewing total academic withdrawal cases.

Academic withdrawal from the term will be indicated on the transcript by the symbol ‘W’ (withdrawal) next to each registered class. For the purposes of determining Good Academic Standing/Satisfactory Academic Progress, courses given ‘W’ grades do not count as having been attempted.

STUDENT RECORDS
Confidentiality of Records
Student records are confidential and are released only to appropriate faculty and administrative offices. Release of such records to any other college, prospective employer, or agency occurs only with the written permission of the student or upon subpoena.

In compliance with the Family Education Rights and Privacy Act of 1974, the State University of New York at Buffalo releases the following directory information upon request: student’s name, current address, telephone number, e-mail address, major field of study, dates of attendance, and degrees received. The University will routinely release such information unless a student
Change of Name or Address

As soon as possible (i.e., within one week) following any change of name or address, a student must complete a Student Name Change Form or an Address Change/Add Request form located on the Office of the Registrar webpage: http://www.registrar.buffalo.edu/personalinfo/index.php. Students may also change their address online by accessing the “HUB Student Center” through the “MyUB” portal at: www.myub.buffalo.edu. This action will help to ensure timely receipt of grade reports, registration materials, commencement fliers, tuition statements, etc. Note that late payment of tuition and fees results in the assessment of a penalty, and the Office of Student Accounts does not accept the excuse that the bill was sent to an old address.

New York State Residency

U.S. citizens and permanent residents enrolled at the University at Buffalo may be considered New York State residents when they are determined to have had a New York State domicile (i.e., a permanent and principal home in New York) for a twelve-month period prior to registration. Note: Shorter time limits may apply to supported graduate students. U.S. citizens and permanent residents who do not meet these criteria are presumed to be out-of-state residents and must pay out-of-state tuition rates unless they can present satisfactory proof that domicile in New York State has in fact been established, notwithstanding the durational requirement. Such proof should confirm that it is the student’s intention to make New York State his or her permanent home. International students are not eligible for New York State residency.

In determining domicile, all surrounding circumstances, in addition to the student’s expressed intention, will be considered. Factors relevant to the determination of domicile include:

- Federal and state income tax returns
- Utility bills
- Rent receipts or lease agreements
- Status of Motor Vehicle or other personal property registration
- Place of voter registration
- Residence of parents or spouse
- Military orders requiring transfer to New York State
- Address listed on bank statements
- Any other documents that tie a student to New York State

Applications for residency are available in the Student Response Center, located at 232 Capen Hall on the North Campus. The application is also available online at: http://studentaccounts.buffalo.edu/policies/residency.php. Completed applications and supporting materials should be returned to Student Response Center.

Transcripts

Official transcripts of record are sent from the Office of the Registrar at the student’s request or may also be given to students in a sealed envelope. Students may use the “HUB Student Center” available through the “MyUB” portal to print unofficial copies at any time while they are enrolled at UB. Official transcripts can be sent directly to a college, institution or company upon student request. Transcripts cannot be issued for any student whose financial obligations to the University have not been met.

Diplomas

Diplomas will be mailed directly from the Office of the Registrar to the graduate’s diploma mailing address on file in that office. When no diploma mailing address is given, the diploma will be mailed to the graduate’s permanent mailing address.

MONITORING STUDENT PROGRESS

Good Academic Standing

The Graduate School defines “good academic standing” as a student who is making acceptable progress toward a graduate degree and who is eligible to register for and pursue academic coursework at this university for the current semester. All graduate students are expected to remain in good academic standing throughout the entire course of their study.

Minimum Academic Requirements

The minimum academic requirements for Good Academic Standing established by the Graduate School are as follows (individual college/schools may establish stricter academic standards):

1. Exclusive of ‘S’ or ‘L’ grades, grades earned in courses counted toward the student’s master’s or doctoral program must average a ‘B’ (3.00) grade point average or better.
2. The ‘S’ grade is awarded only in those instances where a student’s letter grade would have been equivalent to a ‘B’ or better.

Academic requirements other than those imposed by The Graduate School are determined by the program faculty and approved by the appropriate decanal unit. All graduate students are expected to demonstrate competence in
teaching and research with respect to their educational needs and career objectives.

**Satisfactory Academic Progress (SAP) Criteria for Federal Financial Aid Eligibility**

For financial aid purposes, a graduate student must:

1. Maintain a 2.75 overall graduate grade-point-average (GPA), and
2. Complete 75% of all credits attempted per term in order to be considered making satisfactory academic progress for purposes of continued federal aid eligibility.

Any student whose graduate GPA falls below a 2.75, or who completes less than 75% of all attempted credits per term, will be considered making unsatisfactory academic progress. For more information about UB’s Graduate SAP criteria for Federal Aid Eligibility please refer to the Office of Financial Aid website: [http://financialaid.buffalo.edu/graduate/graduatesap.php](http://financialaid.buffalo.edu/graduate/graduatesap.php)

**Annual Academic Review of Ph.D. Students**

Each Ph.D. student’s academic progress must be evaluated annually by the Director of Graduate Studies (DGS) and, if appropriate, the student’s dissertation advisor. The most appropriate time for annual review is mid-May, thereby permitting appropriate academic planning for the following semester, and allowing for timely responses to inquiries about students in jeopardy of losing federal and/or state financial aid. Alternatively, though not ideal, review can take place in mid-October.

Additionally, each Ph.D. student’s academic progress must be reviewed after his/her first semester of enrollment, in order to identify any academic problems early in the program. Directors of Graduate Study are required to communicate the annual academic evaluation to the student in writing.

Each graduate program is encouraged to develop its own process for student evaluation and advisement. However certain elements must be included in Ph.D. student annual evaluation:

1. Review of the student’s academic record including:
   a. checking the overall grade point average;
   b. addressing any incomplete and/or resigned courses;
   c. monitoring overall progress toward completing the coursework phase of the program.
2. Checking on progress in completing or preparing for the preliminary or qualifying exam(s) or paper(s).
3. Planning for a timely defense of the dissertation research proposal or prospectus.
4. Monitoring adequate progress in research including timeliness of degree completion.

A sample review form is available on the Graduate School website to facilitate the academic review process.

**Probation**

Any master’s level or doctoral student who receives a grade of ‘U’, ‘F’, or ‘D’ in any course required for completion of a graduate degree program, or who falls below the minimum academic requirements detailed above, or who indicates a lack of ability as determined by the director of graduate studies or student’s academic advisor, will receive an immediate academic review. Upon completion of the academic review, the Director of Graduate Studies may place the student on academic probation.

Students determined to be making unsatisfactory academic progress must be placed on academic probation. A probationary letter is issued to the student (with a copy to the advisor, if applicable) indicating the conditions that must be met and outlining an appropriate time frame in which to regain good academic standing in the graduate program. The outcome that will result if the conditions are not met must also be included in the probationary letter. Probationary letters will be made in writing by the director of graduate studies, or department chair or designee at the end of the semester (mid-December or mid-May) and will indicate the terms of the probation and its removal. After the specified time frame outlined in the probation letter, the student must be sent a letter removing the probationary status, or a dismissal letter, or a second probationary letter with a new set of conditions for regaining good academic standing.

**Academic Dismissal and Transcripts**

Graduate students not meeting the written terms of their academic probation may be academically dismissed from the program by the director of graduate studies, chair of the department, or graduate program director. Such dismissals shall be done in a timely fashion but no later than three weeks after the completion of the term. The Graduate School will be notified in writing of all such academic dismissals.

Graduate students who are dismissed for academic reasons from a graduate program will have a “GRD” (Graduate School) service indicator placed on their academic record to prevent future registration.

**Reinstatement**

A graduate student who has been officially dismissed and who seeks reinstatement shall submit a formal request for reinstatement, along with a supporting statement of explanation, to the chair of the academic department. The request shall be acted upon by the established procedure or review group appropriate to the particular graduate program. If a student is subsequently reinstated to the program from which he/she was dismissed or admitted into another graduate program, the “GRD” service indicator will be removed from the student record by written request from the academic department to the Graduate School.
GENERAL GRADUATE DEGREE REQUIREMENTS

Transfer Credits

Each graduate program will determine the applicability of previous graduate courses proposed for transfer credit. Only those graduate courses completed at accredited or recognized institutions of higher education and with grades of ‘B’ or better are eligible for consideration for transfer credit. Courses with grades of ‘S’ or ‘P’ are not transferable unless the student or department provides written documentation from the instructor(s) of the course, a department administrator, or the registrar at the transfer institution that the ‘S’ or ‘P’ graded course was equivalent to at least a ‘B’ grade.

No more than 20% of a master’s program may be comprised of credits from another graduate academic program at UB, other accredited higher education institutions, or a combination thereof. For example, students pursuing a 30-credit UB master’s degree may transfer up to 6 credits into their program. Students pursuing a 45-credit master’s degree program may transfer up to 9 credits.

Transfer credits for the doctoral degree may not constitute more than one-half the total credits of that specific degree program.

The director of graduate studies or chair of the student’s major department must formally evaluate any transfer credits and, if acceptable, file the Graduate Student Transfer Credits Petition form during the student’s first year of matriculation to UB. Upon receipt of the transfer credit petition, the Graduate School will evaluate credit and grade equivalencies as well as verify the courses were completed at an accredited or recognized institution of higher education. Transfer credits may be approved and recorded on the student’s UB record only after the Graduate School or International Admissions receive the official final transcript.

Use of Prior Coursework Toward a Graduate Degree

Coursework, whether transfer or UB credits, more than 10 years old, that is to be included in a graduate degree program, must be petitioned at the time of the student’s admission to the program or at the time the credits are considered by the department.

Use of prior post-baccalaureate level coursework toward another advanced degree may be limited. See the “Limits on “Course Sharing”” in this document or consult the Graduate School Office of Student Services for more information.

Use of Dual-Listed Courses Toward both an Undergraduate and a Graduate Degree Program

Dual-listed courses that are taken at the undergraduate level and applied toward an undergraduate degree cannot be taken later at the graduate level and applied toward a post-baccalaureate degree or advanced certificate if the student received a ‘B’ grade or higher in the undergraduate level offering.

Limits on "Course Sharing"

In cases where a student wishes to utilize selected graduate level courses to satisfy the degree requirements of more than one post-baccalaureate (graduate and/or professional) degree program, the following limitations apply:

1. The integrity of each master’s level degree program must be observed by the student’s completion of a minimum of twenty-four (24) semester hours of credit at UB and uniquely applied to that program. Individual degree programs may establish minimum credit hour requirements that exceed that level.

2. No more than 10% of the total credit hours normally required to complete both of the degree programs in question may be comprised of "shared courses" (i.e., courses applied to both programs). For example, in the case of two master’s degree programs each of which requires 30-credits (i.e., a total of 60), no more than 6 credit hours (10%) of the 60 may be comprised of courses applied to both programs. Similarly, in the case of two post-baccalaureate degree programs that, in total, require 90 credit hours between them, no more than 9 credit hours (10%) of the 90 may be comprised of courses applied to both programs.

3. In cases where one or more specific courses are explicitly required by both programs (i.e., not merely as acceptable electives), such course(s) are considered "shared courses" under policy definitions and will be the first course(s) counted toward the 10% limit. If those specific courses explicitly required by both programs exceed the normal 10% “shared courses” limit, the 10% limit is waived and all such courses may be counted toward both degrees.

4. Up to 50% of a student’s Ph.D. program may be comprised of courses used to complete another degree program at UB or at another institution. A minimum of 50% of the Ph.D. program must consist of courses completed at UB that have not been applied toward any other degree program.

Language Requirement

Although the Graduate School does not have a language requirement for master’s or doctoral degrees, some departments have established a language or skill requirement for their programs.

Application to Candidacy

The Application to Candidacy (ATC), available at http://www.grad.buffalo.edu, is filed with the Graduate School and indicates that the student is entering the final stages of degree completion. Normally students should expect to file an Application to Candidacy after two or three semesters of full-time enrollment toward the master’s
degree, or after six semesters of full-time enrollment toward doctoral degree.

Review and approval of the ATC is the responsibility of the student’s department and Dean, in that order. Some units also require Divisional or Area Committee review prior to submission to the Graduate School. Once admitted to candidacy, a student may not need to enroll for 12 credits (9 credits for graduate, teaching and research assistants) to be certified as a full-time student. Primary responsibility for evaluation of each student’s application to candidacy rests with the student’s department or program and major advisor.

The department or program is responsible for ensuring that each ATC is complete prior to submission to the Academic Dean. The Academic Dean then forwards the ATC to the appropriate Divisional or Area committee or directly to the Graduate School if committee review is not required. Where committee review is required, the chair of the appropriate committee will approve or disapprove ATCs. If subsequently approved, the application is then forwarded to the Graduate School for final review.

Candidates must file the ATC by the specified deadlines. Committees cannot receive ATCs immediately prior to the expected graduation date. Once the Graduate School approves the ATC, written notification of approval will be sent to the student.

Informal Courses

Definition: Informal courses include registration in project, thesis, or dissertation guidance; directed or supervised reading; directed research; and independent study coursework.

With the exception of courses associated with final project, portfolio, thesis, or dissertation completion, a description and method of evaluation statement for each informal course and its relevance to the student’s degree program must be submitted with the Application to Candidacy. These statements become part of the student’s academic record and are evaluated by the Graduate School when reviewing the student’s program of study. It is the responsibility of the student, the instructor, and the advisor, in that order, to see that informal course statements are filed with the Application to Candidacy or any subsequent amendments to candidacy. Failure to do so will delay, and may interrupt, processing of degree credentials.

Use of undergraduate courses below the 400-level, as the criteria for creating an informal graduate course, is not acceptable.

Application to Candidacy / Degree Completion Timetable

<table>
<thead>
<tr>
<th>FOR DEGREE CONFERRAL ON...</th>
<th>FEBRUARY 1, 2015</th>
<th>JUNE 15, 2015</th>
<th>SEPTEMBER 1, 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate School receives Application to Candidacy with Dean and Divisional Committee approval by...</td>
<td>October 1, 2014</td>
<td>March 1, 2015</td>
<td>July 1, 2015</td>
</tr>
<tr>
<td>ALL required graduation materials (including the m-form) are received in the Graduate School by...</td>
<td>January 9, 2015</td>
<td>May 22, 2015</td>
<td>August 14, 2015</td>
</tr>
</tbody>
</table>

The above dates are subject to change. Each student is advised to check with the appropriate office one semester prior to the deadline date listed for up-to-date information. It is the student’s responsibility to check with the Graduate School at (716) 645-2939 prior to the deadline dates to be sure all the requirements and paperwork for your degree have been completed. Each department has the appropriate forms and additional instructions.

Minor amendments to the ATC which become necessary through changes in registration (e.g., adding or deleting anticipated courses or credits) must be formalized through an amendment petition available at http://www.grad.buffalo.edu/forms/index.php. This form must be endorsed by the director of graduate studies or chair of the student’s department, and forwarded to the Graduate School for review.

Thesis/Dissertation in a Foreign Language

Students who wish to write their dissertation or thesis in a language other than English (except those in the Department of Romance Language and Literature) must obtain prior approval from the Executive Committee of the Graduate School. A petition for such approval must include reasons why the work cannot be written as effectively in English as in the other language. In addition, the following conditions must be met:
1. Students must demonstrate an adequate command of the language prior to undertaking their projects.
2. The topic of the thesis or dissertation must be extensively represented (i.e., include primary and/or secondary sources) in the foreign language in which the thesis or dissertation is to be written.
3. The members of the thesis or dissertation committee must all read the language fluently (i.e., with sufficient ease and accuracy to enable them to determine the quality of work).
4. A lengthy and detailed summary or translation in English of the thesis or dissertation must be supplied by the candidate to the department for the oral defense.
5. The topical examination and oral defense must be conducted in English.

**Time Limits for Degree Conferral**

Master’s degrees must be completed within four (4) years from the student’s first registration date in that master’s degree program. Doctoral degrees must be completed within seven (7) years from the student’s initial formal matriculation in that doctoral program. Requests for extensions of time limits must be petitioned using a Graduate Student Petition Form. Each Divisional or Area Committee may establish its own stricter policies within the constraints of these overarching institutional policies.

**Registration Prior to Degree Conferral**

Students must be registered for at least one credit in the term immediately prior to degree conferral as indicated below:
- Fall term registration is required if a student intends to finish degree requirements in time for the February 1, degree conferral.
- Spring term registration is required if a student intends to finish degree requirements in time for the June 1 or September 1 degree conferral.

**Posthumous Award of a Graduate Degree**

In limited instances when certain conditions are satisfied, a posthumous degree may be awarded when a student dies prior to completing all of his/her graduate degree requirements. UB faculty (in consultation with the student’s family) may request the posthumous conferral of the graduate degree in recognition of the work completed toward that degree at the time of the student’s death. The request for consideration of the posthumous award of the degree in question may emanate from either a member of the student’s family or a UB faculty member. If the request originates from a family member, they should communicate those wishes to the department within which the student was pursuing the graduate degree. If the request originates from a faculty member, it is incumbent upon that faculty member to first seek the family’s concurrence that the degree be awarded posthumously to the student. The faculty member then directs a written request to the Chair of the student’s department. The Chair, in turn, submits a formal request for the awarding of the posthumous degree to the Vice Provost for Graduate Education/Dean of the Graduate School (VPGE).

The posthumous award of a graduate degree will be considered providing that the student:
- Had formally advanced to candidacy.
- Was considered in good academic standing possessing a minimum graduate degree program grade point average of 3.0.
- Had been actively pursuing the degree in an appropriate and timely manner at the time of death and had completed virtually all requirements of the degree program in question.
- Was making satisfactory academic progress and was nearing completion of the final master’s degree project or thesis or the doctoral dissertation.

The following documentation is required when filing the formal request:
- Departmental evidence of the extent to which the degree program was actually completed and a brief summary of any program requirements that had not been completed. This may include a copy of the application to candidacy, thesis/dissertation prospectus approval forms, evidence of passing qualifying exams, or any other documentation deemed appropriate.
- A written letter of recommendation from the Department Chair supporting the conferral, together with correspondence from the instructors of any courses in which the student was enrolled at the time of death (including courses outside the department). Each such instructor should indicate the grade (if any) of the student’s work in that course up to the time of death.

If the VPGE reaches a favorable decision in support of granting the degree, he/she will issue a letter authorizing the University Registrar to confer the degree posthumously, and issue a transcript and a diploma to the appropriate family member’s current mailing address. In all such cases the degree will be awarded reflecting the next regular institutional conferral date (February 1, June 1, or September 1) following the date of the student’s death.

If the VPGE determines that the degree will not be awarded posthumously, he/she will provide a letter to the Chair of the student’s department explaining the reason(s) for the denial. It shall be the responsibility of the Graduate School to advise the student’s family that the request for posthumous degree conferral was denied.

**Thesis/Dissertation Embargo Option**

Theses and dissertations submitted to the Graduate School as a requirement of the student’s degree program must be submitted in digital format and comply with The Graduate School’s Guidelines for Electronic Theses and Dissertation (ETD) Submission.

Soon after degree conferral, theses and dissertations are submitted to ProQuest/UMI for cataloging and publishing. Approximately 12 – 14 weeks after degree conferral, submissions are available to the academic community (via authentication) through the UB Libraries.
system and the ProQuest Thesis/Dissertation database. When a thesis or dissertation is based wholly, or in part, on research from which an invention or discovery has resulted or may result, the thesis or dissertation may require special handling to prevent unwanted disclosure which could damage or eliminate U.S. or international patent rights, or both. These special procedures will in no way impede progress toward the degree, affect acceptance of the thesis/dissertation, or delay conferral of the degree. They are aimed solely at protecting the rights of the University and the inventor. The student must provide both timely disclosure of the invention itself through the Office of Science, Technology Transfer and Economic Outreach (STOR) or Roswell Park’s Office of Technology Transfer, as well as timely notification to the Graduate School of the requirement for special handling of the thesis or dissertation.

When a thesis or dissertation contains potentially patentable material, the student and the major advisor may request, with written approval of the major professor, a 3-month / 6-month / 9-month or 12-month hold (an “embargo”) on the release of the document. Requests must be made in writing to the Graduate School using the Thesis/Dissertation Embargo Request Form. Approved requests will result in the embargo period held by ProQuest for the approved embargo period. The Thesis/Dissertation will then be released for publishing and cataloguing after the embargo period ends. Extensions beyond the 12-month hold will be reviewed by the Graduate School on a case-by-case basis with all parties involved.

Acceptable reasons to embargo/restrict dissemination:

- Patentable rights in the work or other issues in which disclosure may be detrimental to the rights or interests of the author.
- The ethical need to prevent disclosure of sensitive or classified information regarding persons, institutions, technologies, etc.
- The interest of an academic or commercial press in acquiring the rights to publish the author's dissertation or thesis as a book.
- Extensive content within the dissertation or thesis that is likely to be submitted to a peer-reviewed journal.

For more information about when an embargo may be warranted, visit this website: [http://www.UMI_EmbargoesRestrictionsGuide.pdf](http://www.UMI_EmbargoesRestrictionsGuide.pdf).

Ph.D. DEGREE CANDIDATE REQUIREMENTS

Before degree conferral is possible, all Ph.D. candidates must:
1. Maintain continuous registration until the Ph.D. degree is conferred.
2. Complete a minimum of 72 credit hours of graduate study. A minimum of 50% of the Ph.D. program must consist of courses completed at UB and uniquely applied to that degree program (see the related policy on course sharing).
3. Complete UB’s Responsible Conduct of Research (RCR) Training Requirement.
4. Successfully complete an oral and/or written comprehensive or preliminary qualifying exam; or a dissertation prospectus; or a preliminary paper or prospectus.
5. Submit an Application to Candidacy within the proper deadline dates for approval at the department, decanal, divisional committee (where required), and Graduate School levels.
7. Complete additional requirements as the department or program might duly specify.

**Responsible Conduct of Research (RCR) Training Requirement**

All students admitted to a Ph.D. program for the Fall 2009 semester or thereafter are required to document successful completion of “Responsible Conduct of Research” (RCR) training when they submit their Application to Candidacy (ATC) for their Ph.D. degree. This training requirement may be fulfilled by either (1.) enrolling in and passing PHI 640 Graduate Research Ethics or RPN 541 Ethics and Conduct of Research or (2.) completing the Collaborative Institutional Training Initiative (CITI) online Responsible Conduct of Research course with an average score of 80% or higher. Students opting to complete the CITI online course must supply documentation of its successful completion with their Application to Candidacy.

**Collaborative Institutional Training Initiative (CITI) Online Program in Responsible Conduct of Research**

The University at Buffalo has an institutional membership in the CITI online RCR program. That online program can be accessed through the following website: [http://www.citiprogram.org](http://www.citiprogram.org).

Initially, the student needs to register and choose a password, which allows the program to be entered and re-entered as many times as needed. Also, the student is asked, at the time of initial registration, to enter his/her name, mailing address, phone number, e-mail address, and UB person number. A database of UB participants is created using that information.

There are four versions of the CITI online RCR course from which the student should choose the version most appropriate for his/her area of doctoral study: Biomedical Sciences, Social and Behavioral Sciences, Physical Sciences, or Humanities. The RCR program is comprised of a series of modules, each of which consists of readings and case studies and ends with a quiz covering the material. The program allows the student to enter and exit at any point and to re-take the quiz associated with each section. A minimum total score of 80% is required to pass the online course. Assistance is available online at the CITI website if any technical difficulties are encountered.

Once the student has successfully completed the appropriate version of the CITI RCR program with a passing grade of 80% or higher, he/she must print the
“Completion Report” from within the CITI program as documentation of successful completion and submit it with the Ph.D. degree Application to Candidacy.

Ph.D. Candidacy Qualification

Qualifying to become a Ph.D. candidate is a significant milestone along the path to program completion and is a gateway to the dissertation-preparation phase of the Ph.D. program. Candidacy qualification may be accomplished through discipline-specific/program-defined assessment measures such as an oral and/or written comprehensive or preliminary qualifying exam; or a dissertation prospectus; or a preliminary paper or prospectus. Oversight and assessment of the candidacy qualification process is limited to Members of the UB Graduate Faculty. Only students who successfully pass or complete the qualifying milestone may refer to themselves as a “doctoral candidate.”

Ph.D. Dissertation Committee

A Doctoral Dissertation Committee, selected by the student with the approval of his or her home department, oversees the doctoral student’s work in preparing the Ph.D. dissertation. The Doctoral Dissertation Committee must be comprised of at least three core members: a major professor and at least two additional core committee members. Each core committee member must be a full Member of the UB Graduate Faculty. Associate Members of the UB Graduate Faculty may not serve on doctoral dissertation committees as core members, but may serve as additional committee members.

On occasion, individuals who are neither full Members nor Associate Members of the UB Graduate Faculty may serve as additional Dissertation Committee members if their expertise would be of significant value to the student and the core members of the committee. Questions concerning the composition of Doctoral Dissertation Committees should be referred to the Graduate School.

Changes in Major Advisor and Committee Membership when Graduate Faculty Leave UB

When a graduate faculty member retires from UB with no intention of assuming a faculty appointment at another institution, that faculty member is eligible to continue serving as the major advisor or as a committee member for a current student. The actual decision whether or not that person may continue to serve in such a capacity with a current student rests with the Director of Graduate Studies and the Chair of the department. However, subsequent to their retirement, graduate faculty members should not accept major advisor or committee membership assignments for any new student.

When a graduate faculty member leaves UB for an appointment at another institution, and the student is at the final stages of completing the dissertation (generally with one year or less needed to finish), the Graduate School will allow the departed faculty member, if he/she is willing, to retain their role on that student’s committee, providing the Department Chair and the Director of Graduate Studies concur. The primary consideration in retaining a departed faculty member on a committee should be to avoid delaying completion of the degree and unwittingly penalizing the student. However, if the student is more than a year from degree completion, the Graduate School does not recommend allowing a departed faculty member to remain on that student’s committee since, after that time, the faculty member will become immersed in responsibilities at his or her new place of employment, often leaving little time to devote to our student.

Dissertation

The dissertation should be an original contribution to the field as determined by the Ph.D. candidate’s department or program. Doctoral dissertations, except those in the Department of Romance Languages and Literatures, are normally written in English.

There are several style manuals available in the UB Libraries, including Strunk and White, Turabian, and the University of Chicago Press that answer a host of questions regarding the technical aspects of a properly prepared dissertation. A bibliography is also available which provides further examples that are more specific to various disciplines (e.g., the Publication Manual of the American Psychological Association). Students should consult the appropriate professional journals and their major professors to determine the most appropriate style within their area of research.

It is the prerogative and responsibility of the candidate and the sponsoring department to ensure that the canons of organization, presentation, and documentation usually prescribed for publication in their discipline are observed. Likewise, the dissertation must be certified as substantially free of errors and ready for publication before it is submitted to the Graduate School.

Review of the Dissertation

The dissertation must be examined and approved by the candidate’s Ph.D. dissertation committee, and if required by the student’s home department, by an outside reader.

Oral Defense of the Doctoral Dissertation

The Oral Defense is a public event scheduled by the department and must be attended by the candidate’s Ph.D. dissertation committee, and if required, the outside reader. At the discretion of the department, the defense-of-dissertation examination may take the form of a seminar with a more varied selection of participants. Examination questions will always include questions arising from the dissertation itself. In many cases, particularly ones in which departments have not required extensive examinations during the course of the student’s tenure; questions will be more general and the examination longer.

Formatting Requirements

The Graduate School will accept any self-consistent format that follows conventions of a recognized discipline, but some general formatting standards are also expected
as outlined in the Graduate School’s booklet entitled Guidelines for Thesis and Dissertation Preparation and Submission. This booklet is available on the Graduate School’s website at: http://www.grad.buffalo.edu.

Copyrighting

It is the student’s choice whether to copyright his or her dissertation. Copyrighting formally protects the student’s rights as an author. These rights include the ability to make copies of the work, to distribute them, to make derivative works, or to perform or display the work. By copyrighting a dissertation, a student can control the rights to it or may authorize others (i.e., a publisher) to exercise them. It is the student’s responsibility to guarantee that the work is original and that he or she has followed accepted standards for documenting the use of references and citations of other works. Students should discuss the option to copyright their work with their major professor before reaching a decision. Once the decision has been made to copyright, the appropriate symbol, the date, and the author’s name must be included on the page immediately following the title page. The copyright will run for the life of the author plus fifty years. The law requires that two copies of the work be submitted to the appropriate federal agency. Students may request this service to be provided through the Graduate School’s on-line submission system available on the Graduate School website at: www.grad.buffalo.edu/etd as an option under the ProQuest/UMI Dissertation Publishing Agreement they sign when submitting the final dissertation.

Ph.D. Graduation Checklist

In order to graduate, the following must be on file in the Graduate School:

- an approved Application to Candidacy (with all necessary attachments)
- an M-Form (pdf)
- electronic submission of dissertation through the Graduate School’s website at: www.grad.buffalo.edu/Academics/ETD.html
- Doctoral Degree Recipients Surveys

In addition, the Graduate School will verify satisfactory completion of all courses and minimum number of credits to be applied toward the degree.

Required Degree Forms

M-Form (Multi-purpose Form)

As the name implies, the M-Form is used for several purposes. The form is submitted to the Graduate School by the department to certify that the defense of the dissertation was satisfactorily completed and that ALL academic requirements for the degree have been satisfied. This form must be signed by the major professor, the committee members, and the director of graduate studies or chair of the department and must be submitted to the Graduate School by the deadlines established for each conferral date. Students should check with their departments to be sure this form is submitted on time.

Doctoral Degree Recipients Surveys

Each doctoral student is required to complete two exit surveys before his or her degree may be conferred: The Doctoral Degree Recipients Survey (conducted by the University at Buffalo to collect data on a student’s experience in his or her degree program), and the Survey of Earned Doctorates (conducted by various agencies of the United States government to collect information from all doctoral candidates in the U.S.). The National Research Council publishes summaries of data from the Survey of Earned Doctorates annually. The surveys are available at the Graduate School website: http://grad.buffalo.edu/Academics/ETD/Doctoral-Degree-Recipients-Survey.html.

MASTER’S DEGREE CANDIDATE REQUIREMENTS

Before degree conferral is possible, all master’s candidates must:

1. Maintain continuous registration each spring and fall semester until all requirements for the degree have been completed.
2. Complete a minimum of 30 credits (or more depending on program) of graduate study.
3. Fulfill the minimum residency requirement of 24 UB credits of registration.
4. Submit an Application to Candidacy within the proper deadline dates for approval at the department, decanal, (divisional committee where required), and Graduate School levels.
5. Pass a comprehensive examination, complete an appropriate special project, prepare a portfolio, or finish a thesis based on independent research. Students who select the project or portfolio option must submit to the Graduate School a short summary of the work that was completed (150 words or less) to be included with the M-form.
6. Complete additional requirements as the department/program might specify.

Master’s Program Supervision

Initial supervision of a student’s program is exercised by a faculty member appointed as an advisor by the major department. This advisor assists the student in planning his/her program until the student chooses a major professor under whose supervision he/she will work on the final thesis, project, or portfolio. The major professor must be either a full Member or an Associate Member of the UB Graduate Faculty.

The Graduate School requires only one Graduate Faculty member, the major professor, to supervise and approve a master’s thesis, project, or portfolio. Individual academic departments or programs may permit or require additional committee members to supervise the final master’s capstone.

Master’s Candidate Final Abstract Requirement
Submission of an abstract of the final thesis, project, or portfolio is required. This abstract is submitted to the Graduate School upon completion of the degree program. Those students pursuing the thesis option are required to submit the abstract as a part of their final thesis. Those students pursuing the project or portfolio options are expected to submit a brief written summary (normally no more than 150 words) for inclusion with the student’s M- form.

Master's Thesis
Students who complete the thesis option for the master’s degree should generally undertake the following steps in its preparation:

1. design an appropriate research or other scholarly study with the help of his/her faculty advisor(s);
2. conduct and document the necessary background literature review;
3. investigate a specific aim or focused question(s);
4. analyze the results;
5. write their findings according to guidelines outlined in the Graduate School Guidelines for Electronic Thesis and Dissertation Preparation and Submission.

Changes in Major Advisor and Committee Membership when Graduate Faculty Leave UB
When a graduate faculty member retires from UB with no intention of assuming a faculty appointment at another institution, that faculty member is eligible to continue serving as the major advisor or as a committee member for a current student. The actual decision whether or not that person may continue to serve in such a capacity with a current student rests with the Director of Graduate Studies and the Chair of the department. However, subsequent to their retirement, graduate faculty members should not accept major advisor or committee membership assignments for any new student.

When a graduate faculty member leaves UB for an appointment at another institution, and the student is at the final stages of completing the thesis or project (generally with one year or less needed to finish), the Graduate School will allow the departed faculty member, if he/she is willing, to retain their role on that student’s committee, providing the Department Chair and the Director of Graduate Studies concur. The primary consideration in retaining a departed faculty member on a committee should be to avoid delaying completion of the degree and unwittingly penalizing the student. However, if the student is more than a year from degree completion, the Graduate School does not recommend allowing a departed faculty member to remain on that student’s committee since, after that time, the faculty member will become immersed in responsibilities at his or her new place of employment, often leaving little time to devote to our student.

Master's Thesis Option Requirements
Where the thesis option is completed, electronic submission of the resulting master’s thesis is mandatory. Master's theses, except those in the Department of Romance Languages and Literatures, and those associated with the Caribbean and Latin/o American Studies Concentration within the Humanities Interdisciplinary program, should be written in English.

Master’s Thesis Formatting Requirements
The Graduate School will accept any self-consistent format that follows conventions of a recognized discipline, but some general formatting standards are also expected as outlined in the Graduate School’s booklet entitled Guidelines for Thesis and Dissertation Preparation and Submission. This booklet is available on the Graduate School’s website at: http://www.grad.buffalo.edu.

Oral Defense of a Master’s Thesis
A public oral-defense-of-thesis examination, scheduled by the student’s department is required for all students who complete a master’s thesis. The oral-defense-of-thesis is attended by the candidate’s major professor (and graduate committee, if applicable), members of the faculty from the major department, and the outside reader if one is required by the academic department or program. The department has the prerogative to open the “oral-defense-of-thesis” to a larger audience if that is desired.

Master’s Thesis Copyrighting Option
It is the student’s choice whether to copyright his or her thesis. Copyrighting formally protects the student’s rights as an author. These rights include the ability to make copies of the work, to distribute them, to make derivative works, or to perform or display the work. By copyrighting a thesis, a student can control the rights to it or may authorize others (i.e., a publisher) to exercise them. It is the student’s responsibility to guarantee that the work is original and that he or she has followed accepted standards for documenting the use of references and citations of other works. Students should discuss the option to copyright their work with their major professor before reaching a decision. Once the decision has been made to copyright, the appropriate symbol, the date, and the author’s name needs to be included on the page immediately following the title page. The copyright will run for the life of the author plus fifty years. The law requires that two copies of the work be submitted to the appropriate federal agency. Students may request this service to be provided through the Graduate School’s online submission system available on the Graduate School website at: www.grad.buffalo.edu/etd as an option under the Proquest/UMI Thesis Publishing Agreement they sign when submitting the final Master’s Thesis.

Master’s Final Project
The focus of the research for a master's project is generally more applied than that for a thesis, with the student often defining a problem and developing a solution for it. The project may be a scholarly undertaking that results in a tangible outcome – a photo exhibit, a performance piece, a business plan, a technical report, a
Differences between a Master’s Thesis and a Master’s Project

Differences between a thesis and a project are generally related to the extent and focus of the research, the formatting of the finished written product, the requirement to give an oral defense of the work, and the final approval of the finished product.

A thesis is typically longer than a project and is a well-organized, thoroughly documented scholarly paper, detailing research purpose, methods, results, analyses, and conclusions. Research for a thesis may be more extensive than research for a project in terms of the amount required, but this varies with the individual and the discipline. While a thesis must be defended orally in a public forum, a project need not be so defended unless the department requires such a defense. Whereas a master’s project only needs approval at the department level, a master’s thesis must receive final approval from the Graduate School, and will be kept in perpetuity in the University’s thesis/dissertation database within the Library.

Master's Portfolio Option

A small number of master’s degree programs at UB offer the portfolio as a culminating capstone option. A student who completes the master’s portfolio option is required to compile a set of materials that summarizes and displays the student’s knowledge, skills, and problem-solving capabilities within their discipline as well as his/her ability to design, manage, operate, and report on topics typically required for professional employment. While the project option requires the student to research one specific topic, the portfolio option emphasizes the student’s competence across several areas within his/her discipline. The materials in the portfolio must be assembled and presented in a professional manner. All elements of the portfolio must be organized cohesively and be self-explanatory.

The portfolio cannot be solely comprised of a student’s previous work/coursework (e.g. course projects/papers). While such materials could comprise elements of the portfolio, the portfolio must also contain new and additional substantive work that would satisfy the expectations of another capstone option (e.g. thesis, project).
It is the policy of the University that all research involving human subjects must be reviewed and approved by a University Human Subjects Review Board (HSRB) prior to initiation of the research. A student’s Dean or Director of Graduate Studies can direct him or her to the appropriate board.

It should also be noted that the scope of the human subjects regulations extends into the classroom so that graduate students with teaching assignments as well as those engaged in research should carefully observe these constraints and protections. Copies of the Assurance of Compliance and HHS regulations (45 CFR 46) may be obtained from any HSRB Chair.

ACADEMIC INTEGRITY POLICIES AND PROCEDURES

Preamble

Academic integrity is a fundamental university value. Through the honest completion of academic work, students sustain the integrity of the university while facilitating the university’s imperative for the transmission of knowledge and culture based upon the generation of new and innovative ideas.

When an instance of suspected or alleged academic dishonesty by a student arises, it shall be resolved according to the procedures set forth herein. These procedures assume that many questions of academic dishonesty will be resolved through consultative resolution between the student and the instructor.

It is recommended that the instructor and student each consult with the department chair, School or College dean, or the Graduate School if there are any questions regarding these procedures.

Examples of Academic Dishonesty

Academic dishonesty includes, but is not limited to, the following:

(a) Previously submitted work. Submitting academically required material that has been previously submitted -- in whole or in substantial part -- in another course, without prior and expressed consent of the instructor.

(b) Plagiarism. Copying or receiving material from any source and submitting that material as one’s own, without acknowledging and citing the particular debts to the source (quotations, paraphrases, basic ideas), or in any other manner representing the work of another as one’s own.

(c) Cheating. Soliciting and/or receiving information from, or providing information to, another student or any other unauthorized source (including electronic sources such as cellular phones and PDAs), with the intent to deceive while completing an examination or individual assignment.

(d) Falsification of academic materials. Fabricating laboratory materials, notes, reports, or any forms of computer data; forging an instructor’s name or initials; resubmitting an examination or assignment for reevaluation which has been altered without the instructor’s authorization; or submitting a report, paper, materials, computer data, or examination (or any considerable part thereof) prepared by any person other than the student responsible for the assignment.

(e) Misrepresentation of documents. Forgery, alteration, or misuse of any University or Official document, record, or instrument of identification.

(f) Confidential academic materials. Procurement, distribution or acceptance of examinations or laboratory results without prior and expressed consent of the instructor.

(g) Selling academic assignments. No person shall sell or offer for sale to any person enrolled at the University at Buffalo any academic assignment, or any inappropriate assistance in the preparation, research, or writing of any assignment, which the seller knows, or has reason to believe, is intended for submission in fulfillment of any course or academic program requirement.

(h) Purchasing academic assignments. No person shall purchase an academic assignment intended for submission in fulfillment of any course or academic program requirement.

Consultative Resolution

Step 1. If an instructor has reason to believe that a student may have committed an act of academic dishonesty, the instructor shall notify the student suspected of academic dishonesty by e-mail to the student’s UB IT address with receipt requested, by certified mail return receipt requested, or by written notice delivered in person with a copy countersigned by the student and retained by the instructor within 10 academic days of discovery of the alleged incident.

Once the alleged incident has occurred, the student may not resign from the course without permission of the instructor.

The instructor shall meet and consult with the student within 10 academic days of the date of notification. If the student fails to attend the consultative meeting, the instructor has the authority to reach a decision and to impose a sanction (if appropriate) without the student consultation.

At consultation, the instructor shall inform the student of the allegations relating to the specific infringement, and the student shall be given a copy of the Academic Integrity Policy and Procedures.

At the request of either or both parties, the consultation may be recorded. A departmental note-taker (a staff or faculty member, but not a teaching assistant) may record consultation proceedings. The student must agree to the presence of the note-taker, and the student may also have a note-taker in attendance.
Step 2. If, after consultation with the student, the instructor believes the student did not commit an act of academic dishonesty, no sanctions may be imposed. The instructor will orally inform the student of that finding and, if the student so requests, will provide the student with a written statement confirming that finding. Procedures end.

If, after consultation with the student, the instructor believes the student did commit an act of academic dishonesty, the instructor has the authority to impose one or more of the following sanctions:

1. Warning. Written notice to the student that he/she has violated a University academic integrity standard and that the repetition of the wrongful conduct may be cause for more severe sanctions.

2. Revision of Work. Requiring the student to replace or revise the work in which dishonesty occurred. (The instructor may choose to assign a grade of “I” [Incomplete] pending replacement or revision of the work.)

3. Reduction in Grade. With respect to the particular assignment/exam or final grade in the course.

4. Failure in the Course. To be indicated on the transcript by a grade of “F” without comment.

5. Such other reasonable and appropriate sanction(s) as may be determined by the instructor (or Committee at later levels of review) with the exception of those subsequently described under #6.

6. Recommendation of any of the following University sanctions (these require approval at the department, College/School, and Graduate School levels).
   a. Failure in the Course with Citation of Academic Dishonesty: To be indicated by an “F” on the transcript with the notation that the grade of “F” was assigned for reason of academic dishonesty. Only the Dean of the Graduate School or his or her designee may impose this sanction.
   b. Suspension from the University: For a definite term upon stated conditions. Only the University President or his/her designee may suspend a student from the University.
   c. Expulsion from the University: With comment on the transcript. Only the University President or his/her designee may expel a student from the University.

Step 3. The instructor shall provide the student with a copy of the decision, sanction(s) imposed, and the student’s right to appeal that decision. The instructor’s decision letter shall be sent to the student (via certified, return receipt mail), the department chair, and the Dean of the Graduate School within 10 academic days1 of the date the department office received the request for initiation of departmental proceedings (see Appendix A). The student may appeal the instructor’s findings. The student’s request for an appeal, including specification of the grounds for appeal, must be submitted in writing to the instructor and to the department chair no later than 10 academic days1 after the instructor has notified the student of his or her decision.

Departmental Level Procedures

Step 1. The instructor and student have no more than 10 academic days1 following the filing of the request for the initiation of departmental proceedings to deliver evidentiary materials to the department chair. The instructor and student shall each provide the department chair with a written statement of evidence supporting his or her position, any relevant documentation, and the names of potential witnesses.

If the department chair is the faculty member who has brought the academic dishonesty charge against the student, or if a department is unable to assemble a committee because of a limited number of faculty or students, direct consideration at the college or school level may be requested.

Pending resolution, the instructor shall temporarily assign a grade of “I” (Incomplete). This “I” grade can only be adjusted by resolution of the case.

Step 2. Upon review of relevant materials (including all evidence and statements communicated during consultation), if the department chair does not deem it necessary to consider further the circumstances of the case, the department chair will notify the student (via certified, return receipt mail), the instructor, the cognizant academic dean, and the Dean of the Graduate School of his or her decision within 20 academic days1 of receipt of the student’s appeal or instructor’s recommendation. If the sanctions imposed at this stage include recommendation of University sanctions (as listed in Consultative Resolution Step 2.6), decanal level procedures are required (see “Decanal Level Procedures”).

Alternatively, if the department chair deems it necessary to consider further the circumstances of the case, he or she shall convene the Departmental Adjudication Committee within 20 academic days1 of the date the department office received the request for initiation of departmental proceedings (see Appendix A). The department office shall convey all evidentiary materials to the Departmental Adjudication Committee, the student, and the instructor at the time the notice of the hearing is delivered. The student and the instructor shall be given at least 72 hours’ notice of the hearing.

At hearing(s), the Departmental Adjudication Committee shall provide sufficient opportunity for both principals to present their positions and shall allow each principal the right to question the presentation(s), written or
verbal, of those who contribute information to the committee. The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee.

The technical and formal rules of evidence applicable in a court of law are not controlling, and the committee may hear all relevant and reliable evidence that will contribute to an informed result. The Departmental Adjudication Committee shall only consider evidence presented at hearing(s). Discussion of a student’s formerly alleged or documented academic misconduct shall not be admissible as evidence to determine whether the student is responsible for breaching the university’s academic integrity code in the current case, although such history may be introduced and considered during the sanctioning phase. Hearings shall be confidential (see Appendix B).

The Departmental Adjudication Committee shall provide the department chair with a written statement of recommendations and reasons for recommendations within 10 academic days1 after the final meeting of the committee. Recommendations may include:

1. Findings Overturned. Finding that no academic dishonesty took place and that no sanctions should be imposed.
2. Findings Sustained. Finding that academic dishonesty occurred, and that the committee is in agreement with the sanction(s) previously imposed or recommended.
3. Finding of Different Sanction. Finding that academic dishonesty occurred, but that the sanction(s) previously imposed or recommended are inappropriate and that greater or lesser sanction(s) should be imposed.

Step 3. The department chair considers the Committee’s findings and recommendations and renders a final decision. The department chair’s decision and the student’s right to appeal that decision shall be submitted in writing from the department chair to the student (via certified, return receipt mail), the instructor, the cognizant academic dean, and the Dean of the Graduate School within 10 academic days1 from receiving the Departmental Adjudication Committee’s statement of recommendations.

The department chair shall forward the record of the matter consisting of all written communications, all written evidence, an audiotape or other record of the hearing, and its statement of recommendations to the Dean of the Graduate School, where a confidential file will be maintained. The student shall have access to this file.

University Sanctions

If the sanction(s) imposed at the departmental level include recommendation of University sanctions (as listed in Consultative Resolution Step 2.6), decanal level procedures are required, and shall be initiated within 10 academic days1 of the dean’s receipt of the statement of decision.

Right to Appeal

The student or the instructor may appeal the department chair’s findings. The request for an appeal, including specification of the grounds for appeal, must be submitted in writing to the department chair and to the cognizant academic dean no later than 10 academic days1 after the department chair has notified the student of his or her decision.

Decanal Level Procedures

Step 1. The instructor and student have no more than 10 academic days1 following the filing of the request for the initiation of decanal level proceedings to deliver evidentiary materials to the cognizant academic dean. The instructor and student shall each provide the academic dean with a written statement of evidence supporting his or her position, any relevant documentation, and the names of potential witnesses.

Pending resolution, the temporarily assigned grade of "I" (Incomplete) will continue in place. This "I" grade can only be adjusted by final resolution of the pending case.

Step 2. Upon review of relevant materials (including all evidence and statements communicated during consultation), if the academic dean does not deem it necessary to consider further the circumstances of the case, the academic dean will notify the student (via certified, return receipt mail), the instructor, the department chair, and the Dean of the Graduate School of his or her decision within 20 academic days1 of receipt of the student’s appeal or instructor’s recommendation. If the sanctions imposed at this stage include recommendation of University sanctions (as listed in Consultative Resolution Step 2.6), a hearing at the decanal level is required, and procedures below shall be initiated within 20 academic days1 of the academic dean’s receipt of the department chair’s statement of decision.

Alternatively, if the academic dean deems it necessary to consider further the circumstances of the case, he or she shall convene the Decanal Adjudication Committee within 20 academic days1 of the date which the academic dean received the request for initiation of decanal level proceedings (see Appendix C).

The academic dean’s office shall convey all evidentiary materials to the Decanal Adjudication Committee, the student, and the instructor at the time the notice of the hearing is delivered. The student and the instructor shall be given at least 72 hours notice of the hearing.

At hearing(s), the Decanal Adjudication Committee shall provide sufficient opportunity for both principals to present their positions and shall allow each principal the
right to question the presentation(s), written or verbal, of those who contribute information to the committee.

The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee.

The technical and formal rules of evidence applicable in a court of law are not controlling, and the committee may hear all relevant and reliable evidence that will contribute to an informed result. The Decanal Adjudication Committee shall only consider evidence presented at hearing(s). Discussion of a student’s formerly alleged or documented academic misconduct shall not be admissible as evidence to determine whether the student is responsible for breaching the university’s academic integrity code in the current case, although such history may be introduced and considered during the sanctioning phase. Hearings shall be confidential (see Appendix B).

The Decanal Adjudication Committee shall provide the academic dean with a written statement of recommendations and reasons for recommendations within 10 academic days\(^1\) after the final meeting of the committee. Recommendations may include:

1. **Findings Overturned.** Finding that no academic dishonesty took place and that no sanctions should be imposed.
2. **Findings Sustained.** Finding that academic dishonesty occurred, and that the committee is in agreement with the sanction(s) previously imposed or recommended.
3. **Finding of Different Sanction.** Finding that academic dishonesty occurred, but that the sanction(s) previously imposed or recommended are inappropriate and that greater or lesser sanction(s) should be imposed.

**University Sanctions**

If the sanction(s) imposed at the decanal level include recommendation of University sanctions (as listed in Consultative Resolution Step 2.6), Graduate School level procedures are required, and shall be initiated within 10 academic days\(^1\) of the Dean of the Graduate School’s receipt of the statement of decision.

**Right to Appeal**

The student or the instructor may appeal the academic dean’s findings, but only based on claims of limitations on, or violations of, applicable due process. Any such appeal request must describe the specific due process violation(s) claimed and must be submitted in writing to the academic dean and to the Dean of the Graduate School no later than 10 academic days\(^1\) after the academic dean has notified the student of his or her decision.

**Graduate School Level Procedures**

**Step 1.** The instructor and student have no more than 10 academic days\(^1\) following the filing of the request for the initiation of Graduate School level proceedings to deliver evidentiary materials to the Dean of the Graduate School. The instructor and student shall each provide the Dean of the Graduate School with a written statement of evidence supporting his or her position, any relevant documentation, and the names of potential witnesses.

Pending resolution, the temporarily assigned grade of "I" (Incomplete) will continue in place. This "I" grade can only be adjusted by final resolution of the pending case.

**Step 2.** Upon review of relevant materials (including all evidence and statements communicated during consultation), if the Dean of the Graduate School does not deem it necessary to consider further the circumstances of the case, the Dean of the Graduate School will notify the student (via certified, return receipt mail), the instructor, the department chair, and the Dean of the Graduate School within 10 academic days\(^1\) from receiving the Decanal Adjudication Committee’s statement of recommendations.

The academic dean considers the Committee’s findings and recommendations and renders a final decision. The academic dean’s decision and the student’s right to appeal that decision shall be submitted in writing from the academic dean to the student (via certified, return receipt mail), the instructor, the department chair, and the Dean of the Graduate School within 10 academic days\(^1\) from receiving the Decanal Adjudication Committee’s statement of recommendations.

The academic dean shall forward the record of the matter consisting of all written communications, all written evidence, an audiotape or other record of the hearing, and its statement of recommendations to the Dean of the Graduate School, where a confidential file will be maintained. The student shall have access to this file.
principal the right to question the presentation(s), written or verbal, of those who contribute information to the committee.

The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee.

The technical and formal rules of evidence applicable in a court of law are not controlling, and the committee may hear all relevant and reliable evidence that will contribute to an informed result. The Graduate School Adjudication Committee shall only consider evidence presented at hearing(s). Discussion of a student’s formerly alleged or documented academic misconduct shall not be admissible as evidence to determine whether the student is responsible for breaching the university’s academic integrity code in the current case, although such history may be introduced and considered during the sanctioning phase. Hearings shall be confidential (see Appendix B).

The Graduate School Adjudication Committee shall provide the Dean of the Graduate School with a written statement of recommendations and reasons for recommendations within 10 academic days after the final meeting of the committee. Recommendations may include:

1. **Findings Overturned.** Finding that no academic dishonesty took place and that no sanctions should be imposed.
2. **Findings Sustained.** Finding that academic dishonesty occurred, and the committee is in agreement with the sanction(s) previously imposed or recommended.
3. **Finding of Different Sanction.** Finding that academic dishonesty occurred, but that the sanction(s) previously imposed or recommended are inappropriate and that greater or lesser sanction(s) should be imposed.

**Step 3.** The Dean of the Graduate School considers the committee’s findings and recommendations and renders a final decision. The Dean of the Graduate School’s decision shall be submitted in writing to the student (via certified, return receipt mail), the instructor, the department chair, and the cognizant academic dean within 10 academic days from receiving the Graduate School Adjudication Committee’s statement of recommendations.

The Dean of the Graduate School shall file the record of the matter consisting of all written communications, all written evidence, an audiotape or other record of the hearing, and statements of recommendations to the Dean of the Graduate School, in the confidential file located in and maintained by the Graduate School. The student shall have access to this file.

**University Sanctions**

If the sanction(s) imposed at the Graduate School level include implementation or recommended implementation of University sanctions (as listed in Consultative Resolution Step 2.6), implementation or recommended implementation of those sanctions shall be initiated within 10 academic days following the Dean of the Graduate School’s decision in the matter.

**No Right to Further Appeal**

The decision of the Dean of the Graduate School is final, and no further appeal is available.

**Notes:**

1. Academic days are defined as weekdays when classes are in session, not including the summer or winter sessions.

**Appendix A**

**Departmental Adjudication Committee Membership**

The department chair or the chair of the departmental adjudication committee shall assemble, from a pool of individuals comprising the departmental Academic Integrity Pool, a Departmental Adjudication Committee comprised of no fewer than two faculty members and two graduate students or a larger number of participants maintaining this same ratio. The departmental Academic Integrity Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Departmental Academic Integrity Pool may also serve as the Departmental Grievance Pool.

The members of the Academic Integrity Pool and the Adjudication Committee shall be selected so that no member is involved in a disproportionate number of cases. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the Committee appointed to hear the case. If any principal finds the replacement member inappropriate, the party shall transmit, within five academic days of the naming of the committee, a written statement of the grounds for this “challenge for cause” to the cognizant department chair who shall rule on the merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the Committee by stipulating reasons why he or she feels unable to deal with the case in an unbiased fashion.

**Appendix B**

**Confidentiality of Proceedings**

Once the department chair, college or school dean or the Dean of the Graduate School initiates an academic integrity hearing, principals and committee members shall have the obligation to maintain the confidentiality of the proceedings and of all materials or testimony presented in
hearing proceedings, until a decision is formally transmitted
to the principals involved in the case.

If a breach of confidentiality by either principal (as
defined above) is formally brought to the attention of the
Adjudication Committee, upon a majority vote of the
committee, it may choose to consider this breach a case of
possible misconduct. If a committee member is charged
with a possible misconduct, such charge will be heard at
the next highest level Adjudication Committee. Such
consideration shall take precedence over the pending case,
and a misconduct hearing shall be conducted, and findings
shall be transmitted, in writing, to the principals and
committee members, and shall be placed in a supplemental
file of the case proceedings. Such findings may then be
considered in the subsequent review of the case.

Appendix C
Decanal Adjudication Committee Membership

The cognizant college or school dean, or the chair of
the school or college Adjudication Committee, shall
assemble, from a pool of individuals comprising the college
or school Academic Integrity Pool, a Decanal Adjudication
Committee comprised of no fewer than two faculty
members and two graduate students or a larger number of
participants maintaining this same ratio. In those
college/schools comprised of multiple academic
departments, the Decanal Adjudication Committee shall not
include representatives from the department(s) involved in
the case. The college or school Academic Integrity Pool
shall include two representatives, as appropriate, from each
department: one faculty member and one graduate student.
The departmental representatives in the Academic Integrity
Pool shall be selected by the respective faculty and student
constituencies in an appropriate democratic fashion, and in
no case shall these representatives be appointed by the
departmental or decanal administration. If deemed
appropriate, the Decanal Academic Integrity Pool may also
serve as the Decanal Grievance Pool.

The members of the Academic Integrity Pool and the
Adjudication Committee shall be selected so that no
member is involved in a disproportionate number of cases. Each principal to
the dispute shall have the option of requesting, without
stipulating a reason, the replacement of one member of the
committee appointed to hear the case. If any principal finds
the replacement member inappropriate, the party shall
transmit, within five academic days1 of the naming of the
committee, a written statement of the grounds for this
"challenge for cause" to the Dean of the Graduate School
who shall rule on its merits and either retain or replace the
committee member so challenged. Each committee
member selected shall have the option of disqualifying
him/herself from the committee by stipulating reasons why
he or she feels unable to deal with the case in an unbiased
fashion.

Panel Development

The Dean of the Graduate School shall encourage
departments to nominate faculty and student
representatives for the departmental and decanal pools and
to encourage departments to facilitate development of
faculty and student representatives in order to ensure a
suitable pool of personnel for departmental, decanal, and
Graduate School academic integrity hearings.

Amended policies promulgated by President John B.
Simpson on 26 June 2008
Effective 25 August 2008

Appendix D
Graduate School Adjudication Committee
Membership

The Graduate School Adjudication Committee shall be
composed of no fewer than two faculty members and two
graduate students (all from outside the cognizant academic
department(s)) or a larger number of participants
maintaining this same ratio. The departmental
representatives comprising the Graduate School Academic
Integrity Pool shall be selected by the respective faculty
and student constituencies in an appropriate democratic
fashion, and in no case shall these representatives be
appointed by the departmental or decanal administration.
If deemed appropriate, the Graduate School Academic
Integrity Pool may also serve as the Graduate School
Grievance Pool.

The members of the Graduate School Academic
Integrity Pool and the Graduate School Adjudication
Committee shall be selected so that no member is involved
in a disproportionate number of cases. Each principal to
the dispute shall have the option of requesting, without
stipulating a reason, the replacement of one member of the
committee appointed to hear the case. If any principal finds
the replacement member inappropriate, the party shall
transmit, within five academic days1 of the naming of the
committee, a written statement of the grounds for this
"challenge for cause" to the Dean of the Graduate School
who shall rule on its merits and either retain or replace the
committee member so challenged. Each committee
member selected shall have the option of disqualifying
him/herself from the committee by stipulating reasons why
he or she feels unable to deal with the case in an unbiased
fashion.

ACADEMIC GRIEVANCE POLICIES AND
PROCEDURES

Preamble
It is an objective of the University at Buffalo and its Graduate School to encourage the prompt consultative resolution of grievances of graduate students as they arise, and to provide orderly procedures for the formal consideration and resolution of complaints that cannot be resolved through consultation.

This set of procedures is designed to provide a well-defined, yet appropriately flexible structure that recognizes and reflects the issues unique to graduate education as well as academic areas common to all faculty-student or administrator-student relationships.

The following procedures provide a sequence of steps for the orderly and expeditious resolution of grievances initiated by graduate students. While recognizing and affirming the established principle that academic judgments and determinations are to be reached solely by academic professionals, it is the Graduate School's intention to secure, to the maximum extent feasible, equitable treatment of every party to a dispute. To that end, those who oversee the grievance process are charged to pay heed not only to issues of procedural integrity, but also to considerations of substantive fairness.

Grievance Definitions and Limits

1. Definition. A grievance shall include, but is not restricted to, a complaint by a graduate student: (a) that he or she has been subjected to a violation, misinterpretation, or inequitable application of any of the regulations of the University, the Graduate School, a College or School, or Department; or (b) that he or she has been treated unfairly or inequitably by reason of any act or condition that is contrary to established policy or practice governing or affecting graduate students at the University at Buffalo.

2. Time Limit. A grievance must be filed within one calendar year from the date of the alleged offense. The cognizant department chair, college or school dean, or the Dean of the Graduate School may extend this time limit upon demonstration of good cause.

Consultative Resolution

Virtually all disputes originate in the department or comparable administrative unit and should, if feasible, be resolved through consultation between the disputants. The parties should meet and exert a good faith effort to resolve the dispute amicably.

At the request of either or both parties, the consultation may be recorded by a departmental note-taker (a staff or faculty member, but not a student). If a departmental note-taker is present during the consultation, the student may have an additional note-taker of his/her choosing also in attendance. Neither note-taker may actively participate in the consultation between the parties to the grievance other than to request repetition or clarification of statements made by either party during the consultation session.

It may be useful for the student to seek first the assistance of his or her advisor, department chair, or director of graduate studies acting as a mediator to aid in evenhandedly resolving the dispute.

Formal Resolution

I. Departmental Level Review

Step 1. The student who believes that the grievance is severe or has been unable to obtain an acceptable consultative resolution should submit in writing to the cognizant department chair a description of his or her complaint, including any evidentiary or supporting materials, and a request for a hearing. (If the department chair is a party against whom the grievance is brought, either as a teaching faculty member or as chair, or where the chair can demonstrate that it will best serve the interests of the parties, direct petition to the school or college level may be pursued.)

Step 2. The cognizant department chair shall give the Department Grievance Committee (see Appendix A) and each principal a copy of the written grievance, including any evidentiary or supporting materials, and a copy of the Academic Grievance Policy and Procedures for graduate students.

Upon initial review of the materials and statements presented by the grievant, if the Department Grievance Committee finds the grievance does not have reasonable supporting grounds, the Committee shall conclude the grievance is without merit. In this initial review the Committee may also consider materials or statements submitted by the teaching faculty member(s) against whom the grievance is lodged. If the grievance is found without merit, the Committee shall report this denial to the cognizant department chair. The Committee shall complete this initial review within 15 academic days of receipt of the grievance. The cognizant department chair shall then submit a Statement of Decision to the principals (via certified, return receipt mail), the cognizant college or school dean, and the Dean of the Graduate School within 10 academic days of receipt of the Committee decision.

If the Department Grievance Committee finds the statement of grievance has reasonable supporting grounds, the Committee shall proceed with hearings as provided below.

Step 3. The Departmental Grievance Committee shall convene hearing(s) as necessary to allow both principals the opportunity to present their positions and shall allow each principal the right to question the presentation(s), written and verbal, of each principal and of others who contribute information to the Committee.

The hearing shall convene within 20 academic days of the department’s receipt of the written grievance. The cognizant department will notify principals at least 72 hours prior to the hearing.

The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either
party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee. Hearing(s) shall be conducted in confidence (see Appendix B).

Step 4. The Departmental Grievance Committee shall submit its recommendation(s) in writing, including findings and reasons for the recommendations, to the cognizant department chair within 20 academic days after receipt of the appeal, he or she shall convene a Decanal Grievance Committee meeting of the committee.

Step 5. The cognizant department chair shall consider the committee’s findings and recommendations and render a final decision. This Statement of Decision and an indication of the student’s right to appeal the department chair’s decision (including time limit) shall be submitted, in writing, from the department chair to the principals (via certified, return receipt mail), the cognizant college or school dean, and the Dean of the Graduate School within 10 academic days after receiving the Department Grievance Committee’s written recommendations.

Files shall be maintained in the offices of the cognizant dean and the Office of the Dean of the Graduate School.

II. School or College Level Appeal

Step 1. If either principal wishes to appeal the departmental ruling, a written statement of the appeal, including any additional evidentiary or supporting materials, shall be filed within 10 academic days of receipt of the department chair’s Statement of Decision. The appeal shall be filed with the cognizant college or school dean. (If the dean is a party against whom the grievance is brought, either as a teaching faculty member or as dean, or where the dean can demonstrate that it will best serve the interests of the parties, a direct petition to the Graduate School level may be pursued.)

Step 2. Upon review of relevant materials, including all materials and statements presented during prior hearings, and materials and statements subsequently presented, if the cognizant college or school dean does not find that the statement of appeal provides reasonable grounds to appeal nor raises doubt concerning the adequacy of prior review, the dean may issue a formal decision regarding the appeal. In such a case, the dean shall submit a Statement of Decision to the principals (via certified, return receipt mail), the department chair, and the Dean of the Graduate School within 20 academic days of receipt of the appeal.

Alternatively, if the dean deems it necessary or appropriate to consider further the circumstances of the appeal, he or she shall convene a Decanal Grievance Committee within 20 academic days of receipt of the appeal. The Decanal Grievance Committee shall include two faculty members and two graduate students. In those colleges/schools comprised of multiple academic departments, the Decanal Grievance Committee shall not include representatives from the department(s) involved in the grievance (see Appendix C).

Step 3. The cognizant dean shall give the Decanal Grievance Committee and each principal a copy of the Academic Grievance Policy and Procedures for graduate students, the original written grievance, the written appeal to the school or college level, any supplemental materials and statements, and all documentation and recommendations from the departmental proceedings.

Step 4. The Decanal Grievance Committee shall convene hearing(s) necessary to allow both principals the opportunity to present their positions and shall allow each principal the right to question the presentation(s), written or oral, of the principals as well as others who contribute information to the committee. The principals must be given at least a 72-hour prior notice of the hearing. The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the committee, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee. Hearing(s) shall be conducted in confidence (see Appendix B).

Step 5. The Decanal Grievance Committee shall submit its recommendation(s) in writing, including findings and reasons for the recommendations, to the cognizant college or school dean within 10 academic days of the final decision. This Statement of Decision and a statement of the committee’s findings and recommendations and render a final decision.

Step 6. The cognizant dean shall consider the committee’s findings and recommendations and render a final decision. This Statement of Decision and a statement of the student’s right to appeal the dean’s decision (including time limit) shall be submitted in writing from the dean to the principals (via certified, return receipt mail), the department chair, and the Dean of the Graduate School within 10 academic days after receiving the Decanal Grievance Committee’s written recommendations.

Files shall be maintained in the offices of the cognizant dean and the Office of the Dean of the Graduate School.

III. Graduate School Level Appeal

On rare occasions, when all established procedures within a college or school have been exhausted, it may be appropriate for the Dean of the Graduate School to consider a final University appeal. In general, the Dean of
the Graduate School will consider only those appeals that document violations of applicable due process in prior proceedings or which establish sound cause to believe that prior proceedings have resulted in a decision contrary to law, the Policies of the SUNY Board of Trustees, or policies of the University at Buffalo. In general, the Dean of the Graduate School will not consider appeals that merely challenge the appropriateness of a judgment reached following a full and fair review of a matter by the department and the dean of the college or school.

Step 1. If either principal wishes to appeal the decision(s) of the college or school dean, the written statement of appeal, including any additional evidentiary or supporting materials, shall be filed within 10 academic days1. of receipt of the Statement of Decision. The appeal shall be filed with the Dean of the Graduate School.

Step 2. Upon review of relevant materials, including all materials and statements presented during prior hearings, and any materials and statements subsequently presented, if the Dean of the Graduate School does not find that the statement of appeal provides reasonable grounds to appeal nor raises doubt concerning the adequacy of prior review, the Dean of the Graduate School may issue a formal decision regarding the appeal. In such a case, the Dean of the Graduate School will submit a Statement of Decision to the principals (via certified, return receipt mail), the department chair, and cognizant dean within 20 academic days1. of receipt of the appeal.

Alternatively, if the Dean of the Graduate School deems it necessary or appropriate to consider further the circumstances of the appeal, he or she shall convene a Graduate School Grievance Committee within 20 academic days1. of receipt of the appeal (see Appendix D).

Step 3. The Graduate School shall give the Graduate School Grievance Committee and each principal a copy of the Academic Grievance Policy and Procedures, the original written grievance, the written appeals to both the school/college and the Graduate School levels, any supplemental materials and statements, and all documentation and recommendations from the departmental and decanal proceedings. The Graduate School will notify principals at least 72 hours prior to the hearing.

Step 4. The Graduate School Grievance Committee shall convene hearing(s) as necessary to allow both principals the opportunity to present their positions and shall allow each principal the right to question the presentation(s), written or verbal, of the principals as well as others who contribute information to the Committee. The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present (under unusual circumstances, if either party is considered to pose a physical threat to the other or to the chair, the chair of the committee may request that either the student or instructor participate by phone) and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of or advocate for a principal or otherwise address members of the hearing committee. Hearing(s) shall be conducted in confidence (see Appendix B).

Step 5. The Graduate School Grievance Committee shall submit its letter of recommendations, including findings and reasons for recommendations, to the Dean of the Graduate School within 10 academic days1. after the final meeting of the committee.

Step 6. The Dean of the Graduate School shall consider the Committee’s findings and recommendations and render a final University decision/determination. The Dean of the Graduate School's Statement of Decision shall be submitted in writing to the principals (via certified, return receipt mail), the department chair, and the cognizant academic dean within 10 academic days1. from receiving the Graduate School Grievance Committee’s written recommendations.

The determination/decision of the Dean of the Graduate School constitutes the final step in the University review process and may not be further appealed. Files shall be maintained in the office of the cognizant dean and the Graduate School.

Notes:

1. Academic days are defined as weekdays when classes are in session, not including the summer or winter sessions.

Appendix A

Departmental Grievance Committee Membership

The cognizant department chair, or the chair of the departmental Grievance Committee, shall assemble, from a pool of individuals comprising the Departmental Grievance Pool, a Departmental Grievance Committee comprised of no fewer than two faculty members and two graduate students or a larger number of participants maintaining this same ratio. The departmental representatives in the Grievance Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Departmental Grievance Pool may also serve as the Departmental Academic Integrity Pool.

The members of the Grievance Pool and the Grievance Committee shall be selected so that no member is involved in a disproportionate number of grievances. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the Committee appointed to hear the grievance. If any principal finds the replacement member inappropriate, the party shall transmit, within five academic days1. of the naming of the committee, a written statement of the grounds for this “challenge for cause” to the cognizant department chair who shall rule on its merits and either...
retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the Committee by stipulating reasons why he or she feels unable to deal with the grievance in an unbiased fashion.

Appendix B
Confidentiality of Proceedings

Once the department chair, college or school dean or the Dean of the Graduate School initiates a grievance hearing, principals and committee members shall have the obligation to maintain the confidentiality of the proceedings and of all materials or testimony presented in hearing proceedings, until a decision is formally transmitted to the principals involved in the grievance.

If a breach of confidentiality by either principal (as defined above) is formally brought to the attention of the Grievance Committee, upon a majority vote of the committee, it may choose to consider this breach a case of possible misconduct. If a committee member is charged with a possible misconduct, such charge will be heard at the next highest level Grievance Committee. Such consideration shall take precedence over the pending grievance, and a misconduct hearing shall be conducted, and findings shall be transmitted, in writing, to the principals and committee members, and shall be placed in a supplemental file of the grievance proceedings. Such findings may then be considered in the subsequent review of the grievance.

Appendix C
Decanal Grievance Committee Membership

The cognizant college or school dean, or the chair of the school or college Grievance Committee, shall assemble, from a pool of individuals comprising the college or school Grievance Pool, a Decanal Grievance Committee comprised of no fewer than two faculty members and two graduate students or a larger number of participants maintaining this same ratio. In those college/schools comprised of multiple academic departments, the Decanal Grievance Committee shall not include representatives from the department(s) involved in the grievance. The college or school Grievance Pool shall include two representatives, as appropriate, from each department: one faculty member and one graduate student. The departmental representatives in the Grievance Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Decanal Grievance Pool may also serve as the Decanal Academic Integrity Pool.

The members of the Grievance Pool and the Grievance Committee shall be selected so that no member is involved in a disproportionate number of grievances. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the committee appointed to hear the grievance. If any principal finds the replacement member inappropriate, the party shall transmit, within five academic days of the naming of the committee, a written statement of the grounds for this “challenge for cause” to the cognizant academic dean who shall rule on its merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the Committee by stipulating reasons why he or she feels unable to deal with the grievance in an unbiased fashion.

Appendix D
Graduate School Grievance Committee Membership

The Graduate School Grievance Committee shall be comprised of no fewer than two faculty members and two graduate students (all from outside the cognizant academic department(s)) or a larger number of participants maintaining this same ratio. The departmental representatives comprising the Graduate School Grievance Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion, and in no case shall these representatives be appointed by the departmental or decanal administration. If deemed appropriate, the Graduate School Grievance Pool may also serve as the Graduate School Academic Integrity Pool.

The members of the Graduate School Grievance Pool and the Graduate School Grievance Committee shall be selected so that no member is involved in a disproportionate number of grievances. Each principal to the dispute shall have the option of requesting, without stipulating a reason, the replacement of one member of the committee appointed to hear the grievance. If any principal finds the replacement member inappropriate, the party shall transmit, within five academic days of the naming of the committee, a written statement of the grounds for this “challenge for cause” to the Dean of the Graduate School who shall rule on its merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the committee by stipulating reasons why he or she feels unable to deal with the grievance in an unbiased fashion.

Panel Development

The Dean of the Graduate School shall encourage departments to nominate faculty and student representatives for the departmental and decanal pools and to encourage departments to facilitate development of faculty and student representatives in order to ensure a suitable pool of personnel for departmental, decanal, and Graduate School grievance hearings.

Amended policies promulgated by President John B. Simpson on 26 June 2008
Effective 25 August 2008

OTHER UNIVERSITY POLICIES RELATED TO ACADEMIC INTEGRITY AND GRIEVANCE POLICIES

Other University at Buffalo policies may apply to situations to which the Academic Integrity Policy and
Procedures for Undergraduates, the Academic Integrity Policy and Procedures for Graduates, the Academic Grievance Policy and Procedures for Undergraduates, or the Academic Grievance Policy and Procedures for Graduates apply. Among these are UB's Responsible Conduct in Research and Creative Activity and Student Conduct Policies, as well as professional school or program policies and procedures. Priorities and relations among these are addressed by these specifications:

1. Responsible Conduct in Research and Creative Activity

   The Academic Integrity Policies and Procedures [AIPP] and the Academic Grievance Policies and Procedures [AGPP] are secondary to UB's Responsible Conduct in Research and Creative Activity [RCRCA] policies and procedures. The RCRCA addresses misconduct that may include violations of the AIPP or AGPP. If proceedings initiated pursuant to the RCRCA include possible violation of the AIPP or AGPP, formal actions pursuant to the AIPP or AGPP shall be postponed until the RCRCA proceedings are completed. If the RCRCA proceedings result in recommendation of formal AIPP or AGPP proceedings, these shall be initiated promptly. If the RCRCA proceedings result in findings that a student has violated the AIPP, penalties that may be imposed include dismissal from the program in addition to any and all specified in the AIPP. If the RCRCA proceedings result in findings that a student has not violated the AIPP, the student may not be charged again with the same offenses under the AIPP. RCRCA proceedings, findings, and penalties shall be neither challenged nor appealed through the AIPP or AGPP.

2. Other University Policies and Procedures

   The Academic Integrity Policies and Procedures [AIPP] and the Academic Grievance Policies and Procedures [AGPP] are independent of UB's other policies and procedures. Many of these provide for investigation and recommendation of actions regarding alleged misconduct, but neither provide for nor may result in findings that a student has violated the AIPP. If other proceedings include possible violation of the AIPP, formal actions pursuant to the AIPP shall be postponed until the other proceedings are completed. Should findings or recommendations of these other proceedings provide bases for charges pursuant to the AIPP, formal proceedings under the AIPP shall be promptly initiated. Except as here provided, proceedings, findings, and recommendations resulting from other proceedings shall be neither challenged nor appealed through the AIPP or AGPP.

3. Professional School and Program Policies

   UB professional school or program student conduct policies and procedures are subject to the provisions governing relations of the Academic Integrity Policies and Procedures [AIPP] and Academic Grievance Policies and Procedures [AGPP] to UB's Responsible Conduct in Research and Creative Activity and other policies and procedures.

   Professional school or program student conduct policies and procedures shall be congruent with the provisions of the AIPP for Undergraduates for baccalaureate programs and to the AIPP for Graduates for all other programs. Any appeal of procedures or actions taken pursuant to a professional school or program's student conduct policies and procedures shall follow the provisions of the AIPP or AGPP applicable to the degree level of the program.

   Charges of misconduct by a student in a professional school or program that does not set its own student conduct policies and procedures shall be considered pursuant to the provisions of the AIPP applicable to the degree level of the program.

   Penalties that may be imposed upon findings of misconduct by a student in a professional school or program include dismissal from the program in addition to any and all other penalties specified in the AIPP.

OTHER UNIVERSITY RESOURCES

If your concern does not fall under our Policies and Procedures, the following resources may be helpful:

- Accessibility Resources
- Counseling Services
- Graduate Student Employees Union (GSEU)
- State University Graduate Student Negotiating Unit (GSNU)
- Office of Equity, Diversity and Inclusion
- Office of Judicial Affairs & Student Advocacy
- Office of Judicial Affairs & Student Advocacy
  - Classroom Policies (PDF)
  - Freedom of Information Law
  - Guidelines for Reporting Bias-Related Confrontations and Incidents
  - Student Code of Conduct, University Standards and Administrative Regulations (PDF)

- Guidance for Distance Learning Students Residing Outside New York State (PDF) - Federal regulations require any institution delivering courses by distance education to provide students and prospective students with contact information for filing complaints with the state approval or licensing entity in the student's state of residence and any other relevant state official or agency that would appropriately handle a student's complaint.

Statement of Non-Discrimination - The University at Buffalo is committed to ensuring equal access to its programs and activities. The entire statement of non-discrimination can be viewed at: http://equity.buffalo.edu/.