

# BY-LAWS, RULES, AND REGULATIONS OF THE GRADUATE FACULTY COUNCIL (GFC)

Revised, as of June 8, 2021

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## Graduate Faculty Council

The Graduate Faculty Council, established by the by-laws of The Graduate School, is the legislative body of The Graduate School. It establishes academic policy for graduate education, except for those areas reserved to the Board of Trustees, to the University Senate, or to the faculties of other colleges and schools. The membership, terms of service, and general operating procedures are governed by the by-laws of The Graduate School.

### **I. PROCEDURES**

*A. GFC Meetings*

- a. The GFC will meet on a regular basis, typically monthly, throughout the academic year.
- b. The normal order of business at regular meetings of the GFC shall be:
  1. Approval of the minutes from the previous meeting
  2. Announcements from the Dean
  3. Report from the Graduate Student Senate
  4. Updates and Announcements
  5. Old Business
  6. New Business
- c. All meetings of the GFC shall be open to the public, except that by majority vote of the GFC members present and voting at any GFC meeting the meeting can be closed to all except members of the GFC and anyone specifically invited to present.

*B. Changes in By-Laws, Rules and Regulations*

The by-laws, rules and regulations of the GFC may be changed at any regular meeting of the GFC by majority vote of those present and voting, provided that notice of the proposed changes has been given to the GFC at least two weeks prior to the meeting. If notice of at least two weeks has not been given, a two-thirds vote of those present and voting shall be required.

## **II. GENERAL**

- A. Per the bylaws of The Graduate School, the policies and procedures set forth in these by-laws apply to all graduate programs, including all graduate degree, certificate, sixth-year certificate, and post-baccalaureate programs, with the exception of the Doctor of Pharmacy, and graduate degrees conferred by the School of Dental Medicine, School of Law, and School of Medicine.
- B. Graduate certificate programs consist entirely of graduate courses (those numbered 5000 or above). Post-baccalaureate certificate programs consist either entirely of undergraduate courses (those numbered 1000-4999) or of a mixture of undergraduate and graduate courses. A certificate can be earned either as a “stand-alone” certificate (without simultaneous enrollment in a degree program) or while simultaneously pursuing a graduate degree. A certificate itself is not a degree. In addition, admission to a certificate program does not guarantee admission to a related degree program.
- C. More than one master’s degree may not be awarded at this institution to an individual student unless the degree titles are different or unless the degrees are earned in substantially different fields of study. In addition, an individual may not earn more than one Ph.D. degree in a single field of study at this institution.

## **III. ADMISSIONS**

- A. To earn a graduate degree or certificate in any program, a student must apply and be admitted. This requirement applies to both external applicants and currently matriculated students who wish to pursue a certificate or additional graduate degree.
- B. The Graduate School processes applications for all graduate programs, including all graduate degree, certificate, sixth-year certificate, and post-baccalaureate programs, with the exception of the Master of Business Administration (MBA) program, the Doctor of Pharmacy, and programs at the School of Dental Medicine, School of Law, and School of Medicine.
- C. Ordinarily, a student is granted admission to pursue a graduate degree in one field at a time, except when enrolled in an approved dual degree program. A student may be permitted to enroll concurrently in two different degree programs with approval of their advisors in both programs. In all cases (including dual degree programs), a separate application must be filed for each degree program.
- D. *Regular Status:*
  - a. To be admitted to regular status and to begin studies in any program (including all degree and certificate programs), an applicant must hold a baccalaureate from a regionally accredited college or university or present evidence of the equivalent. Applicants admitted on the basis of an expected baccalaureate or graduate degree at the University of Connecticut or elsewhere

must have completed all requirements for that degree prior to beginning their graduate program.

- b. All applicants must submit transcripts covering all previous work, including all undergraduate, post-baccalaureate, and graduate coursework. All transcripts submitted, including test scores, become the property of the Graduate School and are not returnable. Failure to send transcripts from all educational institutions, regardless of whether or not a degree was received, may be grounds for cancellation of admission.
- c. Except in exceptional circumstances, to be considered for admission to a degree or certificate program, prior coursework must be of at least the following quality: a cumulative grade point average of 3.0 for the entire undergraduate record, or 3.0 for the last two years of full-time coursework, or 3.5 GPA or higher in the entire final year of coursework prior to application to The Graduate School, where the grade point average is computed using the following scale: “A” = 4.0, “B” = 3.0, “C” = 2.0, “D” = 1.0, “F” = 0. Applicants from international colleges and universities must meet equivalent standards of eligibility and submit official transcripts showing all work completed.
- d. In addition to the above requirements, individual programs can specify additional admissions standards and requirements. Meeting the minimum requirements does not guarantee admission to any given program. Applicants must show promise of superior achievement, have specific preparation for the course of study they wish to undertake, and have a record competitive with those of other applicants to the same program.

E. *Provisional Status:*

- a. Occasionally, students who hold the baccalaureate but do not qualify fully for admission to regular status may give sufficient evidence of ability in their chosen field to warrant their provisional admission to a master’s degree program only. Applicants cannot be admitted provisionally to a doctoral program. In addition, students who require F-1 or J-1 visa sponsorship are not eligible for provisional admission.
- b. Students admitted provisionally must have a cumulative baccalaureate grade point average of 2.6 or higher.
- c. If a provisional student’s initial 12 credits of completed degree coursework (excluding 1000-level courses) or 3 credits of completed certificate coursework meet the minimum scholastic requirement of The Graduate School, the student is accorded regular status. Otherwise, the student is subject to dismissal. In situations where special consideration is warranted, and only upon the specific request of the major advisor, the Dean of The Graduate School may approve changing a student to regular status if at least nine credits of advanced coursework have been completed with grades of “A+,” “A,” or “A-.”
- d. Regular, not provisional, status is required for degree conferral.

F. *Language-Conditional Status:*

- a. Regardless of visa status, students whose primary language is not English must show evidence of proficiency in the English language. The acceptable means for establishing English proficiency are set by the Dean of The Graduate School in consultation with the director of the UConn American English Language Institute ((UCAELI).

- b. International graduate applicants whose English language proficiency does not meet the minimum standards necessary to qualify for regular admission may be admitted as Language-Conditional Students. Applicants will have 12 months to meet the language requirement by receiving a Certificate of English Proficiency from the University of Connecticut American English Language Institute (UCAELI) and/or receiving a passing English proficiency score.
- c. Students who are not native English speakers but expect to hold teaching assistantships must also satisfy the University's English Proficiency Policy before being allowed direct instructional contact. This policy applies to all prospective teaching assistants, regardless of citizenship or visa status.

G. *Deferrals:*

Students can request a deferral of admission from the program to which they were admitted for up to one year after their initial application term. These requests will be reviewed by The Graduate School.

H. *Non-Degree Study:*

- a. Individuals with appropriate preparation who have not been admitted to any of the admissions categories described above may take courses as non-degree students.
- b. If a non-degree student is later admitted to a graduate degree or certificate program at the University, limited credits taken on a non-degree basis at the University of Connecticut may be included on the Plan of Study only with the consent of the advisor. These limitations are set out in Section VII.

I. *Admission of University Faculty:*

University of Connecticut faculty members who hold tenure or a rank higher than instructor leading to tenure ordinarily may not earn a graduate degree at this institution. Exceptions to this policy may be made by the Dean of The Graduate School, with the advice of the Executive Committee of The Graduate School.

J. *Application Processing Fee:*

- a. A non-refundable application processing fee must accompany every application, except when explicitly waived by The Graduate School or as stated below. This fee may not be applied toward other charges.
- b. The application processing fee is waived for the following: (i) a student applying to a doctoral degree program immediately following a master's degree program in the same field at the University of Connecticut, (ii) current University graduate students applying to a certificate program, and (iii) current University Scholars applying to a master's program.
- c. Application fees may also be waived at the discretion of The Graduate School.

K. *Deadlines and Other Related Requirements:*

- a. Deadlines for the receipt of applications are set by individual programs.
- b. In all cases, students must be admitted and accept admission at least one month prior to the first day of classes for that term.
- c. In addition, to begin a graduate or certificate program, a student must be matriculated by the Dean of The Graduate School before the first day of classes in the student's admitted term. Matriculation requires that all credentials, including official transcripts covering all undergraduate and graduate work taken up to the time of application, as well as the non-refundable application processing fee, be received by The Graduate School by deadline dates.
- d. Except under unusual circumstances or when conducting off-campus research or holding an off-campus internship or fellowship, students enrolled in on-campus programs must arrive on campus on or before the first day of classes in each academic term in which they are enrolled or plan to be enrolled.
- e. Failure to meet the above deadlines and conditions may cause a delay of enrollment in a degree program until the following semester.
- f. Admission will be cancelled if a student does not register for coursework in the semester or summer term to which the student has been admitted. If this occurs, the student must reapply for admission with no certainty of being accepted.
- g. In some cases, all official transcripts showing final grades and degree conferrals may not be available at the time of matriculation. In this case, for all coursework other than coursework taken at the University of Connecticut, students must submit these transcripts prior to registering for their second term in their graduate program. The submitted transcripts must include final grades for any coursework taken as part of a baccalaureate or graduate degree, as well as any additional non-degree coursework, that was in progress at the time of the student's application. A student cannot register beyond the first term unless all official transcripts (other than for coursework taken at the University of Connecticut) showing final grades and degree conferrals have been received by The Graduate School.

#### **IV. ACADEMIC STANDING**

##### *A. Full vs. Part-time Status and Course Loads:*

- a. The number of credits and choice of courses for which a student registers is determined through consultation between the student and the major advisor.
- b. Graduate students may enroll in up to 20 credits per semester. If a student has extenuating circumstances that require them to take more than 20 credits, the major advisor must send a written request to the Office of the Registrar for approval.

- c. In addition to taught courses, a student's credit load may include research courses, as well as seminar and other "colloquium" courses that are not part of the Plan of Study.
- d. A student may be classified as a full-time student in one of three ways: (i) enroll in nine or more credits of coursework; (ii) enroll in six or more credits of coursework while holding a graduate assistantship (50% or greater); or (iii) enroll in one of the four special purpose three-credit courses described below.
- e. A student will be classified as a full-time student when registered in one of the following courses: GRAD 5960 (Full-Time Master's Research), GRAD 6960 (Full-Time Doctoral Research), GRAD 5930 (Master's Level Directed Studies), and GRAD 6930 (Doctoral Level Directed Studies). The former two courses may be taken by students who have completed all requirements for the respective degree except the research component and who have no other obligations at the University (i.e., no other coursework and no graduate assistantship). The latter two courses denote a full-time, off-campus directed project, such as an internship, field work, or other special activity. Students in GRAD 5930 or 6930 may hold graduate assistantships if those assistantships are in direct support of their studies. Such an assistantship may not be a standard teaching assistantship.
- f. A "part-time" course credit load is between one and 8.99 credits. To be classified as three-quarter time, the student's course credit load must be greater than six and less than nine credits per semester. To be classified as half time, the student's course credit load must be between 4.5 and 5.99 credits per semester. A credit load of fewer than 4.5 credits per semester is considered less than half time.

*B. Leaves of Absence for Graduate and Certificate Students:*

- a. Under compelling reasons, a student may request a leave of absence from a graduate program for a period of up to twelve months or one calendar year. An approved leave of absence indicates that the student status will be recorded as "inactive" for the duration of the requested period of leave, and as such, the student will not have access to university services as a graduate student. In addition, the terminal date (the date determined by The Graduate School by which it is expected that all degree requirements will be completed) of any student granted a leave of absence will be extended by a period of time equivalent to the duration of the approved leave of absence.
- b. The request for a leave of absence must be made to The Graduate School and bear the signatures of the student's major advisor and the department or program head. The completed application form must be submitted to The Graduate School for review and approval at least thirty days before the leave of absence is to commence, or the earliest date possible in extenuating circumstances.
- c. Information provided in the application for a personal leave of absence must address the specific reason(s) prompting the request. Examples could include, but are not limited to, family leave and financial hardship. In certain cases, the Dean of The Graduate School may request that a student provide documentation from an appropriate health care provider that certifies that the student has medical clearance to resume study at the conclusion of an approved leave of absence. In addition, consultation with university offices may be appropriate.

- d. Approval of a leave of absence does not assure or guarantee that a graduate program, an academic department, The Graduate School, or the University would be in a position to provide financial support or a graduate assistantship to any graduate student upon their return to studies following an approved leave of absence. Students returning to studies after a leave of absence must work with appropriate faculty advisors and program personnel to resume their degree programs.
- e. Students on approved leaves of absence for the full duration of a fall or spring semester are not required to register for any credit or non-credit course. Requests submitted during an academic session will be reviewed on a case-by-case basis to determine the most appropriate mechanism for recording the period of leave (e.g., requests made prior to the open enrollment closing date will be dated to cover the entire semester).
- f. Reinstatement from an approved leave of absence will occur at the beginning of the appropriate academic term. The student must request reinstatement from an approved leave of absence through The Graduate School.
- g. A leave of absence can be extended up to a maximum of one additional 12-month period. The request must be resubmitted using the previously described procedures, and ultimately approved by The Graduate School. A leave of absence cannot exceed two full calendar years in duration. In such cases in which a student needs leave for more than a total of two calendar years, the student must reapply for admission to The Graduate School with no assurance of acceptance.

*C. Reinstatement:*

- a. The Graduate School regulations require registration in each semester by all students in a graduate degree, certificate, or post-baccalaureate program, with the exception of those students on an approved leave of absence. All graduate students who fail to complete initial course registration by the end of the tenth day of classes of any semester will be dropped from active status and will be required to pay a reinstatement fee to be reactivated.
- b. Students who do not register for longer than a year will be required to reapply for admission. A letter from the major advisor justifying the use of previous coursework to satisfy current degree requirements is required to count previous coursework towards the new enrollment.

*D. Termination of Status:*

- a. To remain in good standing, a student must at all times have a major advisor and be within the degree time limits for the degree the student is seeking. Once a student's Plan of Study has been approved, the student at all times must have a duly constituted advisory committee (described in Section VIII), minimally including a major advisor.
- b. A student's major advisor may resign from the advisory committee by written notice to The Graduate School and the student. If the student does not identify a new major advisor within 30 business days of the resignation, the student's graduate degree program status is terminated. When the resignation occurs during a summer session or winter session, the 30 business days begin on the first day of classes of the next fall or spring semester.

- c. Whenever a student's graduate degree program status is terminated, the student receives notice from The Graduate School. The student may appeal the termination under the provisions outlined in Section X<sub>below</sub>.

*E. Academic Dismissal:*

- a. A graduate student's progress in a degree program must be monitored regularly by the student's advisory committee. Any graduate student whose scholastic record does not meet the minimum requirements of either the program or The Graduate School may be subject to dismissal.
- b. If at any time a student's academic performance, progress in a graduate degree program, or professional development and/or suitability is judged by the advisory committee to be unsatisfactory to the degree that dismissal is warranted, the advisory committee must submit its written recommendation that the student be dismissed on such grounds. A major advisor may submit a written recommendation for academic dismissal to The Graduate School on behalf of the entire advisory committee, indicating the specific judgment on which the advisory committee's recommendation is based. For a student who does not have an established advisory committee, the major advisor alone submits the recommendation.
- c. A student may be dismissed for one or more of the following:
  - 1. Failure to maintain the minimum cumulative grade point average required by The Graduate School (3.0).
  - 2. Receiving a grade of "D+," "D," "D-," "F," or "U" in any course.
  - 3. If required, failure to satisfy a foreign language requirement for a degree.
  - 4. Failure of the doctoral General Examination, if one is required.
  - 5. Failure to produce an acceptable Doctoral Dissertation Proposal, if one is required.
  - 6. Unsatisfactory performance in any aspect of the research or writing for a required master's thesis or doctoral dissertation.
  - 7. Failure of a required final examination for the master's or doctoral degree.
  - 8. Failure to satisfy any other requirement of the student's graduate degree program.
- d. Whenever a student is dismissed on academic grounds, the student receives notice from The Graduate School. The student may appeal the termination under the provisions outlined in Section X.

## **V. REGISTRATION FOR COURSES**

*A. General:*

- a. Master's, doctoral, Sixth-Year in Education, graduate certificate, and post baccalaureate students must begin their programs with coursework and must maintain registration in every semester thereafter (except summer sessions) until all requirements for the degree or certificate have been completed. Registration may be maintained either by taking



coursework for credit or by registering for one of the five non-credit courses listed in Section V.E below.

- b. All graduate students must register for courses (either for credit or non-credit) no later than the close of business of the first day of classes each semester.
- c. Graduate students are permitted to modify their course registrations without penalty or obtain deferments through the first day of the semester.
- d. Failure to maintain registration during the spring and fall semesters results in the student's inactivation. Reinstatement is possible within a year of last registration and payment of all fees.

*B. Auditing Courses:*

- a. Students who do not wish to register for a specific course for credit may be permitted to register as auditors under the following conditions: (1) they pay the appropriate tuition and fees for the course; (2) they obtain the consent of the instructor; (3) they audit only courses for which there are adequate classroom or laboratory facilities; and (4) in the case of students in degree programs, they obtain consent from their major advisors.
- b. All permissions and registrations for auditing courses must be filed in the Office of the Registrar. No audit enrollment request will be approved after the ninth week of the semester.
- c. Courses audited are entered on the student's permanent record, but such courses cannot be used toward fulfilling requirements for a graduate degree or certificate at the University.
- d. The privileges of an auditor in a course are limited specifically to attending and listening. Auditors must attend class regularly. The auditor assumes no obligation to do any of the work required of the course and is not expected to take any of the instructor's time. In addition, the auditor does not submit any work, and is neither eligible to take any tests or examinations nor able to receive grades on all or any part of the course.

*C. Repeating Courses:*

- a. No student shall receive credit for the same course twice, unless repeating the course is specifically authorized in the Graduate Catalog, as in a variable content course. Courses with the same number that cover the same course content cannot be counted more than once for credit. However, a student may repeat a course once in order to earn a higher grade.
- b. When a course is repeated to earn a higher grade prior to completion of a degree, in the computation of the grade point average, the registered credit and grade points for the highest grade shall be included in the GPA calculation. The lower grade shall remain on the transcript, but shall be removed from the GPA calculation.
- c. When a student repeats a course after receiving a degree, the student's transcript will indicate a grade, but no registered credit, for the repeated course.

- d. A student must have major advisor permission to repeat a course that is listed as a prerequisite or co-requisite for any course that the student has passed.

*D. Graduate Schedule Revision Regulations:*

- a. Students may add courses during the first 10 days of classes without special permissions. In exceptional cases only, a student may add courses after the tenth day of classes with the consent of the student's advisor, the course instructor, and the head of the department or program offering the course. After the fourth week, the permission of the student's dean or dean's designee is also required for adding classes.
- b. After the beginning of a semester or summer session, a student may not add a course if the instructor feels that the elapsed time might preclude its successful completion. For degree and certificate seeking students, courses added after the tenth day of a semester or after the fifth day of a summer session term must be submitted to the Office of the Registrar.
- c. Section changes require the same authorization as other add/drop transactions.
- d. A course may be dropped during the first nine weeks of a semester or prior to the midpoint of a summer session course.
- e. Discontinuance of attendance or notice to an instructor or to an advisor does not constitute cancellation of course registration, and may result in a failing grade on the student's permanent record. Until a class is officially dropped, the student is obligated to complete all work. No grade is recorded for courses officially dropped, but a mark of "W" is recorded to signify withdrawal from a course after the tenth day of the semester or after the first week of a summer session course.
- f. After the first nine weeks of a semester or the midpoint of a summer session course, students ordinarily are not allowed to drop a course. If, however, a student must drop a course because of illness or other compelling reason beyond the student's control, the student must request special permission as early as possible and well before the last day of classes. Permission to drop a course or to change from participant to auditor is granted only for good cause. All students must obtain permission from The Graduate School. Permission is granted only on the major advisor's written recommendation, which must be convincing and sufficiently specific regarding reasons beyond the control of the student. A student at any location or in any program is not permitted to drop a course after the course has been completed.
- g. The general policies and procedures regarding dropping a course described above apply to dropping all courses, whether the student wishes to remain active in the graduate degree program or to withdraw permanently from it. Permission from The Graduate School is required for the student either to remain active in the program or to leave in good standing. No refund is possible unless all coursework for credit is dropped.

*E. Non-credit Registration:*

- a. Students who are not registered for courses for credit may maintain continuous registration by registering for one of the following five non-credit courses. These include Continuous Registration at the certificate (GRAD 5997), master's (GRAD 5998), or

doctoral (GRAD 6998) level; Master’s Thesis Preparation (GRAD 5999); and Doctoral Dissertation Preparation (GRAD 6999). Other zero-credit courses may be substituted, if appropriate. These non-credit courses do not count toward the credit load requirement for half-time, three-quarter-time, or full-time enrollment status. Degree and certificate seeking students who do not need to be certified by the University as holding at least half-time enrollment status may use these courses to maintain registration on a part-time basis.

- b. Per U.S. immigration regulations, students with F-1 and J-1 status are permitted to register for zero-credits only in their final semester of degree study. This requires consent of the student’s major advisor and international advisor.
- c. A student enrolled in a non-credit course will maintain active status, which means the student will continue to pay associated fees and have access to university services as a graduate student.
- d. Enrollment in non-credit courses does not extend the student’s terminal date for completion of degree requirements.
- e. Neither enrollment in non-credit courses nor payment of the associated fees is required for any semester during the first 10 class days of which the student completes all requirements for a degree if it is the only degree the student is pursuing.
- f. Any currently matriculated student taking coursework at another institution, either for transfer to a University of Connecticut graduate degree program or for any other reason, must maintain registration as specified above in any affected semester.

## **VI. COURSE GRADES**

### *A. Permanent Grades:*

- a. Instructors are required to file grades with the Office of the Registrar for all credit-bearing courses taken by a student. Although instructors are free to set the standard of performance expected in their courses, the following uniform scale is published to encourage general agreement on the meaning of grades:

### Grades and Grade Point Formulas

Explanation	Final Grades	Grade Points
Distinction	A	4.0
	A-	3.7

<b>Explanation</b>	<b>Final Grades</b>	<b>Grade Points</b>
Good Quality	B+	3.3
	B	3.0
	B-	2.7
Below Expected Standard	C+	2.3
	C	2.0
	C-	1.7
Unsatisfactory Quality	D+	1.3
	D	1.0
	D-	0.7
Failure	F	0
Satisfactory (Good Quality)	S	N/A
Unsatisfactory/(Failure)	U	N/A
Withdrawal	W	N/A
Non-credit Registration	R	N/A

- b. Final grades of “S” (Satisfactory) or “U” (Unsatisfactory) are associated only with certain courses designated as such by the Executive Committee of The Graduate School. “S” and “U” grades do not enter into the calculation of a student’s grade point average.

*B. Temporary Grades:*

- a. Temporary grades signify that credit has not been earned in that course, and may subject the student to scholastic probation or dismissal. Temporary grades shall not prevent the calculation of either the semester or the cumulative grade point average. The following temporary grades can be assigned:

<b>Temporary Grade</b>	<b>Conditions for Assigning a Temporary Grade</b>
N (No basis for grade)	A student has completed few or no assessments and no make-up schedule has been agreed upon with the instructor; the instructor has no basis for a grade.
I (Incomplete Grade)	A student has not completed all of the assessments but work completed is of passing quality and a make-up schedule has been agreed upon with the instructor.
X (Final assessment absence)	A student did not submit a final assessment and might by means of a satisfactory performance on the assessment complete the course with a passing grade. If in the opinion of the instructor such a student would fail the course regardless of the result of the assessment, the student shall be given a grade of “F.”

- b. If all work required to change a mark of “I” or “X” is not completed and a grade submitted to the Office of the Registrar within 12 months following the end of the semester or session for which the mark was recorded, or within a shorter period of time specifically designated by the instructor, no credit is allowed for the course.
- c. For grades of “I,” it is the student’s responsibility to reach and to maintain an understanding with the instructor concerning the timely completion of the work. For grades of “X,” it is the student’s responsibility to seek the required permission to take the final examination from the instructor as soon as possible after it has been missed.
- d. Upon the recommendation of the instructor to The Graduate School, a limited extension of an incomplete may be granted. The Graduate School is not obligated to approve an extension if the instructor of the course is no longer a faculty member at the University of Connecticut.
- e. If more than three courses have been left incomplete, the student may be required to complete those still viable before being allowed to register for additional coursework.

Too many permanent incompletes on the record may be grounds for the student's dismissal. An employment authorization for a graduate assistantship appointment may not be approved for a student who has four or more viable incomplete courses on their academic record.

*C. Significant Letters:*

- a. Graduate student transcripts can also include the following letters:

<b>Letter</b>	<b>Explanation</b>
R	Administrative symbol signifying that a student is registered. Any zero-credit course (e.g., GRAD 5997, 5998, 5999, 6998, or 6999) for which a student registers appears on the permanent academic record with the letter "R" as the grade.
T	Course credit has been accepted in transfer from another institution.
W	Withdrawal from a course after either the 10th day of a semester course or the first week of a summer session course. Except in extraordinary cases where academic factors or extreme or unusual circumstances warrant it, this mark is not deleted from the permanent academic record.

*D. Pass/Fail:*

Graduate students are not permitted to take any course, undergraduate or graduate, on a Pass/Fail basis.

*E. Changes of Course Grades:*

- a. Once the grade in the course has been submitted, an instructor may neither accept additional work nor give additional examinations.
- b. Instructors should change grades for the following reasons: a computational error, clerical error, and the discovery of overlooked components in a student's body of work. In cases when the instructor concludes that a course grade ought to be changed, the instructor determines a corrected grade and initiates the grade change process.

## **VII. STANDARDS AND DEGREE REQUIREMENTS**

*A. Credits:*

- a. Master's programs: A Master's degree program represents the equivalent of at least one year of full-time study beyond the baccalaureate (or its equivalent). A minimum of 30 credits are required for a master's program, though some programs may require more.

Master's degrees may be earned under either of two plans, as determined by the advisory committee. The Thesis plan emphasizes research activities while the Non-Thesis plan requires comprehensive understanding of a more general character and may culminate in a final Research Project. The Thesis plan requires no fewer than 21 credits of advanced coursework and no fewer than nine additional credits of Master's Thesis Research (GRAD 5950 or 5960), as well as the writing and oral defense of a thesis. The Non-Thesis plan requires no fewer than 30 credits of advanced coursework. In addition, some programs require a comprehensive final examination.

- b. Doctor of Philosophy programs: The Doctor of Philosophy (Ph.D.) requires a minimum of 30 credits of content coursework beyond the baccalaureate (or its equivalent) or at least 15 credits of content coursework beyond the master's degree or other advanced degree in the same or a closely-related field of study (exclusive of any required Related Area), as well as satisfactory completion of at least 15 credits of GRAD 6950 (Doctoral Dissertation Research) or GRAD 6960 (Full-Time Doctoral Dissertation Research). Some programs also require a foreign language or related area. The degree will be conferred only after the advisory committee has determined that the student has met the standard of independence of judgment and mature scholarship in the chosen field. The advisory committee has the flexibility to determine what is needed to meet this standard, provided (1) the standard meets the relevant minimum Graduate School requirements set forth in these by-laws and the program requirements set forth in the graduate catalog, (2) the standard is clearly articulated to the student prior to filing of the dissertation proposal, and (3) the standard is applied in an equitable and non-discriminatory way.
- c. Master's degrees for doctoral students: Students admitted to study for the degree of Doctor of Philosophy may earn a Master of Arts or Master of Science degree in the same or another field of study under either the Thesis (Plan A) or the Non-Thesis (Plan B) option by meeting all of the requirements for that degree, including filing a Master's Plan of Study for the degree that is based on courses that are not used on the student's Ph.D. Plan of Study. Students may also apply for a Plan B master's degree in their Ph.D. field of study (if one is offered) if they have completed at least 30 credits of content coursework from a fully approved Ph.D. Plan of Study, have passed either a master's final examination or a doctoral General Exam in that field of study, and have been recommended by their major advisor or by the Dean of The Graduate School for award of the master's degree in that field of study. In this case, the courses used toward the master's degree can also be used on the student's Ph.D. Plan of Study.
- d. Students in graduate degree programs may include on their final Plan of Study up to 12 credits of advanced coursework taken at the University of Connecticut either as an undergraduate or a non-degree student, provided those courses were either (a) not used toward another University of Connecticut degree, or (2) were approved for credit sharing under Section VII.B.
- e. Certificate programs: Graduate certificate programs typically consist of 12 to 15 credits of required coursework. In a small number of cases where detailed justification has been provided, a certificate program may require as few as nine credits. Students in certificate programs may include on the final certificate Plan of Study up to six credits of advanced coursework taken at the University of Connecticut either as an undergraduate or a non-degree student. However, some certificates (such as Sixth Year certificates and some

Post-Master's and Post-Baccalaureate certificates) require 30 or more credits. For those certificates, the requirements set forth in Section VII for master's degrees will apply.

- f. The courses used by a student to complete all requirements for graduate degrees and graduate certificates shall consist largely of courses at the 5000 level or above. A limited number of credits at the 3000 or 4000 level (not more than six) may be used to meet requirements for graduate degrees.
- g. Course credit by examination is not allowed as a means of accumulating credits to meet the requirements for advanced degrees.

*B. Credit Sharing:*

- a. Except in the case of officially approved dual degree programs or as explicitly allowed below, the same course may not be used for credit toward more than one degree.
- b. A limited number of credits (up to 12 for degree programs and six for certificate programs) of graduate coursework taken while a student is an undergraduate at the University of Connecticut and used to meet the student's undergraduate degree requirements may also be included on the student's graduate Plan of Study, provided (1) the courses are required courses for that graduate degree or certificate program (i.e., they are not electives), or (2) the courses have been approved for credit sharing for that graduate degree or certificate program by the Executive Committee of The Graduate School.
- c. Dual degree programs provide the opportunity for a student to pursue work toward two degrees simultaneously and often involve the sharing of a limited and specified number of course credits between the two degrees. These programs (and the associated credit sharing) must be approved by Executive Committee of The Graduate School.
- d. If a student earns a certificate and is subsequently admitted to a related graduate degree program, all credits from the certificate may be counted toward the graduate degree, subject to the approval of graduate program faculty in that program.
- e. In certain cases where the appropriate programs have obtained specific prior approval, one three-credit course may be used simultaneously to satisfy course requirements in two different certificate programs.

*C. Use of Transfer Credits:*

- a. Degree Students: Subject to the restrictions described below, students in a graduate degree program may apply a limited number of credits taken at another university (either prior to admission or after matriculation) to meet requirements for their graduate degree. Such credits may account for up to 25 percent of the credits required for a master's degree, provided the courses are at the graduate level. Up to 30 credits of graduate-level coursework completed at other institutions may be used to meet the requirements of a doctoral degree.
- b. To be accepted as transfer credits from another university and used to meet degree requirements, those credits must satisfy the following minimum requirements:



1. The course must be at the appropriate level and offered by an accredited institution;
  2. The grade earned in the course is “B-” or higher;
  3. The course is within the time limit for completion of the program requirements;
  4. The credits must be approved by the student’s major advisor and by the Dean of The Graduate School; and
  5. The credits have not been applied toward any other degree, at the University of Connecticut or elsewhere (already completed or to be completed in the future).
- c. Individual programs may set standards for accepting transfer credits that are higher than the minimum standards stated above.
- d. Certificate students may not use courses completed at other institutions to satisfy requirements for a University of Connecticut certificate program.

*D. Grade Standards:*

- a. To remain in good academic standing, students are required to maintain in their course program at least a “B” (3.0) average at all times while enrolled in a graduate program. Whenever a student’s cumulative average falls below 3.0, the program is to be reviewed by the student’s advisory committee to determine whether or not the student shall be permitted to continue graduate study.
- b. To be awarded a graduate degree or certificate, a student must have a grade point average of at least 3.0 on the student’s final Plan of Study.
- c. A student’s grade point average is calculated using the chart in Section VI.A. Credits completed elsewhere and accepted in transfer by The Graduate School do not affect the student’s University of Connecticut grade point average in any way.
- d. The following grades are viewed as below the expected standard for graduate students:
  1. All “C” Grades: Course used in a supporting area may be of benefit to students who should not be discouraged from including work in their programs. Such work shall be identified on the Plan of Study.
  2. All “D” Grades: Course with a grade of D+ or lower may not remain on the student’s Plan of Study. When a student receives such a grade, the student’s eligibility to continue in the degree program is reviewed by the student’s advisory committee.
  3. Letters “F” and “U”: Necessitates a recommendation by the advisory committee to the Graduate School as to whether or not the student shall be permitted to continue graduate study.

*E. Plans of Study:*

- a. To become a candidate for a graduate degree or certificate, the student must have an approved Plan of Study or advisement report that indicates how the program requirements have or will be met. The Plan of Study or advisement report must be approved by the student’s advisory committee or major advisor or by the program

director, as appropriate for the program. Successful completion of all work indicated on the approved Plan of Study is a fundamental prerequisite to the conferral of the degree or certificate.

- b. Plans of study for master's degree programs must be submitted to the Office of the Registrar for approval no later than the beginning of the student's final semester. Doctoral plans of study must be submitted to the Office of the Registrar no later than when 18 credits of coursework have been completed. Failure to present the plan on time may prolong the period of study for the degree. Master's students may not take the final examination and doctoral students may not take the general examination before the Plan of Study has been approved. After approval of the plan, any request for change must be submitted to the Office of the Registrar with the signatures of the members of the advisory committee and the student.

*F. Time Limits:*

- a. The student is expected to complete all requirements for the degree within a moderate span of time to assure continuity and adequate familiarity with developments in the field of study. The following time limits apply:
  - 1. All work for the master's degree must be completed within six years from the beginning of the student's matriculation in the master's program, with the following exception. For part-time master's programs approved by the Executive Committee, the allowable time limit will automatically be extended by one semester for each additional three credits of coursework required beyond 33 credits.
  - 2. All work for the Ph.D. and Doctor of Musical Arts degrees must be completed within eight years of the beginning of the student's matriculation into the doctoral program.
  - 3. A student may enroll in a certificate program on either a part-time or a full-time basis. Students must complete the requirements for the certificate within three years of initial enrollment, or, for students who enroll in a certificate program while they are also pursuing a graduate degree at the University of Connecticut, within one year of either (1) the time the degree is awarded, or (2) the time allowed to complete that degree, if the student does not complete the degree within that timeframe. In all cases, with the approval of the Executive Committee of The Graduate School, programs can specify shorter time limits for completion of certificate programs.
  - 4. If a student earns a certificate and is subsequently admitted to a related graduate degree program, the terminal date associated with the degree will be determined using the date of the first certificate class as the initial date of enrollment for the degree.
- b. Except when a waiver is explicitly granted by the Dean of The Graduate School, all coursework (including coursework taken prior to matriculation) that is included on the student's final Plan of Study must be within the above time limits. Failure to complete the work required for a degree or certificate within the periods specified or failure to

maintain registration in each semester will require re-evaluation of the entire program and may result in a notice of termination.

- c. An extension of the student's terminal date is considered only when there is substantial evidence that the student has made regular and consistent progress toward completion of program requirements. A detailed recommendation to extend the terminal date must be signed by the major advisor and submitted no later than one month before the student's current terminal date to the Dean of The Graduate School for approval.
- d. If an extension is granted, it establishes a new terminal date for the student.

*G. Master's Thesis:*

- a. For program's with a master's thesis, the advisory committee must approve the topic and scope of the thesis and, upon its completion, ascertain that it represents an independent investigation of a significant topic and is an important contribution to ongoing research in the candidate's field. The thesis must be acceptable in literary style and organization.
- b. The thesis must be dated as of the calendar year in which all requirements for the degree are completed.
- c. No restrictions that limit or delay the accessibility, use, or distribution of the results of a master's student's research are acceptable if such delays are inconsistent with an embargo period requested by the student or if they interfere with the timely completion of a student's academic program.

*H. Master's Final Examination:*

- a. Fields of study may require that candidates complete a final examination as part of a master's degree. The contents of the final examination are under the jurisdiction of the advisory committee. The advisory committee has discretion to determine whether the examination shall be written, oral, or both. Under the Thesis plan, the examination may center on the candidate's research and its relation to the field of study as a whole, but may have a wider scope. Under the Non-Thesis plan, the examination shall be comprehensive and designed to assess the candidate's mastery of the field and ability to integrate the knowledge acquired.
- b. If a final examination is required, it must be completed no later than one year after completion of coursework or the thesis. The examination must be completed by the published deadlines for the appropriate conferral period for the degree to be granted with that conferral date.
- c. A student admitted on provisional status may not take the final examination until regular graduate status has been granted.
- d. The decision as to whether a student has passed or failed the final examination rests solely with the advisory committee, which shall take into account the opinions of other participating faculty members. The vote of the advisory committee must be unanimous.

- e. Following the examination, the major advisor shall communicate the results to the student and send a report on the official form to the Office of the Registrar. If the student has failed the examination or if the advisory committee considers the result of the examination inconclusive, the committee has the option of requiring the student to retake it. In such cases, the recommendation must reach The Graduate School promptly, and any re-examination must take place within 12 months from the date of the original examination.

*I. Ph.D. General Examination:*

- a. All Ph.D. students are required to pass a Ph.D. General Examination. A student is examined in the several facets of their field of study, not merely in the particular area of concentration. The examination may be written, oral, or both. Advisory or examining committees may give a series of cumulative examinations, to be taken at intervals over the student's period of study. For practical reasons, the final part of such a series shall be regarded as "the General Examination." The General Examination usually is undertaken when the student has completed at least 75 percent of the content coursework listed on the approved Plan of Study.
- b. Normally, the General Examination is under the jurisdiction of the student's advisory committee. In this case, although other faculty may participate, the final decision as to whether or not the student has passed the examination shall rest solely with the advisory committee. However, the members of the Graduate Faculty in a student's field of study can vote to assign authority to conduct and determine the outcome of all or part of the examination to a differently constituted examining committee. If a field of study has voted to assign authority over the General Examination to a different committee, the final decision as to whether or not the student passed the examination rests with that committee. In either case, a minimum of five faculty members must participate in the exam.
- c. After the examination, the Report on the General Examination, indicating the result of the entire examination and the names of all faculty members participating, must be signed by the members of the advisory committee and submitted to the Registrar's Office no later than the date of the submission of the approved Dissertation Proposal.

*J. Ph.D. Dissertation Proposal:*

- a. All Ph.D. students are required to prepare and successfully defend a Dissertation Proposal. The Dissertation Proposal is to be prepared in consultation with the members of the advisory committee before the research is well underway. The Dissertation Proposal should be successfully defended by the time the student has completed the ninth credit of GRAD 6950 or 6960. The approved Dissertation Proposal must be on file in the Office of the Registrar before the public announcement of the oral defense of the dissertation. Receipt by the Office of the Registrar of the approved Dissertation Proposal and any required approvals (by, for example, the Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), or the Stem Cell Research Oversight (SCRO) Committee) is a basic requirement for eligibility to schedule the oral defense of the dissertation and for conferral of the doctoral degree.
- b. When the Dissertation Proposal has been completed and signed by the student and also has been approved by the members of the advisory committee, the proposal then is

submitted to the head of the department or program to which the student was admitted. The department or program head appoints reviewers from outside the advisory committee to conduct a critical evaluation of the Dissertation Proposal. The use of at least one reviewer from outside the University is encouraged. Reviewers may be appointed to evaluate an individual student's proposal, or they may be appointed to a committee responsible for reviewing all proposals in a particular field of study or group of related fields of study. The evaluation may take the form of a reading of the proposal or attendance at an oral presentation and discussion of the proposal.

- c. Dissertation Proposals are reviewed with the following questions in mind:
  - 1. Is the proposal well written, well organized, and well argued?
  - 2. Does the proposal describe a project of appropriate scope?
  - 3. Does the student demonstrate knowledge of the subject and an understanding of the proposed method of investigation?
  - 4. Does the student show awareness of the relevant research by others?
  - 5. Does the student consider how the proposed investigation, if successful, will contribute to knowledge?
- d. The department or program head's signature ~~on the proposal~~ when the review is completed confirms that the results of the review were favorable. A copy of the signed approval form and Dissertation Proposal must be received by the Office of the Registrar when the review process has been completed.

*K. Ph.D. Candidacy, Dissertation, and Final Oral Defense:*

- a. Upon approval of the Plan of Study, passing the General Examination, and approval of the Dissertation Proposal ~~by the Executive Committee of The Graduate School~~, the student becomes a candidate for the degree of Doctor of Philosophy.
- b. A dissertation representing a significant contribution to ongoing research in the candidate's field is a primary requirement for the Ph.D. degree. The preparation of the dissertation is under the immediate and continuous supervision of the advisory committee, and it must meet all standards prescribed by the committee and by The Graduate School. It must be acceptable in literary style and organization.
- c. The oral defense of the dissertation must be announced publicly at least two weeks prior to the date of the defense.
- d. Not fewer than five members of the faculty, including all members of the candidate's advisory committee, must participate in the final examination, unless written approval for a lesser number has been secured in advance from the Dean of The Graduate School.
- e. The decision regarding whether a candidate has passed, conditionally passed, or failed the examination rests solely with the advisory committee, which will take into account the opinions of other participating faculty members and other experts. The vote of the advisory committee must be unanimous.
- f. Following the examination, the major advisor communicates the results to the student and verifies that the official report has been completed and signed for submission to the Registrar's Office (or to the Health Center, if appropriate).

- g. The abstract and dissertation must be dated as of the calendar year in which all requirements for the degree are completed, including submission of the dissertation.
- h. The Graduate School requires the electronic submission of the dissertation. It is the student's ultimate responsibility to be certain that the dissertation conforms to all required specifications. All members of the student's advisory committee must approve the final version of the dissertation.
- i. No restrictions that limit or delay the accessibility, use, or distribution of the results of a doctoral student's research are acceptable if such delays are inconsistent with an embargo period requested by the student or if they interfere with the timely completion of a student's academic program.

*L. Conferral and Commencement:*

- a. Degree conferral requires that all requirements for the degree be completed satisfactorily by the deadline specified in the Academic Calendar.
- b. Degrees are conferred three times each year: August, December, and May.
- c. Formal application for a degree to be conferred must be filed by the degree candidate within the first four weeks of the student's final semester. This application may be withdrawn at any time by the applicant. If all required paperwork and submissions needed for conferral are not received by the Office of the Registrar at least two weeks prior to the intended conferral date, conferral is delayed to the next conferral period, even though all other degree requirements may have been completed on time.
- d. The graduate Commencement ceremony is held once each year at the end of the spring semester. The following students may participate in the Commencement ceremony: (1) students who are candidates for conferral of a May degree, (2) students who anticipate completing all degree requirements and being conferred their degree in August of that year, (3) students who were conferred their degree in December of the previous year, and (4) students who were conferred their degree in August of the previous year and did not participate in the Commencement ceremony the previous year. Academic regalia appropriate for the University of Connecticut degree being conferred is strictly required for all who participate in the ceremony.

## **VIII. ADVISORY SYSTEM**

*A. General*

- a. Degree programs are planned by the advisory committee after consultation with the student, unless a field of study has established a uniform curriculum. There is considerable flexibility in meeting special needs insofar as these are consistent with the regulations of The Graduate School. A degree program may entail coursework in more than one field of study, but each program must include a coherent emphasis within one existing field of study and area of concentration, if applicable.

- b.* Each student in a graduate degree program must have a major advisor. A major advisor must be appointed to the Graduate Faculty at the appropriate level by the Dean of The Graduate School, by authorization of the President of the University, to advise students at that level in that particular field of study or area of concentration. Since consistency of direction is important, a durable relationship between the student and advisor should be formed as early as possible.
- c.* In applying for admission, an applicant may indicate a preference for a particular major advisor. If at the time of admission an applicant expresses no preference, or if the preferred advisor is unable to accept, another advisor may be appointed.
- d.* Occasionally, it may be desirable or appropriate for a student to have co-major advisors (not more than two). Each co-major advisor must hold an appropriate Graduate Faculty appointment in the student's field of study and area of concentration (if applicable).
- e.* If a change of major advisor becomes necessary for any reason, the student must file a special form bearing the signature of the new advisor with the Registrar's Office.
- f.* If a major advisor decides that it is not possible to continue as a student's major advisor and wishes to resign, The Graduate School must be notified in writing as soon as possible. The student is then provided with a reasonable opportunity to arrange for a new major advisor. If a new major advisor is not identified within 30 business days of the resignation of the former major advisor, the student's graduate degree program status is terminated (see Section IV.D).
- g.* Unless a field of study has established another advisory system, a student must also have an advisory committee. The advisory committee is formed after consultation between the major advisor and the student. The advisory committee must include at least two associate advisors, one of whom must hold a current appointment to the Graduate Faculty at the appropriate level in the student's particular field of study or area of concentration. An associate advisor must possess suitable academic or scientific credentials in the student's field of study. Readers, examiners, or other reviewers who have not been recognized as associate advisors by The Graduate School are not members of the student's advisory committee. The advisory committee should be formed before the student has completed 12 credits of degree program coursework and shall then supervise the remainder of the student's degree program.
- h.* In addition to the three or more members of the student's advisory committee, another member, ordinarily a member of the Graduate Faculty outside the student's field of study but in a related field, may be appointed by the Dean of The Graduate School.
- i.* If the advisory committee consists of three members, decisions must be unanimous. If the advisory committee consists of four or more members, decisions are considered adopted if there is no more than one negative vote, although the major advisor must always vote in the affirmative. For Ph.D. students, advisory committee decisions involving the outcome of the General Examination, approval of the Dissertation Proposal, oral defense of the dissertation, or approval of the dissertation itself, must be unanimous.
- j.* A member of the University of Connecticut's Graduate Faculty who has retired from active service may be considered for appointment as major advisor for a newly-admitted master's or doctoral student. Application is made to the Executive Committee of The Graduate School and requires the endorsement of the appropriate department or program head based on substantial evidence of ongoing research and scholarly activity in the field. Separate application is required for each newly-admitted student for whom a retired faculty member wishes to serve as major

advisor. Such appointments are made by the Dean of The Graduate School with the advice of the Executive Committee.

- k. If deemed appropriate by a graduate student's major advisor, the major advisor may request that a suitably qualified external associate advisor be appointed to the student's advisory committee. Such requests should be made in writing to The Graduate School. The request should be accompanied by a curriculum vitae for the individual being recommended for appointment. Such appointments are made on the basis of advanced training and significant experience in the field of study. An appointment as external associate advisor is limited to an individual student's advisory committee and does not imply in any way membership on the Graduate Faculty of the University. Ordinarily, not more than one external associate advisor is appointed to any master's or doctoral student's advisory committee. The major advisor and at least one associate advisor on any doctoral student's advisory committee must be members of the University's Graduate Faculty.
- l. The major advisor of any master's or doctoral student is responsible for coordinating the supervisory work of the advisory committee. Therefore, when the major advisor is to be on leave or is not in residence, it is the major advisor's responsibility to appoint an acting major advisor. The acting major advisor must be a member of the University's Graduate Faculty or be fully eligible for such an appointment. The acting major advisor will assume all duties and responsibilities of the major advisor for the duration of the appointment. The major advisor will inform The Graduate School of the appointment and provide any information that may be required concerning the credentials of the acting major advisor.
- m. Students' advisory committees are accountable directly to the Dean of The Graduate School. For advisory committees of doctoral students, it is required that the written consent be obtained from the Graduate School before any changes are made in the membership of an advisory committee which has been duly established.
- n. A current graduate student may not serve as a member of another graduate student's advisory committee.

## **IX. ASSISTANTSHIPS, FELLOWSHIPS, AND OTHER AID**

### *A. Offers for Financial Support:*

- a. The University of Connecticut supports the Council of Graduate Schools Resolution Regarding Graduate Scholars, Fellows, Trainees, and Assistants. Acceptance of an offer of financial support (such as a graduate scholarship, fellowship, traineeship, or assistantship) for the next academic year by a prospective or enrolled graduate student completes an agreement that both student and the University expect to honor. Students are under no obligation to respond to offers of financial support prior to April 15; earlier deadlines for acceptance of such offers violate the intent of this resolution.
- b. In those instances in which a student accepts an offer before April 15, and subsequently desires to withdraw that acceptance, the student may submit in writing a resignation of the appointment at any time through April 15.
- c. An acceptance given or left in force after April 15 commits the student not to accept another offer without first obtaining a written release from the institution to which a



commitment has been made. Similarly, an offer by an institution after April 15 is conditional on presentation by the student of the written release from any previously accepted offer.

*B. Graduate Assistantships:*

- a. All assistantships must be administered through an academic department.
- b. To be appointed, to retain an appointment, or to be reappointed to a graduate assistantship, a student must have been accorded regular (not provisional) status, must have been maintaining a cumulative grade point average of at least “B” (3.0) in any coursework taken, must be eligible to register (i.e., must not have more than three viable grades of Incomplete on their academic record), must be enrolled in a graduate degree program scheduled to extend through the entire period of the appointment or reappointment, and must be a full-time student, counting coursework and/or its equivalent together with assistantship duties (See Section IV.A), throughout the period.
- c. Graduate assistants divide their full-time efforts between study and assistantship responsibilities. The holder of a full assistantship devotes one-half of available time to studies and one-half (approximately twenty hours per week) to assistantship duties, whereas the holder of a half assistantship devotes three-quarters of available time to studies and one-quarter (approximately 10 hours per week) to assistantship duties. As a result, graduate assistants may not hold concurrent employment outside the University without the written consent of their major advisor.
- d. Graduate assistantships are not available for fewer than 10 hours per week.

## **X. COMPLAINT, APPEAL, AND HEARING PROCEDURES**

*A. General:*

- a. Attempts by all parties to resolve disputes are strongly encouraged before pursuing resolution through The Graduate School. Assistance with problem-solving and mediation toward resolution should be pursued at local levels (e.g., program, department, and/or school) or through the University Ombuds Office.
- b. In the event that a resolution is not reached following such good faith efforts or in the rare case where the actions or behaviors alleged in the dispute are thought to be sufficiently extreme that it would be unreasonable to attempt prior resolution, as an action of last resort a complaint or appeal may be filed with The Graduate School. To begin the formal dispute resolution process through The Graduate School, the Complainant will submit either a complaint or an appeal.

*B. Filing a Complaint:*

- a. A graduate student may file a complaint with The Graduate School when the student believes that actions or behaviors governed by this procedure have occurred and when all good faith efforts to resolve the complaint either through direct communication with the individual(s) involved or through applicable procedures in the graduate program,

department, school, or college, have failed. Categories of complaints to which this procedure applies include, but are not limited to the following:

1. Unfair application of policies: This includes differential application of policies or regulations within a particular degree program or department that is not commensurate with individual differences in skills, contributions, or performance.
  2. A hostile environment: This includes personal conflict or behavior within a laboratory, degree program, or department that has the effect of interfering with a person's performance. Note that a hostile environment claim may be referred to another office for resolution if it arises because a person is a member of a protected class under the University's harassment policy.
  3. Unfair decisions: These can relate to differential work assignments, allocation of research resources, allocation of financial support, or allocation of authorship that are not commensurate with individual differences in skills, contributions, or performance.
  4. Interference or intimidation: This includes actions or behaviors that limit, impede, or delay a person's completion of a task or degrade the person's performance in any aspect of the person's scholarly work.
- b. To be addressed under this procedure, a complaint must be submitted using The Graduate School Complaint Form. The complaint form must include:
1. A detailed description of the actions or behaviors governed by this procedure giving rise to the complaint, including documentary evidence (e.g., correspondence, notes, descriptions of interactions, and dates of occurrence) supporting the allegation.
  2. A description of actions already attempted to resolve the complaint (e.g., correspondence with the person(s) against whom the complaint is lodged; records of meetings with graduate program directors, department heads, or deans).
  3. The names of those lodging the complaint.
- c. Complaints to The Graduate School may not be filed anonymously. Anonymous complaints may be filed through the Workplace Alert Program. The Graduate School may or may not become involved in the resolution of these anonymous complaints. If The Graduate School does become involved, it may be unable to resolve the complaint unless the accuser discloses their identity.
- d. The complaint process will follow the guidelines set forth in The Graduate School Hearing Procedure in Section X.D.
- e. Consistent with the University's Non-Retaliation Policy, retaliation against any person who makes or participates in a complaint under this policy is strictly forbidden.

*C. Filing an Appeal:*

- a. A graduate student may file an appeal with The Graduate School when they are in disagreement with actions taken or academic consequences imposed by an individual faculty member, graduate program, department, school, or college and when all good faith efforts to resolve the concern either through direct communication with the

individual(s) involved or through applicable procedures in the graduate program, department, school, or college, have failed. Categories of actions or academic consequences that an appeal might address include, but are not limited to, the following:

1. Academic dismissal.
  2. Termination of status.
  3. Allegation of scholarly misconduct.
  4. Academic consequences imposed by allegation of scholarly misconduct.
- b. The appeal process does not cover appeals regarding individual course grades. Such appeals should follow the process for appealing a final course grade as described in the University Senate By-Laws, which is endorsed by The Graduate School.
- c. An appeal must be filed in writing to The Graduate School. The Appeal Form must include the following items (appeals will not be reviewed if the information is incomplete):
1. A detailed description of the actions or academic consequences giving rise to the Appeal, including documentary evidence (e.g., correspondence, notes, descriptions of interactions, and dates of occurrence) supporting the allegation.
  2. A description of actions already attempted to resolve the concern (e.g., correspondence with the person(s) records of meetings with graduate program directors, department heads, or deans).
  3. The names of those requesting the Appeal.
  4. For academic dismissal and termination of status appeal, a description of a plan for removing barriers to successful program completion.
- d. The following timetable applies for appeals:
1. The Appeal Form must be submitted to The Graduate School within 10 business days of receipt of the notification of the action or academic consequence.
  2. The Graduate School will notify the major advisor and graduate program/department of the student's intent to appeal the action or academic consequence within five business days.
- e. The appeal process will follow the guidelines set forth in The Graduate School Hearing Procedure in Section X.D.
- f. Consistent with the University's Non-Retaliation Policy, retaliation against any person who makes or participates in an Appeal under this policy is strictly forbidden.

*D. Graduate School Hearing Procedure:*

- a. When a student submits an appeal form or a complaint form, a staff member from The Graduate School will contact the person who submitted the form within two business days to discuss the hearing procedures, answer any questions, and collect any additional information. Information will then be forwarded to the Hearing Officer (an Associate/Assistant Dean of The Graduate School).

- b. The Hearing Officer will review the information submitted, may request additional clarification from either party, and will consider all relevant information in determining whether the case should be referred to a Hearing Committee (described below). In particular, evidence of “good faith effort” at mediation will be considered. Within 25 business days of the student submitting the written complaint/appeal, the Hearing Officer will determine whether the case should be referred to a Hearing Committee.
- c. The following issues are not managed through The Graduate School Hearing Procedures and therefore will not be forwarded to a Hearing Committee: (1) belief of an error in grading, and (2) matters addressed by other existing University policies or procedures including, but not limited to, allegations of research misconduct on federally sponsored projects, conduct proscribed by the Student Code, harassment, complaints of retaliation and/or retaliation, employment matters, and conflicts of interest. The Hearing Officer with jurisdiction (Storrs or UConn Health) may at their sole discretion determine that a complaint or appeal falls under the jurisdiction of the Student Code, the Policy on Scholarly Integrity in Graduate Education and Research, the Policy Statement on Harassment, the Policy on Conflict of Interest in Research, or any other existing University policy that provides for resolution of complaints. Should the Hearing Officer determine that the complaint should be addressed through other procedures, the Hearing Officer will notify the parties involved and refer the complaint to the appropriate University officials.
- d. If the Hearing Officer decides not to convene a Hearing Committee, a rationale will be provided and the decision cannot be appealed. If a “good faith effort” was not shown, the Complainant will be encouraged to seek resolution through direct communication with the person(s) against whom the complaint is directed and/or through procedures available through the relevant graduate program, department, school or college, and university, as applicable. If these attempts at resolution fail, the Complainant may file a new complaint or appeal no sooner than 30 business days after the notice declining to convene a Hearing Committee was sent.
- e. For cases forwarded for the consideration of the Hearing Committee, both parties will be notified of the reason for the hearing and scheduled hearing date. The hearing will be scheduled by The Graduate School no later than 30 business days after notification that a complaint or appeal has been submitted to the Hearing Committee.
- f. The Hearing Committee will be composed of three voting members (two members of the graduate faculty and one graduate student). The Hearing Officer shall conduct the hearing as a non-voting member. No member of the Hearing Committee may be a member of the program/department of either party to the hearing, nor may any member of the Hearing Committee have personal or professional associations with the parties. Both parties will be notified in writing of the composition of the Hearing Committee at least 10 business days prior to the scheduled hearing, and any objections to the appointment of any committee member on the grounds that the member’s participation would jeopardize a fair hearing must be provided to The Graduate School no later than five business days prior to the hearing date. The Hearing Officer will determine whether any objections have merit and make adjustments to the committee membership as appropriate.

- g. For good cause shown, the Hearing Officer may reschedule the hearing at the request of either party. Hearings are not rescheduled based on availability of the support persons or the witnesses.
- h. Either party may decline to appear at the hearing. If the complainant fails to appear at the hearing, the issue will be dismissed. If the respondent, i.e., the person(s) against whom the complaint or appeal is requested, fails to appear at the hearing, the Hearing Committee will hear evidence from the complainant and render its finding. The refusal of the respondent(s) shall not be interpreted as evidence that the issue is valid.
- i. A finding that arises from the complainant's or respondent's failure to appear at the hearing may be appealed in writing to The Graduate School, but only on the grounds that extreme circumstances prevented the person's attendance at the hearing. If the request to appeal is accepted, the Hearing Officer will determine a new period within which a hearing must be held, and no further extensions will be granted.
- j. The hearing is not a court proceeding and will not be bound by the procedures and rules of evidence of a court of law. The hearing will occur in private and will be audio recorded. The Graduate School will maintain the audio recording as required by Connecticut state law and it is the property of the University. Hearing participants are prohibited from making their own recording. Upon written request, a respondent or complainant may review the audio recording and make appropriate arrangements for it to be transcribed on University premises. Arrangements for a transcriber and all associated cost involved in the transcription will be the responsibility of the requesting individual.
- k. Both the complainant and respondent may each invite one person to attend the hearing as a support person. The support person may be consulted throughout the hearing, but is not permitted to directly participate in the hearing. Either party may invite witnesses to provide directly related information and must submit the names of support persons and witnesses or signed witness statements from witnesses unable to attend the hearing to The Graduate School at least 10 business days in advance of the hearing. Witnesses generally cannot serve as support persons. However, if a witness is also a support person, this person can submit a signed written witness statement prior to the hearing and will not be able to participate in the capacity of a witness during the hearing. The Graduate School will provide a list of all persons expected to be present to the Hearing Committee and both parties at least five business days before the scheduled hearing date.
- l. All documentary evidence to be submitted should be clearly identified and provided to The Graduate School at least 10 business days before the hearing. New evidence will be allowed at the hearing at the sole discretion of the Hearing Officer. The party seeking to introduce new evidence must provide at least five additional copies of evidence for review. In all cases, the evidence must be clearly organized and labeled. The Graduate School will maintain one complete copy of all evidence submitted.
- m. The Hearing Officer will conduct the hearing in accordance with the following procedures:
  - 1. The Hearing Officer will identify the Complainant(s), Respondent(s), all other persons involved in the hearing and the members of the Hearing Committee.
  - 2. The Hearing Officer will state the issue, as set forth in the notification sent to both parties.

3. Each party will be offered the opportunity to make brief opening statements. Each opening statement should consist of a brief summary and should not involve lengthy discussion or presentation of evidence. The Complainant will present their information first.
  4. Each party will be offered opportunity to present evidence to support their position, which may include written statements, personal oral statements, witness oral statements, and physical exhibits. The Complainant will present their information first. Witnesses will be present in the hearing room only during the period in which their statement is provided.
  5. The Hearing Committee will be offered the opportunity to question both parties and all witnesses. The Hearing Officer will determine the order in which witnesses will provide their statements.
  6. During the hearing either party may decline to make statements. A refusal to answer questions shall not be interpreted unfavorably with respect to that party's position.
  7. Both parties will have the opportunity to present a closing statement. The Complainant will present their closing statement first.
  8. At the conclusion of closing statements, the hearing will conclude and immediately following the hearing the Hearing Committee will privately deliberate and render a decision. At the conclusion of the hearing, the Hearing Committee will determine whether the issue has merit, and will determine the appropriate response if merit is found. The Hearing Committee's decision shall be made by majority vote.
- n. The Hearing Committee's decision will be sent to both parties, the major advisor, the graduate program coordinator and/or department head, the Dean of the school or college in which the issue occurred, and to the Dean of The Graduate School within 10 business days from the date of the hearing. The notice will be sent to all parties via their official University email address, and if appropriate, by first class mail, postage prepaid, to the mailing address on file with the University.

*E. Final Appeal Process:*

- a. A written appeal can be filed with the Dean of The Graduate School within 10 business days after email notification of the Hearing Committee's decision is sent. An appeal is not a new hearing. It is a review of the record of the original hearing. An appeal may be sought on the following three grounds:
  1. On a claim of error in the hearing procedure.
  2. On a claim of new evidence or information material to the case that was not available at the time of the hearing.
  3. On a claim of substantive error arising from misinterpretation of evidence presented at the hearing.
- b. In order to prepare an appeal, the person filing the final appeal request shall have the right to review the records of the hearing, including the audio recording. This review of records, including the audio recording, is limited to the purpose for preparation of the appeal only.
- c. The Dean of The Graduate School has 30 business days to consider and provide an outcome of the final appeal request. The Dean of The Graduate School approves or

denies a final appeal. If a final appeal is approved, the Dean of The Graduate School may determine an appropriate course of action or return the case to the Hearing Committee with instructions to guide additional deliberations.

- d. The decision of the Dean of the Graduate School concerning a final appeal is final.

## **XI. SCHOLARLY INTEGRITY AND MISCONDUCT**

### *A. General:*

- a. Scholarly activity at the graduate and postdoctoral level takes many forms, including, but not limited to, classroom activity, laboratory or field experience, writing for publication, presentation, and forms of artistic expression. Integrity in all of these activities is of paramount importance, and The Graduate School of the University of Connecticut requires that the highest ethical standards in teaching, learning, research, and service be maintained.
- b. Scholarly integrity encompasses “both research integrity and the ethical understanding and skill required of researchers/scholars in domestic, international, and multicultural contexts.” It also addresses “ethical aspects of scholarship that influence the next generation of researchers as teachers, mentors, supervisors, and successful stewards of grant funds” (Council of Graduate Schools, Research and Scholarly Integrity in Graduate Education: A Comprehensive Approach, 2012).
- c. Members of the Graduate Faculty have primary responsibility to foster an environment in which the highest ethical standards prevail. All members of the University community have a responsibility to uphold the highest standards of scholarship, which encompasses activities of teaching, research, and service, and to report any violation of scholarly integrity of which they have knowledge. Instructors have a responsibility to take reasonable steps to prevent scholarly misconduct in their courses and to inform students of course-specific requirements.
- d. The Dean of The Graduate School shall coordinate the reporting, investigation, and determination of alleged breaches of scholarly integrity by graduate students and postdoctoral scholars in accordance with this policy.
- e. Student misconduct other than scholarly misconduct, as defined herein, is governed by the Student Code. Enforcement of its provisions is the responsibility of the Director of Community Standards. At the Health Center, student misconduct other than scholarly misconduct is governed by the Health Center Rules of Conduct.
- f. If a graduate student accused of scholarly misconduct is part of a combined degree program, the appropriate Associate Dean of the Graduate School (whether for Storrs and the regional campuses or UConn Health) and the academic leader of the other degree program will determine whether the complaint will be addressed in accordance with these procedures or in accordance with those of the other degree program, using the procedures of the program to which the alleged misconduct is more germane.
- g. Cases involving allegations of research misconduct on a sponsored project by graduate students or postdoctoral scholars enrolled at Storrs or regional campuses will be referred

to the Vice President for Research for review under the Policy on Alleged Misconduct in Research. Cases involving allegations of research misconduct by students enrolled at the Health Center will be referred to the Research Integrity Officer for action under the Policy on Review of Alleged Misconduct of Research.

- h. Cases involving alleged violation of standards governing the codes of conduct for students in professional fields (e.g., pharmacy, nursing, education, counseling, and therapy) may be subject to additional review by other entities inside or outside the University (e.g., professional organizations or credentialing boards).

*B. Definitions of Scholarly Misconduct:*

The Graduate School endorses the following definition of Scholarly Misconduct, which was approved and adopted by the Board of Trustees on March 26, 2014:

- a. Scholarly misconduct is broadly defined as a failure to uphold standards of scholarly integrity in teaching, learning, research, or service. For the purpose of this Policy, scholarly misconduct shall be deemed to include, but not be limited to, the following types of misconduct. The list is not intended to be exhaustive, but does identify major categories of scholarly misconduct, and provides illustrations where appropriate:
  1. Cheating involves dishonesty during a course, on an examination required for a particular degree, or at other times during graduate study, e.g., copying the work of another student.
  2. Plagiarism involves using another person's language, thoughts, data, ideas, expressions, or other original material without acknowledging the source. (Adapted from Council of Writing Program Administrators, *Defining and Avoiding Plagiarism: The WPA Statement on Best Practices*, 2003).
  3. Distorted reporting involves "any omission or misrepresentation of the information necessary and sufficient to evaluate the validity and significance of research, at the level appropriate to the context in which the research is communicated" (D. Fanelli, *Nature*, 494:149; 2013).
  4. Fabrication or falsification of grades involves any form of falsification of coursework or tampering with grades, e.g., a student making unauthorized changes to their own grades or an instructor consciously misreporting grades of students.
  5. Misrepresentation involves taking an examination for another student, submitting work done by another individual as one's own, submitting the same work for evaluation in two or more courses without prior approval, unauthorized use of previously completed work or research for a thesis, dissertation, or publication, or making false, inaccurate, or misleading claims or statements when applying for admission to The Graduate School or in any scholarly or research activity, including publication.
  6. Academic or research disruption involves unauthorized possession, use, or destruction of examinations, library materials, laboratory or research supplies or equipment, research data, notebooks, or computer files, or it might involve tampering with, sabotage of, or piracy of computer hardware, computer software, or network components.
  7. Fabrication or falsification in research involves falsification of, tampering with, or fabricating results or data.



8. Research violations include violation of protocols governing the use of human or animal subjects, breaches of confidentiality, obstruction of the research progress of another individual, or disregard for applicable University, local, State, or federal regulations.
9. Professional misconduct involves violation of standards governing the professional conduct of students in particular fields (e.g., pharmacy, nursing, education, counseling, therapy).
10. Deliberate obstruction involves hindering investigation of any alleged act of scholarly misconduct.
11. Aiding or abetting involves actions that assist or encourage another individual to plan or commit any act of scholarly misconduct.

*C. Addressing Misconduct Allegedly Committed Within an Academic Course*

- a. When an instructor or relevant dean or department head believes that an act of scholarly misconduct within an academic course has occurred, the instructor, dean or department head who believes that scholarly misconduct has occurred within an academic course (the Complainant) shall retain all evidence of the alleged misconduct in its original form. Original papers or other materials need not be returned to the accused student. Copies of the accused student's work will be provided upon request. All instructors within the course shall be notified of the allegation and the proposed academic consequences before the student is notified of the alleged misconduct.
- b. Within 30 business days of becoming aware of alleged misconduct, the Complainant shall notify the accused student and their major advisor in writing of the allegation of misconduct and the academic consequences to be imposed. The notice shall be sent by the Complainant to the accused student by email to the student's official University email address, and, if appropriate, by first class mail, postage prepaid, to the mailing address on file with the University. The Complainant will provide a copy of the written notification sent to the accused student to The Graduate School and also will maintain a copy.
- c. The notification shall advise the student that the student has 10 business days from the date the notice is sent via email to contact the Complainant to address the alleged misconduct and/or file an appeal, and that if the student fails to do so, the academic consequences described in the notice shall be imposed. An accused student who wishes to file an appeal must do so in writing to The Graduate School within the 10 days following the Complaint, Appeal and Hearing Procedures of The Graduate School described in Section X.
- d. The Graduate School shall notify the Complainant of the receipt of an appeal filed by the accused student within five business days. The Complainant shall then forward to the Graduate School information supporting the allegation within five business days.
- e. The procedures for evaluating the appeal and referral to a hearing will follow the guidelines set forth in the Complaint, Appeal and Hearing Procedures of the Graduate School in Section X.
- f. A student who has been notified that they have been accused of scholarly misconduct may not withdraw from the course in which the alleged misconduct has occurred without the approval of the Dean of The Graduate School. If a semester concludes before a

scholarly misconduct matter is resolved, the student shall receive a temporary “I” (Incomplete) grade in the course until the instructor submits the appropriate grade.

*D. Misconduct Allegedly Committed Outside of an Academic Course*

- a. When any person (the Complainant) believes that an act of scholarly misconduct outside of an academic course has occurred, the Complainant shall retain the evidence of the alleged misconduct in its original form.
- b. Within 30 business days of becoming aware of alleged misconduct, the Complainant shall notify the accused person and, if applicable, the person’s major advisor, in writing of the allegation of misconduct and the course of action to be taken. The course of action will include academic consequences and if appropriate, referral to entities inside or outside the University for further investigation. The Complainant shall send the notice to the accused person by email to the student’s official University email address, and if appropriate, by first class mail, postage prepaid, to the mailing address on file with the University. The Complainant will provide a copy of the written notification sent to the accused person to The Graduate School, and also will maintain a copy.
- c. The notification shall advise the accused person that the person has 10 business days from the date the notice is sent via email to file an appeal through The Graduate School and that if the person fails to do so, the course of action and any academic consequences described in the notice will be imposed. An accused person who wishes to file an appeal must do so in writing to The Graduate School following the Complaint, Appeal and Hearing Procedures of The Graduate School in Section X.
- d. The Graduate School shall notify the Complainant of the receipt of an appeal filed by the accused person within five business days. The Complainant shall then forward to The Graduate School information supporting the allegation within five business days.
- e. The procedures for evaluating the appeal and referral to a hearing will follow the guidelines set forth in the Complaint, Appeal and Hearing Procedures of The Graduate School in Section X.