

# **PhD Student Handbook 2024- 2025**

*For students in the PhD Program*

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## Purpose of Handbook

The purpose of this handbook is to acquaint doctoral students with the rules, policies and procedures governing the PhD program at the School of Management. The Graduate School of the University at Buffalo grants the PhD degree and establishes minimum standards for all graduate students in the university. These standards are described in the [Policy Library](#). Within these standards, individual academic units establish more detailed requirements and procedures for completion of their graduate programs. Academic questions which are not addressed in this handbook should be directed to your academic advisor. Policy questions can be directed to the Graduate Programs Office, 203 Alfiero Center, North Campus. Tel: 716-645-3200.

Overall policy for the PhD program is set by the PhD Program Committee, consisting of the chairman, a student representative, and six faculty members who serve as advisors for the various subject areas in the program. Incoming students should contact their respective advisors as early as possible to discuss their individual programs and course requirements. A permanent record is maintained by the Graduate Programs Office, 203 Alfiero.

## PhD Program Directory

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## Mission, Vision, Goals and Values

### Our Mission

The mission of the University at Buffalo School of Management is to discover and deepen our understanding of management concepts and applications that drive effective organizations and use them to produce principled and insightful leaders who create positive change in the world.

### Our Vision

A world of transformational leaders and organizations who change society for the better.

### Our Goals

Define the future of management  
Forge highly capable, engaged and ethical leaders  
Make a positive impact on business and society  
Create a School of Management with world-class capabilities

### Our Values

The University at Buffalo School of Management is a vibrant and inclusive community of big thinkers and big doers, who are leading business into the future. We work together to question and upend theories, lifting each other up and driving change. Because at the UB School of Management, ambition is a virtue, tenacity is a given, and discovery happens everywhere, from the classroom to the boardroom. That's just how we do it here.

## Calendars for 2024-2025

### University Calendar

University calendars are official for all School of Management PhD students. The Office of the Registrar maintains [Official Academic and Student Calendars](#) that provide critical academic and financial dates. Refer to the Academic Calendar for semester start/end dates and holidays and consult the student calendars for a month-by-month schedule of all critical academic and financial dates. *Official university dates are binding.*

The university maintains a [general university events calendar](#) that also includes many opportunities.

### Attendance on Religious Holy Days

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

If a student absence cannot be resolved between the student and the class instructor, or either party is aggrieved by the process, appeal shall proceed to the Graduate School.

## **Student Rights, Responsibilities and Code of Conduct**

### **Graduate School Policies**

All students enrolled in the School of Management are subject to university and school regulations concerning student affairs, conduct and discipline as outlined in the [Student Code of Conduct](#). The Student Code of Conduct describes what is expected from you as a UB student, including your rights and responsibilities, standards of behavior and an overview of student-related university policies.

It is the student's responsibility to know the regulations in effect and to keep informed on matters relating to registration, prerequisites, degree requirements, calendar dates, etc. It is the student's responsibility to check their UB email account in order to stay informed on all matters relating to their program, degree requirements, etc.

The School of Management reserves the right to make changes in programs, policy, and regulations as circumstances dictate, subsequent to publication. Each student is expected to have knowledge of the information contained in this handbook and in other university publications, and during the new student orientation (also known in some programs as "Advantage") will be prompted to read and affirm the Student Code of Conduct.

## Graduate Student Expectations

### **PLATINUM RULE**

“Do unto others as they would want done to them.”

#### ***What to Expect – Of Yourself***

- You get out of this program what you put into it. Effort is key.
- Ask for help from faculty and staff.
- Be a team player.
- Practice self-compassion.

#### ***What to Expect – In the Classroom***

- Read each course syllabus thoroughly.
- Attend all scheduled classes; if you cannot make a class, let the professor know ahead of time.
- Remove distractions by turning off cellphones and logging out of social media on your laptop. Submit assignments on time.
- Complete the [course evaluations](#) surveys thoughtfully.

#### ***What to Expect – Faculty Office Hours, Appointments and Meetings***

- Consult the course syllabus for each professor’s designated office hours.
- Determine the best form of communication for each professor.
- Use proper spelling, grammar and punctuation when you communicate by email.
- When you set up an appointment with a faculty member, teaching assistant or advisor, keep it.
- If you are unable to make an appointment, let your professor, TA or advisor know.

#### ***What to Expect – Program Administration***

- Read communications from your advisor and program office.
- Regularly check School of Management digital screens and website for upcoming events.
- RSVP for enrichment events and be sure to attend—your seat matters. Always dress to impress.
- Schedule advising appointments with your academic advisor to be sure you are on track to graduate on time.
- Watch for and meet graduation filing deadlines.
- Make an appointment with your advisor for answers to any questions you may have.

#### ***What to Expect – From Your Classmates***

- Recognize that everyone comes from a different background (for example, family, culture, language or general experiences). Seek to embrace and understand different points of view.
- Follow professional conduct and maintain professional demeanor.
- Communicate with and respect each other.
- Harassment and discrimination of any kind is prohibited and can result in disciplinary action. For more information about sanctions and the conduct process, visit the [UB Student Guide](#).

#### ***What to Expect – Presentations, Papers and Coursework***

- Do not plagiarize. According to Merriam-Webster, plagiarism is defined as “the act of using another person’s words or ideas without giving credit to that person.”
- You cannot copy and paste from the internet and call that work your own. You must give credit when using direct quotes or paragraphs or even summary of someone else’s ideas.



- To properly cite sources, the School of Management uses APA citation format.
- Report intellectual property violators to your faculty and/or your faculty director.
- Understand the difference between plagiarism and collaboration.
- To learn more, review the [University at Buffalo's Academic Integrity policies](#)

*Reminder: You are always demonstrating your personal brand.*

## School's Right to Amend Rules and Procedures

The School of Management reserves the right to amend its rules and procedures when necessary. The school grants students the right to petition for relief from its rules and procedures in individual cases. The school, however, does not have the authority to waive requirements set by the State University of New York.

## PhD Major Fields

### Accounting

Combine conceptual and technical accounting skills with mathematics, statistics, econometrics and relational databases to produce original research. By examining current and relevant issues, doctoral students help advance the academic accounting field and contribute to the profession, governance and industry. Pursue a tenure-track position in academia conducting research, publishing scholarship and teaching future accountants. A doctorate also prepares you for senior-level positions in research, financial management and policy.

### Finance

Develop a deep understanding of the statistical tools and methods used in theoretical modeling and empirical testing. Examine issues in finance research using economics, mathematics, decision theory and statistics.

### Management Science and Systems

The use of artificial intelligence, cloud computing, machine learning, predictive analytics and business intelligence tools are creating new methods to conduct, operate and manage business in every industry. Demand for advanced research in these areas is explosive. Widely respected around the world, our program is known as a leader in health information technology, online marketplaces, information assurance and security and machine learning.

### Marketing

Make important discoveries about the relationships between organizations and consumers, consumer behavior and marketing theories, strategies and tactics.

## Operations Management and Strategy

Take advantage of the unique opportunity for innovation and distinctiveness in a multidisciplinary department that brings together the areas of supply chains, operations strategy and data analytics. Explore issues of coordination, resilience and sustainability, and learn empirical and analytical research methodologies. Working closely with our faculty members, you will receive individual training in contemporary research and teaching methods.

## Organization and Human Resources

Focus on behavior in the organizational context, relations between individuals and organizations, the study of organizations themselves and the behavioral social science foundations of these subjects. The related field of human resources examines the strategies and approaches used to effectively recruit, select, develop, reward and manage people.

## PhD Core Requirements

### Calculus prerequisite

A two-semester introductory calculus sequence covering topics in differential calculus, integral calculus, simple differential equations and basic matrix algebra is required.

### Core

Students are required to take:

- MGG 700 - Introduction to Research Methods (should be taken during the first year)
- Two statistics courses. Some statistics course options include:
  - Mathematical Probability
  - Mathematical Statistics
  - Econometrics
  - Statistical Inference II
  - Statistical Methods in Sociology
- Two research methodology courses relevant to their major and approved by the advisor. These courses are usually offered by a department outside the school except for Econometric Methods and Managerial Applications I and II. Some research methods course options include:
  - Mathematics for Economists
  - Applied Stochastic Processes
  - Marketing Research
  - Research Methods in Sociology
  - Education and Psychological Seminar
  - Research Methods in Social Psychology
  - Methods of Field Research in Social Psychology

### First Year Paper

All students should prepare a literature survey approximately 15 pages in length on the topic that they wish to start working on for their second-year paper. This will be evaluated by a committee at the beginning of the spring semester of the second year and no later than the end of the spring semester of the second year. All students are required to pass the evaluation.

## Second Year Paper

All students must begin a research paper no later than one year after entering the PhD program. The paper is to be evaluated by a committee no later than two and one-half years after the student enters the PhD program. The committee shall consist of two full-time faculty members selected by the student in consultation with the PhD advisor. At least one committee member must be a member of the graduate faculty. Failure to produce a satisfactory paper as determined by the committee will constitute unsatisfactory performance and will necessitate a review of the student by the PhD Program Committee. The student must produce a satisfactory paper before the major qualifying exam is taken. Students are also required to present this paper at a departmental seminar.

The purpose of the paper is to provide an exposure to the full range of activities required to successfully conduct independent research. The research paper will have all of the characteristics of a publishable paper except that the overall quality need not be sufficient to merit publication. For example, the normal empirical paper will have all of the elements of a typical empirical article appearing in leading journals in the student's area. Similarly, a theoretical paper should have a broad enough range of development to warrant comparison with similar work published in the area.

## Qualifying Examinations (Comprehensive Exams)

Doctoral candidates must take a written qualifying examination in their major field within three years of entry into the program. Also known as a comprehensive examination, the exam is in the major area and may be taken before completing all courses in the minor. Examinations in minor areas are determined by the policy in that area. All examinations must be completed successfully before the student applies for "Application to Candidacy." Normally, these examinations are taken immediately after completing coursework.

Arrangements for taking an examination will be made through the appropriate PhD advisor by the student. If an examination is failed, it may be retaken. Only in unusual cases, and upon written petition to the PhD Program Committee of the School of Management, may the examination be taken more than twice. If such approval is not granted, the student will be terminated from the program. These examinations will be under the control of the department involved. Upon successful completion of each comprehensive exam, the department will notify the Graduate Programs Office, with a copy to the student.

If you require an accommodation for the qualifying exam due to a disability, please contact the [Accessibility Office](#) directly or contact your advisor or the Director of Graduate Programs.

## Teaching Skills

### 1. CIRTl Associates Certificate

This certification – which requires participating in the seminar series offered by the institute over one spring and one fall semester – needs to be attained by the end of the second year in the doctoral program. More information on the Associate's level certification [here](#).

### Requirements for Associate Certification

- Participate in a Learning Community (**4 Hours Total**)
  - Learning communities bring together groups of people for shared learning, discovery and generation of knowledge. To achieve common learning goals, a learning community nurtures functional relationships among its members.
- Effective Teaching Seminar Series (**6 Hours Total**)

- The Effective Teaching Seminar Series is for graduate students interested in learning more about effective teaching practices.
- Attend Conference for Graduate Teaching Assistants
  - This half-day event is designed to help prepare graduate students for success in their instructional roles at UB and beyond. Through interactive presentations and discussions, participants will gain knowledge on effective teaching practices, learn tips and best practices from other TAs, network with peers, and be connected to instruction related services and resources.
  - This event is free to UB graduate students and postdoctoral scholars.
  - *This requirement can be replaced by an additional 5 hours of Teaching Seminar Workshops*
- Develop a Two-Page Teaching Philosophy Statement
  - A teaching philosophy statement conveys your particular perspective on teaching and learning, and how it does—or would—play out in the classroom.

## 2. **Before a PhD Student Teaches a Course**

The student should work with a professor in his or her department as a teaching assistant in a practicum before teaching that course. The practicum will expose the student to all aspects of teaching, including preparation of class materials, selection of appropriate in-class activities and exercises, preparation and grading of exams, leading class discussions and actually teaching some classes while being observed by his or her professor. Each student enrolls for one credit (pass/fail) in the teaching practicum course before teaching.

## 3. **The Mentoring Process for Teaching**

### Phase 1: Assign Mentor and Identify Course

The department chair in concert with the PhD Committee will assign a mentor to a PhD student. This should be done at least one semester prior to the student's first teaching assignment. The mentor, the department chair and the PhD student will also work together to identify a course for the PhD student to teach.

### Phase 2: Teaching Engagement

The PhD student will begin to prepare for the teaching assignment. This should include the following:

- Attends most, if not all, class sessions of one section taught by the mentor.
- The mentor *may provide* access to all course materials including the textbook (examination copy), lecture notes, PowerPoint slides, class handouts, assignments and examinations.
- The PhD student is encouraged to develop a syllabus, lecture notes, assignments and examinations as the semester progresses.
- The PhD student, in consultation with the mentor, will teach the mentor's course for one or two weeks during the semester. The PhD student and mentor will hold several meetings prior to the two-week assignment to discuss the student's proposed teaching strategy. The faculty mentor will meet with the PhD student after each class to discuss class presentation and content. The PhD student will prepare examination questions for a midterm or final exam related to the material covered during the weeks.

### Phase 3: Evaluation

Immediately after the PhD student has completed the teaching assignment, the mentor will administer an anonymous survey to the students in the course. This survey will be similar to the UBCATS instrument and will also attempt to elicit specific feedback concerning the PhD student's performance and areas where teaching might be improved. The mentor will send a memo to the

department chair and the PhD Committee summarizing the PhD student's performance (e.g. comparison with School of Management means and overall student reaction).

#### 4. **SPEAK Test Proficiency Requirement**

The School of Management requires all incoming international PhD students to have their language skills evaluated prior to the beginning of their first semester in the program.

(1) A student with a SPEAK score at or below 45 will be strongly recommended to participate in the American English Pronunciation\* course during the fall semester of year one. Subject to availability, the student is recommended to take ESL 411 during the fall or ESL 412 during the spring semester. Finally, the student should take ESL 512 during their second year in the program. In addition to these courses, students are strongly recommended to participate in ELI's chat room.

The student will be required to retake the SPEAK test in December of Year 1. If they have not obtained the required score of 55 they must retake it until the requirement is fulfilled or they have met the teaching certification interview requirement. The student is not certified to teach until they have reached a 55 on SPEAK or performed a teaching certification interview and passed.

(2) A student with a SPEAK score of 50 will be strongly recommended to take ESL 512. A teaching demonstration will be required for all PhD students in this category before they will be approved to teach.

(3) A student with a SPEAK score of 55 and above will be certified to teach without reservation.

\* With permission of a PhD advisor, a student with a 45 on the SPEAK may request the teaching certification interview.

\* If the course requires extraordinary tuition (e.g., the \$185 fee for the American English Pronunciation course), the school will underwrite the fee for the first session of a required remedial course.

\* Failure to take recommended courses during their first semester in the program or failure to perform satisfactorily in the recommended course will result in an unsatisfactory performance evaluation.

#### 5. **Teaching Requirement**

All PhD students are required to teach at least one course that is a part of the School of Management curriculum before degree conferral.

a) Students will sit in on a section of the first course that they are to teach prior to their teaching introduction.

b) Courses taught by PhD students will be recorded on their permanent record maintained by the School of Management.

c) Copies of course evaluations will be directed to area coordinators for each course taught by a PhD student.

d) A written evaluation of teaching performance will be provided to the area coordinator by either the course coordinator or the department chair for each course taught by a PhD student. (It is recommended that course coordinators review course evaluations and visit a class session).

e) As a part of the annual review, the area coordinator will summarize information relating to the student's experience as an instructor and evaluate the student's overall teaching progress.

## 6. Course Evaluations

The PhD Committee will review course evaluations, written teaching evaluations by course coordinators or the department chairs, and area coordinators. Where the committee believes that a student's performance as an instructor is substandard, the committee may seek additional input (discussions with the individual, discussions with the individual's students, class visitations).

When the committee finds that an individual is not making satisfactory progress as an instructor, they may recommend:

- 1) that the PhD Committee make an evaluation of unsatisfactory progress;
- 2) that the PhD Committee deny opportunities to teach for compensation;
- 3) that the PhD Committee suspend financial support;
- 4) that the committee review for termination.

## Student Budgets

PhD students are eligible for a one-time \$300 fund to provide support for doctoral research activities after the Application for Candidacy has been submitted. Eligible students need to complete a PhD Grant Form. Please contact [MGTSTUHR@buffalo.edu](mailto:MGTSTUHR@buffalo.edu) for a copy.

## Dissertation Proposal

Students must complete all of their core courses (grade "B" or better), their research papers, and their comprehensive exams before giving their thesis proposals. Dissertation proposals defense may be held on any day when regularly scheduled classes and/or exams are being held at the university. Such events should be scheduled with the respective department and the Graduate Programs Office (typically the office manager or PhD liaison). Defense of the proposal is open to all faculty and PhD candidates. Students are strongly advised to attend the defenses of others prior to their own to become familiar with the process and its requirements.

A proposal defense must be attended by a member of the PhD Committee. Ordinarily this is the advisor in the major area of the defending doctoral candidate. If the advisor is unable to attend, the PhD Committee will select an alternative representative. A brief outline of the proposal (at least 350 to 500 words) shall be distributed to all faculty members and PhD students in the School of Management along with the announcement of the proposal, via email. The individual PhD candidate is responsible for the preparation of such outline or summary.

Two copies of the proposal must be submitted to the Graduate Programs Office at least five business days in advance of the presentation date. This notice requirement will be strictly enforced, and any doubts as to what constitutes a business day should be resolved through consultation with the Graduate Programs Office.

At the conclusion of the public proposal presentation, it will be the dissertation chairman's responsibility to summarize for those present any suggested changes, modifications, etc. As soon after the proposal defense as possible (no longer than two weeks), this summary will be submitted, in writing, to the PhD program chairman.

## Dissertation Defense

Students must complete all of their core courses (grade "B" or better), their research papers, and their comprehensive exams and dissertation proposal before giving their dissertation defense. It may be held on any day when regularly scheduled classes and/or exams are being held at the university. Such events should be scheduled with the respective department and the Graduate Programs Office (typically the

office manager or PhD liaison). Dissertation defenses are open to all faculty and PhD candidates. Students are strongly advised to attend the defenses of others prior to their own to become familiar with the process and its requirements.

A dissertation defense must be attended by a member of the PhD Committee. Ordinarily this is the advisor in the major area of the defending doctoral candidate. If the advisor is unable to attend, the PhD Committee will select an alternative representative. A summary of the dissertation, not to exceed 10 pages, shall be distributed to all faculty members and PhD students in the School of Management along with the announcement of such defense, via email. The individual PhD candidate is responsible for the preparation of such summary.

**Two copies of the dissertation must be submitted at least 10 business days in advance.** This notice requirement will be strictly enforced, and any doubts as to what constitutes a business day should be resolved through consultation with the Graduate Programs Office.

At the conclusion of the public presentation, it will be the dissertation chairman's responsibility to summarize for those present any suggested changes, modifications, etc. As soon after the defense as possible (no longer than two weeks), this summary will be submitted, in writing, to the PhD program chairman.

## PhD Policies and Procedures

### Annual Academic Review of PhD Students

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

Additionally, each PhD student's academic progress must be reviewed after their first semester of enrollment, in order to identify any academic problems early in the program. Directors of graduate study are required to communicate the annual academic evaluation to the student in writing.

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

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

## Changes in Major Advisor and Committee Membership When Graduate Faculty Leave UB

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

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

## Continuous Registration Requirement

As part of the registration process, students select a program of courses with the advice of their advisors or committee and with the approval of their program director. Students must then officially register every semester for the appropriate courses according to established registration procedures and within the deadline dates announced by the [Office of the Registrar](#).

Graduate students must register for a minimum of one credit hour each fall and spring term until all requirements for the degree are completed. If continuous registration is impossible at any time, the student **must** secure a [leave of absence](#) from the Office of the Registrar. Failure to secure a leave of absence by the end of the semester in which the leave is to begin will result in a \$350 reactivation fee being assessed to the student's account when the student subsequently registers for classes. Students may not be on a leave of absence in the semester immediately preceding degree conferral. Under rare circumstances, the continuous registration requirement may be waived for the semester immediately prior to degree conferral if:

- The student has applied for graduation or has an approved [PhD Application to Candidacy](#) on file in the Graduate School; and,
- the student will not be using any university services or faculty time; and,
- The student submitted all required conferral materials to the Graduate School *prior* to the first day of the semester.

Students may request a waiver of continuous registration by filing the [Graduate Student Petition for Waiver of Continuous Registration](#) with the Graduate School.

## Course Sharing Limits

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

- Up to 50 percent of a student's PhD program may be comprised of courses used to complete another degree program at UB or at another institution. A minimum of 50 percent of the PhD program must consist of courses completed at UB that have not been applied toward any other degree program.



## Dissertation

The dissertation should be an original contribution to the field as determined by the PhD candidate's department or program. Doctoral dissertations, except those in the department of romance languages and literatures, are normally written in English.

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

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

Since 2005, all master's theses and doctoral dissertations completed by UB students in fulfillment of graduate program requirements have been archived and accessible through ProQuest's dissertations and theses database. Beginning with the June 1, 2018 degree conferral, all theses and dissertations will also be accessible for public access through UB's Institutional Repository. Students will continue to have the option to request a temporary embargo (delayed release) of their thesis or dissertation containing patentable material or content being submitted to peer-reviewed journals or for commercial publication. See the [Public Access of Theses and Dissertations](#) and [Embargo \(Delayed Release\) of Thesis and Dissertation](#) policies.

## Dissertation Committee

A doctoral dissertation committee, selected by the student with the approval of his or her home department, oversees the doctoral student's work in preparing the PhD dissertation. The doctoral dissertation committee must be comprised of at least three core members: a major professor and at least two additional core committee members. Each core committee member must be a member of the [UB Graduate Faculty](#). Associate members of the UB Graduate Faculty may not serve on doctoral dissertation committees as core members, but may serve as additional committee members. On occasion, individuals who are neither members nor associate members of the UB Graduate Faculty may serve as additional dissertation committee members if their expertise would be of significant value to the student and the core members of the committee. Questions concerning the composition of doctoral dissertation committees should be referred to the Graduate School.

## Dissertation Copyrighting

The student's copyright is established as soon as the dissertation is fixed in a tangible medium, i.e., saved on a computer hard drive. However, it is the student's choice whether or not to then register that copyright. Registering the copyright will allow the student to file suit against anyone who infringes upon this copyright in the future. Registration with the U.S. Copyright Office is not required in order to establish copyright. The rights of a copyright owner include the ability to make copies of the work, make derivative works, distribute copies of the work, perform the work publicly and display the work publicly. Whether or not a student chooses to register his or her copyright, that student retains the rights to his or her dissertation and may authorize others (i.e., a publisher or another researcher) to exercise them. The student retains these rights unless he or she relinquishes them, as is the case with some publisher

contracts. It is the student's responsibility to guarantee that the work is original and that he or she has followed accepted standards for documenting the use of references and citations of other works. Attribution of one's sources, however, has nothing to do with copyright and does not protect a student from copyright infringement when using other copyrighted works in his or her dissertation. Students should discuss the option to register the copyright of their work with their major professor before reaching a decision. Once the decision has been made to register one's copyright, the appropriate symbol, the date, and the author's name must be included on the page immediately following the title page. Regardless of registration, the student's copyright will run for the life of the author plus 70 years. Students may request this service to be provided through the [Graduate School's online submission system](#) as an option under the ProQuest Dissertation Publishing Agreement they sign when submitting the final dissertation.

## Dissertation Formatting Requirement

The Graduate School will accept any self-consistent format that follows conventions of a recognized discipline, but some general formatting standards are also expected as outlined on the Graduate School's [Electronic Thesis and Dissertation \(ETD\) Guidelines page](#).

## Full-Time Status Certification and Academic Load

A full-time academic load for a graduate student is 12 credits per term, unless the student holds a graduate, teaching or research assistantship appointment, in which case a full-time academic load is nine credits per term. Due to the abbreviated nature of the winter and summer sessions, three credits taken over the winter session and six credits taken within a single summer session, is equivalent to the full-time academic load for a fall or spring term.

Under certain circumstances, a graduate student can be certified full-time even though they are registered for less than a full-time academic load as defined above. Full-time status may be required by outside agencies or organizations such as lending institutions, health insurance carriers, USCIS, etc. Eligible circumstances include:

- A student who is at the candidacy stage of their program and is working full-time on a project, portfolio, thesis, dissertation or a final comprehensive exam.
- A student who is engaged full-time in required field work, practica or internship.
- A doctoral student who is preparing for a qualifying exam prior to candidacy.
- A student who is participating in a university-approved foreign exchange program.

Full-time certification requires that full-time academic effort is put forth, regardless of the number of credits registered in a given term. The weekly hours of academic effort required, in addition to credits registered, must follow this schedule:

Semester Credits Registered:	Number of Weekly Hours Required (in addition to in-class hours) for Certified Full-Time Status:
12	0
11	3
10	6
9	9
8	12

7	15
6	18
5	21
4	24
3	27
2	30
1	33

If a student meets the conditions described above, the student may request certification by submitting a completed Certification of Full-Time Student Status form.

### Oral Defense of a Doctoral Dissertation

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

### PhD Advancement to Candidacy

Admission and matriculation into a PhD program does not automatically qualify a student to be a *candidate* for that PhD degree. Typically, a student *advances to candidacy* by the end of the third year in the PhD program, but this can vary from person to person, or by degree program. To become a formal PhD candidate, generally after passing the PhD qualifying exam or qualifying paper, a student formulates their dissertation committee with the help of the DGS or another assigned academic advisor, and submits the [PhD Application to Candidacy \(ATC\)](#) to their department to begin the application vetting process. Each PhD student shall consult with the director of graduate study (DGS) to discuss the right time to file for PhD candidacy.

At such time, the student's PhD committee and the director of graduate study and/or the department chair will carefully review the student's performance in coursework, independent study, and any qualifying exam results as evidenced in the PhD ATC materials. Upon department approval, the ATC is then vetted by the school's divisional committee (if required), the relevant dean, and finally the Graduate School. Upon Graduate School approval of the ATC, the PhD student becomes a *candidate*, enters the final ABD stage of their program, and engages generally exclusively, in scholarship leading to a completed dissertation.

Typically, the PhD ATC is submitted one year or more prior to the student's anticipated degree completion. Regardless, the PhD ATC must be filed with the Graduate School at least three months before the student's anticipated graduation, according to these deadlines:

- March 1 for June 1 degree conferral.
- July 1 for Aug. 31 degree conferral.
- Oct. 1 for Feb. 1 degree conferral.

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

## PhD Candidacy Qualification

Qualifying to become a PhD candidate is a significant milestone along the path to program completion and is a gateway to the dissertation-preparation phase of the PhD program. Candidacy qualification may be accomplished through discipline-specific/program-defined assessment measures such as an oral and/or written comprehensive or preliminary qualifying exam; or a dissertation prospectus; or a preliminary paper or prospectus. Oversight and assessment of the candidacy qualification process is limited to members of the UB [Graduate Faculty](#). Only students who successfully pass or complete the qualifying milestone and who have an approved PhD Application to Candidacy through the Graduate School may refer to themselves as a "doctoral candidate."

## PhD Requirements Overview

Before degree conferral is possible, all PhD candidates must:

1. Maintain [continuous registration](#) until the PhD degree is conferred.
2. Complete a minimum of 72 credit hours of graduate study. A minimum of 50 percent of the PhD program must consist of courses completed at UB and uniquely applied to that degree program (see the policy on [course sharing](#)).
3. Complete the [M-form for PhD degrees](#) and submit it to the Graduate School.
4. Complete UB's [Responsible Conduct of Research \(RCR\) training requirement](#).
5. Successfully complete an oral and/or written comprehensive or preliminary qualifying exam; or a dissertation prospectus; or a preliminary paper or prospectus.
6. Submit a [PhD Application to Candidacy form](#) within the proper deadline dates for approval at the department, decanal, divisional committee (where required) and Graduate School levels.
7. Complete and orally defend an acceptable doctoral dissertation; [electronically submit the dissertation to the Graduate School](#) for final approval and filing in the [UB Institutional Repository](#).
8. Fulfill the [doctoral degree recipient survey requirement](#).
9. Complete additional requirements as the department or program might duly specify.

## Responsible Conduct of Research (RCR) Training Requirement

All students admitted to a PhD program for the fall 2009 semester or thereafter are required to document successful completion of "Responsible Conduct of Research" (RCR) training when they submit their [PhD Application to Candidacy form](#) for their PhD degree. This training requirement may be fulfilled by either (1.) enrolling in and passing with a grade of B (3.00) or better LAI 648 *Research Ethics* or RPG 504 *Responsible Conduct of Research* or BMS 514 *Intro to Scientific Investigation and Responsible Conduct* or RSC 602 *Research Ethics for the Health Sciences* or (2.) completing a Collaborative Institutional Training Initiative (CITI) online Responsible Conduct of Research course with an average score of 80 percent or higher, or (3.) successfully completing UB's [Responsible Research Micro-Credential](#). Students opting to complete the CITI online course or the Responsible Research Micro-Credential must supply proof of completion with their PhD Application to Candidacy.

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

The University at Buffalo has an institutional membership in the CITI online RCR program. That online program can be accessed through the [CITI Program website](#).

There are four versions of the basic CITI online RCR course from which students should choose the version most appropriate for their area of doctoral study: biomedical sciences, social and behavioral

sciences, physical sciences or humanities. The RCR program is comprised of a series of modules, each of which consists of readings and case studies and ends with a quiz covering the material. The program allows the student to enter and exit at any point and to re-take the quiz associated with each section. A minimum total score of 80 percent is required to pass the online course. Assistance is available online at the CITI website if any technical difficulties are encountered.

Once the student has successfully completed the appropriate version of the CITI RCR program, they must print the "Completion Report" from within the CITI program and submit it with the PhD degree Application to Candidacy.

## Review of the Dissertation

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

## Standardized Test Requirement for PhD Level

Submission of the Graduate Record Examination (GRE) or other appropriate standardized national exam (e.g., Miller Analogies Test [MAT]) is required for admission to all PhD programs at UB, within five years of application to a UB doctoral level program. However, there is no specified minimum test score for admission consideration or actual admission. Departments interested in admitting PhD applicants without a GRE or other approved standardized test score must petition the Office of Graduate Enrollment Services and provide necessary documentation (transcripts, essays, recommendation letters, etc.) supporting their case. Any decanal unit that seeks an exemption of a standardized test requirement for any specific PhD program may petition the vice provost for academic affairs.

## General Policies and Procedures

### Academic Dismissal

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

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

### Academic Grievance

#### *Academic Grievance Preamble*

It is an objective of the University at Buffalo and its Graduate School to encourage the prompt consultative resolution of grievances of graduate students as they arise and to provide orderly procedures for the formal consideration and resolution of complaints that cannot be resolved through consultation. This set of procedures is designed to provide a well-defined, yet appropriately flexible structure that recognizes and reflects the issues unique to graduate education, as well as academic areas common to all faculty-student or administrator-student relationships.

The following procedures provide a sequence of steps for the orderly and expeditious resolution of grievances initiated by graduate students. While recognizing and affirming the established principle that academic judgments and determinations are to be reached solely by academic professionals, it is the Graduate School's intention to secure, to the maximum extent feasible, equitable treatment of every party

to a dispute. To that end, those who oversee the grievance process are charged to pay heed not only to issues of procedural integrity, but also to considerations of substantive fairness.

### *Grievance Definitions and Limits*

1. **Definition.** A grievance shall include, but is not restricted to, a complaint by a graduate student:
  1. That he or she has been subjected to a violation, misinterpretation or inequitable application of any of the regulations of the university, the Graduate School, a college or school or department or program; or
  2. That he or she has been treated unfairly or inequitably by reason of any act or condition that is contrary to established policy or practice governing or affecting graduate students at the University at Buffalo.
2. **Time limit.** A grievance must be filed within one calendar year from the date of the alleged offense. The department chair (or program director where there is no chair oversight), college or school dean or the dean of the Graduate School may extend this time limit upon demonstration of good cause.

### *Academic Grievance Consultative Resolution*

Virtually all disputes originate in the department (or program where there is no chair oversight) and should, if feasible, be resolved through consultation between the disputants. The parties should meet and exert a good faith effort to resolve the dispute amicably.

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

It may be useful for the student to seek first the assistance of his or her advisor, department chair (or program director where there is no chair oversight), or director of graduate studies acting as a mediator to aid in evenhandedly resolving the dispute.

### *Academic Grievance Formal Resolution*

#### I. Departmental or Program Level Review

**Step 1:** The student who believes that the grievance is severe or has been unable to obtain an acceptable consultative resolution should submit in writing to the department chair (or program director where there is no chair oversight) a description of his or her complaint, including any evidentiary or supporting materials and a request for a hearing. (If the department chair or program director is a party against whom the grievance is brought, either as a teaching faculty member or as chair or director, or where the department chair or program director can demonstrate that it will best serve the interests of the parties, direct petition to the school or college level may be pursued.)

**Step 2:** The department chair (or program director where there is no chair oversight) shall begin to assemble a Departmental or Program Grievance Committee within 20 academic days<sup>1</sup> of receipt of the student's appeal (see Appendix A). The department chair or program director shall give the Departmental or Program Grievance Committee and each principal a copy of the written grievance, including any

evidentiary or supporting materials, and a copy of the Academic Grievance Policy and Procedures for graduate students.

Upon initial review of the materials and statements presented by the grievant, if the Departmental or Program Grievance Committee finds the grievance does not have reasonable supporting grounds, the committee shall conclude the grievance is without merit. In this initial review, the committee may also consider materials or statements submitted by the teaching faculty member(s) against whom the grievance is lodged. If the grievance is found without merit, the committee shall report this denial to the department chair or program director. The committee shall complete this initial review within 15 academic days<sup>1</sup> of its receipt of the grievance. The department chair or program director shall then submit a Statement of Decision to the principals (via certified, return receipt mail), the college or school dean and the dean of the Graduate School within 10 academic days<sup>1</sup> of receipt of the committee's decision.

If the Departmental or Program Grievance Committee finds the statement of grievance has reasonable supporting grounds, the committee shall begin to assemble a hearing (as provided below) within 20 academic days<sup>1</sup> of the committee's receipt of the written grievance.

**Step 3:** The Departmental or Program Grievance Committee shall convene hearing(s) as necessary to allow both principals the opportunity to present their positions and shall allow each principal the right to question the presentation(s), written and verbal, of each principal and of others who contribute information to the committee. Principals shall be notified of the hearing date, location and Grievance Committee member names at least 72 hours prior to a scheduled hearing.

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

**Step 4:** The Departmental or Program Grievance Committee shall submit its recommendation(s) in writing, including findings and reasons for the recommendations, to the department chair (or program director where there is no chair oversight) within 10 academic days<sup>1</sup> of the final meeting of the committee.

**Step 5:** The department chair or program director shall consider the committee's findings and recommendations and render a final decision. This Statement of Decision and an indication of the student's right to appeal the department chair's or program director's decision (including time limit) shall be submitted, in writing, from the department chair or program director to the principals (via certified, return receipt mail), the college or school dean and the dean of the Graduate School within 10 academic days<sup>1</sup> from receiving the Departmental or Program Grievance Committee's written recommendations. Files shall be maintained in the offices of the dean and the Office of the Dean of the Graduate School.

## II. School or College Level Appeal

**Step 1:** If either principal wishes to appeal the departmental or program ruling, a written statement of the appeal, including any additional evidentiary or supporting materials, shall be filed within 10 academic days<sup>1</sup> of receipt of the department chair's (or program director's where there is no chair oversight) Statement of Decision. The appeal shall be filed with the college or school dean. (If the dean is a party against whom the grievance is brought, either as a teaching faculty member or as dean, or where the dean can demonstrate that it will best serve the interests of the parties, a direct petition to the Graduate School level may be pursued.)

**Step 2:** Upon review of relevant materials, including all materials and statements presented during prior hearings and materials and statements subsequently presented, if the college or school dean does not

find that the statement of appeal provides reasonable grounds to appeal nor raises doubt concerning the adequacy of prior review, the dean may issue a formal decision regarding the appeal. In such a case, the dean shall submit a Statement of Decision to the principals (via certified, return receipt mail), the department chair (or program director where there is no chair oversight) and the dean of the Graduate School within 20 academic days<sup>1</sup> of receipt of the appeal.

Alternatively, if the dean deems it necessary or appropriate to consider further the circumstances of the appeal, he or she shall begin to assemble a Decanal Grievance Committee within 20 academic days<sup>1</sup> of receipt of the appeal. The Decanal Grievance Committee shall include no fewer than two faculty members and two graduate students. In those college/schools comprised of multiple academic departments, the Decanal Grievance Committee shall not include representatives from the department(s) or program(s) involved in the grievance (see Appendix C).

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

**Step 4:** The Decanal Grievance Committee shall convene hearing(s) necessary to allow both principals the opportunity to present their positions and shall allow each principal the right to question the presentation(s), written or verbal, of the principals as well as others who contribute information to the committee. Principals shall be notified of the hearing date, location and Grievance Committee members at least 72 hours prior to a scheduled hearing.

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

**Step 5:** The Decanal Grievance Committee shall submit its recommendation(s) in writing, including findings and reasons for the recommendations, to the college or school dean within 10 academic days<sup>1</sup> of the final meeting of the committee.

**Step 6:** The dean shall consider the committee's findings and recommendations and render a final decision. This Statement of Decision and a statement of the student's right to appeal the dean's decision (including time limit) shall be submitted in writing from the dean to the principals (via certified, return receipt mail), the department chair (or program director where there is no chair oversight) and the dean of the Graduate School within 10 academic days<sup>1</sup> from receiving the Decanal Grievance Committee's written recommendations.

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

### III. Graduate School Level Appeal

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



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

**Step 2:** Upon review of relevant materials, including all materials and statements presented during prior hearings and any materials and statements subsequently presented, if the dean of the Graduate School does not find that the statement of appeal provides reasonable grounds to appeal nor raises doubt concerning the adequacy of prior review, the dean of the Graduate School may issue a formal decision regarding the appeal. In such a case, the dean of the Graduate School will submit a Statement of Decision to the principals (via certified, return receipt mail), the department chair (or program director where there is no chair oversight) and dean within 20 academic days<sup>1</sup> of receipt of the appeal. Alternatively, if the dean of the Graduate School deems it necessary or appropriate to consider further the circumstances of the appeal, he or she shall begin to assemble a Graduate School Grievance Committee within 20 academic days<sup>1</sup> of receipt of the appeal. The Graduate School Grievance Committee shall include no fewer than two faculty members and two graduate students. The Graduate School Grievance Committee shall not include representatives from the college/school involved in the grievance (see Appendix D).

**Step 3:** The Graduate School shall give the Graduate School Grievance Committee and each principal a copy of the Academic Grievance Policy and Procedures, the original written grievance, the written appeals to both the school/college and the Graduate School levels, any supplemental materials and statements and all documentation and recommendations from the departmental or program and decanal proceedings. Principals shall be notified of the hearing date, location, and Grievance Committee members at least 72 hours prior to a scheduled hearing.

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

**Step 5:** The Graduate School Grievance Committee shall submit its letter of recommendations, including findings and reasons for recommendations, to the dean of the Graduate School within 10 academic days<sup>1</sup> after the final meeting of the committee.

**Step 6:** The dean of the Graduate School shall consider the committee's findings and recommendations and render a final university decision/determination. The dean of the Graduate School's Statement of Decision shall be submitted in writing to the principals (via certified, return receipt mail), the department chair (or program director where there is no chair oversight) and the academic dean within 10 academic days<sup>1</sup> from receiving the Graduate School Grievance Committee's written recommendations.

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

*Note:*

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

## **Academic Grievance Appendix A**

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### *Departmental or Program Grievance Committee Membership*

The department chair (or the program director where there is no chair oversight), or the chair of the departmental or program Grievance Committee, shall assemble, from a pool of individuals comprising the Departmental or Program Grievance Pool, a Departmental or Program Grievance Committee comprised of no fewer than two faculty members and two graduate students or a larger number of participants maintaining this same ratio. The members of the Grievance Committee shall be selected so that no member is involved in a disproportionate number of grievances.

Each principal to the dispute shall have five academic days<sup>1</sup> to request, without stipulating a reason, the replacement of one member of the committee assembled to hear the grievance. If any principal finds the replacement committee member inappropriate, the party shall transmit, within five additional academic days<sup>1</sup> of member identification, a written statement of the grounds for this “challenge for cause” to the department chair (or program director where there is no chair oversight) who shall rule on its merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the committee by stipulating reasons why he or she feels unable to deal with the grievance in an unbiased fashion.

## **Academic Grievance Appendix B**

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### *Confidentiality of Proceedings*

Once the department chair (or program director where there is no chair oversight), college or school dean or the dean of the Graduate School initiates a grievance hearing, principals and committee members shall have the obligation to maintain the confidentiality of the proceedings and of all materials or testimony presented in hearing proceedings, until a decision is formally transmitted to the principals involved in the grievance.

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

## **Academic Grievance Appendix C**

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### *Decanal Grievance Committee Membership*

The college or school dean, or the chair of the school or college Grievance Committee, shall assemble, from a pool of individuals comprising the college or school Grievance Pool, a Decanal Grievance Committee comprised of no fewer than two faculty members and two graduate students or a larger number of participants maintaining this same ratio. In those college/schools comprised of multiple academic departments and programs, the Decanal Grievance Committee shall not include representatives from the department(s) or program(s) involved in the grievance. The members of the Grievance Committee shall be selected so that no member is involved in a disproportionate number of grievances.

Each principal to the dispute shall have five academic days<sup>1</sup> to request, without stipulating a reason, the replacement of one member of the committee assembled to hear the grievance. If any principal finds the replacement committee member inappropriate, the party shall transmit, within five additional academic days<sup>1</sup> of member identification, a written statement of the grounds for this “challenge for cause” to the academic dean who shall rule on its merits and either retain or replace the committee member so

challenged. Each committee member selected shall have the option of disqualifying him/herself from the committee by stipulating reasons why he or she feels unable to deal with the grievance in an unbiased fashion.

## **Academic Grievance Appendix D**

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### *Graduate School Grievance Committee Membership*

The Graduate School Grievance Committee shall be comprised of no fewer than two faculty members and two graduate students (all from outside of the college/school involved in the grievance) or a larger number of participants maintaining this same ratio. The members of the Graduate School Grievance Committee shall be selected so that no member is involved in a disproportionate number of grievances.

Each principal to the dispute shall have five academic days<sup>1</sup> to request, without stipulating a reason, the replacement of one member of the committee assembled to hear the grievance. If any principal finds the replacement committee member inappropriate, the party shall transmit, within five additional academic days<sup>1</sup> of member identification, a written statement of the grounds for this “challenge for cause” to the dean of the Graduate School who shall rule on its merits and either retain or replace the committee member so challenged. Each committee member selected shall have the option of disqualifying him/herself from the committee by stipulating reasons why he or she feels unable to deal with the grievance in an unbiased fashion.

### *Grievance Pool Development*

The dean of the Graduate School shall encourage departments to request faculty and student representatives for the departmental, program and decanal pools, and encourage departments and programs to facilitate development of faculty and student representatives to ensure a suitable pool of personnel for departmental, program decanal and Graduate School grievance committees.

### *Departmental or Program*

The departmental or program representatives in the Grievance Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion and in no case shall these representatives be appointed by the departmental, program or decanal administration. The members of the Grievance Pool shall be selected so that no member is involved in a disproportionate number of grievances. If deemed appropriate, the Departmental or Program Grievance Pool may also serve as the Departmental or Program Academic Integrity Pool.

### *Decanal*

The college or school Grievance Pool shall include two representatives, as appropriate, from each department or program: one faculty member and one graduate student. The departmental and program representatives in the Grievance Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion and in no case shall these representatives be appointed by the departmental, program or decanal administration. The members of the Grievance Pool shall be selected so that no member is involved in a disproportionate number of grievances. If deemed appropriate, the Decanal Grievance Pool may also serve as the Decanal Academic Integrity Pool.

### *Graduate School*

The departmental representatives comprising the Graduate School Grievance Pool shall be selected by the respective faculty and student constituencies in an appropriate democratic fashion and in no case shall these representatives be appointed by the departmental, program or decanal administration. The members of the Grievance Pool shall be selected so that no member is involved in a disproportionate number of grievances. If deemed appropriate, the Graduate School Grievance Pool may also serve as the Graduate School Academic Integrity Pool.

*Amended policies promulgated by President John B. Simpson,  
26 June 2008. Effective 25 Aug. 2008*

## Academic Integrity

### *Academic Integrity Preamble*

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

When an instance of suspected or alleged academic dishonesty by a student arises, it shall be resolved according to the following procedures. These procedures assume that many questions of academic dishonesty will be resolved through consultation between the student and the instructor (a process known as consultative resolution, as explained below).

It is recommended that the instructor and student each consult with the Academic Integrity Office and/or the Office of Student Advocacy for guidance and assistance.

### *Examples of Academic Dishonesty*

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

- **Aiding in academic dishonesty.** Knowingly taking action that allows another student to engage in an act of academic dishonesty, including, but not limited to, completing an examination or assignment for another student, or stealing an examination or completed assignment for another student.
- **Cheating.** Includes, but is not limited to: (1) use of any assistance not authorized by the course instructor(s) in taking quizzes, tests or examinations; (2) dependence upon the aid of sources beyond those authorized by the course instructor(s) in writing papers, preparing reports, solving problems or carrying out other assignments; or (3) stealing tests or other academic material belonging to the course instructor(s).
- **Falsifying academic materials.** Fabricating laboratory materials, notes, reports or any forms of computer data; forging an instructor's name or initials; resubmitting an examination or assignment for re-evaluation that has been altered without the instructor's authorization; or submitting a report, paper, materials, computer data or examination (or any considerable part thereof) prepared by any person other than the student responsible for the assignment.
- **Misrepresenting documents.** Forgery, alteration or misuse of any university or official document, record or instrument of identification.
- **Plagiarizing.** Copying or receiving material from any source and submitting that material as one's own, without acknowledging and citing the particular debts to the source (quotations, paraphrases, basic ideas), or in any other manner representing the work of another as one's own.
- **Purchasing academic assignments.** Purchasing an academic assignment intended for submission in fulfillment of any course or academic program requirement.
- **Selling academic assignments.** Selling or offering for sale any academic assignment to any person enrolled at the University at Buffalo. No person shall offer any inappropriate assistance in the preparation, research or writing of any assignment, which the seller knows, or has reason to believe, is intended for submission in fulfillment of any course or academic program requirement.
- **Submitting previously submitted work.** Submitting academically required material that has been previously submitted, in whole or in substantial part, without prior and expressed consent of the instructor.

### *Consultative Resolution*

**Step 1:** If an instructor has reason to believe that a student may have committed an act of academic dishonesty, the instructor shall notify the student suspected of academic dishonesty within 10 academic days<sup>1</sup> of discovery of the alleged incident by email to the student's UBIT address.

If an individual other than the instructor, including other students, faculty or staff members, has reason to believe that a student may have committed an act of academic dishonesty, the individual shall notify the instructor or the Academic Integrity Office within 10 academic days<sup>1</sup> of discovery of the alleged incident.

Once the alleged incident has occurred, the student may not resign from the course without permission of the instructor. If the instructor does not wish to allow the student to resign from the course, the instructor will assign an incomplete grade while the incident is under review.

The instructor will meet and consult with the student within 10 academic days<sup>1</sup> of the date of notification. During the consultation, the instructor will inform the student of the alleged incident and share a copy of the academic integrity policy and procedures with the student. Either party may request department note-takers (staff or faculty, but not teaching assistants) and/or an audio or video recording device may be used to record the consultation meeting. If the student fails to attend the consultative meeting, the instructor has the authority to reach a decision without consulting the student directly.

**Step 2:** If, after consultation with the student, the instructor believes the student did not commit an act of academic dishonesty, no sanctions will be imposed and the student will be notified of that finding by official university email. Procedures end.

If, after consultation with the student, the instructor believes the student did commit an act of academic dishonesty, the instructor has the authority to impose one or more of the following sanctions (see list below). Such sanctions will be assigned a “pending” status until the Academic Integrity Office receives notice from the instructor of the sanction and confirms the case at hand is the student’s first academic integrity infraction. If the student has a prior infraction(s), then the sanction may be revised by the Office of Academic Integrity.

- **Warning.** Provide written notice to the student that he/she has violated a university academic integrity standard and that the repetition of the wrongful conduct may be cause for more severe sanctions.
- **Revision of work.** Require the student to replace or revise the work in which dishonesty occurred. (The instructor may choose to assign a grade of “I” [Incomplete] pending replacement or revision of the work.)
- **Reduction in grade.** Reduce the student’s grade with respect to the particular assignment/exam or final grade in the course.
- **Failure in the course.** Fail the student in the course, to be indicated on the transcript by a grade of “F” without comment or further notation.
- **Remediation.** Require the student to complete a UB Academic Integrity Office remediation assignment. Upon the student’s successful passing of the assignment, the academic integrity officer will so inform the instructor, who may then change other sanctions he or she originally assigned to the student.<sup>1</sup>
- **Such other reasonable and appropriate sanction(s)** as may be determined by the instructor with the exception of any Academic Integrity Office or university sanction described below.
- **Recommendation of the following Academic Integrity Office sanctions.** The Academic Integrity Office must review and approve these recommendations.
- **Failure in course, remediation required, temporary notation of academic dishonesty.** A grade of “F” for the course is recorded on the student’s transcript and a notation of an academic dishonesty is entered on the student’s transcript. The student is required to complete an Academic Integrity Office remediation assignment. Upon the student successfully passing the assignment, the Academic Integrity Office will remove the notation from the student’s transcript. Failure to successfully complete the Academic Integrity Office remediation assignment will result in the notation remaining permanently on the student’s transcript.
- **Failure in the course with permanent notation of academic dishonesty.** A grade of “F” for the course is recorded on the student’s transcript with a permanent notation that the grade of “F” was assigned for reason of academic dishonesty.

- **Dismissal from the degree program.** The academic integrity violation results in ineligibility for continuation in the student's degree program.
- **Dismissal from the degree program with notation of academic dishonesty.** The academic integrity violation results in ineligibility for continuation in the student's degree program, with a notation on the student's transcript that the dismissal is for reason of academic dishonesty.
- **Dismissal from the department.** The academic integrity violation results in ineligibility for continuation in any degree program within the department.
- **Dismissal from the department with notation of academic dishonesty.** The academic integrity violation results in ineligibility to continue in any degree program within the department with a notation on the student's transcript that the dismissal is for reason of academic dishonesty.
- **Recommendation of the following university sanctions.** The Academic Integrity Office must review and recommend these sanctions to the university president or his/her designee. Only the president or his/her designee may suspend or expel a student from the university.
  - **Suspension from the university.** The student is suspended for a defined time period with stated conditions that will include a permanent notation on the transcript.
  - **Expulsion from the university.** The student is expelled, with permanent notation on the transcript.

<sup>1</sup> Instructors may not impose the remediation sanction to a student who previously received an academic integrity sanction(s).

**Step 3:** Within 10 academic days<sup>1</sup> of the consultative resolution, the instructor shall notify the student of a decision, any sanction(s) imposed and the student's right to appeal that decision, in writing. This decision letter shall be sent via email to the student's UBIT address, with copies to the Academic Integrity Office, the department chair and the school/college dean's office. *It is the instructor's responsibility to report the sanction, regardless of severity, to the Academic Integrity Office.* A copy of the instructor's decision letter will be retained in a confidential file in the Academic Integrity Office in perpetuity. The student shall have access to their own confidential file.

Upon request and with the student's permission, academic integrity violations and sanctions may be reported by the Academic Integrity Office to an authorized body.

### *Right to Appeal*

The student may appeal the instructor's findings. The student's request for an appeal must be submitted in writing to the Academic Integrity Office within 10 academic days<sup>1</sup> after the instructor has notified the student of his or her decision. In the appeal, the student articulates if they are appealing the original judgment of academic dishonesty, the resulting sanction(s)/recommended sanction(s), or both.

**Step 1:** In cases where the student seeks to appeal an instructor decision, the student and instructor shall each provide evidence supporting his or her position, any relevant documentation and the names of potential witnesses to the Academic Integrity Office (hereafter referred to as the office). The office will review all case materials.

If the office finds no cause to further consider the circumstances of the case, the office will notify the student, via email to the student's UBIT address, and the instructor within 10 academic days<sup>1</sup> of receipt of case materials, that the sanction(s) articulated in the instructor decision letter will be enacted. Student appeal procedures end.

If the office finds cause to further consider the circumstances of the case, the office will notify the student, via email to the student's UBIT address, and the instructor within 10 academic days<sup>1</sup> of receipt of case materials, that an adjudication committee (herein referred to as the committee) will be assembled.

**Step 2 (Committee Review):** The Academic Integrity Office will convene the committee to a hearing. The student and the instructor will be given at least 72 hours' notice of the hearing, and all materials will be

provided to the committee, the student and the instructor within 72 hours of its occurrence. Hearings shall take place on academic days unless all principals agree otherwise.

At the hearing(s), the committee will provide sufficient opportunity for both principals to present their positions and shall allow each principal the right to question those presentation(s) to the committee. The hearing(s) shall be conducted in a fair and expeditious manner, but shall not be subject to the rules governing a legal proceeding. Each principal shall have the right to be present and to have one advisor present at all hearings. In no such case shall the advisor be an attorney, unless he or she is a member of the UB faculty who is not acting in a legal capacity on behalf of a principal. An advisor may not speak on behalf of a principal or otherwise address members of the hearing committee. Either principal may ask the committee chair if they may participate in hearings remotely. In exceptional circumstances, such as where either party is considered to pose a physical threat to the other or to the committee, the committee chair may require that either principal participate remotely.

The technical and formal rules of evidence applicable in a court of law are not applicable at academic integrity hearings, and the committee may review all relevant and reliable information that will contribute to an informed final decision. The committee shall only consider information relevant to the current alleged misconduct. Information regarding a student's formerly alleged or documented academic misconduct cannot aid in determining whether or not the student is responsible for violating academic integrity in the current case. However, such history may be introduced during the sanctioning phase of the case under review. At the conclusion of the hearings, the committee will meet privately to deliberate the case. All hearings and committee meetings shall be confidential.

The committee will provide the student, the instructor, the department chair, the Academic Integrity Office and the school/college dean with a written statement of findings and any sanctions assigned within 10 academic days<sup>1</sup> of the final meeting of the committee.

The decision made by the committee may take one of three forms.

- **Findings Overturned, No Sanction.** A finding that no academic dishonesty took place and that no sanctions will be imposed. The student is thus exonerated, and any documentation related to the case within the Academic Integrity Office will be expunged.
- **Findings Sustained, Sanctions Sustained.** A finding that academic dishonesty occurred as described in the original instructor decision letter and that the sanction(s) stand as previously enacted or recommended.
- **Findings Sustained, Sanction Revised.** A finding that academic dishonesty occurred, but that a different sanction from the one originally enacted by the instructor is more appropriate. This finding may involve an alternative sanction that is either more or less severe from the one originally enacted.

#### *No Right to Further Appeal*

The decision of the committee is final, and no further appeal is available.

*Note:* <sup>1</sup> Academic days are defined as weekdays, when classes are in session, not including the summer or winter sessions as defined by the regular [University Academic Calendar](#). Days in the final exam period and reading days are not considered academic days. With the agreement of all principals and the Academic Integrity Office, proceedings may continue during non-academic days.

#### **Appendix A: Academic Integrity Pool Membership and Adjudication Committee Participation**

The Academic Integrity Office shall assemble a pool of faculty and students willing to participate on adjudication committees for academic integrity cases. The Office of Academic Integrity is responsible for ensuring that the pool reflects the diversity of the campus community and for training all members of the adjudication pool. It is the responsibility of each decanal unit to name student and faculty members to this pool. With the assistance of the Academic Integrity Office, each decanal unit will update its pool

membership annually. Accordingly, each year, decanal units will also solicit departments to invite faculty and student representatives for service in the academic integrity pool. To ensure a suitable breadth and depth of membership in the pool, the Academic Integrity Office will encourage departments to facilitate continuous academic integrity training and development of faculty and students for future hearings. Typically duration of service in the academic integrity pool is two years.

From this pool, the Academic Integrity Office will form an adjudication committee for each hearing of no fewer than two faculty members, two graduate students and one member of the Academic Integrity Office. Members from the academic integrity pool will be selected so that no one member will be involved in a disproportionate number of academic integrity cases. To that aim, the student and the instructor shall have five academic days<sup>1</sup> to request, without stipulating a reason, the replacement of one member of the adjudication committee assembled to hear the case. If any principal finds the replacement committee member inappropriate, the party shall transmit, within five additional academic days<sup>1</sup> of member identification, a written statement articulating grounds for objection to the Academic Integrity Office. The Academic Integrity Office will review and then rule on the merits of the objection, and either retain or replace the committee member. Each committee member shall have the option of disqualifying him/herself from the committee by stipulating reasons why he or she feels unable to review the case in an unbiased fashion.

### Appendix B: Confidentiality of Proceedings

Members of the adjudication committee have an obligation to maintain the confidentiality of hearing proceedings and of all supporting materials or testimony presented. If a breach of confidentiality by either principal is formally brought to the attention of the adjudication committee, upon a majority vote of the committee, it may choose to review this breach for possible misconduct. If a committee member is charged with misconduct, their alleged breach of confidentiality will be reviewed by an alternate adjudication committee. Such review shall take precedence over the pending case, a misconduct hearing shall be conducted and findings shall be transmitted, in writing, to the principals and committee members. Findings will be placed in a supplemental file of the case proceedings. Such findings may then be considered in the subsequent review of the case.

### Appendix C: Sample Infractions and Possible Sanctions

Most Severe	Range of Possible Sanctions	Repeat
Having a different student take an exam.	F in course with transcript notation, dismissal from the major, suspension, expulsion	Suspension, expulsion
Hiring or having someone do an online course.	F in course with transcript notation, dismissal from the major, suspension, expulsion	Suspension, expulsion
Purchasing or selling and submitting materials.	F in course with transcript notation, dismissal from the major, suspension, expulsion	Suspension, expulsion
Handing in another's work.	F in course with transcript notation, dismissal from the major, suspension, expulsion	Suspension, expulsion

Severe	Range of Possible Sanctions	Repeat
Cell phone use during an exam.	0 on assignment, F in course, mandatory remediation	F in course with transcript notation
Possessing a cheat sheet.	0 on assignment, F in course, mandatory remediation	F in course with transcript notation
Changing answers on an exam and asking for a re-grade.	0 on assignment, F in course, mandatory remediation	F in course with transcript notation



<b>Severe</b>	<b>Range of Possible Sanctions</b>	<b>Repeat</b>
Plagiarism.	0 on assignment, F in course, mandatory remediation	F in course with transcript notation
Falsifying data.	0 on assignment, F in course, mandatory remediation	F in course with transcript notation
Copying someone else's lab report or homework.	0 on assignment, F in course, mandatory remediation	F in course, mandatory remediation
Copying from another person's exam.	0 on assignment, F in course, mandatory remediation	F in course with transcript notation
Using the same paper for multiple classes.	0 on assignment, F in course, mandatory remediation	

<b>Less severe</b>	<b>Range of Possible Sanctions</b>	<b>Repeat</b>
Improper citation of others work	Warning, revise work, mandatory remediation	0 on assignment, F in course
Illicitly obtaining copies of old exams.	Warning, revise work, 0 on assignment, F in course, mandatory remediation	F in course
Working together where it is explicitly forbidden	Warning, revise work, 0 on assignment, F in course, mandatory remediation	F in course
Aiding or abetting a student's academic dishonesty or violating the integrity of a course or academic activity in a course or not.	Referral to Campus Judicial Procedures or University Policy Department	

The above list of sample academic integrity infractions and sanctions is not exhaustive. It is meant to offer some general information about common infractions and possible associated sanctions.

### [Academic Integrity Grievance Policies: Other Related University Policies](#)

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

#### **1. Responsible Conduct in Research and Creative Activity**

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

## **2. Other University Policies and Procedures**

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

## **3. Professional School and Program Policies**

UB professional school or program student conduct policies and procedures are subject to the provisions governing relations of the Academic Integrity Policies and Procedures (AIPP) and Academic Grievance Policies and Procedures (AGPP) to UB's Responsible Conduct in Research and Creative Activity and other policies and procedures. Professional school or program student conduct policies and procedures shall be congruent with the provisions of the AIPP for Undergraduates for baccalaureate programs and to the AIPP for Graduates for all other programs. Any appeal of procedures or actions taken pursuant to a professional school or program's student conduct policies and procedures shall follow the provisions of the AIPP or AGPP applicable to the degree level of the program. Charges of misconduct by a student in a professional school or program that does not set its own student conduct policies and procedures shall be considered pursuant to the provisions of the AIPP applicable to the degree level of the program. Penalties that may be imposed upon findings of misconduct by a student in a professional school or program include dismissal from the program in addition to any and all other penalties specified in the AIPP.

*Promulgated by President John B. Simpson, 16 Dec. 2005. Effective, 28 Aug. 2006.*

### **Academic Probation**

A student is automatically placed on probation following any semester in which he or she develops one or more of the following indications of unsatisfactory progress:

- Cumulative quality point average less than 3.0.
- Accumulated grades of Incomplete for 12 or more credit hours.
- Other academic infractions as described in this handbook.
- Full-time students: Less than 9 hours of new coursework completed during the past semester.

Exceptions:

- a) Students needing fewer than specified number in their last semester need only complete the credits necessary for graduation.
- b) International students must register for 12 hours of coursework in each semester in order to maintain satisfactory visa status.

A student placed on probation shall receive written notice of this fact. Such notice shall inform the student that dismissal may occur at the end of the following semester if he or she remains on probation at that time.

Dismissal may occur after only one semester if the academic performance is determined by the Retention Committee to be so poor that the committee feels the chances of succeeding in the program are minimal.

Students who have been dismissed from the graduate programs by the Retention Committee will receive written notice of dismissal. In most cases, a student is given a period of 10 days to respond to the dismissal if he or she feels that there are extenuating circumstances of which the committee is unaware.

Students on probation may be permitted to take graduate-level courses in excess of the number required in their programs provided that the Retention Committee certifies that:

- The student has a reasonable chance of completing the degree, and
- The student is making progress towards the completion of the degree.

Students who are not in good academic standing, or who are put on academic probation, are not eligible to participate in university activities, including athletics.

From: [Graduate School Policy Library](#)

Any graduate student who receives a grade of U or F in any course, including lab work or informal credit (e.g., independent study, research, dissertation guidance, etc.); or who indicates a lack of ability as determined by the director of graduate studies or student's academic advisor, must receive an immediate academic review. Upon completion of the academic review, the director of graduate studies may place the student on academic probation.

Any student who is not in good academic standing as defined above or who is otherwise determined to be making unsatisfactory academic progress must be placed on academic probation. A probationary letter must be issued to the student (with a copy to the advisor, if applicable) indicating the conditions that must be met and outlining an appropriate period of time in which to regain good academic standing. The outcome that will result if the conditions are not met must also be included in the probationary letter.

In general, academic review takes place at the end of each fall and spring semesters. After review, the department must issue probation letters (in late December/early January for fall, and/or in late May for spring) to the appropriate students. Probation letters must indicate the terms of the probation and the pathway toward its removal. After the specified period outlined in the probation letter, the student must be sent another letter to either remove the probationary status or issue a second probationary letter with new conditions for regaining good academic standing or to dismiss the student from the program.

## Academic Withdrawal

Under extraordinary circumstances, graduate students may petition for total academic withdrawal from a given term. The Graduate School will only consider cases where the student or department (on the student's behalf) can document:

- Lengthy medical incapacitation of the student or a member of the student's immediate family
- Death of a student's immediate family member
- Military orders issued to a student
- Other similarly extraordinary measures as petitioned by the student.

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

Academic withdrawal from the term will be indicated on the transcript by the symbol W (withdrawal) next to each registered class. For the purposes of determining good academic standing/satisfactory academic progress, courses given W grades are considered to be attempted credit hours but are not considered to be successfully completed.

## Copyright: Higher Education Opportunity Act 4137 Notification

The University at Buffalo School of Management complies with the Higher Education Opportunity Act. You can find more details [here](#).

## Course Availability

The faculty and administration of the School of Management pride themselves on the richness and flexibility of the school's curriculum and course offerings. In order to offer a quality education at an affordable price, enrollment levels may occasionally affect the variety of courses available to students or reduce the range of days and times that sections of the same class can be offered. Generally, the school reserves the right to cancel a class if the enrollment drops below a reasonable number. In the case of required courses, the school guarantees the course will be available to students who need to take it to graduate, but may decide to consolidate sections of the same course if enrollment is low. In such cases, courses may not be offered every semester. In extenuating circumstances, if a required course is needed for conferral and has been cancelled, a substitution will be approved by the faculty director. Courses with low enrollment may be cancelled altogether if a suitable alternative is available in the same semester. Students wishing to take a particular course are urged to take it as soon as possible in their education as long as all prerequisites have been met.

## FERPA

The Family Educational Rights and Privacy Act (FERPA) was enacted to protect student information. It mandates that you, the student, are allowed to inspect your education records and limit others from reviewing the information without your permission.

For a complete statement of student rights under FERPA, see [Article 8 \(Administrative Regulations\)](#) of UB's Rules and Regulations and UB's [Access to Student Information FERPA Policy](#).

## Financial Obligations

When a student registers, it is specifically understood that he or she will pay in full all charges assumed at registration. Simply failing to attend class does not change the payment due or entitle the student to a refund. To cancel the liability for registration, a student must officially resign by published dates through [Student Accounts Financial Liability Deadlines](#). If a student withdraws from the program, he or she is still responsible for resigning from registered courses.

## Grading Procedures/Requirements

### **Grades: Blank/Missing**

The appearance of a space "" next to a class on the transcript denotes that no grade has been recorded for that class. All UB students are responsible for checking their transcripts at the end of each term. Should a student discover a "missing grade" they should consult immediately with the instructor or the staff in the associated department, to validate their grade. At the end of the following term an F grade will be recorded on the student's record if an alternative grade is not recorded by that time.

<b>Courses taken in any given year during:</b>	<b>Blank grade will default to F on</b>
Summer semester	Last day of the following fall semester
Fall semester	Last day of the following spring semester
Spring semester	Last day of the final session in the following summer

### **Grades: Resign (R)**

Graduate students have the prerogative to resign any course for which they have registered without GPA penalty through the end of the 11th week of the fall or spring term. All course resignations processed during the permissible dates (as published in the class schedule available through the Office of the Registrar) will be indicated as officially resigned courses by the notation “R” on all grade reports, transcripts and other official university documents. Resignation from all courses should be done through the HUB Student Center, which students may access through the [MyUB portal](#). There are no quality points attached to an “R” designation.

Prior to resigning from a course, students should speak with an academic advisor and financial aid advisor to understand the implications of taking this action, both financially and academically. Instructions on how to resign a course are available on the [Office of the Registrar website](#).

### **Grades: Incomplete (I)**

For all graduate-level courses, an interim grade of incomplete (I) may be assigned if the student has not completed all requirements for the course. A grade of “I” can be assigned only if the student has a passing average in course requirements already completed and successful completion of unfinished coursework could result in a final grade better than the default grade. The instructor shall provide the student specification, in writing, of the requirements left to be fulfilled. An interim grade of “I” shall not be assigned to a student who did not complete assignments due to non-attendance in the course.

Assignment of an incomplete grade is at the discretion of the instructor. The instructor must specify a default grade when the “I” grade is submitted. A default grade is the letter grade the student will receive if no additional coursework is completed and/or a grade change form is not filed by the instructor. The default grade can be A-, B+, B, B-, C+, C, C-, D, F, S or U.

The default grade shall become the grade of record if the I grade is not replaced by a permanent grade 12 months after the close of the term in which the I was assigned according to the following chart:

<b>Courses taken in (semester)</b>	<b>Will default in 12 months on*</b>
Summer	Aug. 31
Fall	Dec. 31
Winter	Jan. 31
Spring	May 31

\*If an extension to the incomplete timeframe is sought, the above chart indicates the due date for the corresponding [Petition for Incomplete Extension](#) form to be filed with the Graduate School.

When assigning an incomplete grade, the instructor may set an earlier deadline for completion of the outstanding course requirements. If an earlier date for completion is set, the instructor shall inform the student thereof in writing.

Any course graded with incomplete that will count toward a graduate degree must be changed to a permanent grade before that degree is conferred. At any time prior to the default date, a student may elect to change the “I” grade to the default grade using the [Grade Retrieval](#) form.

### **Grade Changes: Incomplete (I) Change**

Changing an existing incomplete (I) grade before the default date does not require an explanation nor approval of the Graduate School. Once an “I” grade has defaulted to the corresponding permanent grade, it cannot be changed. However, if an instructor makes an error, a correction can be made to that final grade if it was assigned before the default date. Such a correction must be requested before the end of the term following the default date listed on the incomplete default date chart.

If an “I” grade is changed to a failing grade, the course, if offered again, may be repeated for credit.

### **Grade Submission Dates**

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

### **Grades: Satisfactory/Unsatisfactory (S/U) and Satisfactory with Written Evaluation**

The instructor shall make explicitly evident within the course syllabus the grading procedures for a course. The syllabus shall include the specification of whether or not the class will be graded with “S/U” or with the weighted letter grade options.

Students who wish to be graded on a basis different from the one articulated in the syllabus must submit a written request to the instructor by the resign deadline for the course as denoted in the [Student Calendar](#). The instructor’s decision will be final and will be transmitted to the student in writing.

An “S” indicates credit earned and “U” indicates no credit earned. The “S” grade should be awarded only in those instances where a student’s weighted grade would have been equivalent to a “B” or better. No more than 25% of required formal course credits in a student’s graduate program (not including courses taken as research, thesis, project, portfolio and dissertation guidance, or because of the COVID-19 pandemic any course taken during the spring 2020 semester) shall be graded on an S/U basis. An academic unit may establish a lower percentage limit.

Exclusive of “S” grades, courses to be included as satisfying degree program requirements must average B or better. The U grade indicates unsatisfactory performance, but is not computed in the overall grade point average reflected on the official transcript.

*Note:* Satisfactory with written evaluation (SW) grades shall not be construed as S grades for this purpose.

### **Grades: Load (L) – Prior to Fall 2018**

The “L” grade is removed from the graduate grading options effective fall 2018. “L” grades assigned prior to fall 2018 will be changed to “S” grades by the Office of the Registrar upon final acceptance of the dissertation, thesis, project or portfolio and completion of all degree requirements. If the instructor wishes to assign a default grade other than “S,” a Universal Grade Change Form must be submitted. For master’s degree students, if all degree requirements are satisfied by means other than the thesis, research, project or portfolio (e.g., comprehensive exam), any “L” grades received will remain permanently on the student transcript.

### **Grades: Audit (N)**

The School of Management does not allow students to audit courses.

## **Holds**

A service indicator/hold is an action used by the university to prevent students from registering for classes, receiving grades and/or releasing student records, including diplomas, enrollment certification or transcripts. Holds may be placed by various offices on campus for outstanding financial obligations or for

failing to submit required documents requested by the university. You can [review your holds](#) and the actions to resolve them in your HUB Student Center.

## Independent Study-Supervised Research

Independent studies (supervised research) are usually limited to 3 credit hours. Independent study forms are available from your program's current student website and should be returned to your program office for registration of the independent study (supervised research).

## Leave of Absence

A request for a leave of absence must be negotiated through the chair or director of graduate studies of the student's major department using a [Graduate Student Petition for a Leave of Absence form](#). The form must then be forwarded to the Office of the Registrar by the last day of classes of the semester in which the leave is to begin.

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

Students approved for a leave of absence remain liable for any outstanding tuition and fee charges.

International students are advised to consult with International Student and Scholar Services, 220 Talbert Hall, North Campus, 716-645-2258, prior to applying for a leave of absence.

Failure to register for classes or secure a leave of absence by the last day of classes of the semester in which the leave is to begin, will result in the student losing their access to register for classes in a future semester. To regain registration access within a subsequent five-year period, the student's home academic department must file a semester record activation request on behalf of the student (see the [Returning Student Semester Record Activation and Associated Fee section](#) for more details).

## Repeating Courses

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

## Time Limits for Degree Conferral

Doctoral degrees must be completed within seven years from the student's initial formal matriculation in that doctoral program. Requests for extensions of time limits must be petitioned using the [Extension of Time Limit to Complete a Degree Program form](#). Each divisional or area committee may establish its own stricter policies within the constraints of these overarching institutional policies. Due to the COVID-19 pandemic, the spring 2020 term is excluded from UB's time-to-degree calculations.

## Transcripts

Official transcripts of record are sent from the Office of the Registrar at the student's request or may be given to students in a sealed envelope. Students may use the HUB Student Center through the MyUB portal to print unofficial copies at any time while they are enrolled at UB. Official transcripts can be sent

directly to a college, institution or company upon student request. Transcripts cannot be issued for any student whose financial obligations to the university have not been met.

## Transfer Between Programs

Transferring between graduate programs within the School of Management is not allowed. If you determine you would like to switch programs, you must apply, follow the admission process and be admitted into the new program you desire. If admitted, your previous graduate coursework will be evaluated and a determination as to which credits, if any, may transfer will be made by the faculty director for the program.

## Transfer Credits

The Graduate School will consider for transfer credit graduate-level coursework from nationally accredited institutions of higher education, as well as graduate-level coursework from any international institution that UB recognizes as equivalent to a nationally accredited institution.

Only those graduate courses completed at accredited or recognized international institutions and with grades of full "B" or better are eligible for transfer credit. Courses with grades of "S" or "P" are eligible for transfer except when the transfer institution's grading policy equates "S" or "P" with lower than a full "B" grade.

### ***Transfer Credit Limits***

Transfer credits for the doctoral degree may not constitute more than 50 percent of the total minimum credits required for that specific degree program.

Courses transferred from another institution into the graduate division will be transferred with full semester credit value. Conversion of credits from trimester, quarterly and other calendar systems will be completed based on nationally accepted standards: i.e., trimester hours are equivalent to semester credits, however quarterly hours are equivalent to two-thirds semester credits.

### ***Transfer Credit Process***

The director of graduate studies or chair of the student's home department must first formally evaluate any transfer coursework for its applicability toward any particular graduate program of study. Once transfer credits are deemed appropriate and applicable by the department, the student files a [Graduate Student Petition for Transfer Credit form](#) during the student's first year of matriculation to UB. Upon receipt of the transfer credit petition, the Graduate School will evaluate credit and grade equivalences, and verify the courses were completed at an accredited or recognized institution. UB must receive a final official transcript from the transfer institution before the transfer credits may be formally approved and recorded on the student's UB record.

## Tuition and Fees

The most up-to-date tuition and fees information is available on the [Student Accounts](#) website.

## University Course Evaluation System (Campus Labs)

The School of Management uses the University Course Evaluation System. Towards the end of each semester a reminder will be sent to you via your active email, preferably the UBIT account. The evaluation window is usually a month and all School of Management students are expected to complete course evaluations during this time. Help your department and the school by participating in this important exercise. It will only take 10 minutes of your time to give us feedback on the courses you took during the semester. These evaluations are completely anonymous, and your instructors will only see aggregate



results after all grades have been submitted. This is another important way of participating in the decision-making process for the school, and all graduate students are expected to do so.

[Visit the evaluation website.](#)

Enter "University at Buffalo" for the school

Username: UBIT name

Password: last four digits of your UB Person Number

For questions, contact Dianna Cichocki, clinical assistant professor of management science and systems, at [diannaci@buffalo.edu](mailto:diannaci@buffalo.edu).

## Use of Historical Coursework Toward a Current Graduate Degree Program

Coursework more than 10 years old, whether from another institution or from UB, that is to be included in a current graduate degree program must be petitioned at the time of the student's matriculation to the program. The student should submit a [Use of Historical Coursework Petition](#) upon admission to the graduate program to determine whether such courses and associated graduate credits can be applied toward the current degree program requirements. The director of graduate studies reviews the coursework to determine whether the content of those courses is still relevant and applicable, and the student must demonstrate their continued knowledge of the course content.

## Withdrawal from the Program

Students who wish to withdraw should send a letter indicating this intention to the Graduate Programs Office, 203 Alfiero Center, for Full-time MBA and MS programs or to 150 Jacobs Management Center for PMBA and EMBA programs. ***It is the student's responsibility to withdraw from any classes for which he or she may have registered for subsequent semesters.*** If a student withdraws from a master's program and wishes to complete the curriculum requirements at a later date, he or she must petition the Admissions Committee for re-entry.

## Services

### Academic Advisement

Each student is assigned an advisor who is a resource for academic and career planning. This advisor will assist you in choosing courses, help resolve concerns regarding your curricular plan and ensure you are on track for degree conferral.

Students are encouraged to establish ongoing relationships with their advisors and meet with them. Advisors can answer many questions about such matters as course selection, registration and other opportunities. Students work with their advisors for the duration of the program.

### Accessibility Resources

The UB School of Management strives to ensure that students who are in need of services receive them, including but not limited to those that need reasonable accommodations. It is important that anyone who requests such accommodation contact the [Office of Accessibility Resources](#).

The school recommends that students in need of reasonable accommodations contact the office at the beginning of each semester to contract with them concerning needed accommodations for the courses being taken. The school recommends that students provide their instructors with a copy of the accommodation letter from Accessibility Resources that details accommodations they may need at the beginning of each semester. Faculty are encouraged to identify methods of course content delivery that are accessible to all students.

## Computer Resources

Students at UB are required to have access to a computer and printer. This access goes beyond what is provided in the university's public computing sites, the university's My Virtual Computing Lab and School of Management's student computer lab in 220 Jacobs 220.

While ownership is not strictly required, most will find it essential for success in their academic pursuits. If you already own a computer or are looking into purchase a new computer, refer to the university's recommended computing standards, in addition to the [School of Management's requirements](#).

To ensure all traffic through UB's wireless networks is secure and encrypted, it is recommended that students use the wireless network eduroam as their choice for any wireless activity. For information on how to connect, visit the [Wi-Fi at UB page](#).

## Counseling Services

UB Counseling Services promotes the personal well-being and academic success of students by providing brief mental health services, educational programs, crisis intervention and campus community consultation.

Email should not be used in an emergency: If you would like to speak with a counselor, call 716-645-2720. In the event of a mental health emergency, contact the office at 716-645-2720, Monday-Friday, 8:30 a.m. - 5 p.m. After hours, call 716-645-2720 and press option "2" to speak with a counselor, or contact Crisis Services of Erie County, a 24-hour hotline, at 716-834-3131.

## Equity, Diversity and Inclusion

The Office of Equity, Diversity, and Inclusion ensures UB's compliance with policies covering discrimination, harassment, accommodations, equal opportunity and child protection.

## 1Capen

[1Capen](#) streamlines essential student services in one convenient location, so you can get on with the business of being a student.

## School of Management Alumni Association (SOMAA)

The School of Management Alumni Association (SOMAA) is comprised of graduates who are actively involved in helping students achieve success throughout their academic careers and into the business world after graduation. SOMAA provides students access to a powerful global network of resources. As a School of Management student, you have access to the wealth of experience of thousands of UB graduates throughout the world – more than 44,000 School of Management alumni and more than 230,000 UB alumni.

For more information, visit the [Office of Alumni Engagement and External Relations](#).