

OTHER GRADUATE SCHOOL POLICIES

Waiver of a Regulation (p. 1)

All policies of the Graduate School have been formulated by the Graduate Council with the goal of ensuring academic quality and approved by the Provost. These policies are to be equitably and uniformly enforced. Circumstances occasionally occur that warrant individual consideration. A graduate student who believes that there are compelling reasons for a specific regulation to be waived or modified, the student should submit a written petition to the Dean of the Graduate School, Room 2125, Lee Building, explaining the facts and issues that bear on the case. In all instances, the petition must be signed by the student's Graduate Director and, if the petition involves a course, by the course instructor. If these individuals recommend approval, in writing, the petition is then forwarded to the Office of the Dean of the Graduate School for consideration. Forms for Petitions for Waivers of Regulation (<http://gradschool.umd.edu/forms/>) are available on our Graduate School website.

Application for Graduation (p. 1)

During the academic year, applications for graduation must be filed with the Office of the Registrar (<http://registrar.umd.edu/>) within the first ten days of the semester in which the candidate expects to obtain a degree. During the summer session, the application must be filed by the first week of the second summer session. Exact dates for each semester can be found on the Graduate School website (<http://gradschool.umd.edu/calendar/deadlines/>). Failure to meet the specific deadlines to submit the required documentation may result in a delay in graduation.

Students who missed the submission deadline for the current semester or failed to provide formatting changes by the deadline, can be approved to graduate for the following semester and receive a registration waiver from the Office of the Registrar (<https://www.registrar.umd.edu/>). The submission or formatting changes must be approved no later than 11 p.m. Eastern Time of the last business day before the first day of class of the next semester. Students must have also submitted a graduation application before the deadline for the applicable semester.

The documentation review takes 3-5 business days. The submission should be made within this time frame to ensure approval by the deadline.

Importantly, once a student completes all degree requirements and paperwork, they are not eligible for assistantships during the next term. This includes students who complete their degree requirements before the start of the next semester.

Academic regalia are required of all candidates at commencement exercises. Those who so desire may purchase or rent caps and gowns at the University of Maryland student supply store. Orders must typically be filed eight weeks before the date of Commencement at the University Book Center in the Stamp Student Union.

Arbitrary and Capricious Grading Policies (p. 1)

Policy and Procedures for Review of Alleged Arbitrary and Capricious Grading in Courses

Arbitrary and capricious grading is constituted by the assignment of a course grade to a student on some basis other than performance in the course, or the assignment of a course grade to a student by unreasonable application of standards different from standards that were applied to other students in that course, or the assignment of a course grade by a substantial and unreasonable departure from the instructor's initially articulated standards.

A student who believes he or she has received an improper final grade in a course should inform the instructor promptly. The instructor will meet with the student at a mutually convenient time and place within ten working days of receipt of the information. The purpose of the meeting is to attempt to reach a resolution.

If the instructor has left the University, is on approved leave, or cannot be reached by the student, the student should contact the Department Chairperson. The Department Chairperson, or a designee, will meet with the student as described above to attempt to resolve the problem.

If these meetings (known as the informal process) do not resolve the problem, the student may initiate a formal appeal. This appeal must be made in writing to the Dean of the Graduate School and must contain: the course title and number; the instructor's name; and a statement detailing why the grade is believed to be arbitrary and capricious as defined in this policy, and providing all relevant supporting evidence. The appeal must be received in the Dean's Office within twenty (20) days of the first day of instruction of the next semester (excluding summer and winter semesters.) If these criteria are met, the Dean will institute a formal procedure.

Formal Procedures

Each academic unit will have a standing committee of two tenured professors and two graduate level students to hear appeals of arbitrary and capricious grading. The appeal will be heard within the academic unit offering the course. If the instructor of the course is a member of the committee, that instructor will be replaced by an alternate designated by the Department Chairperson.

Each written appeal is to be reviewed by the entire committee for a decision by the majority. The committee will either dismiss the appeal, or move it forward. Grounds for dismissal are: the student has submitted the same complaint to any other grievance procedure; the allegations, if true, would not constitute arbitrary and capricious grading; the appeal was not timely; or the informal process has not been exhausted. If the appeal is dismissed, the committee will notify the student in writing within ten days of the decision, and will include the reason or reasons for the dismissal.

If the appeal is not dismissed, the committee will submit a copy of the appeal to the instructor. The instructor must reply in writing to the committee within ten days. If, based on the instructor's reply, the committee feels there is a viable solution, that solution should be pursued with the student and the instructor. If no solution is reached, the committee shall hold a fact-finding meeting with the student and the instructor. It is to be non-adversarial and informal, with neither party represented by an advocate.

Witnesses may be asked to make statements to the committee if the committee is informed prior to the meeting. The meeting will not be open to the public. The committee will meet privately at the close of the fact-finding meeting to decide whether a majority believes the evidence supports the allegation of arbitrary and capricious grading beyond a reasonable doubt. The committee will notify the student, the instructor, and the Dean of the Graduate School of the decision in writing within five days of the meeting.

The committee has the authority to take any action that it believes will bring about substantial justice, including but not limited to directing the instructor to grade the student's work anew, directing the instructor to administer a new final exam or paper, directing the cancellation of the student's registration in the course, and directing the award of a grade of "pass" in the course. The committee does not have the authority to assign a letter grade for the course or reprimand or take disciplinary action against the instructor.

The decision of the committee is final, and binding on both parties. The decision may not be appealed to any other body within the University of Maryland or the University of Maryland System.

The Dean of the Graduate School will be responsible for implementing the decision of the committee.

For more information, please review The University Policy on Arbitrary and Capricious Grading (<http://www.president.umd.edu/administration/policies/section-iii-academic-affairs/iii-120a/>).

Policy and Procedures for Appeals of Alleged Arbitrary and Capricious Grading of Doctoral Qualifying Examinations

The University procedures for reviewing alleged arbitrary and capricious grading of doctoral qualifying examinations envision a multi-step process. (Qualifying examinations are defined as any examinations, oral or written, that are necessary, but not sufficient, for admission to candidacy for a graduate degree.) Prior to filing a formal written appeal, the student must engage in an informal attempt to resolve the problem directly with the Chair of the Examination Committee. The Graduate School's Ombudsperson may be called upon to facilitate resolution if both parties agree. If these informal efforts fail, then the student may file a formal appeal to the Dean of the Graduate School. When such an appeal is received by the Graduate School, the Program will be notified and will receive a copy of the appeal letter. An Appeal Committee of faculty and students established by the Department/Program will then meet to conduct the formal appeal process.

The formal appeal process consists of four phases. In the first phase, the Committee evaluates the student's written appeal and determines, according to certain established criteria, whether it should be dismissed on procedural grounds or whether the process should move forward to the next phase. In the second phase, the appeal is sent to the Chair of the Examination Committee for a written response.

In the third phase, the Appeal Committee decides if there may be a viable informal solution and if so, pursues it with both the student and the graduate program. If the Appeal Committee does not feel that such an attempt would be feasible or if the effort is unsuccessful, the process moves to phase four, which is the fact-finding phase.

In the fact-finding phase, the student, the graduate director, and a member of the examination committee meet with the Appeal Committee. Each party may make statements to the Appeal Committee and may call

witnesses. This phase, however, is both informal and non-adversarial, and neither side may be represented by an advocate. After hearing both sides, the Appeal Committee meets privately to consider the evidence and decide whether the evidence offered in support of the allegation of arbitrary and capricious grading is clear and convincing. If the Appeal Committee supports the allegation, it then has several options for resolving the issue. Whatever the decision of the Appeal Committee, it is binding on both parties and is final; i.e., it may not be appealed elsewhere in the University of Maryland or elsewhere within the University System of Maryland.

Qualifying examinations are defined as any examinations, oral or written, that are necessary, but not sufficient, for admission to candidacy for a graduate degree. Arbitrary and capricious grading applies only to the grade assigned in a doctoral qualifying examination. Arbitrary and capricious grading is defined as any of the following:

a) The assignment of a grade to a student on some basis other than performance in the qualifying examination; or

b) the assignment of a qualifying examination grade to a student by an unreasonable application of standards different from standards that were applied to other doctoral students, where an objective comparison of students is possible; or

c) the assignment of an examination grade by a substantial and unreasonable departure from the graduate program's or the Examination Committee's initially articulated standards or requirements for the doctoral qualifying examination.

The Informal Appeal Process

Before proceeding to a formal appeal, the student should contact the Chair of the Examination Committee and meet, at least once, at some mutually convenient time and place in an attempt to resolve the issue or issues. This meeting should take place within 10 campus business days of the Examination Committee Chair receiving the informal appeal from the student. Campus business days do not include Saturdays, Sundays, and official campus holidays.

If the Examination Committee Chair has left the university, is on approved leave, or cannot be reached by the student, the student should contact the Department/Program Chair. The Department/Program Chair, or a faculty member designated by the Chair, will attempt to resolve the issue.

The Ombudsperson for Graduate Students and/or the Graduate Director may be called upon to facilitate resolution if both parties agree.

The Formal Appeals Process

If the informal process does not resolve the issue, the student must file a written appeal. The written appeal must be received by the Office of the Dean of the Graduate School within 20 campus business days after the first day of instruction of the following semester.

The deadline for appeals of a spring-semester examination, or an examination taken during either semester of summer session, is the 20th campus business day after the first day of instruction of the following fall semester. Appeals of a fall semester examination or a winter term examination must be made by the 20th campus business day after the first day of instruction of the following spring semester.

The letter of appeal should contain the Examination Committee Chair(s) name, the Graduate Director(s) name, the date(s) of the examination, and an explanation of why the student believes the examination result was

arbitrary and capricious, as defined by the policy. Any relevant supporting evidence should be included with the letter.

Each Program should have a standing committee to hear appeals of arbitrary and capricious grading of doctoral qualifying examinations. The Appeal Committee may be the same committee formed within the Program to hear appeals of arbitrary and capricious course grades. This committee should generally be formed specifically for the purpose of hearing appeals of arbitrary and capricious grading and not a subcommittee of any other committee. The Appeal Committee should normally be appointed at the start of the academic year. The terms of its members should be for at least one academic year.

The Appeal Committee should be composed of two tenured faculty and two graduate students appointed by the Graduate Director of the Program offering the course. In addition, the Dean of the College will appoint one additional member to the Appeal Committee who is a member of the Dean's Office staff and who is also a member of the Graduate Faculty. If no such person is available from the Dean's Office staff, the Dean will appoint a committee member from a Department/Program other than that of the appellant's Department/Program within the college.

No member of the student(s) Examination Committee may also be a member of the Appeal Committee. In such a situation, a substitute member should be appointed by the Graduate Director.

All actions of the Appeal Committee are by majority vote. In the event that the Appeal Committee, at any stage of the process, is unable to reach a majority decision, the Dean of the College or his/her designee, should cast the deciding vote. In the case of inter-college programs, the participating deans may decide which of them will have responsibility for casting the deciding vote.

The Initial Evaluation Phase

In this phase, the only task of the Appeal Committee is to review the letter of appeal to determine whether the appeal should be dismissed on procedural grounds or moved forward to the next phase. If any of the specified procedural grounds for dismissal are met, the appeal must be dismissed. The procedural grounds for dismissal are as follows: a) The student did not meet with the Examination Committee Chair to resolve the issue informally; or b) the appeal was not timely (i.e., it arrived later than the 20th campus business day after the first day of instruction of the following semester, as specified above); or c) the student has already submitted the same complaint through another grievance procedure; or d) the allegations, if true, would not constitute arbitrary and capricious grading of a qualifying examination.

During this initial evaluation phase, the Appeal Committee should consider only the student's letter of appeal; it should not seek or consider comments or responses from the Examination Committee, or other faculty or students. During this initial evaluation phase, the Appeal Committee is not to decide the truth of the student's allegation(s); it should accept the student's allegations at face value (i.e., assume for the moment the allegations are true.) If, based on its evaluation of the student's letter of appeal, the Appeal Committee decides that one or more of the four procedural grounds for dismissal have been met, the Appeal Committee must dismiss the appeal and the process ends. The Appeal Committee Chair should notify the student, the Examination Committee Chair, the Graduate Director, and the Dean of the Graduate School in writing within 10 campus business days if the appeal is dismissed. The Appeal Committee Chair's letter should include the reasons for the dismissal.

The Examination Committee's Response Phase

If the appeal is not dismissed, the Appeal Committee Chair should promptly submit a copy of the student's written appeal to the Chair of the Examination Committee with a copy to the Dean of the Graduate School. The Chair of the Examination Committee should submit a written response to the Appeal Committee Chair within 10 campus business days of receiving the appeal.

The Dispute Resolution Phase

If, after reviewing the Examination Committee's response, the Appeal Committee feels that a solution may be possible, the Appeal Committee should meet with the student and the Examination Committee, separately and/or jointly, to attempt to resolve the dispute. The dispute resolution phase should not generally have a duration longer than 30 calendar days from receipt of the Examination Committee's written response, unless both Committee Chairs agree in writing to continue for a further, brief, specified period. If the Appeal Committee's resolution efforts are successful, both Committee Chairs should sign a memorandum that states the agreed-upon solution. A copy of this memorandum should be placed in the student's file in the Department/Program and a copy should be sent to the Graduate School and to the student. If resolution by the Appeal Committee either is not attempted or is unsuccessful, the Department/Program Chair, the Graduate Director, the Examination Committee Chair, and the Dean of the Graduate School should be promptly notified, and the process advances to the fact-finding phase.

The Fact-Finding Phase

If a solution is not attempted or is not reached through dispute resolution, the fact-finding meeting should be held promptly thereafter. In addition to the Appeal Committee members, the student and the Chair of the Examining Committee should be in attendance. Either party may invite witnesses to give evidence if the Appeal Committee Chair is notified prior to the meeting. The Chair of the Appeal Committee should generally be given at least 24 hours advance notice of the intention to call witnesses. During the fact-finding meeting, both the student and the Examining Committee Chair may present statements, oral or written, to the Appeal Committee as well as other documentation to support their positions. Neither party may be represented by an advocate of any kind. The meeting will not be open to the public. The Graduate School may send an administrator to observe the proceedings, but this observer should not participate substantively in the proceedings themselves. The meeting is to be both informal and non-adversarial; its purpose is to determine the relevant facts in the matter. At the close of the fact-finding meeting, the Appeal Committee will meet privately to consider the evidence presented. If the majority of the Appeal Committee believes that the student has not provided clear and convincing evidence of the allegation of arbitrary and capricious grading of a qualifying examination as defined above, the appeal must be denied. If the majority of the Appeal Committee believes that there is clear and convincing evidence that supports the allegation of arbitrary and capricious grading, the Appeal Committee will decide which of the various actions within its authority (see below) should be taken. The Appeal Committee Chair should notify the student, the Department/Program Chair, the Examining Committee Chair, the Graduate Director, and the Dean of the Graduate School in writing of the Appeal Committee's decision on the appeal within five campus business days after conclusion of the fact-finding meeting.

The Authority of the Appeal Committee

The Appeal Committee generally has the authority to take any action it believes will bring about substantial justice, except a) it may not direct that a passing grade for the qualifying examination be assigned for the

student; and b) it may not reprimand or take disciplinary action against the Examination Committee or any of its members.

The following is a list of possible actions that the Appeal Committee may take. The list is not exhaustive; the Appeal Committee may take other appropriate actions in order to achieve what it believes to be substantial justice.

- a) The Appeal Committee may direct the Department/Program that the examination be re-graded by a new Examination Committee from within the Program.
- b) The Appeal Committee may direct the Program that the examination be re-graded by a new Examination Committee from outside the Program.
- c) The Examination Committee may be directed to administer a new examination.
- d) The Appeal Committee may direct that a new Examination Committee be formed from within the Department/Program which will administer and grade an entirely new examination.
- e) The composition of the new Examination Committee will be determined by the Appeal Committee in accordance with the prevailing rules of the Program. At the discretion of the Appeal Committee, the new Examination Committee may have one of its members from outside of the University of Maryland.
- f) In the event that the qualifying examination was an oral examination, a new oral examination must be administered.

In the event of a combined written/oral qualifying examination, a new oral portion must be administered. The Appeal Committee may direct that this new examination be administered by an Examination Committee that consists of some or all members of the original Examination Committee or an entirely new committee.

The Appeal Committee's Decision

The decision of the Appeal Committee is final and binding on both parties. The decision may not be appealed to any other body within the University of Maryland or within the University System of Maryland. If, as a result of this appeals process, the student's advisor no longer wishes to advise the student, the Graduate Director will act as the student's temporary advisor for a period of not more than six months to allow the student time to find a new advisor. If the Graduate Director is a member of the Examination Committee, this assignment will be carried out by the Department/Program Chair.

Implementation of the Appeal Committee's Decision

The Director of Graduate Studies and the Department/Program Chair will be responsible to the Dean of the Graduate School for implementing the decision of the Appeal Committee.

Graduate Student Rights and Responsibilities (p. 4)

It is the policy of the University of Maryland to maintain the campus as a place of study and work for students, faculty, and staff in which all parties are expected to uphold the values of the University by conducting themselves in accordance with University policies and procedures. Such an environment must be free of intimidation, fear, coercion, reprisal, harassment, bullying or other unacceptable behaviors. Graduate students can expect to be treated fairly and with dignity and respect as outlined in the University Non-discrimination Policy and Procedures [VI-1.00(B)].

GRIEVANCE PROCEDURE

The University is an academic and collegial community. Graduate students are subject to a range of policies and procedures relating to academic standards, as well as rules and regulations of behavior set forth by the University and the Office of Student Conduct. Graduate Assistants are subject primarily to the Policy on Graduate Assistantships. If a graduate student believes that they have experienced treatment that is unethical, grossly unjust, uncivil, or otherwise creates a hostile learning or working environment from a faculty member, a staff member, or another student, the student should attempt to resolve the matters locally, collegially, and informally. If the issue has not been resolved to the graduate student's satisfaction or the treatment cannot be stopped through informal means, the graduate student may elect to file a formal grievance.

Limitations

No other University grievance procedure may be used simultaneously or consecutively with this procedure with respect to the same or substantially same issue or complaint, or with issues or complaints arising out of or pertaining to the same set of facts. Neither the University of Maryland Non-Discrimination Policy and Procedures (VI-1.00[B]) nor any other University grievance procedure may be utilized to challenge the actions, determinations, or recommendations of any person(s) or board(s) acting pursuant to these procedures.

Notwithstanding any provision of this Policy to the contrary, the following matters do not constitute the basis for a grievance under this procedure:

1. Policies, regulations, decisions, resolutions, directives and other acts of the Board of Regents of the University System of Maryland, The Office of the Chancellor of the University System of Maryland, and the Office of the President of the University of Maryland;
2. Any statute, regulation, directive, or order of any department or agency of the United States or the State of Maryland; V-1.00(A) page 4
3. Any matter outside the control of the University System of Maryland;
4. Course offerings;
5. The staffing and structure of any academic department or unit;
6. The fiscal management and allocation of resources by the University System of Maryland and the University of Maryland;
7. Any issues or acts which do not affect the complaining party directly;
8. "Class-action" grievances are not permitted under these procedures. Grievances must be presented by individual students. If multiple students file individual grievances on the same matter, a screening or hearing board may, in its discretion, consolidate grievances presenting similar facts and issues, and recommend generally applicable relief as it deems warranted;
9. Under these procedures, there may be no challenge to the award of a specific grade.

Informal Consultation

The graduate student is strongly encouraged but not required to first attempt to resolve the difficulty by discussing the situation with the person/persons (faculty member, the staff member, and/or student) as expeditiously as possible and/or practical. If a satisfactory resolution is not reached, the graduate student should next discuss the situation with the Director of Graduate Studies (or equivalent) and/or the Department Chair (or equivalent). It is expected that these discussions will be kept confidential and not discussed publicly beyond the individuals

involved. However, the Director and/or Chair should keep a record of such complaints and report annually to the Graduate Ombuds Office.

Either before or after such discussions, the graduate student may wish to confidentially seek advice from another academic advisor, an assistant or associate dean of their college or of the Graduate School, or the Ombuds Officer for Graduate Students. The graduate student is encouraged to consult with the Ombuds Officer early in the informal discussion process, and must consult with the Ombuds Officer before initiating a formal grievance. The Ombuds Officer is available to all graduate students with questions or concerns related to their graduate experience, including their roles as GAs. The Ombuds Officer provides informal assistance in resolving conflicts and works to promote fair and equitable treatment within the University. The Ombuds Officer works confidentially within the scope of the law. The purpose of the Ombuds Officer is to ensure that the graduate student's voice is heard and that problems receive prompt and impartial attention. The Ombuds Officer does not advocate for an individual; rather, the Ombuds Officer advocates for a fair process that promotes the University's commitment to excellence in graduate education and in the graduate student experience. Queries may be directed to Ombuds Officer for Graduate Students, The Graduate School, 2103 Lee Building, phone (301) 405-3132.

Formal Grievance

These conflicts should be ideally addressed first by the Director of Graduate Studies (or equivalent) and then by the Department Chair (or equivalent) according to the process of the college or school. If the conflict cannot be resolved at this level and/or the graduate student does not feel comfortable disclosing an issue to one or more of these parties, the grievance shall be formally filed with the dean of the college or school. The dean will initiate the grievance process created within the college or school to address such issues. The process is to remain confidential and not publicly discussed beyond the parties involved. If the Director of Graduate Studies or Chair or Dean is the subject of the accused, said person will recuse him or herself.

In cases in which this process is not effectively resolved, the graduate student may file an appeal to the Graduate School. If the grievance is with the Director of Graduate Studies or Dean, the appeal may be made directly to the Dean of the Graduate School.

Formal Appeal Process

If a satisfactory resolution has not been achieved following procedures at the unit and/or college/school level, either party may initiate an appeal process with the Graduate School by sending a written appeal to the Dean of the Graduate School. To be considered, it must be received by the Graduate Dean within 30 calendar days from the announcement of the decision at the level of the school or college. All parties will be notified of this deadline at the time of the announcement of the college/school decision. Under exceptional circumstances, the deadline may be extended at the discretion of the Graduate Dean.

1. The appeal must be signed and:
 - a. Contain a clear description of the facts giving rise to the grievance;
 - b. Provide a clear explanation of why the party filing the appeal found the outcome(s) of the unit and/or college/school level grievance proceedings unsatisfactory;
 - c. Set forth the desired remedy; and
 - d. Elect to have the Graduate Dean decide the grievance either:

- i. In the manner described in Paragraph 2.b below; or
 - ii. Following receipt of a recommendation from a three-person panel appointed by the Graduate Dean to consider the matter.
2. Upon receipt of the formal appeal, the Graduate Dean (or designee) will:
 - a. Share the letter of appeal with the Dean of the appropriate college or school and solicit a written response from the Department Chair and/or College Dean.
 - b. Offer to meet with the parties involved, either individually or together, before reaching a decision. The Graduate Dean shall confidentially consult with the Academic Dean, Associate Provost for Faculty Affairs, and such other persons as the Graduate Dean believes may be knowledgeable about the policies, practices and issues involved. The Graduate Dean shall endeavor to convey a written decision and, where appropriate, the remedy, to the parties involved within 30 calendar days of receipt of the letter of appeal; or
 - c. If the grieving party is either a graduate student or faculty member and elects to have a panel, the Graduate Dean will appoint two graduate faculty (one of whom shall serve as chair of the panel) and one graduate student, each familiar with the graduate student's discipline but not from the student's or other parties in the grievance program or department, to confidentially review the matter and make a recommendation to the Graduate Dean. If the grieving party is a staff member, the Graduate Dean will appoint one faculty (serving as chair of the panel), one staff person, and one graduate student, not from the staff's or other parties in the grievance program or department, to confidentially review the matter and make a recommendation to the Graduate Dean. The panel should conduct its review in an impartial and unbiased manner. The Graduate Dean will provide the panel with the letter of formal grievance and written responses from the Department Chair (or equivalent) and/or College Dean. The panel shall offer to meet with the parties involved, either individually or together, as well as confidentially consult other people as appropriate in determining its recommendation. The panel shall endeavor to convey its written report recommendation to the Graduate Dean within 30 calendar days of the receipt of the letter of appeal; the Graduate Dean shall endeavor to convey a written decision and, where appropriate, the remedy, to the parties involved within 15 calendar days of receipt of the panel's report. The written report of the panel will contain a statement of the issues, the panel's findings of fact, the controlling policy provisions, the panel's assessment regarding the merits of the grievance, and a recommended disposition of the grievance, including a suggested remedy and/or disciplinary action(s).

The decision of the Graduate Dean regarding the merits of the grievance and, where appropriate, the remedy/disciplinary action shall be final. The Dean of the Graduate School will convey the final decision to the parties involved as well as to the Associate Provost for Faculty Affairs for possible other actions.

General Principles Controlling Formal Grievance Procedures

These procedures are not intended to mimic a courtroom and be adversarial in nature. Rather, they are formal in the meaning of offering a structured method to investigate, weigh, and remedy differences and prevent future occurrences of such action. They are designed to preserve collegiality and minimize injury to the student-faculty, student-student, student-staff relationships. Because grievances, if not made known

or not considered expeditiously, may threaten the learning experience and/or mental health of the parties involved, graduate students, faculty, and administrators share responsibility to deal with them promptly. It is also expected that proceedings are conducted confidentially in order to protect the parties involved, to minimize damage to reputations and relationships, and to prevent the occurrence of retaliatory actions. Experience has shown that the following rules promote the orderly and efficient disposition of grievances. Accordingly, they shall be observed:

1. There is a burden of proof. The graduate student has the responsibility of convincing the Graduate Dean or panel of four things: a) that the policies of the University have not been followed; b) that the graduate student has been adversely affected; c) that the actions and activities of the parties involved have long-term impacts; and d) and that the requested remedy is appropriate.
2. All matters to be considered in support or defense of a grievance should be made known as early in the informal process as possible. In both the informal and formal process, it is the responsibility of the graduate student and faculty member (or student or staff member) to produce in a timely way the evidence they each wish considered, including any documents and witnesses.
3. The Grievance Procedure is not a trial. Formal rules of evidence commonly associated with criminal and civil trials may be counterproductive in an academic investigatory process and shall not be applied. The Academic Dean, Graduate Dean, and three-member panel shall follow the rules of confidentiality and privilege, but shall otherwise accept for consideration all matters which reasonable persons would accept as having probative value in the conduct of their affairs, giving it such weight as they consider proper. Unduly repetitive, irrelevant, or personally abusive material, however, should be excluded. They may also consider matters within the common knowledge and experience of University faculty, including published policies of the University System of Maryland and the University of Maryland.
4. The graduate student may be assisted at any meeting by an advisor, who must be a registered, degree-seeking graduate student at the University or a current member of the University Faculty or staff. Although the graduate student is expected to take an active role in all meetings, the advisor may help with the presentation of arguments and evidence.
5. The University has in place other grievance procedures and administrative processes designed to address specific types of claims. These are meant to be the exclusive avenue for review and redress. Grievances that by their subject matter may be considered under other established institutional procedures must be brought under those procedures and may not be considered under this formal procedures. Matters pertaining to the general level of wages, wage patterns, fringe benefits, or to other broad areas of financial management and staffing are not grievable under this process. Matters expressly excluded from consideration under other procedures may not be grieved under these formal procedures.
6. A decision may not be made at any step that conflicts with or modifies a policy, regulation, or grant of authority approved by the Board of Regents, the Chancellor, the President, the Provost, or the University Senate or with any applicable Federal or State of Maryland law.
7. Currently enrolled University of Maryland graduate students may initiate a formal grievance. A student that withdrew from the University or was dismissed from the University has 30 days following the date of withdrawal or dismissal to initiate a formal grievance. The Graduate Dean can grant an extension depending

on the circumstances. The grievance must pertain to the graduate student personally, not those of another graduate student. Group grievances are permitted; similar grievances may be consolidated and processed together as a single issue.

8. Because it is critical to address potentially corrosive grievances sooner than later, and because the remedies and disciplinary actions available are prospective, the time requirement established for initiating a formal grievance is necessary to the effective administration of the graduate program. Unless otherwise agreed in advance among the graduate student, the faculty member (or other parties), and the Graduate Dean, strict adherence to them is a condition of review and appeal under these procedures. Time requirements are measured from the first occurrence of an event; "continuing" wrongs are not recognized for the purpose of satisfying time requirements.
9. The Graduate Dean may delegate such parts of these responsibilities as the Dean deems reasonable and efficient, provided the final decision and any remedy must be reviewed and approved by the Dean personally.
10. The University and Graduate School should make all conduct and corresponding grievance policies and processes clearly visible and accessible by graduate students, faculty and staff. The Dean of the Graduate School will provide a summary report of grievances filed and actions taken under this policy to the Graduate Council.

Advisor Policy (p. 6)

An advisor is responsible for providing advice regarding graduate studies and for supervising a student's degree program. In some cases, particularly for incoming students, the program may assign an advisor. Advisors must be Members of the Graduate Faculty (a listing is available here (<https://academiccatalog.umd.edu/graduate/faculty/>)). With approval from the program, students may have a co-advisor.

PROCEDURES FOR CHANGING ADVISORS

The advisor-student relationship is one of mutual agreement. Either party may request termination of the relationship. A change of advisors may occur for a variety of reasons, such as students and advisors having different research interests or work styles, or if faculty retire or leave the university (see the Graduate Faculty Members Policy (<https://academiccatalog.umd.edu/graduate/policies/faculty-members/>) for emeritus and former faculty who can chair thesis and dissertation committees).

If both parties agree to terminate the relationship and the student has secured a satisfactory arrangement with a new advisor, no further action is necessary. In extreme circumstances, when a change of advisors cannot be resolved amicably, the following procedures support students and faculty in the change of advisors process.

1. A change of advisors begins with an open and honest conversation among the student, current advisor, potential new advisor, director of graduate studies, and/or the department chair. Each situation is unique, but the important part is to have confidential conversations with the appropriate stakeholders. Before such conversations, it may be helpful to prepare a document briefly identifying reasons for the change of advisor.

The director of graduate studies and unit head can provide support for graduate students and faculty. If a department, school, or college has an ombudsperson, that person can also be included in confidential conversations, at the discretion of graduate students

or advisors. For students and faculty, The Graduate School Ombudsperson (<https://gradschool.umd.edu/about-us/ombuds-office/>) provides confidential and informal assistance in resolving conflict and promotes fair and equitable treatment within the university. For extreme situations, the Graduate Student Rights and Responsibilities Policy (p. 4) outlines the formal grievance procedure. Departments may have their own grievance policies, which should also be consulted. When mental health challenges contribute to difficulties with advisors, the Graduate Academic Counselor is available to consult with students and faculty and can provide referrals to campus and other resources.

2. If agreement is not achieved or the student is unable to secure a satisfactory arrangement with a new advisor, the student, advisor, director of graduate studies, and/or department chair should discuss potential faculty members to serve as the new advisor. Once a new advisor is secured, a transition plan should be created for completing work with the former advisor and starting work with the new advisor. The transition plan must include any implications of the advisor change for coursework, exams, advancement to candidacy, and other program requirements. For students with funding, the transition plan must also address how students' funding will be maintained. Finally, the transition plan must address intellectual property concerns (e.g., ownership of data, authorship on completed or ongoing research, etc.). The student, former advisor, new advisor, and director of graduate studies must sign the transition plan. In some cases it may not be possible to find a new advisor, despite the best efforts of the graduate director and/or graduate program, particularly if the original conflict arose because of lack of student progress or changes in the student's desired research field. If a new advisor cannot be secured, students have the option of consulting The Graduate School Ombudsperson (<https://gradschool.umd.edu/about-us/ombuds-office/>) and filing a grievance as outlined in the Graduate Student Rights and Responsibilities Policy (p. 4).

FUNDING CONSIDERATIONS

For graduate students with research, teaching, or administrative assistantships, funding typically will be maintained to support graduate students who change advisors. For programs where graduate assistantship funding is made independent of advising, no change of funding will occur when students change advisors.

Research Assistants

Funding will be maintained for research assistants at least through the semester while they change advisors, including when graduate students are supported by their advisors' external funding awards. Advisors will give at least one month's notice prior to terminating a student's support. The former advisor, new advisor, or graduate program will typically continue to support the student through the end of the semester if the support is during the academic year as long as the student is making satisfactory contributions to assigned research duties. If the support is over the summer, the advisor or graduate program will typically continue to support the student over the summer as long as the student is making satisfactory contributions to assigned research duties. If extraordinary circumstances compel the advisor to consider terminating the student with less than one month's notice, the director of graduate studies must approve the early termination.

Teaching Assistants

Funding will be maintained at least through the semester for teaching assistants while they change advisors. The instructor of record or course supervisor will give at least one month's notice prior to terminating

a student's support. Typically, a graduate student will complete their instructional duties through the end of a term as long as the student is satisfactorily completing teaching duties. If extraordinary circumstances compel the instructor of record or course supervisor to consider terminating the student before the term ends, the director of graduate studies must approve the early termination.

Administrative Assistants

Funding will be maintained at least through the semester for administrative assistants while they change advisors. Typically, the assistantship sponsor will continue to support the student through the end of the semester if the support is during the academic year as long as the student satisfactorily completes the assigned administrative duties. If the support is over the summer, the assistantship sponsor will continue to support the student over the summer as long as the student satisfactorily completes the assigned administrative duties. If extraordinary circumstances compel the supervisor to consider terminating the student with less than one month notice, the director of graduate studies must approve the early termination.

Co-authorship for Faculty-Student Interactions or Collaborations (p. 7)

The University of Maryland encourages faculty to co-author with students. Co-authorship is valuable for a student's professional development and advancement. It also can advance a faculty member's career. However, it is critical that authorship decisions, particularly those related to faculty-student interactions or collaborations, be handled in an appropriate and respectful manner that protects the interests of our students and faculty, demonstrates the value of authorship credit, and ensures the integrity of the institution's approach to publication.

General Principles

Although specific disciplines may approach aspects of authorship or collaboration in different ways, there are general principles that are universally applicable when it comes to the assignment of authorship credit and order.

1. All individuals listed as authors on a manuscript should meet the criteria below for authorship, and all individuals who meet these criteria should have the option to be listed on the manuscript.
2. The generally accepted criteria for authorship are as follows. These are generally accepted criteria, but norms may differ by discipline. All three criteria should be met. Authors should also agree to be accountable for all aspects of the work by ensuring that questions regarding the accuracy or integrity of any part of the work are appropriately investigated and resolved.:
 - a. making substantial contributions to the conception and design of the research, the acquisition of the data, or the analysis and interpretation of the data;
 - b. drafting the manuscript or revising it critically for important intellectual content; and
 - c. giving final approval of the version to be published.
3. Authorship credit should not be given solely based on the provision of funding, materials used in the research, or space in which to conduct the research; collection of data; or general supervision of an author or the research group.
4. Authorship credit, including the order of authors, should be discussed early and revisited often, especially if the scope of the work changes over time. Ordinarily, authorship order should follow the convention

of the relevant discipline(s). Authorship discussions must include individuals who have left the institution or research group but who previously contributed to the work to be presented in the manuscript.

- Individuals who make valuable contributions, but do not meet the requirements for co-authorship, may be acknowledged in a publication with the permission of the individual(s) to be acknowledged.
- Individuals must have the opportunity to satisfy the criteria set forth above (e.g., relevant individuals should be notified that a manuscript is under preparation so that they have an equal opportunity to make substantial contributions to the drafting or revision process).

Issues Common to Faculty-Student Interactions or Collaborations

The standards for co-authorship are the same for faculty and students. However, there are some circumstances that arise in faculty-student interactions or collaborations that should be highlighted and addressed.

- Faculty should not use their position of authority to request or demand co-authorship when it is inappropriate, according to the standards outlined above. Students should not grant "honorary authorship" by including a faculty member who has not met the criteria for authorship.
- Faculty should offer students co-authorship when they have met the standards outlined above.
- Whether a student should be a co-author depends only on their contribution to the work; faculty may not refuse or place other conditions on student co-authorship.
- Except under exceptional circumstances, a student should be listed as principal author on any multiple-authored publications that are substantially based on the student's independent research conducted under faculty supervision (including thesis or dissertation).

Accordingly, faculty may co-author only when they have:

- Made substantial contributions to the work (e.g., conception, design, conduct, analysis, or interpretation) and have engaged in substantial drafting and/or revisions of the intellectual content of the work; and
- Reviewed and approved the final version and agreed to be accountable for the accuracy and integrity of the published work.

Faculty should not co-author when they have only:

- Provided funding, space, materials, or technical services, without making substantial contributions to the work; and/or
- Provided comments or suggestions of the sort that might be provided by peer review, including when serving on a thesis or dissertation committee.

Addressing authorship disputes and inappropriate authorship practices

If disagreements arise about co-authorship among faculty and graduate students, the Graduate Ombudsperson (<https://www.gradschool.umd.edu/about-us/ombuds-office/>) can be consulted. Students may also consider the advice provided by the Committee on Publication Ethics (COPE) in its guide for new researchers (<https://publicationethics.org/resources/guidelines-new/how-handle-authorship-disputesa-guide-new-researchers/>) or its discussion document on authorship (https://publicationethics.org/files/COPE_DD_A4_Authorship_SEPT19_SCREEN_AW.pdf).

Failure of a faculty member to abide by the expectations set forth in this document may result in referral of the matter to a faculty member's department chair for review and action as appropriate. Failure of a graduate student to abide by these expectations may result in a similar referral to the student's director of graduate studies or the Office of Student Conduct, as appropriate.

Extreme cases of inappropriate authorship practices are forms of scholarly misconduct that would trigger the process set forth in the University's Policy and Procedures Concerning Scholarly Misconduct (<https://policies.umd.edu/policy/5b654bd4-db87-491f-8616-564830b2fa2f/>). These cases include improper assignment of credit, plagiarism, and misappropriation of ideas.

In cases where faculty members fail to abide by these expectations, the Graduate Dean can suspend or remove a faculty member from the Graduate Faculty following the University Policy on Graduate Faculty Members (<https://academiccatalog.umd.edu/graduate/policies/faculty-members/>). As stated in the University's Policy and Procedures Concerning Scholarly Misconduct (<https://policies.umd.edu/policy/5b654bd4-db87-491f-8616-564830b2fa2f/>), disciplinary action for faculty may also include suspension and/or termination of employment. Disciplinary action for students may include termination of enrollment and/or degree revocation.

Appointments of Graduate Students as Instructional or Research Faculty (p. 8)

Graduate students are a vital component of the University of Maryland's (UMD) undergraduate teaching and research mission. At the same time, graduate students are students first. Accordingly, all full-time UMD graduate students serving as instructors of record for a credit-bearing course will be appointed as graduate assistants (e.g., teaching assistants) rather than in Professional Track Faculty Appointments (e.g., adjunct faculty, lecturer, visiting faculty). Likewise, all full-time graduate students working with faculty on research will be appointed as research assistants rather than as research faculty (e.g., faculty assistant, faculty specialist). Graduate students who were UMD faculty or staff prior to entering a UMD graduate program are exempt from this policy.

Graduate assistants may serve as instructors of record for undergraduate courses. In exceptional cases, graduate assistants may be appointed to teach graduate courses. In such cases, a graduate faculty member should serve as co-instructor, supervising the GA, attending class on a regular basis, and overseeing grading. In cases where no faculty member is available to serve as co-instructor, the unit may request approval from the collegiate dean and the Dean of the Graduate School for the GA to be the sole instructor of record for a graduate course. In truly exceptional cases, graduate students may be appointed as Graduate Teaching Members, as provided below.

In exceptional circumstances, programs can petition the Graduate School to allow a graduate student to hold a Professional Track Faculty Appointment. All of the following conditions must be met:

- The graduate student will complete their degree requirements within one year.
- Teaching appointments will not be renewable until the graduate student has completed all degree requirements.
- The salary provided to the graduate student will be higher than the stipend provided to the graduate student in the prior

calendar year. The salary also should be comparable to other adjunct, instructional, or visiting faculty in the program.

- The graduate student will remain enrolled in relevant coursework (e.g., 899).

To petition the Dean of the Graduate School for an exemption, a student must submit a Petition for Waiver of Regulation Form (<https://gradschool.umd.edu/forms/>) and include the following information:

- A letter of support from their advisor and director of graduate studies.
- A detailed and accurate timeline for degree completion.
- Statement from their advisor and director of graduate studies affirming the above conditions will be met.

Upon successful completion of degree requirements, UMD graduate students are eligible for hiring as instructional and research faculty. Retaining primary status as graduate students ensures that the Graduate School can support UMD graduate students to timely degree completion.