



UNIVERSITY OF
ARKANSAS[™]

GRADUATE SCHOOL

GRADUATE STUDENT HANDBOOK

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revised: 10/22/09

Introduction

As the flagship institution of the University of Arkansas system, the University of Arkansas, Fayetteville, has the strongest research mission of any university within the state. Central to our charter is the creation and dissemination of knowledge. Within that mission, graduate student education is central, and the Graduate School therefore serves a pivotal role in the University's research and education function. Moreover, the Dean of the Graduate School is also the Vice Provost for Research and is therefore responsible for the research activity of the University. In keeping with that responsibility, the Graduate School is at the center of a network of rights and obligations involving the student, the university, and the faculty, with regard to both teaching and research. In this handbook, we make available the most comprehensive listing of current policies affecting graduate students and graduate faculty, from the student's application to the final conferring of the degree.

Graduate School Vision, Mission, Values and Goals

Vision Statement

The Graduate School at the University of Arkansas plays critically supportive roles in student advocacy, initiation and development of interdisciplinary graduate programs, and stipend and research support, to ensure the University of Arkansas emerges as a nationally competitive, student-centered research university serving Arkansas and the world.

Mission Statement

The Graduate School assists post-baccalaureate students with the opportunity to further their educational goals through programs of study, teaching, and research in an environment that promotes freedom of expression, intellectual inquiry, and professional integrity. Additionally, the Graduate School assists the development of degree programs that are relevant and responsive to the needs of its students and the student's communities - state, nation and world - and the demands of technology, while maintaining a high standard of excellence in graduate education.

Core Values

To achieve our goals, the Graduate School staff believe that in all aspects of our work, we begin with a commitment to promoting graduate education at the University of Arkansas. Our work is based on a firm commitment to excellence, tempered by kindness and compassion. We are an advocate for the graduate student. However, in order to maintain a reputation for quality, which will enhance students' employment opportunities and increase the value of their degrees, we are also required to set and enforce policies. We seek and celebrate diversity of all kinds, within the Graduate School staff and the graduate student population. We see ourselves as a service unit, with a primary commitment to building graduate education and research consistent with the best practices in the nation. As a service unit, we strive to be accessible to all students, and we hold a student-centered, solution-oriented, cooperative and progressive orientation. We value integrity and respect as the foundation of our work, and we believe deeply in the value of freedom of

expression. Our commitment extends from the University to the city of Fayetteville, to the state, nation, and world.

Goals of the Graduate School

The goals of the Graduate School are to: 1) recruit and retain graduate students to meet university goals; 2) increase the diversity of the graduate student population; 3) professionally, efficiently, courteously, effectively, and compassionately assist and advise students with regard to applications, admissions, referrals, graduation, and other matters relevant to the pursuit of a graduate degree; 4) maintain both flexibility and consistency in interpreting and applying university and Graduate School policies; 5) provide assistance to the graduate faculty in student recruitment, admissions, advising, monitoring, mentoring, and retention; 6) assist in maintaining and improving the quality of the graduate programs at the university; 7) increase the cooperation and communication between and within the Graduate School staff, graduate faculty, students, and administration; 8) disseminate appropriate information in a timely and effective manner; and 9) enhance the national and international reputation of the University of Arkansas graduate programs.

The Graduate School is an autonomous organizational unit, whose Dean is responsible to the Vice Chancellor for Academic Affairs.

- [Click here for the organizational chart of the University.](#)
- [Click here for the organizational chart of the Graduate School.](#)
- [Click here for current Graduate School staffing information and brief duty descriptions .](#)
- [Click here for a list of Departments and the degrees offered by each.](#) If you want to know more about a specific degree program, move to that program by clicking on the appropriate letter below.

Graduate School Responsibilities

The Graduate School is responsible for the following, wholly or in part:

1. admissions, both domestic and international (in conjunction with the department and, sometimes, Spring International Language Center)
2. monitoring graduate student progress
3. certifying graduate students for graduation
4. certifying graduate faculty
5. monitoring graduate program quality
6. organizing and chairing the Graduate Council; and maintaining the minutes of the Council;
7. monitoring and processing changes in graduate courses and programs
8. managing the various graduate fellowship programs and travel grants and graduate assistantships
9. maintaining the Graduate School Catalog
10. assisting with the organization and staffing of the all-university commencement ceremony

11. providing data in a variety of contexts
12. recruitment of graduate students
13. processing graduate student grievances
14. serving as the academic dean's office for the cross-college interdisciplinary graduate programs

Honor Code for the Graduate School

The mission of the Graduate School is to provide post-baccalaureate students with the opportunity to further their educational goals through programs of study, teaching, and research in an environment that promotes freedom of expression, intellectual inquiry, and professional integrity. This mission is only possible when intellectual honesty and individual integrity are taken for granted.

The graduate student at the University of Arkansas is expected to: a) know and abide by the regulations for all students, as described in the *Student Handbook* published by the Vice Chancellor for Student Affairs, and b) know and abide by the regulations contained within the “Academic Honesty Policy for Graduate Students” and the “Research Misconduct Policy.” It is expected that graduate students will refrain from all acts of academic and research dishonesty and will furthermore report to the Graduate School any acts witnessed.

The pledge of the Honor Code is this: “On my honor as a graduate student at the University of Arkansas, I certify that I will neither give nor receive inappropriate assistance on the work I do for my degree.” Students will be asked to sign this pledge when they are admitted to the Graduate School. Faculty also may require students to sign this pledge before completing the requirements of a course or a program.

Moving Toward the Degree: The Process

There are a series of decisions which must be made after a student has been admitted to the Graduate School. Each of these decision points will be discussed in more detail in this handbook, but a brief time-line of the process is provided here. At each step of this time-line, there are forms which must be filed with the Graduate School. The necessary forms are indicated at each step of the time-line.

PROCEDURAL TABLES

Go directly to:

- [PROCEDURES FOR MASTER'S AND SPECIALIST DEGREES](#)
- [PROCEDURES FOR DOCTORAL DEGREES](#)

Graduate Admissions

Graduate Admissions Contact

For **domestic applicants**, click for information about applying to any graduate program other than Chemistry, Communications Disorders, Creative Writing, Physics, Psychology, Public Policy, or the Graduate School of Business.

For all **international applicants**, click for information about applying to any graduate program other than Chemistry, Creative Writing, Physics, Psychology, Public Policy, or the Graduate School of Business.

- Click here for information about applying to [Chemistry](#).
- Click here for information about applying to the [Communications Disorders program](#).
- Click here for information about applying to the [Creative Writing program](#).
- Click here for information about applying to [Environmental Dynamics](#).
- Click here for information about applying to [Physics](#).
- Click here for information about applying to [Psychology](#).
- Click here for information about applying to the [Public Policy Ph.D. program](#).
- Click here for information about applying to [Graduate School of Business](#).

The Domestic Applicant

Domestic applications will normally be processed through the Graduate School. However, the Graduate School of Business, the Departments of Chemistry, Physics, and Psychology, the degree program in Creative Writing, and the interdisciplinary degree program in Public Policy do the initial processing of their applicants. If you are interested in applying to one of these programs, please click on the program above.

The International Applicant

The International Admissions Office, located in 346 N. Arkansas Avenue, evaluates the credentials for all international graduate applicants. Click here for the [Office of Graduate and International Admissions home page](#).

Admission

Anyone who wishes to earn graduate-level credit, whether as a degree-seeking or non-degree-seeking student, must make formal application to, and be officially admitted by the Graduate School.

The Graduate School offers two classifications of admission:

1. **DEGREE-SEEKING**

This enrollment will allow degree credit to be earned if the degree program also accepts the student.

2. **NON-DEGREE STANDING**

This enrollment will not lead to a degree.

Application. Applications for admission to the Graduate School must be accompanied by a \$40 application fee (\$50.00 for international applicants), which is not refundable and will not apply against the general registration fee if the applicant enrolls. Applicants are encouraged to use our on-line application procedure. Alternatively, the application form may be obtained from our Web page at grad.uark.edu or the application form may be obtained from and submitted directly to:

GRADUATE SCHOOL ADMISSIONS OFFICE
180 DICX
University of Arkansas
747 W. Dickson Street, #8 Fayetteville, AR 72701
Telephone: 479-575-6246

Transcripts. It is the responsibility of those applicants who desire full graduate standing to request each college or university which the student has previously attended to send directly to the applicant two official copies of the student's academic record including all courses, grades, and credits attempted and indication of degree(s) earned. To ensure that the application is processed in a timely way, applicants are encouraged to submit all application materials in one large envelope. Please do not mail items separately.

Note: The fact that courses completed at one institution may be included on a transcript from another institution will not suffice; official transcripts must be received from each institution previously attended.

All transcripts become the property of the University of Arkansas Graduate School and will not be released to the applicant or to any other person, institution, or agency.

Deadlines. The University should receive all application materials, including all official transcripts, at least one month prior to the date of registration. Deadlines for priority consideration are: Fall semester, August 1; Spring semester, December 1; Summer sessions, April 15. Many departments/programs have earlier application deadlines. (See deadlines for international students, below.)

Previously Enrolled or Currently Enrolled at Fayetteville. For those previously enrolled or currently enrolled at the University of Arkansas, Fayetteville, the Graduate School obtains transcripts from the Registrar's Office. For a graduate of the University of Arkansas, Fayetteville (baccalaureate degree), the only transcripts required are those from the University of Arkansas, Fayetteville, and those from each institution attended after completing the University of Arkansas, Fayetteville, degree. Anyone who was previously enrolled but who is not currently

enrolled in the University of Arkansas Graduate School, is considered a “readmission” and is required only to submit an Application for Admission (no fee) and official transcripts from institutions attended after the University of Arkansas Graduate School enrollment. (See Admission Classification: Readmission.)

Admission is for a Specific Semester Only. Applicants who wish to change their date of entry after submitting an application must notify the Graduate School Admissions Office; applicants who have already been admitted should also notify the program in which they plan to major. Application materials for applicants who apply for admission but who do not subsequently enroll will be retained by the Graduate School Admissions Office for two calendar years from the date of the applicant’s original proposed semester of entry. However, applicants must file a new Application for Admission (no fee) to notify the Graduate School of their request for reconsideration. Applicants who are admitted but do not enroll for two years or more after admission must submit an application for admission, application fee, and have two official copies of the student’s academic record sent from each college or university attended and follow procedures for initial admission.

Admission to Graduate Standing. Official notice of the decision concerning admission will be sent from the Graduate School. Admission will not be granted until all requirements are met, and graduate credit will not be granted retroactively except as specified in the Retroactive Graduate Credit Policy (see page 19). Further, admission to graduate standing does not automatically constitute admission to a specific program of study leading to a graduate degree. Therefore, in addition to satisfying the general requirements of the Graduate School, applicants must comply with the specific requirements and have the approval of the program in which they desire to pursue graduate study. It should be emphasized that students may not earn graduate credit in any course unless they have been admitted to the Graduate School.

Adviser. At the time of admission to a degree program of the Graduate School, the student is assigned to a major adviser who acts as the adviser throughout the student’s program of study. The appointment of the adviser is made in the student’s major program and is determined primarily by the student’s particular areas of interest in the field. Detailed information regarding the student’s program of study may be secured from the appropriate department chairperson or program director.

Non-Native Speakers of English. Those applicants, regardless of citizenship, whose first language is not English, must submit a minimum score of 6.5 on the International English Language Testing System (IELTS) or 550 on the paper-based or 79 on the internet-based Test of English as a Foreign Language (TOEFL), taken within the preceding two years, unless their native language is English, they have received a graduate degree from an accredited U.S. graduate school, or they have demonstrated an acceptable level of language proficiency as defined in the Graduate School Handbook located on the Graduate School Web site. Individual departments may have higher requirements, and reference should be made to program descriptions. Resident aliens must submit a copy of their Resident Alien card with their application. International applicants must have all material submitted by April 1 for fall semester admission, by October 1 for the spring semester, and by March 1 for the summer session, but it is recommended that all materials required for application be received by the admissions office at

least nine months before the applicant wishes to begin his/her studies. International applicants must be acceptable to a program of study as a condition to being granted admission to the Graduate School and must meet the requirements for regular admission status unless holding a degree from the University of Arkansas.

International students and resident aliens whose native language is not English must demonstrate competency in spoken English by submitting a test score of at least 7 on the IELTS (speaking) sub-test, 50 on the Test of Spoken English (TSE), 26 on the speaking portion of the internet-based TOEFL, or “pass” on the Spoken Language Proficiency Test (SLPT) to be eligible for a graduate assistantship that requires direct contact with students in a teaching or tutorial role.

English Language Use by Non-Native Speakers. Non-native speakers of English admitted to graduate study at the University of Arkansas are required to present an acceptable score on one of the following tests: TOEFL (TWE or Essay), IELTS (writing), GRE (analytical writing), GMAT (analytical writing) or ELPT (writing) . Depending upon exam scores, a student may be required to take one or more EASL course during their first term of study. Students may be required to take the English Language Placement Test (ELPT) prior to the beginning of classes in their first term of study. Non-native speakers in the following categories are exempt from this requirement:

- Graduate students who earned bachelor’s or master’s degrees in U.S. institutions or in foreign institutions where the official and native language is English;
- Graduate students with a Test of Written English (TWE) score of 5.0 or 29 on the writing portion of the internet-based TOEFL, or an IELTS (writing) score of 7.0.
- Graduate students with a 4.5 on the analytical writing portion of the GRE or GMAT.

Diagnostic and placement testing is designed to test students’ ability to use English effectively in an academic setting, and its purpose is to promote the success of non-native speakers in completing their chosen course of study at the University of Arkansas. Test results provide the basis for placement into English as a Second Language (EASL) support courses or course sequences. Courses are offered by the Department of Foreign Languages for those students whose language skills are diagnosed as insufficient for college work at the level to which they have been admitted (undergraduate or graduate study). Credit in EASL courses does not count toward University of Arkansas degrees. Non-native speakers diagnosed as having language competence sufficient for their level of study will not be required to enroll in EASL courses.

The ELPT is administered by Testing Services during New Student Orientation and there is a \$10.00 charge. Graduate students assessed course work as a result of performance on the ELPT, TOEFL Essay, IELTS writing, GRE or GMAT analytical writing will be required to complete the EASL course(s) to support initial course work taken in their fields. Graduate departments/degree programs will have the discretion to waive either the requirement for the language evaluation or the required language courses.

The publication, “International Student Information,” is available from the Graduate and International Admissions Office, 180 DICX, University of Arkansas, 747 W. Dickson Street, #8, Fayetteville, Arkansas 72701.

Classifications of Admission to Graduate Standing

Full Graduate Standing, Regular Admission. To be considered for full graduate standing, regular status, applicants must have earned a baccalaureate or a master's degree from the University of Arkansas, Fayetteville, or from a regionally accredited institution in the United States with requirements for the degrees substantially equivalent to those of this University, or from a foreign institution with similar requirements for the degrees. Admission to graduate standing does not automatically constitute acceptance to a program of study leading to a graduate degree. To pursue a graduate degree, a person must also be accepted in a program of study after gaining regular admission to graduate standing. International applicants cannot be admitted to graduate standing unless they are also accepted by a degree program at the same time.

Persons who achieve regular admission but are not initially seeking a graduate degree (non-degree) and who subsequently decide to pursue a degree must apply for and be accepted in a degree program by the Graduate School. A student with regular graduate standing who has not been accepted in a program of study leading to a specific graduate degree may take no more than 12 semester hours of graduate-level courses that can be counted toward the requirements for a graduate degree (six for graduate certificate programs). At the time of acceptance in a degree program, the chair of the appropriate department or program director will recommend to the Graduate School which courses previously taken, if any, are to be accepted in the degree program.

Requirements for admission to graduate standing and acceptance in a program of study leading to a graduate degree are:

1. For admission to graduate standing:
 - a. a grade-point average of 3.0 or better (A=4.00) on all course work taken prior to receipt of a baccalaureate degree from a regionally accredited institution of higher education; or
 - b. a grade-point average of 3.0 or better on the last 60 hours of course work taken prior to receipt of a baccalaureate degree from a regionally accredited institution of higher education; or
 - c. a grade-point average between 2.50 and 2.99 on all course work taken prior to receipt of a baccalaureate degree from a regionally accredited institution of higher education and a satisfactory score on the Graduate Record Examinations general test, the Miller Analogies Test, or a similar test acceptable to the Graduate Dean; or
 - d. conferral of a post-baccalaureate graduate degree (excluding professional degrees) from a regionally accredited institution.
2. For acceptance to a graduate degree program the requirements are as follows:
 - a. fulfillment of either 1.a or 1.b, and recommendation of the chair of the department or program offering instruction for the degree program; or
 - b. fulfillment of 1.c, recommendation of the chair of the department or program offering instruction for the degree program and approval of the Graduate Dean. The student must also meet any other conditions that may be specified by the faculty of the department..

Any other consideration for admission must be by individual petition to the Graduate Dean and, where pertinent, a recommendation from the appropriate program chair. Each petition will be considered on its own merits, case by case. Program requirements should be considered the minimum for admission to a degree program but do not guarantee admission. That is, fully qualified applicants who are accepted by the Graduate School will not necessarily be accepted into the degree program of their choice. It is the responsibility of the program faculty to allocate program resources in the most effective manner. To accomplish this, the program may not be able to accept every qualified applicant.

Non-Degree Seeking. If a student meets all of the requirements for regular admission to the Graduate School but chooses not to pursue a degree, he/she may be admitted as non-degree seeking. If the student subsequently chooses to pursue a degree, only 12 of the hours taken as a non-degree-seeking student may be used to fulfill degree requirements, and those 12 hours must be approved by the advisory committee.

Non-Consecutive One Term Admission, NON-DEGREE Standing. Applicants who desire admission standing allowing them to enroll in non-consecutive single semesters must obtain from the Graduate School Admissions Office and must sign a statement of understanding. Students admitted to such non-consecutive one-term admissions must understand that any enrollment taken in this classification will not normally carry degree credit. Transcripts are not required for applicants seeking this NON-DEGREE standing.

Visiting Graduate Students. A graduate student who is in good standing at another regionally accredited institution in the United States may be given admission (non-degree status) to the Graduate School for one semester (renewable) upon submission of an Application for Admission and a letter of good standing from the Dean of the Graduate School at that institution. If the student's first language is not English, TOEFL requirements will apply, but programs may petition for a student to be admitted without the TOEFL score. If, sometime in the future, the student should wish to pursue a degree in the University of Arkansas Graduate School, it will be necessary to follow the normal procedures for admission and to have official transcripts sent from each institution previously attended. Graduate courses transferred and used for requirements for a degree at another university cannot be used for a graduate degree at this institution.

Readmission. *Readmission to the Graduate School is not automatic.* Students who have been enrolled in the Graduate School within the two preceding academic years but have not enrolled in the immediately preceding semester will be readmitted if:

1. The student has earned at least a 2.85 cumulative grade-point average on all graduate credits attempted during all previous enrollments;
2. A new Application for Admission form (no fee) is filed prior to the desired registration date (preferably, at least one month prior to that date);
3. The Graduate School has received two official transcripts of all course work attempted at other institutions subsequent to the previous enrollment in the University of Arkansas Graduate School;
4. The student's graduate status at the end of the previous enrollment was "good standing."

Students who have been previously enrolled in the Graduate School but who have not been enrolled within the preceding two years and who meet the above conditions may be granted further registration after completion of a readmission process. Students seeking readmission for the purpose of entering or resuming a graduate degree program must be accepted by the faculty of that program of study. Such acceptance must state specifically what credit will be granted for the earlier work, any conditions which must be fulfilled to qualify this earlier work in the degree program, and an exact timetable for the completion of all degree requirements. When such recommendations exceed the normal time limits or other conditions established by the Graduate School, the approval of the Dean of the Graduate School will be required. Such recommendations must be submitted and approved prior to the granting of readmission.

Readmission to the Graduate School under any other circumstances will be considered and decided on an individual basis. Students interested in obtaining such readmission should contact the Graduate School.

Students who were not enrolled in the Spring semester, but who were enrolled for the summer session will have registration materials available for the Fall semester should they wish to continue their registration.

Retroactive Graduate Credit

Graduate students fully admitted into a degree program may request that up to twelve hours of courses taken in the final semester of their undergraduate degree count toward their graduate degree, if these courses were taken on the University of Arkansas, Fayetteville campus. These courses may not have been used for the undergraduate degree, must be approved by the student's advisory committee, and must be at the 5000 level or above. Petition will be by the student's advisory committee or major professor to the Graduate School.

If the student's advisory committee wishes to accept courses at the 4000 level towards the graduate degree, when those courses were taken in the last semester of a student's undergraduate degree at the University of Arkansas, Fayetteville, the committee may petition the Graduate School. The petition must include an explanation of why the committee considers these courses to meet graduate degree requirements and expectations for graduate-level work. The instructors for these courses must have had graduate faculty status, and these courses may not have been used for the undergraduate degree.

Courses at the 3000 level taken before the student is fully admitted to the Graduate School may not be used to fulfill graduate degree requirements.

Courses offered by institutions other than the University of Arkansas, Fayetteville, may not be counted toward the graduate degree requirements in this way.

If a program wishes to place a senior-level undergraduate student on a graduate assistantship, the Graduate Dean will consider these appointments on a case-by-case basis. The program must stipulate that the student will be entering one of its graduate programs as soon as the undergraduate degree is completed, and the student must be within six hours of completing the

undergraduate degree. An undergraduate student may not hold a graduate assistantship, even under these conditions, for more than one semester.

Note: If a student receives financial aid in their final semester in the baccalaureate program, no courses used to fulfill the minimum enrollment requirement for financial aid will be retroactively changed to graduate credit.

- [Request for Retroactive Graduate Credit Form](#)

Admission to Graduate Centers

In an attempt to fulfill the recognized need for graduate education for Arkansas residents who find it impossible or inconvenient to attend classes at Fayetteville, the University of Arkansas Graduate School offers selected graduate-level courses at graduate centers throughout the state.

All courses and instructors at these centers have been individually evaluated by the University of Arkansas Graduate Council and are subject to the same standards of quality that apply to graduate faculty and graduate programs at Fayetteville.

Similarly, those desiring to enroll in these courses must follow the same admission procedures and are subject to the same admission criteria as persons admitted at Fayetteville. There are no exceptions or deviations from these policies and procedures. Admission materials, including all official transcripts, should be received in the Graduate School at least one month prior to the requested semester of entry. (See section on “Admission.”)

For more comprehensive information regarding format of instruction, schedule of classes, enrollment and registration, fees, etc., contact: [Director of Continuing Education, Number 2, University Center, Fayetteville, Arkansas 72701](#).

Requirements for the Degree

Requirements for each of the degrees offered at the University of Arkansas are set by the individual programs as consistent with the policies of the Graduate Council. The requirements of the Graduate School for each degree may be found in the [Graduate School Catalog](#).

Students whose research will require approval by the Institutional Review Board (for research with human subjects), the Animal Care and Use Committee (for research with animals), the Biosafety Committee (for research with recombinant DNA), the Radiation Safety Committee, or the Toxic Substance Committee, will be required to receive approval from these committees before beginning their research. If such approval has not been received, the student will not be granted a degree. For more information about these committees, please see the website of the Office of Research Support and Sponsored Programs.

Students who feel that their rights have been violated may pursue a grievance. [Click here for the grievance policy](#).

Standardized Tests

Applicants need to consult with the specific graduate program to which they are applying about whether the program faculty require a standardized test score. The Graduate School requires a standardized test score for all applicants who do not meet the requirements for regular admission. Acceptable standardized tests include the [Graduate Record Examinations](#) (GRE) score, the Miller Analogies Test (MAT), and the [Graduate Management Admission Test](#) (GMAT). Further information may be obtained from the [Office of Testing Services](#) at the University of Arkansas.

Financial Aid and Graduate Student Benefits

Funding Your Graduate Degree

Doctoral Fellowships

For information about fellowships, please contact the Graduate School at 479-575-4401, or visit our "[Funding Your Degree](#)" page.

Current Graduate Assistantships Available

Visit the [Human Resources web-site](#) for graduate assistant positions currently available.

Funding Your Research

Rules and Regulations Pertaining to Graduate Assistantships/Fellowships

University of Arkansas Graduate School, Graduate Assistantship General Policies and Rules

I. Preamble

It is the policy of the University of Arkansas to promote graduate study by offering qualified students financial assistance via graduate assistantships without regard to race, color, sex, creed, sexual preference, or national origin. In addition, students qualifying for some Graduate Assistantships shall be further supported with the payment of non-resident tuition and general registration fees. In turn, Graduate Assistants make valuable contributions to the University's teaching, research, and service programs.

It is the duty of the University to administer its Graduate Assistantship program in a manner that: (1) insures that graduate students with such appointments will make satisfactory progress toward their graduate degrees; (2) insures that appointed students render appropriate service; (3) rewards the most diligent, dedicated, and qualified students; and (4) makes effective use of funds available to support graduate education.

Therefore, it is incumbent upon the University to insure that: (1) all recipients of Graduate Assistantships progress toward completion of their programs in the most expeditious manner consistent with academic excellence; (2) all Graduate Assistants are treated equitably with regard to both their stipends and duties; and (3) in the administration of the foregoing, the University recognizes the diversities existing among programs within and among the departments and colleges of the University of Arkansas as well as the standards that have been established among universities with whom we compete for quality students. In order to implement the spirit of the foregoing stated policy, the following rules and regulations shall be applied.

II. Obligations of Graduate Assistants

- A. Graduate Assistants may be assigned duties in the areas of teaching, research, and administrative assistance. The actual work requirements of a Graduate Assistant may consist of a combination of such duties, but must be designed to further the professional goals of the student. (See Appendix A for examples of duties in these areas.)
- B. Graduate Assistantships are normally granted for a 25% or a 50% appointment. Under unusual and extraordinary circumstances, appointments of a higher percentage may be requested in writing from the Dean of the Graduate School.
- C. For each assistantship appointment, the Graduate Assistant must perform assigned duties and make satisfactory progress toward the graduate degree. Satisfactory progress includes: 1) earning at least 6 (or 9, if on a 25% appointment) credit hours per semester [\(for summer sessions, click here\)](#) (all degree-related registration, including thesis or dissertation, counts toward this requirement), and 2) maintaining a cumulative GPA of at least 2.85 on all work taken for graduate credit. (Departmental standards may be higher than those listed here.)
- D. A 50% appointed Graduate Assistant must earn a minimum of 6 credit hours and may register for a maximum of 12 credit hours per semester, although this limit may be exceeded with approval of the Department Chair/Head. A 25% appointed Graduate Assistant must earn a minimum of 9 credit hours and may register for a maximum of 12 credit hours per semester, although this limit may be exceeded with approval of the Department Chair/Head. Registration for more than 15 credit hours per semester must be approved by the Department Chair/Head and the Dean of the Graduate School.
- E. Graduate Assistants who resign or are terminated from their graduate assistantship appointments, whether they withdraw from school, may, at the discretion of the funding source, be required to reimburse the appropriate University account for the tuition and fees paid on their behalf proportionate to the length of time remaining on the contract during the current semester.

III. English Language Requirement for International Graduate Assistants

International students and resident aliens whose native language is not English must demonstrate competency in spoken English by submitting a test score of at least 7 on the IELTS (speaking) sub-test, 50 on the Test of Spoken English (TSE), or “pass” on the Spoken Language Proficiency Test (SLPT) to be eligible for a graduate assistantship that requires direct contact with students in a teaching or tutorial role.

IV. Appointment Terms and Eligibility for Reappointment

- A. Appointment for Graduate Assistants should be for one or both semesters of a nine-month academic year or for a twelve-month fiscal year, when possible. Where appropriate, additional appointments may be made for summer periods.

- B. A Graduate Assistant who fails to maintain normal progress toward a degree or who fails to maintain a cumulative graduate gpa of 2.85 on all work taken at this University, or who fails to satisfactorily perform assigned duties may have the appointment terminated during or at the end of the semester in which the deficiency occurs.
 - C. To be eligible for reappointment, a Graduate Assistant must have made satisfactory progress toward a degree with a cumulative graduate grade point average of at least 2.85; and must have demonstrated satisfactory performance of services normal to positions held.
- V. Limits on Number of Appointments to a Graduate Assistantship
- A. Students pursuing a master's degree may receive financial support as a graduate assistant for no more than four semesters, excluding summer appointments.
 - B. Students pursuing post-master's degrees may receive financial support as a graduate assistant for no more than eight semesters beyond the master's degree, excluding summer appointments.
 - C. Students pursuing a doctoral degree beginning with the baccalaureate degree may receive financial support as a graduate assistant for no more than ten semesters beyond the baccalaureate degree.
- VI. Terms on Stipends and Provision for Payment of Non-Resident Tuition and General Registration Fees
- A. All graduate students appointed to the position of graduate assistant, and whose percent appointment is equal to or greater than 25% shall, for tuition and fee purposes, be considered as residents of the State of Arkansas.
 - B. The resident tuition for all graduate students appointed to the position of graduate assistant whose percent appointment is equal to or greater than 50% shall be paid from the appropriate University fee account or by the division/department/grant which has funded the graduate assistant stipend. These fee benefits are limited to degree-related credit enrollment costs and do not encompass costs for non-degree related elective courses, audited courses, late registration fees, drop-add fees, international student fees or any other similar costs. However, departments may petition for audited courses, courses outside of the major, and EASL courses, if they feel that these are necessary for the student to take.
 - C. Stipend Ranges. Stipend policies shall be established that are sufficient to attract and retain quality graduate students, and shall take into consideration such factors as differences in the needs of individual departmental programs, available funds, quality of applicants, and stipends offered by other universities.
 - D. Stipends. Each department (or appropriate unit) shall insure that equivalent stipends shall be given for equivalent duties. Generally, this shall be interpreted to mean that within a department all pre-master's assistants will be paid the same stipend for the same general type of duty (e.g., teaching or research or administration) and the same work load classification (25%, 50%, etc.), but that rates may differ from one type of duty to another. The same policy shall apply to post-master's students, but post-master's rates may differ from pre-master's rates.

VII. Summer Session

- A. Graduate assistants who are on a 50% appointment for a six week summer term must earn at least 3 hours of graduate credit during the summer. However, these credits do not have to be earned in the same session as the appointment, and may be taken at any time during the summer. The tuition (up to a maximum of 6 hours credit) for graduate assistants on 50% appointments for a six week summer term will be paid from the appropriate University fee account or by the division/department/grant which has funded the graduate assistant stipend. These fee benefits are limited to degree-related credit enrollment costs and do not encompass costs for non-degree related courses, audited courses, late registration fees, drop-add fees, international student fees or any other similar costs. Payment of tuition, and calculation of minimum number of hours that must be earned will be proportional to the standard cited above (i.e., 50% appointment for a 6 week term).

VIII. Responsibilities for Implementation and Administration

With the guidance of the Graduate Council, these policies and procedures shall be implemented and administered by the Dean of the Graduate School. Department chairpersons are responsible for monitoring eligibility requirements, course registration requirements, and the limits on the number of graduate assistant appointments per person at the master's and doctoral level. Exceptions to these Graduate Assistantship policies can be made only by the Dean of the Graduate School.

IX. Appendix A: Examples of Graduate Assistant Duties:

1. Classroom Instruction. Has instructional responsibility for a class, section, or a course; and has authority to assign grades.
2. Research. Performs research duties under the direction of a faculty member.
3. Specialized Instructional Services. Specialized professional teaching services in which responsibilities for directing or controlling others are intrinsic. Coaching, leading field parties, directing plays, etc.
4. Laboratory Assistant or Leader of a Discussion or Recitation Section. Functions as a laboratory assistant or leader of a discussion or recitation section. May present a lecture to entire class. May contribute part of a course grade.
5. Instructional Support Services. Preparation of demonstrations, reagents, lab materials for students' costume-shop, storeroom, greenhouse; supervision and/or operation of specialized equipment, grading papers, etc.
6. Administration. Carries out administrative duties as directed, i.e., administrative aide to deans, department chairpersons, program director, etc.

Graduate Assistant Policy

Stipends, Tuition, and Workloads

Graduate assistantships are intended to support graduate programs and students enrolled in such programs by providing formal training to students in professional activities related to teaching and research. To support consistent good practice in the treatment of graduate assistants and the allocation of graduate assistantships, the Graduate School has formally established the following policy guidelines concerning stipends, tuition, and workloads. Any variation from these policies must be recommended by the administrator of a graduate program and approved by the Dean of the Graduate School.

1. Graduate assistants will be paid no less than the minimum salary established by the institution for such appointments (by percent of appointment). For 2009-10, the minimum stipend for a nine-month, half-time appointment (an appointment for 20 hours of work per week or the equivalent) is \$5,000.
2. Graduate assistantships (the positions, not the funds) will be allocated on the basis of need, the recommendation of the chairperson of the academic department or graduate program which the assistantships are intended to support, and the approval of the Dean of the Graduate School. The [form to request a new position](#) may be found on our web site and should be sent by e-mail to the Associate Dean.

Graduate assistantships should involve work and assignments supportive of graduate degree programs, and in particular, an individual assistantship should be related to the graduate degree program in which the holder of the assistantship is enrolled. While there may be exceptions to this general rule, such as assigning graduate students to assistantships in related fields rather than in the primary field of study, exceptions will not be made which place assistantship positions in offices or areas of the University where work assignments are unrelated to any graduate degree program.

3. Tuition for graduate assistants must be budgeted together with the stipend for the position, and paid by the office or program area.
4. Graduate assistants appointed to half-time or 50 percent appointments will not be required or asked to work more than 20 hours (or the equivalent) a week. Graduate assistants appointed to quarter-time or 25 percent appointments will not be required or asked to work more than 10 hours (or the equivalent) a week.
5. The Graduate School retains the right and responsibility to terminate any assistantship which violates these policies.
6. Graduate Assistants may file a grievance pertaining to their assistantship, following the Grievance Policies and Procedures for Graduate Assistants.

Graduate Student Benefits

Health Insurance

Graduate assistants on 50% appointment (20 hours per week) or more are offered the benefit of health insurance in the form of 60% of the cost of the Student Health Insurance plan paid by the University and 40% of the cost of the plan by the individual. While spouses and children may also enroll in the plan, the 60% of the cost benefit applies to the graduate assistant only. [Click here for more information about this policy.](#)

Travel Allowances

Students who are scheduled to present a paper at a professional conference may apply to the Graduate School for [travel funds](#).

Services Available to Minority Students

Please contact the Graduate School for information about the services available to diverse and underrepresented students at the University of Arkansas: 119 Ozark Hall, Fayetteville, Arkansas, 72701, telephone 479-575-3616 or toll-free 1-866-234-3957, fax number 501-575-5908, email: gradinfo@uark.edu.

Academic Degree Requirements

Program of Study

The academic requirements for each degree program are established by the organizational unit issuing the degree, as approved by the colleges, the Graduate Council, the Faculty Senate, the Board of Trustees, and the Arkansas Department of Higher Education. In addition, the student should be aware of policies which pertain to each of the following, as required by the Graduate School and/or the department: transfer of credit, grade point average requirements, residence requirements, thesis/dissertation requirements, language requirements, and comprehensive examinations. These requirements will differ, depending on the degree one is pursuing. To see the specific requirements for each degree program, [click here](#), or go to this link:

<http://www.uark.edu/depts/gradinfo/recruit/degrees/index>.

As appropriate, each student will be required to constitute two committees: the advisory committee, for advice and guidance on course requirements, and the thesis/dissertation committee, which will oversee the writing of the thesis or dissertation. The thesis/dissertation committee must approve the awarding of the final degree. The forms necessary to constitute these committees are available on our website: <http://grad.uark.edu/>.

Students whose research will require approval by the Institutional Review Board (for research with human subjects), the Animal Care and Use Committee (for research with animals), the Biosafety Committee (for research with recombinant DNA), the Radiation Safety Committee, or the Toxic Substance Committee, will be required to receive approval from these committees before beginning their research. If such approval has not been received, the student will not be granted a degree. For more information about these committees, please see the website of the [Office of Research Support and Sponsored Programs](#).

Students are subject to the policies pertaining to [academic honesty](#) and research misconduct. Also, click here for [Faculty Handbook](#) and refer to the section on *Academic Responsibilities of Faculty*.

Students who feel that their rights have been violated may pursue a grievance. [Click here for the grievance policy](#).

Time to Complete a Degree

All requirements for a master's degree must be completed within six consecutive calendar years from the first semester of enrollment in that program.

All requirements for an educational specialist (Ed.S.) degree must be completed within six consecutive calendar years from the first semester of enrollment in that program.

All requirements for a doctoral degree must be completed within seven consecutive calendar years from the date of admission to the program.

Change of Major/Declare a Major/Pursue an Additional Degree

The graduate student may only request to pursue a 2nd degree once s/he has been fully admitted to an initial degree program. The graduate student should contact the Graduate School to initiate this process.

- Change from a master's degree to a different master's degree: All course work may be applied toward new degree with approval of the program faculty.
- Change from a doctoral degree to a different doctoral degree: Student forfeits any doctoral residence previously established.
- Change from a doctoral degree to a master's degree: Student forfeits any doctoral residence previously established.
- Pursue a master's degree while pursuing a different master's degree: Can apply a maximum of 6 hours of credit to both degrees. If pursuing a thesis option, must submit a separate thesis for each degree.
- Pursue a master's degree while pursuing a doctoral degree: No courses taken in the semesters used to satisfy doctoral residence may be applied to a master's degree.
- Pursue more than one doctoral degree: Doctoral residence must be satisfied separately for EACH doctoral degree. Separate dissertations must be submitted for each degree.

- Pursue a doctoral degree after completion of a current master's or educational specialist degree: Student must complete an application to the program.

Master's Degree Program of Study

Master's Degree Program of Study: Course Work

The program of study is specified by the degree program. However, there are a number of policies that need to be adhered to when developing a master's program of study.

3000-Level Courses

Courses numbered at the 3000-level may be taken by graduate students for graduate credit only when the courses are not in the student's major area of study and when the courses have been approved by the Dean of the Graduate School for graduate credit in the student's program before the Official Enrollment Report (commonly the eleventh class day). No more than 20 percent of the graded course work in the degree program may be comprised of 3000-level courses carrying graduate credit. A form is required and may be obtained from the Graduate School or our [web page](#). The instructor of the proposed course must hold graduate faculty status.

4000-Level Courses

Because 4000-level courses can carry dual level credit, a 4000-level course which has specifically been created to carry ONLY undergraduate credit must be individually petitioned to carry graduate credit. The form for requesting graduate credit for 4000-level undergraduate only classes may be found on our [website](#) .

Transfer of Credit

A maximum of 6 hours of course work may be transferred from another institution towards a master's degree at the University of Arkansas. A form is required and may be obtained from the Graduate School or our home page. An official transcript must be on file with the Graduate School.

The following are the criteria for acceptable transfer credit:

1. The course must have been regularly offered by a regionally accredited graduate school.
2. The course must have been a bona fide graduate level course, approved for graduate credit and taught by a member of the graduate faculty.
3. The student desiring to transfer graduate credit must have been enrolled as a graduate student in the graduate school at the institution offering the course.
4. The course must appear on an official transcript as graduate credit from the institution offering the course.
5. The grade on the course must be a "B" or "A". (The student's grade point average is NOT to include grades on transfer courses.)

6. The course must be recommended by the student's major advisor and be applicable to the degree requirement at the University of Arkansas.
7. The course must not have been taken by correspondence or for extension credit.
8. The course must be acceptable to the department concerned and to the Graduate Dean.
9. The student must have satisfied the 24-week state residence requirements.
10. The course must have been taken within the time limit of the student's program at the University of Arkansas.
11. Credit from foreign universities is not acceptable for transfer because of academic and procedural differences between U.S. regionally accredited and foreign institutions.

Note: Graduate credit cannot be transferred to satisfy any of the requirements for the M.B.A. degree unless the school at which the course was taken is accredited by A.A.C.S.B.

Change of Grades

All courses included in a program of study must have an acceptable grade (a letter grade or a mark of CR). A mark of "S" does NOT carry any degree credit, and any course with a mark of "S" cannot be included in a final program of study. If the course is to be included in a program of study, the mark of "S" must be changed to an acceptable grade or a mark of "CR." A "Change of Grade Notice" form must be submitted by the instructor of the course when a course grade is changed. Please note that all work for the course must have been submitted by the student to the instructor by the last day of final examinations in order to be eligible for graduation for that specific semester (as verified by the "Date Work Completed" entry on the "Change of Grade Notice" form).

Master's Thesis Option: Thesis Registration

Those presenting a master's thesis as a part of the requirements for the master's degree must register for a minimum of six semester hours of master's thesis. Registration beyond six hours carries no degree credit. Consult your thesis director concerning registration for thesis. NOTE: The mark of "R" is the only acceptable mark reported when a thesis is in progress. A grade or mark may be assigned to the thesis when it has been accepted by the committee. Any grade assigned by the committee for the thesis is to be recorded on the Record of Progress for the Master's Degree. Because the grade is awarded after all requirements for the degree have been completed, the grade cannot be used to improve a grade point average to that required for graduation.

Master's Program of Study: Comprehensive Examination

The master's comprehensive examination should be scheduled at least one (1) week before graduation. See the Master's Calendar for specific deadlines. A Master's Degree Record of Progress form must be submitted to the Graduate School for each graduate student.

Educational Specialist Program of Study

Ed.S. Program of Study

After a student is accepted into an Ed.S. program, a committee with a minimum of three members will be appointed and a program of study will be established outlining the minimum requirements. Only the adviser and one other member of the student's committee may be from the program area sponsoring the program. The committee's responsibilities include the determination of deficiencies, the acceptability of previous graduate work, the approval of the candidate's program of study, the approval of the original project or research paper, and the conduct of a final examination. This examination will be a comprehensive oral evaluation scheduled near the end of the candidate's program and will include one or both of the following: (1) evaluation of the original project, research paper, or report, and (2) evaluation covering material related to the background and professional preparation of the candidate. A written examination may not be taken to substitute for the oral examination. A written account of the original project, research paper, or report will be filed with the program area sponsoring the candidate's program of study. All requirements for the Ed.S. degree must be completed within six years of the first semester of course work taken for the degree.

Ed.S. Program of Study: Transfer of Credit

Transfer of credit is not acceptable for Ed.S. degrees.

Ed.S. Program of Study: Application

An application to pursue the Ed.S. program must be filed with the Dean of the Graduate School by the student.

Ed.S. Program of Study: Residence Requirement

The last 30 hours of the program must be completed within a period of six years from the first semester of admission to the program. A minimum of 30 weeks of resident study at the University of Arkansas, Fayetteville, in an approved program is required. Credit earned in any University of Arkansas center, off-campus workshop or special course will not count as residence study in the Ed.S. program. The only exception is course work completed at the University of Arkansas at Pine Bluff Graduate Resident Center by students pursuing the Ed.S. degree in education with a specialization in educational leadership; the University of Arkansas Community College at Hope Graduate Resident Center and Phillips Community College of the University of Arkansas at Helena Graduate Resident Center by students pursuing the Ed.S. degree in education with a specialization in educational leadership.

Doctoral Degree Program of Study

Doctoral Degree Program of Study: Course Work

The Graduate School considers a doctoral degree to be a research-based degree, rather than a course-based degree. Therefore, the Graduate School does not set any minimum requirements for course work for a doctoral degree. The Graduate School does require 18 hours of dissertation registration. However, the Arkansas Department of Higher Education requires 72 graduate semester credit hours beyond the bachelor's degree and 42 graduate-only semester hours beyond the master's degree.

Doctoral Degree Program of Study: Transfer of Credit

Transfer of credit is not acceptable for doctoral degrees. For doctoral candidates, the program of study can be adjusted in lieu of work taken at other colleges or universities and recognized by the candidates' committee but it will not appear on the University of Arkansas academic record.

Doctoral Degree Program of Study: Application

The prospective doctoral student must file an application for the doctoral degree with the Dean of the Graduate School before registering for the first semester of graduate work beyond the master's degree.

Doctoral Degree Program of Study: Residence Requirement

All candidates for a doctoral degree must have satisfied the residence requirement in order to be eligible for graduation. Ed.D. candidates must fulfill this requirement by selecting any one of four plans. This selection must be made in consultation with the adviser after admission to the program. Ph.D. candidates must fulfill this requirement by completing a minimum of two consecutive semesters of full-time graduate study (nine hours or more per semester or six hours plus a 50% assistantship). Further information is available in the Graduate School Catalog.

Doctoral Degree Program of Study: Candidacy Examinations

When the student has passed candidacy, the Graduate School must be notified in writing from the major adviser or department head.

Doctoral Degree Program of Study: Foreign Language Examinations

Graduate students in degree programs that require a foreign language must satisfy this requirement before graduation. The degree program specifies the manner in which this requirement can be satisfied.

Conflict of Interest Policies for Graduate Committees

To insure fair, unbiased, and professional conduct of graduate students' work that could be endangered by conflicts of interest or the appearance of conflicts of interest, certain precautions must be observed.

1. Upon appointment to graduate student's advisory, thesis, or dissertation committees, faculty members must disclose to the departmental chair and the dean of the Graduate School any personal relationship with other committee members which might be expected to create a conflict of interest or give that appearance in relation to professional decisions and recommendations faculty members are required to render. These relationships may include legal, family, and business relationships, living arrangements, and personal partnerships of other kinds. The dean of the Graduate School shall determine whether the potential conflict of interest or appearance thereof precludes the faculty member's service on the committee, and if necessary will arrange for an alternate after consultation with the departmental chair. The dean of the Graduate School shall also adjudicate any complaint made by another party about a conflict of interest in committee membership.
2. Graduate students' advisory, thesis, and dissertation committees must be composed so that no member of the committee has any personal relationship to the student which might be expected to create a conflict of interest or give that appearance. These relationships may include legal, family, and business relationships, living arrangements, and personal partnerships of other kinds. If there is uncertainty that any conditions constitute a conflict of interest between a student and members of the committee, the dean of the Graduate School will determine the issue. The dean of the Graduate School shall also adjudicate any complaint made by another party about a conflict of interest in committee membership.
3. One spouse may not chair a committee on which the other spouse serves.

Master's Program Advisory Committee

The Master's Advisory Committee form, consisting of a major adviser and at least two other members of the graduate faculty, should be submitted (in duplicate) to the Graduate School immediately or at the time of admission to the program of study. A form is required and may be obtained from the Graduate School or our home page. Please submit in duplicate and include full names of professors. Committees may not be approved for the following reasons: If all members of the committee do not have the appropriate graduate faculty status; if faculty spouses are serving on the same committee and one is in a supervisory capacity over the other; if a member of the student's immediate family is proposed on the committee; or if there is an approved committee already on file. For information on how to change or revise existing committees, see **Changing or Revising a Committee** (page 30).

In the situation when there is a split decision among committee members of a master's program advisory and thesis committee, majority rules.

Master's Thesis Option: Master's Thesis Committee

The Master's Thesis Committee form, consisting of a thesis director and at least two other members of the graduate faculty, should be submitted (in duplicate) to the Graduate School as soon as the committee has been selected but no later than three months prior to the date of the comprehensive examination. Committees may not be approved for the following reasons: If all members of the committee do not have the appropriate graduate faculty status; if faculty spouses are serving on the same committee and one is in a supervisory capacity over the other; if a member of the student's immediate family is proposed on the committee; or if there is an approved committee already on file. For information on how to change or revise existing committees, see **Changing or Revising a Committee** (page 30).

Doctoral Program Advisory Committee

The Doctoral Program Advisory Committee form, consisting of a major adviser and at least two other members of the graduate faculty, should be submitted (in duplicate) to the Graduate School immediately after or at the time of acceptance to the program. Committees may not be approved for the following reasons: If all members of the committee do not have the appropriate graduate faculty status; if faculty spouses are serving on the same committee and one is in a supervisory capacity over the other; if a member of the student's immediate family is proposed on the committee; or if there is an approved committee already on file. For information on how to change or revise existing committees, see **Changing or Revising a Committee** (page 30).

In the situation when there is a split decision among committee members of a doctoral program advisory or dissertation committee, the situation must be resolved to the satisfaction of each committee member. In the event that each committee member is not satisfied, the committee member may insist on the necessary steps to reach a resolution or elect to step down from the committee. In unusual circumstances, the Dean of the Graduate School may remove a faculty member from a student's thesis/dissertation committee or advisory committee, or make an alternative arrangement (e.g. assign a representative from the Graduate faculty to serve on the committee).

Doctoral Dissertation Committee

The Doctoral Dissertation Committee form, consisting of a dissertation director and at least two other members of the graduate faculty, should be submitted (in duplicate) to the Graduate School at least ONE YEAR before the defense of the dissertation. Committees may not be approved if all members of the committee do not have the appropriate graduate faculty status; if faculty spouses are serving on the same committee and one is in a supervisory capacity over the other; if a member of the student's immediate family is proposed on the committee, or if there is an approved committee already on file. For information on how to change or revise existing committees, see **Changing or Revising a Committee** (page 30).

In the situation when there is a split decision among committee members of a doctoral program advisory and dissertation committee, the situation must be resolved to the satisfaction of each committee member. In the event that each committee member is not satisfied, the committee member may insist on the necessary steps to reach a resolution or elect to step down from the committee. In unusual circumstances, the Dean of the Graduate School may remove a faculty member from a student's thesis/dissertation committee or advisory committee, or make an alternative arrangement (e.g. assign a representative from the Graduate faculty to serve on the committee).

Changing or Revising a Committee

If a committee has been approved and is on file with the Graduate School, any proposed changes or revisions to the committee must be submitted to the Graduate School for approval. Each member leaving or being removed from a committee must submit authorization agreeing to the change. The only exception to this pertains to the chair of the thesis/dissertation committee. The Graduate School considers the thesis or dissertation to be based on a mutual agreement between the faculty member and the student to work cooperatively on a research project of shared interest. Either the graduate student or the faculty member may dissolve this relationship by notifying the other party, the departmental chairperson, and the Graduate Dean. However, the student and the adviser should be warned that this may require that all data gathered for the dissertation be abandoned and a new research project undertaken, with a new faculty adviser. See the graduate student [grievance policy](#). NOTE: Leaving the employment of the University does not constitute automatic removal from approved committee assignments. Most faculty members complete their graduate committee responsibilities; therefore, removal from an approved committee must be initiated by the departing faculty member.

Graduate Faculty Status

In order to serve on any graduate student committee or teach a graduate-level class, the faculty member must have graduate faculty status approved by the Graduate Council. The only exception to this is for *ex officio* members of committees. Graduate faculty status may be requested by submitting the appropriate form to the Graduate School, after having obtained the signature of the graduate faculty representative for the academic college. The names of these representatives are listed on the website of the Graduate School. In order to be granted graduate faculty status, the applicant must have a faculty or staff position on our campus. In order to be granted a graduate faculty status sufficient to serve on student committees (Group 2 or above), the applicant must have a faculty position on our campus. Adjunct faculty status is sufficient. (See Academic Policy Series 1405.19 for the process of requesting adjunct faculty status.) Graduate teaching assistants may be granted III-T graduate faculty status under special circumstances, if the department stipulates that they will not be teaching their peers. Graduate teaching assistants must reapply for graduate faculty status each semester that they teach. There is a different form to request graduate faculty status for students.

***Ex Officio* Graduate Faculty Status**

Student committees may contain *ex officio* members who have graduate faculty status on the University of Arkansas campus. However, when a person does not hold graduate faculty status on the University of Arkansas campus, he/she may still be allowed to hold an *ex officio* position on a student's committee, in accordance with the following policy: When a committee member does not hold graduate faculty status at the University of Arkansas, he/she will be allowed to serve on a student's master's thesis or doctoral dissertation committee, in addition to the minimum number of members required by the Graduate School or the department/program. The *ex officio* member will be allowed to sign the thesis or dissertation and his/her vote will be recorded but will not be binding for conferring the degree. This use of the term *ex officio* will indicate that the person does not hold graduate faculty status at the University of Arkansas and is serving in an honorary role.

Thesis & Dissertation Requirements

Master's Degrees: Thesis Option

Master's Thesis Option: Thesis Registration

Those presenting a master's thesis as a part of the requirements for the master's degree must register for a minimum of six semester hours of master's thesis. Registration beyond six hours carries no degree credit. Consult your thesis director concerning registration for thesis. NOTE: The mark of "R" is the only acceptable mark reported when a thesis is in progress. A grade or mark may be assigned to the thesis when it has been accepted by the committee. Any grade assigned by the committee for thesis is to be recorded on the Record of Progress for the Master's Degree. Since the grade will be assigned after all requirements for the degree have been completed, the thesis grade may not be used to meet the grade point average requirement for graduation.

Master's Thesis Option: Master's Thesis Committee

The Master's Thesis Committee form, consisting of a thesis director and at least two other members of the graduate faculty, should be submitted (in duplicate) to the Graduate School as soon as the committee has been selected but no later than three months prior to the date of the comprehensive examination. Committees may not be approved for the following reasons: If all members of the committee do not have the appropriate graduate faculty status; if faculty spouses are serving on the same committee and one is in a supervisory capacity over the other; if a member of the student's immediate family is proposed on the committee; or if there is an approved committee already on file. For information on how to change or revise existing committees, see **Changing or Revising a Committee** (page 30).

Thesis Option: Master's Thesis Title

The Master's Thesis Title form, consisting of the title of the thesis and approved by the thesis director, should be submitted (in duplicate) to the Graduate School as soon as the thesis topic has

been established but no later than three months prior to the date of the comprehensive examination.

Intellectual Property Disclosure

The Intellectual Property Disclosure form is required for ALL master's students submitting a master's thesis. This form must be submitted to the Graduate School by the time that the final copies of the thesis are submitted for deposit in the University Libraries.

Master's Thesis Option: Preliminary Copies

The thesis, after its acceptance by the thesis director, should be submitted for approval to each thesis committee member. The committee must receive the thesis at least three (3) weeks before the degree is to be conferred. You must follow the "[Guide for Preparing Theses and Dissertations](#)" that is available at our web site <http://grad.uark.edu/> It is strongly recommended that a preliminary copy of the thesis be presented to the Graduate School for a check to assure that formatting requirements are being followed.

Master's Thesis Option: Final Copies

Two (2) unbound typewritten copies of the thesis in prescribed form (one on 100% cotton bond paper with original signatures, the second on plain copy paper without original signatures) should be submitted to the Graduate School at least **ONE WEEK BEFORE GRADUATION**. Please refer to the [Master's Calendar](#) for specific deadline dates.

Doctoral Dissertation

Doctoral Dissertation Committee

The Doctoral Dissertation Committee form, consisting of a dissertation director and at least two other members of the graduate faculty, should be submitted (in duplicate) to the Graduate School at least ONE YEAR before the defense of the dissertation. Committees may not be approved for the following reasons: If all members of the committee do not have the appropriate graduate faculty status; if faculty spouses are serving on the same committee and one is in a supervisory capacity over the other; if a member of the student's immediate family is proposed on the committee; or if there is an approved committee already on file. For information on how to change or revise existing committees, see **Changing or Revising a Committee** (page 30).

Dissertation Registration

Each doctoral candidate must register for a minimum of 18 hours of doctoral dissertation. After passing candidacy examinations, the student must register for at least one hour of dissertation each semester (including summer) until the degree is completed.

Doctoral Dissertation Title

The Doctoral Dissertation Title form, consisting of the title of the dissertation and approval by the dissertation director, should be submitted (in duplicate) to the Graduate School at least **ONE YEAR** before the defense of the dissertation.

Intellectual Property Disclosure

The Intellectual Property Disclosure form is required for all doctoral students. This form must be submitted to the Graduate School by the time that the final copies of the dissertation are submitted for deposit in the University Libraries.

Preliminary Copies

Three copies of the dissertation should be submitted to the dissertation committee at least six (6) weeks prior to the conferral of the degree. You must follow the "[Guide for Preparing Theses and Dissertations](#)" that is available at our web site www.uark.edu/depts/gradinfo or at the Union Bookstore. It is strongly recommended that a preliminary copy of the thesis be presented to the Graduate School for a check to assure that formatting requirements are being followed.

Announcement of Dissertation Defense

Announcement of a doctoral candidate's dissertation defense must be submitted to the Graduate School at least **TWO WEEKS** prior to the date of the defense. This allows us time to post the notice of the defense on our web in a timely manner and to mail the Record of Progress to the major professor. It should be noted that all doctoral dissertation defenses are open to the public.

Final Copies

When the dissertation is approved by the committee, two (2) unbound copies, one printed on 100% cotton bond paper with original signatures, and the second on plain copy paper without original signatures), must be submitted to the Graduate School at least **ONE WEEK** before the degree is to be conferred. Please refer to the [Doctoral Calendar](#) for specific deadline dates.

Other Academic Requirements/Policies

Grade Point Average Requirements

In order to receive a master's degree, a candidate must present a minimum cumulative grade-point average of 2.85 on all graduate courses required for the degree. Failing to earn such an average on the minimum number of hours, the student is permitted to present up to six additional course (not thesis) hours of graduate credit in order to accumulate a grade-point average of 2.85. In the computation of grade point, all courses pursued at this institution for graduate credit (including any repeated courses) shall be considered. Students who repeat a course in an endeavor to raise their grade must count the repetition toward the maximum of six additional hours. If a student encounters academic difficulty after having already completed six credit hours for the degree beyond the minimum degree requirements, no additional hours may be taken. Individual departments may have higher grade standards.

Change of Grades

All courses included in a program of study must have an acceptable grade (a letter grade or a mark of CR). A mark of "S" does NOT carry any degree credit, and any course with a mark of "S" cannot be included in a final program of study. If the course is to be included in a program of study, the mark of "S" must be changed to an acceptable grade or a mark of "CR". A "Change of Grade Notice" form must be submitted by the instructor of the course when a course grade is changed. Please note that all work for the course must have been submitted by the student to the instructor by the last day of final examinations in order to be eligible for graduation for that specific semester (as verified by the "Date Work Completed" entry on the "Change of Grade Notice" form).

Residence Requirement

Master's Candidates: The candidate must be in residence a minimum of 24 weeks. A total of 12 weeks of residence may be accredited from University of Arkansas off-campus graduate courses (restriction does not apply to graduate degree programs offered through the Graduate Residence Centers) or for work done in off-campus classes held in Fayetteville. Acceptance of transferred credit does not reduce the minimum residence requirement of 24 weeks.

Ed.S. Candidates: The last 30 hours of the program must be completed within a period of six years from the first semester of admission to the program. A minimum of 30 weeks of resident study at the University of Arkansas, Fayetteville, in an approved program is required. Credit earned in any University of Arkansas center, off-campus workshop or special course will not count as residence study in the Ed.S. program. The only exception is course work completed at the University of Arkansas at Pine Bluff Graduate Resident Center by students pursuing the Ed.S. degree in education with a specialization in educational leadership; the University of Arkansas Community College at Hope Graduate Resident Center and Phillips Community

College of the University of Arkansas at Helena Graduate Resident Center by students pursuing the Ed.S. degree in education with a specialization in educational leadership.

Doctoral Candidates: All candidates for a doctoral degree must have satisfied the residence requirement in order to be eligible for graduation. Ed.D. candidates must fulfill this requirement by selecting any one of four plans. This selection must be made in consultation with the adviser after admission to the program. Ph.D. candidates must fulfill this requirement by completing a minimum of two consecutive semesters of full-time graduate study (nine hours or more per semester). Further information is available in the Graduate School Catalog.

Record of Progress Form

The Graduate School must receive a [Master's Degree Record of Progress](#) for all master's degree candidates with original signatures by the appropriate people. Master's Degree Record of Progress forms may be obtained from the Graduate School or our home page. Ed.S. and doctoral degree candidates have prepared Records of Progress which are forwarded to the department when the Graduate School is notified of the defense. The Record of Progress forms must have original signatures of all appropriate people. The degree candidates cannot be cleared without this form.

Academic Dismissal/Academic Probation

Students may be dropped from further study in the Graduate School if at any time their performance is considered unsatisfactory as determined by either the program faculty or the Dean of the Graduate School. Academic or research dishonesty and failure to maintain a specified cumulative grade-point average are considered to be unsatisfactory performance. See the [Graduate Student Dismissal Policy](#), the [Academic Probation Policy for Graduate Students](#), the [Academic Honesty Policy for Graduate Students](#), and the [Research Misconduct Policy](#).

Using its own written procedures, the graduate faculty of an academic degree program may recommend that the student be readmitted to the Graduate School after dismissal. Dismissed students with non-degree status may petition for readmission to the Graduate School by submitting a written appeal to the Dean of the Graduate School. The graduate faculty of any degree program may establish and state in writing requirements for continuation in that program.

Graduate Student Dismissal Policy

Graduate degree programs have the right to dismiss graduate students who a) do not make adequate academic progress; b) engage in academic or research misconduct; or c) engage in illegal, fraudulent, or unethical behavior as defined in any of the University codes or policies pertaining to academic and research honesty. There may also be other unusual situations in which a student may be dismissed from a degree program. In each case, the dismissal should comply with the following procedures.

Lack of Adequate Academic Progress

Students may be dismissed per the academic probation policy of the Graduate School, and students should familiarize themselves with this policy. In addition, students who have not been placed on probation, but who are not making adequate academic progress, may also be dismissed. They must be warned in writing of the possibility of dismissal and will be given a clear statement about what must be done within a specified time period to alleviate the problem. These expectations must be reasonable and consistent with expectations held for all students in the program. If the student does not meet the requirements within the time frame specified, he/she may be dismissed by the degree program with notification to the student and the Graduate School. Students dismissed in this way will not necessarily be dismissed by the Graduate School. Students may appeal this dismissal to the Graduate School, following the procedures outlined in the [Graduate Student Grievance Policy](#).

Academic or Research Misconduct/Illegal, Fraudulent, or Unethical Behavior

For the process for dismissing students as a result of academic or research misconduct; or as a result of illegal, fraudulent, or unethical behavior, please see the “[Academic Honesty Policy for Graduate Students](#),” the “[Research Misconduct Policy](#),” and the [University of Arkansas Student Handbook](#). Students who are dismissed by their degree programs for academic or research misconduct after the appropriate due process review will also be dismissed by the Graduate School.

Other Situations

Departments may dismiss students for situations other than those specified above. When doing so, the department must notify the student in writing of the possibility of dismissal. If it is possible for the student to rectify the situation, he/she must be given a clear statement about what must be done within a specified time period to alleviate the problem. These expectations must be reasonable and consistent with expectations held for all students in the program. If the student does not meet the requirements within the time frame specified, he/she may be dismissed by the degree program with notification to the student and the Graduate School. Students dismissed in this way will not necessarily be dismissed by the Graduate School.

If the situation cannot be rectified, the student will be notified in writing of the grounds for dismissal and the date when the dismissal will be effective. This will normally be the end of the semester in which the student is enrolled, but the circumstances of the dismissal will be important in determining this date.

Students may appeal their dismissal to the Graduate School, following the procedures outlined in the [Graduate Student Grievance Policy](#).

Academic Probation Policy for Graduate Students

Whenever a regularly admitted graduate student earns a cumulative grade-point average below 2.85 on graded course work taken in residence for graduate credit, he/she will be warned of the possibility of academic dismissal. When a graduate student has accumulated a minimum of 15 hours of graded course work taken in residence for graduate credit with a cumulative grade-point average below 2.85, and has received at least one warning, he/she will be academically dismissed from the Graduate School. The student's degree program may request that the academic warning period be extended if the program can offer extenuating circumstances as a rationale and is willing to provide a plan of remediation for the student's success.

Graduate teaching and research assistants and students on fellowships must maintain a cumulative grade-point average of at least 2.85 on all course work taken for graduate credit. If a student's cumulative GPA falls below 2.85 on 6 or more hours of graduate work (one full-time semester), notification will be sent to the student and his/her department. If the CGPA is below 2.85 at the end of the next major semester (fall or spring), the department will not be allowed to appoint the student to an assistantship/fellowship until such time as his/her CGPA has been raised to the required level. **Note:** Individual degree programs may have more stringent requirements.

The Graduate School calculates the cumulative grade-point average on all courses taken for graduate credit at the University of Arkansas. Individual degree programs have the option to calculate the cumulative grade-point average only for those graduate courses taken in residence for the current degree. Consequently, individual degree programs may academically dismiss students whose cumulative grade point average on all graduate course work is above 2.85, but whose work for the current degree is below 2.85. If a program adopts this alternative policy, it must be so stated in the departmental graduate student handbook and in the Graduate Catalog and must apply to all graduate students in that program. When the program anticipates dismissing a student whose cumulative grade-point average is above 2.85, the program must notify the student, using the same process as specified in the general probation policy and must also notify the Graduate School.

Related Policies:

Eligibility for Financial Aid offered by the [Office of Financial Aid](#): Graduate students are eligible for continuing financial aid if: a) they complete, with grades of C or better, 67% of graduate courses attempted at the University; and b) they have not yet completed more than 150% of the graduate credits required for their degree. Students wishing to continue receiving financial aid who do not meet these requirements will petition the Student Aid Committee.

Course Grades: Courses for which students have received a grade of "D" or "F" will not be accepted as meeting degree requirements.

Grade Forgiveness and Repeated Courses: There is no grade forgiveness policy at the graduate level. If a student repeats a course, both the original and repeated course grade will be computed in the cumulative grade point average. The only exception to this policy is for students

who have had no enrollment in the Graduate School for a minimum of five years. Please see the section on Readmission to the Graduate School (page 21).

Additional Courses Above Requirements: Students in master's programs may take only 6 hours in addition to degree requirements in an effort to raise the grade point average necessary to graduate. If a student first encounters academic difficulty after he/she has already completed six credit hours for the degree beyond the minimum degree requirements, no additional courses may be taken.

GPA Requirement to Receive a Doctoral Degree: Students must obtain a minimum 3.0 cumulative grade point average on all graded graduate course work taken in residence to receive a doctoral degree from the University of Arkansas.

Program Requirements: Individual degree programs may impose more stringent requirements than the Graduate School.

Annual Graduate Student Academic Review

It will be a policy of the Graduate Council that every master's, specialist, and doctoral student will be reviewed annually by his/her degree program for progress toward the degree. At a minimum, the review will cover progress in the following: a) completing courses with an adequate grade-point average; b) completing the thesis/dissertation/project requirements; c) completing all of the required examinations; d) completing other requirements for the degree. When the review of each student is completed, the review form will be signed by the graduate student and the department/program head/chair, as well as other appropriate individuals as designated in the program review policy. This review will be forwarded to the Graduate School, to be included in the student's file.

Graduate School Registration and Leave of Absence Policy

All doctoral students who have been admitted to candidacy must enroll in a minimum of one hour of dissertation credit every semester (fall, spring, summer) until they graduate. Under unusual circumstances, this enrollment requirement may be waived for post-candidacy doctoral students for up to two years, with an approved request for a leave of absence. To request a leave of absence, the student's major professor must petition the Graduate Dean, specifying the circumstances that make it necessary for the student to interrupt his/her studies. While a decision will be made on a case-by-case basis, circumstances that might be considered include serious illness of the student or his/her immediate family, serious personal problems, or job-related issues. While the student is on an approved leave of absence, he/she cannot use any University resources, such as e-mail, the library, or faculty time. A post-candidacy doctoral student who takes an unauthorized break in registration by failing to maintain continuous enrollment or failing to obtain a leave of absence will no longer be considered a graduate student at the University of Arkansas. Students who wish to be reinstated will be required to file an Application for Readmission (no fee) and register for three graduate credits for each term of unauthorized break in registration. In the case of extraordinarily extenuating circumstances,

students may appeal the provisions of this policy and request additional terms of leave of absence or forgiveness of the additional credits of registration. Such an appeal must be made to the Graduate Dean.

The student should be aware that the leave of absence policy does not waive the time requirements for a degree. A separate petition must be made for a time extension, if required.

Academic Honesty Policy for Graduate Students

Scope, Implementation, and Review

The procedures contained in this policy pertain to graduate students under the authority of the Graduate School. Master's students in the Graduate School of Business should contact their dean's office for policies pertaining to them. Law students should contact the School of Law. Undergraduate students should refer to the *Student Handbook*. Where policies contained herein conflict with those described for undergraduate students in the *Student Handbook*, the policies contained in this policy shall take precedence for graduate students.

For details of procedures for implementing this policy, contact the Office of Community Standards and Student Ethics or the Graduate School. This University policy does not preclude the implementation by colleges or schools of more rigorous policies.

Academic Honesty

The University of Arkansas presents this policy as part of its effort to maintain the integrity of its academic processes. Academic honesty should be a concern of the entire University community, and a commitment to it must involve students, faculty, staff, and administrators.

Students must understand what academic integrity is and what the most common violations are. With that understanding, they must commit themselves to the highest standards for their own, as well as for their peers', academic behavior.

Public support and encouragement by the faculty is a second critical component necessary to strengthen academic integrity on campus. Faculty members must be continually vigilant in the management of their classes, their assignments, and their tests.

Finally, the administration of the University must present to the students standards of academic integrity. Those standards must be part of a publicly recognized, understood, and accepted set of policies and procedures that can be applied consistently and fairly in cases of academic dishonesty.

It is the responsibility of each student, faculty member, and administrator to understand these policies. A lack of understanding is not an adequate defense against a charge of academic dishonesty.

With regard to the application of this policy, the University assures its support of faculty members and other employees of the University who are acting in good faith in the course and scope of their employment and in the performance of their official duties.

This policy is only a part of the University's effort to promote academic and research integrity in all aspects of its programs. By necessity, this policy discusses only prohibited acts and a process of applying sanctions. The ultimate goal, of course, is to provide an atmosphere that will make superfluous the procedures and sanctions that follow.

Definition of Terms

Academic dishonesty. Academic dishonesty involves acts that may subvert or compromise the integrity of the educational or research process at the University of Arkansas. Included is an act by which a student gains or attempts to gain an academic advantage for himself/herself or another by misrepresenting his/her or another's work or by interfering with the completion, submission, or evaluation of work. Academic misconduct may include those acts defined as research or scholarly misconduct. Allegations of research or scholarly misconduct on the part of graduate students are subject to this policy. However, such cases may also be reviewed under the University's Research Misconduct Policies and Procedures.

Academic/Research Misconduct. Academic and/or research misconduct may include, but is not limited to, accomplishing or attempting any of the following acts: (Note: Students should be aware that theses and dissertations may be checked by the Graduate School for academic dishonesty and plagiarism.)

- Altering grades or official records.
- Using any materials that are not authorized by the instructor for use during an examination.
- Copying from or viewing another student's work during an examination.
- Collaborating during an examination with any other person by giving or receiving information without specific permission of the instructor.
- Stealing, buying, or otherwise obtaining information about an examination not yet administered.
- Collaborating on laboratory work, take-home examinations, homework, or other assigned work when instructed to work independently.
- Substituting for another person or permitting any other person to substitute for oneself to take an examination.
- Submitting as one's own any theme, report, term paper, essay, computer program, other written work, speech, painting, drawing, sculpture, or other art work prepared totally or in part by another.
- Submitting, without specific permission of the instructor, work that has been previously offered for credit in another course.
- Plagiarizing, that is, the offering as one's own work, the words, ideas, or arguments of another person or using the work of another without appropriate attribution by quotation, reference, or footnote. Plagiarism occurs both when the words of another (in print, electronic, or any other medium) are reproduced without acknowledgement and when the

ideas or arguments of another are paraphrased in such a way as to lead the reader to believe that they originated with the writer. It is not sufficient to provide a citation if the words of another have been reproduced – this also requires quotation marks. It is the responsibility of all University students to understand the methods of proper attribution and to apply those principles in all materials submitted

- Sabotaging of another student’s work.
- Falsifying or committing forgery on any University form or document.
- Submitting altered or falsified data as experimental data from laboratory projects, survey research, or other field research.
- Committing any willful act of dishonesty that interferes with the operation of the academic or research process.
- Facilitating or aiding in any act of academic or research dishonesty.

Procedures

Sanctions for acts of academic dishonesty committed by graduate students may be applied in the following ways.

A. Initial Report of Infraction

1. *Infractions Involving Graded Course Work*

When an instructor determines or believes that a student in the instructor’s class is responsible for academic dishonesty deserving of sanction, the instructor will meet with the student and explain the allegation. Without waiving the option to pursue charges, the instructor may also choose to contact the Office of Student Mediation and Conflict Resolution for help in resolving the situation. If the instructor wishes to pursue charges of academic misconduct, he/she should within five working days after meeting with the student, or as soon as practicable thereafter, follow a. or b. (following). If the Office of Student Mediation and Conflict Resolution is involved, the five days does not begin until the instructor is aware of the termination of those services. (If the instructor is either a graduate teaching assistant or a temporary faculty member, then a supervising faculty member or the departmental head or chairperson may assist in the handling of an academic dishonesty case.)

- a. The instructor may determine a grade sanction and within five working days report that sanction along with the essential details of the matter to the judicial coordinator in the Office of Community Standards and Student Ethics and to the Graduate Dean. The student sanctioned in this way by an instructor will be notified by the Office of Community Standards and Student Ethics and will have five working days from that notification to request a hearing by the All University Judiciary (AUJ). The All University Judiciary is defined, and its composition described, in the *Student Handbook* . If the student does not request a hearing within five working days, then it is assumed that the sanction is not contested. The student will be required to have a conference with the judicial coordinator

so that the consequences of the action can be made clear. The student may appeal a grade sanction to the AUJ only on the grounds that he/she did not commit the violation. If the student wishes to appeal the severity of a sanction, he/she will follow the Academic Grievance Procedures for Graduate Students.

To the extent practical, at the discretion of the instructor, during the course of an appeal to the AUJ or the Graduate Grievance committee (depending on the nature of the appeal), the student's participation in the affected class should continue so that any action can be reversed without prejudicing the student's academic performance and evaluation.

The AUJ is given the authority to determine whether the evidence substantiates the charges of the instructor. If the AUJ determines that the evidence does not substantiate the charges, the grade sanction will be withdrawn and the matter will end. Should the AUJ determine the evidence does substantiate the charges of the instructor, the grade sanction will stand, and the AUJ may also impose additional sanctions, as listed under Sanctions, below. The degree program and/or the Graduate School may impose sanctions in addition to those imposed by the instructor and the AUJ, including expulsion from the program or the University. While the instructor should be consulted in such cases, these additional sanctions may be imposed by the AUJ, the Graduate School and/or the degree program without the permission of the instructor. In addition to other sanctions, graduate students may be dismissed by their degree program or the Graduate School on the first or any subsequent instances of academic dishonesty. Students may not withdraw from either courses in which judicial action is pending or in which they have received a grade sanction.

- b. The instructor may file an incident report form referring the case to the student judicial process for determinations of responsibility and the application of sanctions. If the student is determined to be responsible for academic dishonesty, then the instructor may apply a grade sanction in addition to whatever sanctions are applied by the judicial process. To the extent practical, at the discretion of the instructor, while such a case is pending in the judicial process, the student's participation in the affected class should continue, to avoid pre-empting the options available after responsibility is determined.

If the student is determined to be responsible for the actions charged, the instructor will impose a grade sanction. The AUJ has no authority to impose a grade sanction but is permitted to make a recommendation and to impose other sanctions, as described below. Additionally, the Graduate School and/or the degree program may impose sanctions in addition to those imposed by the instructor. In such cases, the instructor should be consulted, but additional sanctions may be imposed by the AUJ, the Graduate School, and/or the degree program without the permission of the

instructor. Students may not withdraw from a course for which judicial action is pending or in which they have received a grade sanction. Should the graduate student feel that the severity of the grade sanction is unfair, he/she may appeal via the Academic Grievance Policy for Graduate Students.

It should be noted that, in addition to other possible sanctions, graduate students may be dismissed by their degree program and/or the Graduate School on the first or any subsequent instance of academic dishonesty.

2. *Infractions Not Involving Graded Course Work*

Cases of academic misconduct may occur in situations not involving graded course work. If the infraction involves academic misconduct in the student's thesis, dissertation, work done for a funded research project, a final report submitted to a funding agency, or material submitted for publication in a scholarly journal, the *Research Misconduct Policy* will be in effect. The following applies only to academic misconduct which does not involve the cases enumerated in the sentence above and does not involve course work. In such cases, the department chairperson/program director and major professor, or other appropriate official(s) will meet with the student. Without waiving the option to pursue charges, the program may also choose to contact the Office of Student Mediation and Conflict Resolution for help in resolving the situation. If the department/program decides to proceed with charges of academic misconduct, the chair/head/director or other appropriate official will, within five working days after meeting with the student, or as soon as practicable thereafter, follow one of the following: (If the Office of Student Mediation and Conflict Resolution is involved, the five days does not begin until the instructor is aware of the termination of those services.)

- a. The department or program faculty will determine a sanction, and the department chairperson/program director will, within five working days after meeting with the student (or as soon as practicable thereafter), report that sanction along with the essential details of the incident to the judicial coordinator in the Office of Community Standards and Student Ethics and to the Graduate Dean. The student sanctioned in this way by a department or program will be notified by the Office of Community Standards and Student Ethics and will have five working days from that notification to request a hearing by the All University Judiciary (AUJ). The All University Judiciary is defined, and its composition described, in the *Student Handbook*. If the student does not request a hearing within five working days, then it is assumed that the sanction is not contested. The student will be required to have a conference with the judicial coordinator so that the consequences of the action can be made clear.

The student may appeal such a sanction to the AUJ only on the grounds that he/she did not commit the violation. If the student wishes to appeal the severity of a sanction, he/she will follow the Academic Grievance

Procedures for Graduate Students.

While such a case is pending in the student judicial process, to the extent practical, at the discretion of the program, the student's participation in the degree program should continue so that any action can be reversed without prejudicing the student's academic performance and evaluation.

- b. The department chairperson/program director may file an incident report form referring the case to the judicial process for determination of responsibility. If the student is determined to be responsible for academic dishonesty, then the judicial board may impose a sanction in addition to that imposed by the program/department and the Graduate School. Sanctions are listed and described below. To the extent practical, at the discretion of the program, while such a case is pending in the judicial process, the student's participation in the program should continue, to avoid pre-empting the options available after the responsibility is determined.

Unlike the situation in which the Judicial Board hears the appeal of a student protesting a sanction imposed by the department/program, students who are sanctioned by the Judicial Board itself may appeal both the imposition of and the severity of the sanction via the Academic Grievance Procedure for Graduate Students. Graduate students may be dismissed by their degree program and/or the Graduate School on the first or any subsequent instance of academic dishonesty.

3. *Infractions Reported by Others*

When academic dishonesty is reported by someone other than the parties involved (e.g. by another student), that person (hereinafter called the complainant) will report the incident to the instructor of the course, the major professor of the student alleged to be engaging in the misconduct, or the chair/head/director of the department/program. The person who receives the complaint will then proceed as outlined in Section A.1 or A.2 above, as appropriate.

B. Appeals

1. *When a sanction has been imposed by the instructor or department/program:* The student may appeal such a sanction to the AUJ on the grounds that he/she did not commit the violation. If the student wishes to appeal the severity of a sanction, he/she will follow the Academic Grievance Procedures for Graduate Students. In both cases, the student will notify the appropriate office of his/her appeal within five working days of receiving the sanction, or as soon as practicable. For appeals to the AUJ, the student will contact the Office of Student Ethics and Community Standards. For appeals following the Academic Grievance Procedures for Graduate Students, the student will contact the Graduate School.

2. *When a sanction has been imposed by the AUJ:* Unlike the situation in which the Judicial Board hears the appeal of a student protesting a sanction imposed by the department/program, students who are sanctioned by the Judicial Board itself may appeal either or both the imposition of and the severity of the sanction via the Academic Grievance Procedure for Graduate Students. Students who wish to initiate such an appeal shall contact the Graduate School within five working days of receiving the sanction, or as soon as practicable.
3. *When a sanction has been imposed by the Graduate School:* Students who are sanctioned by the Graduate School may appeal to the Provost/Vice Chancellor for Academic Affairs.

Sanctions

The choice of sanctions in cases of academic dishonesty involves considerations of the integrity of the educational process of the University. There is no place in that process for academic dishonesty, and these actions will be taken seriously. The intent of this policy is to make acts of academic dishonesty clear risks; that is, the sanctions are to be sufficiently heavy to deter academic dishonesty.

While not intended to be an exhaustive list, the following are possible sanctions for academic dishonesty:

- **Grade Sanctions:** An instructor may impose a grade sanction. Grade sanctions may consist of either grades of zero or failing grades on part or all of a submitted assignment or examination, or a lowering of a course grade, or a failing course grade. All grade sanctions must be appropriately reported as outlined in the procedures above. A graduate student may appeal the severity of a grade sanction via the Academic Grievance Procedures for Graduate Students. Once a grade sanction has been applied, following the procedures outlined herein, students may not withdraw from courses in which they have been assessed a grade sanction, unless this has been recommended by the AUJ or a grievance committee.
- **Other Sanctions:** The graduate student's program or the Graduate School may impose a variety of other sanctions, including but not limited to any of the following: requiring an activity designed to increase the student's awareness of and understanding about academic honesty, placing the student on probation or suspension, or dismissing the student.
- The AUJ may administer the following sanctions: University reprimand, University censure, conduct probation, restrictive conduct probation, suspension, indefinite suspension, educational sanctions, or expulsion. Please see the *Student Handbook* for definitions of these sanctions.

It should be noted that graduate students may receive any of these sanctions, including dismissal, upon the first or any subsequent finding of academic misconduct.

Research and Scholarly Misconduct Policy

(Approved by the Faculty Senate on November 12, 2008 and by the Campus Council on November 19, 2008.) This policy is adapted from sample policy and procedures published by the United States Public Health Service Office of Research Integrity (ORI) in compliance with 42 CFR Part 93. This policy replaces “Research and Scholarly Misconduct Policies and Procedures” approved by the Faculty Senate on October 16, 1997.

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I. Introduction

A. General Policy

The University of Arkansas is committed to the highest integrity in research and scholarly activity. Actions which fail to meet this standard can undermine the quality of academic scholarship and harm the reputation of the University. This policy is designed to help ensure that all those associated with the University of Arkansas carry out their research and scholarly obligations in a manner that is consistent with the mission and values of the University, and provides a means of addressing instances of suspected research misconduct should they arise.

Principal investigators are responsible for maintaining ethical standards in the projects they direct and reporting any violations to the appropriate University official. Students charged with academic misconduct are subject to separate disciplinary rules governing students, however, such cases may also be reviewed under these policies if applicable under the provisions stated

below. The Research Integrity Officer, in consultation with the student's dean shall determine which policy is most appropriate in each case.

A charge of research misconduct is very serious, and will be reviewed carefully and thoroughly. Any allegation of research misconduct will be handled as confidentially and expeditiously as possible. Full attention will be given to the rights and responsibilities of all individuals involved. Charges of research misconduct which are determined not to be made in good faith, as provided for in this policy, may result in administrative action against the charging party.

B. Scope

This statement of policy and procedures is intended to carry out the responsibilities of the University of Arkansas, Fayetteville under the Public Health Service (PHS) Policies on Research Misconduct, 42 CFR Part 93 and the research misconduct policies of other funding agencies, as applicable to particular allegations.

This document applies to allegations of research misconduct (as defined below) involving:

- A person who, at the time of the alleged research misconduct, was employed by, was an agent of, or was affiliated by enrolled student status, contract or agreement with the University of Arkansas, Fayetteville; and
- is accused of plagiarism, fabrication, or falsification of research records produced in the course of research, research training or activities related to that research or research training. This includes any research formally proposed, performed, reviewed, or reported, or any document or record generated in connection with such research, regardless of whether an application or proposal for funds resulted in a grant, contract, cooperative agreement, or other form of support.

This statement of policy applies only to allegations of research misconduct that occurred within six years of the date the institution or applicable federal agency received the allegation, subject to the subsequent use of suspected data or other materials, health or safety of the public, and grandfather exceptions in 42 CFR § 93.105(b).

Severance of the respondent's relationship with the University, whether by resignation or termination of employment, completion of or withdrawal from studies, or otherwise, before or after initiation of procedures under this policy, will not preclude or terminate research misconduct procedures.

II. Definitions and Standard of Review

Charge. A written allegation of misconduct that triggers the procedures described in this policy.

Complainant. A person who submits a charge of research misconduct.

Deciding Official (DO). The Provost and Vice Chancellor for Academic Affairs who is the institutional official responsible for making determinations, subject to appeal, on allegations of research misconduct and any institutional administrative actions. The Deciding Official will not be the same individual as the Research Integrity Officer and should have no direct prior

involvement in the institution's allegation assessment, inquiry, or investigation. Discussing concerns regarding suspected research misconduct, as provided for in Section IV.A. of this policy, shall not be considered direct prior involvement. If the Deciding Official is unable to serve as DO in a particular matter, the Chancellor may appoint an appropriate official to act as the DO for purposes of that matter.

Good Faith Charge. A charge of research misconduct made by a complainant who believes that research misconduct may have occurred. A charge is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the charge.

Inquiry. The process under the policy for information gathering and preliminary fact-finding to determine if a charge or apparent instance of research misconduct has substance and therefore warrants an investigation.

Investigation. The process under this policy for the formal examination and evaluation of all relevant facts to determine whether research misconduct has occurred, and, if so, the responsible person and the seriousness of the misconduct.

Investigator. Any person, including but not limited to any person holding an academic or professional staff appointment at the University of Arkansas, who is engaged in the design, conduct, or reporting of research.

ORI. The Office of Research Integrity within the U.S. Department of Health and Human Services.

PHS. The Public Health Service within the U.S. Department of Health and Human Services.

Preponderance of Evidence. Evidence which is of greater weight or more convincing than evidence to the contrary; evidence which shows that something more likely than not is true.

Recklessly. To act recklessly means that a person acts in such a manner that the individual consciously disregards a substantial and unjustifiable risk or grossly deviates from the standard of conduct that a reasonable individual would observe; reckless means more than mere or ordinary negligence.

Research. A systematic investigation designed to develop or contribute to generalizable knowledge. The term includes the search for both basic and applied knowledge and well as training methods by which such knowledge may be obtained.

Research Integrity Officer (RIO) means the Chair of the Research Council who is the institutional official responsible for: (1) assessing allegations of research misconduct to determine if the allegations fall within the definition of research misconduct, are covered by 42 CFR Part 93 or other applicable federal policies, and warrant an inquiry on the basis that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified; (2) overseeing inquiries and investigations; and (3) the other responsibilities described in this policy. If the Research Integrity Officer is unable to serve as RIO in a particular matter, the DO may appoint an appropriate official to act as the RIO for purposes of that matter.

Research Misconduct. Research misconduct means the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

- a) Fabrication is making up data or results and recording or reporting them.
- b) Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- c) Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Research misconduct does not include disputes regarding honest error or honest differences in interpretations or judgments of data, and is not intended to resolve bona fide scientific disagreement or debate. *Research misconduct* is also not intended to include "authorship" disputes such as complaints about appropriate ranking of co-authors in publications, presentations, or other work, unless the dispute constitutes plagiarism (as defined above).

Research Record. Any data, document, computer file, computer storage media, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of a charge of research misconduct. A *research record* includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; printed or electronic correspondence; memoranda of telephone calls; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; consent forms; medical charts; and patient research files.

Respondent. The person against whom a charge of research misconduct is directed, or the person whose actions are the subject of an inquiry or investigation.

Standard of Review

A finding of research misconduct requires that:

- a. There be a significant departure from accepted practices of the relevant research community; and
- b. The research misconduct be committed intentionally, knowingly, or recklessly; and
- c. The allegation be proven by a preponderance of the evidence.

These standard and related definitions are restated in the charge to the investigation committee located in section V.E. of this policy.

III. Rights and Responsibilities

A. Research Integrity Officer

The Chair of the Research Council will serve as the RIO who will have primary responsibility for implementation of the institution's policies and procedures on research misconduct. These responsibilities include the following duties related to research misconduct proceedings:

- Consult confidentially with persons uncertain about whether to submit an allegation of research misconduct;
- Receive allegations of research misconduct;
- Assess each allegation of research misconduct in accordance with Section V.A. of this policy to determine whether the allegation falls within the definition of research misconduct and warrants an inquiry;
- As necessary, take interim action and notify ORI of special circumstances, in accordance with Section IV.H. of this policy;
- Sequester research data and evidence pertinent to the allegation of research misconduct in accordance with Section V.C. of this policy and maintain it securely in accordance with this policy and applicable law and regulation;
- Provide confidentiality to those involved in the research misconduct proceeding as required by 42 CFR § 93.108 or other applicable law or regulations, or institutional policy;
- Notify the respondent and provide opportunities for him/her to review/ comment/respond to allegations, evidence, and committee reports in accordance with Section III.C. of this policy;
- Inform respondents, complainants, and witnesses of the procedural steps in the research misconduct proceeding;
- Appoint the chair and members of the inquiry and investigation committees, ensure that those committees are properly staffed and that there is expertise appropriate to carry out a thorough and authoritative evaluation of the evidence;
- Determine whether each person involved in handling an allegation of research misconduct has an unresolved personal, professional, or financial conflict of interest and take appropriate action, including recusal, to ensure that no person with such conflict is involved in the research misconduct proceeding;
- In cooperation with other institutional officials, take all reasonable and practical steps to protect or restore the positions and reputations of good faith complainants, witnesses, and committee members and counter potential or actual retaliation against them by respondents or other institutional members;
- Keep the Deciding Official and others who need to know apprised of the progress of the review of the allegation of research misconduct;
- Notify and make reports to ORI or other applicable federal agencies as required by 42 CFR Part 93 or other applicable law or regulations;
- Ensure that administrative actions taken by the institution, ORI, or other appropriate agencies are enforced and take appropriate action to notify other involved parties, such as sponsors, law enforcement agencies, professional societies, and licensing boards of those actions; and

- Maintain records of the research misconduct proceeding and make them available to ORI or other appropriate agencies as applicable in accordance with Section VIII.F. of this policy.

B. Complainant

The complainant is responsible for making allegations in good faith, maintaining confidentiality to the extent permitted by law, and cooperating with the inquiry and investigation. As a matter of good practice, the complainant should be interviewed at the inquiry stage and given the transcript of the interview for comment. The complainant must be interviewed during an investigation, and be given the transcript of the interview for comment. The complainant may be provided for comment with (1) relevant portions of the inquiry report (within a timeframe that permits the inquiry to be completed within 60 days of its initiation); and (2) relevant portions of the draft investigation report. In reviewing reports, the complainant must adhere to time limits set by the corresponding committee for timely completion of the inquiry or investigation

C. Respondent

The respondent is responsible for maintaining confidentiality and cooperating with the conduct of an inquiry and investigation. The respondent is entitled to:

- A good faith effort from the RIO to notify the respondent in writing at the time of or before beginning an inquiry;
- An opportunity to comment on the inquiry report and have his/her comments attached to the report;
- Be notified of the outcome of the inquiry, and receive a copy of the inquiry report that includes a copy of, or refers to 42 CFR Part 93 or other applicable law or regulations and the institution's policies and procedures on research misconduct;
- Be notified in writing of the allegations to be investigated within a reasonable time after the determination that an investigation is warranted, but before the investigation begins (within 30 days after the institution decides to begin an investigation), and be notified in writing of any new allegations, not addressed in the inquiry or in the initial notice of investigation, within a reasonable time after the determination to pursue those allegations;
- Be interviewed during the investigation, have the opportunity to correct the recording or transcript, and have the corrected recording or transcript included in the record of the investigation;
- Have a good faith effort made to interview during the investigation any witness who has been reasonably identified by the respondent as having information on relevant aspects of the investigation, have the recording or transcript provided to the witness, have the witness suggest any corrections in the transcript, and have the recording or corrected transcript included in the record of investigation; and
- Receive a copy of the draft investigation report and, concurrently, a copy of, or supervised access to any records or materials on which the report is based, and be notified that any comments must be submitted within 30 days of the date on which the copy was received and that the comments will be considered by the institution and addressed in the final report.
- Appeal the decision of the DO as provided in Section XIII.D.

The respondent should be given the opportunity to admit that research misconduct occurred and that he/she committed the research misconduct. With the advice of the RIO and/or other institutional officials, the Deciding Official may terminate the institution's review of an allegation that has been admitted, if the institution's acceptance of the admission and any proposed resolution is approved by ORI or the appropriate federal agency, if required.

D. Deciding Official

The DO will receive the inquiry report and after consulting with the RIO and/or other institutional officials, decide whether an investigation is warranted under this policy, the criteria in 42 CFR § 93.307(d), or other applicable law or regulations. Any finding that an investigation is warranted must be made in writing by the DO and must be provided to ORI or other federal agencies, if required, together with a copy of the inquiry report meeting the requirements of 42 CFR § 93.309, within 30 days of the finding. If it is found that an investigation is not warranted, the DO and the RIO will ensure that detailed documentation of the inquiry is retained for at least 7 years after termination of the inquiry, so that ORI or other applicable agencies may assess the reasons why the institution decided not to conduct an investigation.

The DO will receive the investigation report and, after consulting with the RIO and/or other institutional officials, decide the extent to which this institution accepts the findings of the investigation and, if research misconduct is found, decide what, if any, institutional administrative actions are appropriate. The DO shall ensure that the final investigation report, the findings of the DO and a description of any pending or completed administrative actions are provided to ORI, as required by 42 CFR § 93.315 or to other federal agencies as required by their respective misconduct policies.

IV. General Policies and Principles

A. Responsibility to Report Misconduct

All institutional members will report observed, suspected, or apparent research misconduct to the RIO, the DO, or their designees. Prior to submitting a formal charge, a potential complainant is encouraged to consult informally with the RIO, the DO, or their designees to consider whether the case involves questions of research misconduct, should be resolved by other University procedures, or does not warrant further action. Contact information for the RIO may be obtained from the Office of Research Support and Sponsored Programs or the listing of Research Council members on the Faculty Senate website. If the circumstances described by the individual do not meet the definition of research misconduct, but further action is required, the RIO will refer the individual or allegation to other offices or officials with responsibility for resolving the problem.

At any time, to the extent permitted by law, an institutional member may have confidential discussions and consultations about concerns of possible misconduct with the RIO, the DO, or their designees and will be counseled about appropriate procedures for reporting allegations and their obligation to cooperate in any inquiry or investigation that may occur.

B. Cooperation with Research Misconduct Proceedings

Institutional members shall cooperate with the RIO and other institutional officials in the review of allegations and the conduct of inquiries and investigations. Institutional members, including respondents, have an obligation to provide evidence relevant to research misconduct allegations to the RIO or other institutional officials.

C. Confidentiality

The RIO shall, as required by 42 CFR § 93.108 or other applicable law or regulation: (1) limit disclosure of the identity of respondents and complainants to those who need to know in order to carry out a thorough, competent, objective and fair research misconduct proceeding; and (2) except as otherwise prescribed by law, limit the disclosure of any records or evidence from which research subjects might be identified to those who need to know in order to carry out a research misconduct proceeding.

D. Conflicts of interest

At each stage of handling an inquiry or subsequent investigation, all persons involved shall be vigilant to prevent any real or perceived conflict of interest, or personal conflicts or relationships between colleagues, from affecting the outcome of the proceedings and resolution of the charges. Possible conflicts of interest may include co-authorship of work within the recent past with any of the individuals directly involved with the alleged misconduct, or professional or personal relationship with the respondent beyond that of mere acquaintances or colleagues. Committee members shall not have had any personal, professional or financial involvement with the matters at issue in the investigation that might create an appearance of bias or actual bias. If such relationships or involvement are present, the individual shall recuse himself or herself from any investigative or decisional role in the case. If any prospective committee member at any point in the process presents a conflict of interest, that committee member shall be replaced by another appointee. If the RIO has a conflict of interest, the DO shall appoint a replacement; if the DO has a conflict of interest, the Chancellor shall appoint a replacement. The RIO may use a written conflict of interest statement to implement this provision; a sample statement is referenced in the Appendix to this policy.

E. Protecting complainants, witnesses, and committee members

Institutional members may not retaliate in any way against complainants, witnesses, or committee members. Institutional members should immediately report any alleged or apparent retaliation against complainants, witnesses or committee members to the RIO, who shall review the matter and, as necessary, make all reasonable and practical efforts to counter any potential or actual retaliation and protect and restore the position and reputation of the person against whom the retaliation is directed.

F. Protecting the Respondent

As requested and as appropriate, the RIO and other institutional officials shall make all reasonable and practical efforts to protect or restore the reputation of persons alleged to have engaged in research misconduct, but against whom no finding of research misconduct is made.

During the research misconduct proceeding, the RIO is responsible for ensuring that respondents receive all the notices and opportunities provided for in 42 CFR Part 93, or other applicable federal policies, and the policies and procedures of the institution.

G. Advisor to the Respondent

The respondent may consult with an advisor, who may or may not be an attorney. The advisor may not be a principal or witness in the case. The advisor may accompany the respondent to proceedings conducted as a part of the research misconduct proceeding, but shall not speak on behalf of the respondent or otherwise participate in the proceedings. The advisor must maintain confidentiality and be available as needed to ensure that all proceedings are completed on a timely basis.

H. Interim Administrative Actions and Notifying ORI or Other Federal Agencies of Special Circumstances

Throughout the research misconduct proceeding, the RIO will review the situation to determine if there is any threat of harm to public health, federal funds and equipment, or the integrity of the research process. In the event of such a threat, the RIO will, in consultation with other institutional officials and ORI or other federal agencies, if applicable, take appropriate interim action to protect against any such threat. Interim action might include additional monitoring of the research process and the handling of federal funds and equipment, reassignment of personnel or of the responsibility for the handling of federal funds and equipment, additional review of research data and results or delaying publication. The RIO shall, at any time during a research misconduct proceeding, consult with appropriate University officials and legal counsel immediately if he/she has reason to believe that any of the following conditions exist:

- Health or safety of the public is at risk, including an immediate need to protect human or animal subjects;
- Federal resources or interests are threatened;
- Research activities should be suspended;
- There is a reasonable indication of possible violations of civil or criminal law;
- Federal action is required to protect the interests of those involved in the research misconduct proceeding;
- The research misconduct proceeding may be made public prematurely and federal action may be necessary to safeguard evidence and protect the rights of those involved; or
- The research community or public should be informed.

Following such consultation, the institution shall take appropriate steps to address such conditions, such as by notifying ORI or other applicable agency.

H. Computation of Time

In this policy, any reference to days shall mean calendar days. Any period of time equal to ten days or fewer shall exclude University holidays. If a deadline falls on a weekend or University holiday, the deadline shall be the next University business day.

I. Procedural Changes

a. Deadlines. Due to the sensitive nature of allegations of misconduct, each case shall be resolved as expeditiously as possible. The nature of some cases may, however, render normal deadlines difficult to meet. If at any time an established deadline cannot be met, a report shall be filed with the DO setting out the reasons why the deadline cannot be met and estimating when that stage of the process will be completed. A copy of this report shall be provided to the respondent. If PHS funding is involved, an extension must be received from the Office of Research Integrity.

b. Other Procedural Changes. Particular circumstances in an individual case may dictate variation from the procedures set out in this policy in order to ensure fair and efficient consideration of the matter. Any change in the procedures must ensure fair treatment of the respondent. Any major deviations from the procedures described in this policy shall be made only with the written approval of the DO in consultation with the respondent. Any minor deviations from the procedures described in this policy shall not require the written approval of the DO.

J. Exclusive Process

The procedures described in this policy constitute the exclusive process for raising and resolving charges of research misconduct.

V. Conducting the Assessment and Inquiry

A. Assessment of Allegations

Upon receiving an allegation of research misconduct, the RIO will immediately assess the allegation to determine whether it is sufficiently credible and specific so that potential evidence of research misconduct may be identified and further review is warranted. The RIO shall also determine whether the alleged misconduct is within the jurisdictional criteria of 42 CFR § 93.102(b), and whether the allegation falls within the definition of research misconduct in 42 CFR § 93.103. An inquiry must be conducted if these criteria are met. In conducting this assessment, the RIO may consult with the institution's legal counsel and other appropriate University officials. If a charge is frivolous, does not raise questions of research misconduct, is more appropriately resolved by other University procedures, or does not warrant further action, the RIO may, at his or her discretion, handle the matter informally or refer it to the appropriate person or process, and will notify the complainant and anyone else known to be aware of the charge.

The assessment period should be brief, preferably concluded within a week. In conducting the assessment, the RIO need not interview the complainant, respondent, or other witnesses, or gather data beyond any that may have been submitted with the allegation, except as necessary to determine whether the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified and further review is warranted. The RIO shall, on or before the date on which the respondent is notified of the allegation, obtain custody of, inventory, and sequester all research records and evidence needed to conduct the research misconduct proceeding, as provided in paragraph C. of this section.

B. Initiation and Purpose of the Inquiry

If the RIO determines that the criteria for an inquiry are met, he or she will immediately initiate the inquiry process. The purpose of the inquiry is to conduct an initial review of the available evidence to determine whether to conduct an investigation. An inquiry does not require a full review of all the evidence related to the allegation.

C. Notice to Respondent; Sequestration of Research Records

At the time of or before beginning an inquiry, the RIO must make a good faith effort to notify the respondent in writing, if the respondent is known. With the approval of the respondent, the RIO will also notify the dean of the school or college in which the respondent holds his or her primary appointment. If the inquiry subsequently identifies additional respondents, they must be notified in writing. On or before the date on which the respondent is notified, or the inquiry begins, whichever is earlier, the RIO must take all reasonable and practical steps to obtain custody of all the research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence and sequester them in a secure manner, except that where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments. The RIO may consult confidentially with the institution's legal counsel and other appropriate University officials for advice and assistance in this regard. In addition, if necessary, the RIO may consult with ORI or other applicable federal agency.

D. Appointment of the Inquiry Committee

The RIO, in consultation with other institutional officials as appropriate, shall appoint an inquiry committee and committee chair as soon after the initiation of the inquiry as is practical. The inquiry committee must consist of individuals who do not have unresolved personal, professional, or financial conflicts of interest with those involved with the inquiry and should include individuals with the appropriate scientific expertise to evaluate the evidence and issues related to the allegation, interview the principals and key witnesses, and conduct the inquiry. The RIO shall notify the respondent of the proposed inquiry committee membership. The respondent may then submit a written objection to any appointed member of the inquiry committee based on bias or conflict of interest within seven days. If an objection is raised, the RIO shall determine whether to replace the challenged member with a qualified substitute. The RIO's decision shall be final. The RIO may, with the concurrence of the DO, appoint one or more experts to assist the inquiry committee if necessary to evaluate specific allegations. The RIO shall direct the members of the committee that the investigation and all information relating to the investigation shall be kept confidential.

E. Charge to the Committee and First Meeting

The RIO will prepare a charge for the inquiry committee that:

- Sets forth the time for completion of the inquiry;
- Describes the allegations and any related issues identified during the allegation assessment;

- States that the purpose of the inquiry is to conduct an initial review of the evidence, including the testimony of the respondent, complainant and key witnesses, to determine whether an investigation is warranted, not to determine whether research misconduct definitely occurred or who was responsible;
- States that an investigation is warranted if the committee determines: (1) there is a reasonable basis for concluding that the allegation falls within the definition of research misconduct and is within the jurisdictional criteria of 42 CFR § 93.102(b), if applicable; and, (2) the allegation may have substance, based on the committee's review during the inquiry.
- Informs the inquiry committee that they are responsible for preparing or directing the preparation of a written report of the inquiry that meets the requirements of this Policy and 42 CFR § 93.309(a), if applicable.

At the committee's first meeting, the RIO will review the charge with the committee, discuss the allegations, any related issues, and the appropriate procedures for conducting the inquiry, assist the committee with organizing plans for the inquiry, and answer any questions raised by the committee. The RIO will be present or available throughout the inquiry to advise the committee as needed. Prior to the first meeting, the RIO shall also consult with legal counsel for the institution as to the need for counsel to provide legal advice to the committee at the first meeting and in subsequent phases of the inquiry, including, but not limited to, for the purpose of reviewing institutional policies governing research misconduct proceedings, confidentiality and potential conflicts of interest.

F. Inquiry Process

The inquiry committee shall interview the complainant and the respondent, and may interview witnesses as well as examine relevant research records and materials. Then the inquiry committee will evaluate the evidence, including the testimony obtained during the inquiry. After consultation with the RIO, the committee members will decide whether an investigation is warranted based on the criteria in this policy and 42 CFR § 93.307(d) as applicable. The scope of the inquiry is not required to and does not normally include deciding whether misconduct definitely occurred, determining definitely who committed the research misconduct or conducting exhaustive interviews and analyses. However, if a legally sufficient admission of research misconduct is made by the respondent, misconduct may be determined at the inquiry stage if all relevant issues are resolved. In that case, the institution shall promptly consult with ORI or other appropriate agencies, as as required, to determine the next steps that should be taken. See Section IX.

G. Time for Completion

The inquiry, including preparation of the final inquiry report and the decision of the DO on whether an investigation is warranted, must be completed within 60 days of initiation of the inquiry, unless the RIO determines that circumstances clearly warrant a longer period. If the RIO approves an extension, the inquiry record must include documentation of the reasons for exceeding the 60-day period. The respondent will be notified of the extension.

VI. The Inquiry Report

A. Elements of the Inquiry Report

A written inquiry report must be prepared that includes the following information: (1) the name and position of the respondent; (2) a description of the allegations of research misconduct; (3) the PHS or other federal support, if any, including, for example, grant numbers, grant applications, contracts and publications listing support; (4) the basis for recommending or not recommending that the allegations warrant an investigation; (5) any comments on the draft report by the respondent or complainant. An outline for reports to be furnished to ORI is referenced in the Appendix to this policy.

Institutional counsel shall review the draft inquiry report prior to transmission of the draft to the respondent. Modifications shall be made as appropriate in consultation with the RIO and the inquiry committee. The inquiry report shall include the following information: the names and titles of the committee members and experts who conducted the inquiry; a summary of the inquiry process used; a list of the research records reviewed; summaries of any interviews; and whether any other actions should be taken if an investigation is not recommended.

B. Notification to the Respondent and Opportunity to Comment

The RIO shall notify the respondent whether the inquiry found an investigation to be warranted, together with a copy of the draft inquiry report, and a copy of or reference to 42 CFR Part 93 or other applicable federal policies and the institution's policies and procedures on research misconduct. The report shall clearly be labeled "DRAFT" in bold and conspicuous type font. The RIO shall notify the respondent that the respondent shall have 10 days to comment on the draft inquiry report. The RIO shall also direct the respondent that the draft report shall be kept confidential.

On a case-by-case basis, the RIO may provide the complainant a copy of the draft inquiry report, or relevant portions of it, for comment. If so, the report shall clearly be labeled "DRAFT" in bold and conspicuous type font, and the complainant will be allowed no more than 10 days to submit comments to the RIO. The complainant shall be directed that the draft report shall be kept confidential.

Any comments that are submitted by the respondent or the complainant shall be attached to the final inquiry report. Based on the comments, the inquiry committee may revise the draft report as appropriate and prepare it in final form. The committee will deliver the final report to the RIO. The RIO shall notify the complainant in writing whether the inquiry found an investigation to be warranted.

C. Institutional Decision and Notification

1. Decision by Deciding Official

The RIO will transmit the final inquiry report and any comments to the DO, who will determine in writing whether an investigation is warranted. The inquiry is completed when the DO makes this determination.

2. Notification to ORI and Respondent

Within 30 days of the DO's decision that an investigation is warranted, the RIO will provide ORI, if required, with the DO's written decision and a copy of the inquiry report. The RIO shall also provide a copy of the DO's written decision and a copy of the inquiry report to the respondent within 30 days of the DO's decision. Subject to confidentiality, the RIO will also notify those institutional officials, if any, who need to know of the DO's decision because they will be directly involved in the investigation or otherwise have a need to know because of their official duties. The RIO must provide the following information to ORI, if required, or other applicable federal agency upon request: (1) the institutional policies and procedures under which the inquiry was conducted; (2) the research records and evidence reviewed, transcripts or recordings of any interviews, and copies of all relevant documents; and (3) the charges to be considered in the investigation.

3. Documentation of Decision Not to Investigate

If the DO decides that an investigation is not warranted, the RIO shall secure and maintain for 7 years after the termination of the inquiry sufficiently detailed documentation of the inquiry to permit a later assessment by applicable federal agencies of the reasons why an investigation was not conducted. These documents must be provided to such agencies or their authorized personnel upon request.

VII. Conducting the Investigation

A. Initiation and Purpose

The investigation must begin within 30 days, after the determination by the DO that an investigation is warranted. The purpose of the investigation is to develop a factual record by exploring the allegations in detail and examining the evidence in depth, leading to recommended findings on whether research misconduct has been committed, by whom, and to what extent. The investigation will also determine whether there are additional instances of possible research misconduct that would justify broadening the scope beyond the initial allegations. This is particularly important where the alleged research misconduct involves clinical trials or potential harm to human subjects or the general public or if it affects research that forms the basis for public policy, clinical practice, or public health practice. The findings of the investigation must be set forth in an investigation report.

B. Notifying ORI and Respondent; Sequestration of Research Records

On or before the date on which the investigation begins, the RIO must: (1) notify the ORI Director of the decision to begin the investigation and provide ORI a copy of the inquiry report, if required; and (2) notify the respondent in writing of the allegations to be investigated. The RIO must also give the respondent written notice of any new allegations of research misconduct within a reasonable amount of time of deciding to pursue allegations not addressed during the inquiry or in the initial notice of the investigation.

The RIO will, prior to notifying respondent of the allegations, take all reasonable and practical steps to obtain custody of and sequester in a secure manner all research records and evidence needed to conduct the research misconduct proceeding that were not previously sequestered during the inquiry. The need for additional sequestration of records for the investigation may occur for any number of reasons, including the institution's decision to investigate additional allegations not considered during the inquiry stage or the identification of records during the inquiry process that had not been previously secured. The procedures to be followed for sequestration during the investigation are the same procedures that apply during the inquiry.

C. Appointment of the Investigation Committee

The RIO, in consultation with other institutional officials as appropriate, will appoint an investigation committee and the committee chair as soon after the beginning of the investigation as is practical. The investigation committee must consist of at least three individuals who do not have unresolved personal, professional, or financial conflicts of interest with those involved with the investigation and should include individuals with the appropriate scientific expertise to evaluate the evidence and issues related to the allegation, interview the respondent and complainant and conduct the investigation. Individuals appointed to the investigation committee may also have served on the inquiry committee. When necessary to secure the necessary expertise or to avoid conflicts of interest, the RIO may select committee members from outside the institution, or, with concurrence of the DO, may appoint experts to assist the committee in particular aspects of the case. The RIO will notify the respondent of the proposed investigation committee membership and any appointed experts. If the respondent then submits a written objection to any appointed member or expert based on bias or conflict of interest within seven days, the RIO will determine whether to replace the challenged member or expert with a qualified substitute, and the decision of the RIO shall be final.

D. Charge to the Committee and the First Meeting

1. Charge to the Committee

The RIO will define the subject matter of the investigation in a written charge to the committee that:

- Describes the allegations and related issues identified during the inquiry;
- Identifies the respondent;
- Informs the committee that it must conduct the investigation as prescribed in paragraph E. of this section;
- Reviews the definition of research misconduct as stated in this Policy;

- Informs the committee that it must evaluate the evidence and testimony to determine whether, based on a preponderance of the evidence, research misconduct occurred and, if so, the type and extent of it and who was responsible;
- Informs the committee that in order to determine that the respondent committed research misconduct it must find that a preponderance of the evidence establishes that: (1) research misconduct, as defined in this policy, occurred (respondent has the burden of proving by a preponderance of the evidence any affirmative defenses raised, including honest error or a difference of opinion); (2) the research misconduct is a significant departure from accepted practices of the relevant research community; and (3) the respondent committed the research misconduct intentionally, knowingly, or recklessly; and
- Informs the committee that it must prepare or direct the preparation of a written investigation report that meets the requirements of this Policy and any other applicable federal policies, such as 42 CFR § 93.313.

2. First Meeting

The RIO will convene the first meeting of the investigation committee to review the charge, the inquiry report, and the prescribed procedures and standards for the conduct of the investigation, including the necessity for developing a specific investigation plan. The RIO shall also direct the members of the committee that the investigation and all information relating to the investigation shall be kept confidential. The investigation committee will be provided with a copy of this statement of policy and procedures and any applicable federal research misconduct policies. The RIO will be present or available throughout the investigation to advise the committee as needed. Prior to the first meeting, the RIO shall also consult with legal counsel for the institution as to the need for counsel to provide legal advice to the committee at the first meeting and in subsequent phases in the investigation, including, but not limited to, for the purpose of reviewing institutional policies governing research misconduct proceedings, confidentiality and potential conflicts of interest.

E. Investigation Process

The investigation committee and the RIO must:

- Use diligent efforts to ensure that the investigation is thorough and sufficiently documented and includes examination of all research records and evidence relevant to reaching a decision on the merits of each allegation;
- Take reasonable steps to ensure an impartial and unbiased investigation to the maximum extent practical;
- Interview each respondent, complainant, and make a good-faith effort to interview any other available person who has been reasonably identified as having information regarding any relevant aspects of the investigation, including witnesses identified by the respondent, and record or transcribe each interview, provide the recording or transcript to the interviewee for correction, and include the recording or transcript in the record of the investigation; and

- Pursue diligently all significant issues and leads discovered that are determined relevant to the investigation, including any evidence of any additional instances of possible research misconduct, and continue the investigation to completion.

F. Time for Completion

The investigation is to be completed within 120 days of the first meeting of the investigation committee, including conducting the investigation, preparing the report of findings, providing the draft report for comment and sending the final report to ORI, if applicable. However, if the RIO determines that the investigation will not be completed within this 120-day period, he/she will submit a written request for an extension to the DO and to ORI or other applicable federal agencies, setting forth the reasons for the delay. If the request for an extension is approved by the DO and applicable federal agencies, then the RIO will ensure that periodic progress reports are filed with the approving officials.

G. Amended Charges

If issues of research misconduct that fall outside of the charge arise during the course of the investigation, the committee shall so inform the RIO, including in its communication the evidence on which its concerns are based. The RIO in consultation with the DO and the investigation committee, will consider the issues raised and, in the RIO's discretion, provide the investigation committee with an amended charge. The respondent shall be notified of any such amendments.

VIII. The Investigation Report

A. Elements of the Investigation Report

The investigation committee and the RIO are responsible for preparing a written draft report of the investigation that:

- Describes the nature of the allegation of research misconduct, including identification of the respondent and the respondent's curriculum vitae;
- Describes and documents the federal support, if any, including, for example, the numbers of any grants that are involved, grant applications, contracts, and publications listing federal support;
- Describes the specific allegations of research misconduct considered in the investigation;
- Includes the institutional policies and procedures under which the investigation was conducted;
- Identifies and summarizes the research records and evidence reviewed and identifies any evidence taken into custody but not reviewed; and
- Includes a statement of findings for each allegation of research misconduct identified during the investigation. Each statement of findings must: (1) identify whether the research misconduct was falsification, fabrication, or plagiarism, and whether it was committed intentionally, knowingly, or recklessly; (2) summarize the facts and the analysis that support the conclusion and consider the merits of any reasonable explanation by the respondent, including any effort by respondent to establish by a preponderance of the evidence that he or she did not engage in research misconduct

because of honest error or a difference of opinion; (3) identify the specific federal support, if any; (4) identify whether any publications need correction or retraction; (5) identify the person(s) responsible for the misconduct; and (6) list any current support or known applications or proposals for support that the respondent has pending with federal agencies.

- If the committee determines that any allegation of research misconduct is true, the report shall recommend appropriate institutional actions in response to the findings of research misconduct.

The report and other retained documentation must be sufficiently detailed as to permit a later assessment of the investigation. An outline for reports to be furnished to ORI is referenced in the Appendix to this Policy.

B. Comments on the Draft Report and Access to Evidence

The RIO must give the respondent a copy of the draft investigation report for comment and, concurrently, a copy of, or supervised access to the evidence on which the report is based. The report shall clearly be labeled “DRAFT” in bold and conspicuous type font. The respondent will be allowed 30 days from the date he/she received the draft report to submit comments to the RIO. The respondent's comments must be considered and made a part of the final investigation record. The respondent shall be directed that the draft report shall be kept confidential.

On a case-by-case basis, the RIO may provide the complainant a copy of the draft investigation report, or relevant portions of it, for comment. If so, the report shall clearly be labeled “DRAFT” in bold and conspicuous type font, and the complainant will be allowed no more than 30 days from the date on which he/she received the draft report to submit comments to the RIO. The complainant's comments must be included and considered in the final report. The complainant shall be directed that the draft report shall be kept confidential.

C. Decision by Deciding Official

The RIO will assist the investigation committee in finalizing the draft investigation report, including ensuring that the respondent's and, if applicable, complainant's comments are included and considered, and transmit the final investigation report to the DO, who will determine in writing: (1) whether the institution accepts the investigation report, its findings, and the recommended institutional actions; and (2) the appropriate institutional actions in response to the accepted findings of research misconduct. If this determination varies from the findings of the investigation committee, the DO will, as part of his/her written determination, explain in detail the basis for rendering a decision different from the findings of the investigation committee. Alternatively, the DO may return the report to the investigation committee with a request for further fact-finding or analysis. When a final decision on the case has been reached, whether at this stage or after a subsequent appeal, the RIO will notify the respondent in writing. If the DO's findings are not appealed within ten days, the DO's findings shall become the institution's final decision. At the time of a final decision, whether at this stage or after an appeal, the RIO will also notify the complainant in writing of the final outcome of the case. After informing ORI or other applicable federal agency, as required, the DO will determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the respondent in

the work, or other relevant parties should be notified of the outcome of the case. The RIO is responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies.

D. Appeals

The respondent, within ten days of receiving written notification of the decision of the DO, may file an appeal with the Chancellor. The appeal may result in (i) a reversal or modification of the DO's findings of research misconduct or determinations of institutional action, (ii) the Chancellor may direct the DO to return the report to the investigation committee with a request for further fact-finding or analysis, or (iii) other action the Chancellor deems appropriate. The appeal process must be completed within 120 days of the filing of the appeal unless an extension is granted by appropriate officials and federal agencies. The decision of the Chancellor shall be final.

E. Notice to Federal Agencies of Institutional Findings and Actions

Unless an extension has been granted, the RIO must, within the 120-day period for completing the investigation or the 120-day period for completion of an appeal, submit the following to any applicable federal agencies as required: (1) a copy of the investigation report with all attachments and any appeals; (2) the findings of research misconduct, including who committed the misconduct; (3) a statement of whether the institution accepts the findings of the investigation; and (4) a description of any pending or completed administrative actions against the respondent.

F. Maintaining Records for Review by Federal Agencies

If required, the RIO must maintain and provide to ORI, if required, or other applicable federal agencies upon request "records of research misconduct proceedings" as that term is defined by 42 CFR § 93.317 or other applicable policies, as appropriate. Unless custody has been transferred to an appropriate federal agency or such agency has advised in writing that the records no longer need to be retained, records of research misconduct proceedings must be maintained in a secure manner for 7 years after completion of the proceeding or the completion of any federal proceeding involving the research misconduct allegation. The RIO is also responsible for providing any information, documentation, research records, evidence or clarification requested by ORI or other appropriate federal agency to carry out its review of an allegation of research misconduct or of the institution's handling of such an allegation.

IX. Completion of Cases; Reporting Premature Closures to Federal Agencies

Generally, all inquiries and investigations will be carried through to completion and all significant issues will be pursued diligently. A case may be closed at the inquiry stage if it is determined that an investigation is not warranted. A case may be closed at the investigation stage if there is a finding that no research misconduct was committed. If the alleged misconduct was in the jurisdiction of the ORI or other federal agency, then this finding must be reported to the applicable agency. An advance notification by the RIO to any applicable federal agency must be made if there are plans to close a case at the inquiry, investigation, or appeal stage on the basis that respondent has admitted guilt, a settlement with the respondent has been reached, or for any other reason except those noted above.

X. Institutional Administrative Actions

If the DO and any subsequent appeal determine that research misconduct is substantiated by the findings, then the DO will decide on the appropriate actions to be taken, after consultation with the RIO and the Chancellor. The administrative actions may include, but are not limited to, the following:

- Withdrawal or correction of all pending or published abstracts and papers emanating from the research where research misconduct was found;
- Removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, or initiation of steps leading to possible rank reduction or termination of employment;
- Restitution of funds to the grantor agency as appropriate; and
- Other action appropriate to the research misconduct.

XI. Other Considerations

A. Termination or Resignation Prior to Completing Inquiry or Investigation

The termination of the respondent's institutional employment, by resignation or otherwise, before or after an allegation of possible research misconduct has been reported, will not preclude or terminate the research misconduct proceeding or otherwise limit any of the institution's responsibilities under 42 CFR Part 93 or the corresponding research misconduct policies of other federal agencies .

If the respondent, without admitting to the misconduct, elects to resign his or her position after the institution receives an allegation of research misconduct, the assessment of the allegation will proceed, as well as the inquiry and investigation, as appropriate based on the outcome of the preceding steps. If the respondent refuses to participate in the process after resignation, the RIO and any inquiry or investigation committee will use their best efforts to reach a conclusion concerning the allegations, noting in the report the respondent's failure to cooperate and its effect on the evidence.

B. Restoration of the Respondent's Reputation

Following a final finding of no research misconduct, including ORI concurrence where required by 42 CFR Part 93 or other federal agencies, if required, the RIO must, at the request of the respondent, undertake all reasonable and practical efforts to restore the respondent's reputation. Depending on the particular circumstances and the views of the respondent, the RIO should consider notifying those individuals aware of or involved in the investigation of the final outcome, publicizing the final outcome in any forum in which the allegation of research misconduct was previously publicized, and expunging all reference to the research misconduct allegation from the respondent's personnel file. Any institutional actions to restore the respondent's reputation should first be approved by the DO.

C. Protection of the Complainant, Witnesses and Committee Members

During the research misconduct proceeding and upon its completion, regardless of whether the institution or ORI determines that research misconduct occurred, the RIO must undertake all reasonable and practical efforts to protect the position and reputation of, or to counter potential or actual retaliation against, any complainant who made allegations of research misconduct in good faith and of any witnesses and committee members who cooperate in good faith with the research misconduct proceeding. The DO will determine, after consulting with the RIO, and with the complainant, witnesses, or committee members, respectively, what steps, if any, are needed to restore their respective positions or reputations or to counter potential or actual retaliation against them. The RIO is responsible for implementing any steps the DO approves.

D. Allegations Not Made in Good Faith

If relevant, the DO will determine whether the complainant's allegations of research misconduct were made in good faith, or whether a witness or committee member acted in good faith. If the DO determines that there was an absence of good faith he/she will determine whether any administrative action should be taken against the person who failed to act in good faith.

Appendix

A. Summary of Items that must be Reported or Submitted to the ORI in those Cases Covered by 42 CFR Part 93

(Note: This list is subject to modification based on adherence to current ORI regulations.)

- An annual report containing the information specified by ORI on the institution's compliance with the final rule. Section 93.302(b).
- Within 30 days of finding that an investigation is warranted, the written finding of the responsible official and a copy of the inquiry report. Sections 93.304(d), 93.309(a), and 93.310(a) and (b).
- Where the institution has found that an investigation is warranted, the institution must provide to ORI upon request: (1) the institutional policies and procedures under which the inquiry was conducted; (2) the research records and evidence reviewed, transcripts or recordings of any interviews, and copies of all relevant documents; and (3) the charges for the investigation to consider. Section 93.309.
- Periodic progress reports, if ORI grants an extension of the time limits on investigations or appeals and directs that such reports be submitted. Sections 93.311(c) and 93.314(c).
- Following completion of the investigation report or any appeal: (1) a copy of the investigation report with all attachments and any appeals; (2) the findings of research misconduct, including who committed the misconduct; (3) a statement of whether the institution accepts the findings of the investigation; and (4) a description of any pending or completed administrative actions against the respondent. Section 93.315.
- Upon request, custody or copies of records relevant to the research misconduct allegation, including research records and evidence. Section 93.317(c).
- Notify ORI immediately of the existence of any of the special circumstances specified in Section 93.318.

- Any information, documentation, research records, evidence or clarification requested by ORI to carry out its review of an allegation of research misconduct or the institution's handling of such an allegation. Section 93.400(b).

B. Outline for an Inquiry/Investigation Report for ORI

(Note: A recommended outline for inquiry and investigation reports has been furnished by ORI and is available on the Research Support and Sponsored Programs web site. Committee members should consult this outline in preparing reports. The outline is subject to modification based on adherence to current ORI regulations.)

C. Conflict of Interest Statement

(Note: A sample conflict of interest statement is available on the Research Support and Sponsored Programs web site. This statement shall be provided to the RIO for use in implementing the conflict of interest portions of this policy.)

Academic Grievance Procedures for Graduate Students

The Graduate School of the University of Arkansas recognizes that there may be occasions when a graduate student has a grievance about some aspect of his/her academic involvement. It is an objective of this University that such a graduate student may have prompt and formal resolution of his or her personal academic grievances and that this be accomplished according to orderly procedures. Below are the procedures to be utilized when a graduate student has an academic grievance with a faculty member or administrator. If the student has a grievance against another student or another employee of the University, or if the student has a grievance which is not academic in nature, the appropriate policy may be found by contacting the Office of Affirmative Action or the office of the Graduate Dean. For policies and procedures pertaining to conduct offenses, consult the Code of Student Life.

NOTE: Master's students in the Graduate School of Business should follow the grievance procedures for that School.

Definition of Terms

Academic Grievance. An academic grievance means a dispute concerning some aspect of academic involvement arising from an administrative or faculty decision which the graduate student claims is unjust or is in violation of his or her rights. The Graduate School considers any behavior on the part of a faculty member or an administrator, which the student believes to interfere with his/her academic progress, to be subject to a grievance. While an enumeration of the students' rights with regard to their academic involvement is not possible or desirable, we have provided a short list as illustration. However, as in all cases involving individual rights, whether a specific behavior constitutes a violation of these rights can only be decided in context, following a review by a panel of those given the authority to make such a decision.

In general, we consider that the graduate student:

1. has the right to competent instruction;
2. is entitled to have access to the instructor at hours other than class times (office hours);
3. is entitled to know the grading system by which he/she will be judged;
4. has the right to evaluate each course and instructor;
5. has the right to be treated with respect and dignity.

In addition, an academic grievance may include alleged violations of the affirmative action plans of the University as related to academic policies and regulations, as well as disputes over grades, course requirements, graduation/degree program requirements, thesis/dissertation/advisory committee composition, and/or adviser decisions.

Formal Academic Grievance. An academic grievance is considered formal when the student notifies the Graduate Dean, in writing, that he/she is proceeding with such a grievance. The implications of this declaration are: 1) all correspondence pertaining to any aspect of the grievance will be in writing and will be made available to the Graduate Dean; 2) all documents relevant to the case, including minutes from all relevant meetings, will be part of the complete

written record and will be forwarded to the Graduate Dean upon receipt by any party to the grievance; 3) the policy contained herein will be strictly followed; and 4) any member of the academic community who does not follow the grievance policy will be subject to disciplinary actions. Filing a formal academic grievance is a serious matter, and the student is strongly encouraged to seek informal resolution of his/her concerns before taking such a step.

Complete Written Record. The “complete written record” refers to all documents submitted as evidence by any party to the complaint, as subject to applicable privacy considerations.

NOTE: Because the tape recordings of committee meetings may contain sensitive information, including private information pertaining to other students, the tape or a verbatim transcription of the tape will not be part of the complete written record. However, general minutes of the meetings, documenting the action taken by the committees, will be part of the complete written record.

Graduate Student. Under this procedure, a graduate student is any person who has been formally admitted into the Graduate School of the University of Arkansas, Fayetteville, and who is/was enrolled as a graduate-level student at the time the alleged grievance occurred.

Working Days. Working days shall refer to Monday through Friday, excluding official University holidays.

Procedures

NOTE: Master’s students in the Graduate School of Business should follow the grievance procedures for that School.

1. Individuals should attempt to resolve claimed grievances first with the person(s) involved, within the department, and wherever possible, without resort to formal grievance procedures. The graduate student should first discuss the matter with the faculty member involved, or with the faculty member’s chairperson or area coordinator. The student’s questions may be answered satisfactorily during this discussion. The student may also choose to contact the University Ombuds Office or, if the grievance is with the departmental chairperson or area coordinator, with the academic dean or the Graduate Dean, for a possible informal resolution of the matter.
2. If a graduate student chooses to pursue a formal grievance procedure, the student shall take the appeal in written form to the appropriate departmental chairperson/area coordinator, and forward a copy to the Graduate Dean. In the case of a grievance against a departmental chairperson or an area coordinator who does not report directly to a departmental chairperson, or in the absence of the chairperson/coordinator, the student will go directly to the dean of the college or school in which the alleged violation has occurred, or to the Graduate Dean. In any case, the Graduate Dean must be notified of the grievance. After discussion between the chairperson/coordinator/dean and all parties to the grievance, option 2a, 2b, or 3 may be chosen.
 - a. All parties involved may agree that the grievance can be resolved by a recommendation of the chairperson/coordinator/dean. In this case, the

chairperson/coordinator/dean will forward a written recommendation to all parties involved in the grievance within 20 working days after receipt of the written grievance. The chairperson/area coordinator/dean is at liberty to use any appropriate method of investigation, including personal interviews and/or referral to an appropriate departmental committee for recommendation.

- b. Alternatively, any party to the grievance may request that the departmental chairperson/area coordinator/dean at once refer the request, together with all statements, documents, and information gathered in his or her investigation, to the applicable departmental group (standing committee or all graduate faculty of the department). The reviewing body shall, within ten working days from the time its chairperson received the request for consideration, present to the department chairperson/coordinator/dean its written recommendations concerning resolution of the grievance. Within ten working days after receiving these recommendations, the department chairperson/area coordinator/dean shall provide all parties to the dispute with copies of the reviewing body's recommendation and his or her consequent written decision on the matter.
3. If the grievance is not resolved by the procedure outlined in step 2, or if any party to the grievance chooses not to proceed as suggested in 2, he/she will appeal in writing to the Dean of the Graduate School. When, and only when, the grievance concerns the composition of the student's thesis/dissertation committee or advisory committee, the Graduate Dean will proceed as described in step 5 (following). In all other cases, whenever a grievance comes to the attention of the Dean of the Graduate School, either as a result of a direct appeal or when a grievance has not been resolved satisfactorily at the departmental/academic dean level, the Dean of the Graduate School will consult with the person alleging the grievance. If that person decides to continue the formal grievance procedure, the Graduate Dean will notify all parties named in the grievance, the departmental chairperson/area coordinator, and the academic dean that a formal grievance has been filed. Within ten working days, the Dean of the Graduate School will:
 - 1) with the consent of the student, appoint a faculty member as the student's advocate, and
 - 2) notify the Academic Appeals Subcommittee of the Graduate Council, which will serve as the hearing committee. The Associate Dean of the Graduate School will serve as the chair of the grievance committee and will vote only in the case of a tie. A voting member of the Graduate Council who is not a member of the Academic Appeals Subcommittee will serve as the non-voting secretary of the committee.

The committee shall have access to witnesses and records, may take testimony, and may make a record by taping the hearing. Its charge is to develop all pertinent factual information (with the exception that the student and faculty member/administrator will not be required to be present in any meeting together without first agreeing to do so) and, on the basis of this information, to make a recommendation to the Graduate Dean to either support or reject the appeal. The Graduate Dean will then make a decision based on the committee's recommendation and all documents submitted by the parties involved. The Graduate Dean's decision, the committee's written recommendation and a copy of its complete written record (excluding those in which other students have a privacy interest) shall be forwarded to the person(s) making the appeal within 20 working days from the date the committee was first convened; copies shall be sent simultaneously to other parties involved in the grievance and to the dean of the college in which

the alleged violation occurred. A copy shall be retained by the Graduate School in such a way that the student's privacy is protected.

1. When, and only when, the grievance concerns a course grade and the committee's recommendation is that the grade assigned by the instructor should be changed, the following procedure applies. The committee's recommendation that the grade should be changed shall be accompanied by a written explanation of the reasons for that recommendation and by a request that the instructor change the grade. If the instructor declines, he or she shall provide a written explanation for refusing. The committee, after considering the instructor's explanation and upon concluding that it would be unjust to allow the original grade to stand, may then recommend to the department chair that the grade be changed. The department chair will provide the instructor with a copy of the recommendation and ask the instructor to change the grade. If the instructor continues to decline, the department chair may change the grade, notifying the instructor, the Graduate Dean, and the student of the action. Only the department chair, and only on recommendation of the committee, may change a grade over the objection of the instructor who assigned the original grade. No appeal or further review is allowed from this action. All grievances concerning course grades must be filed within one calendar year of receiving that grade.
2. When, and only when, a student brings a grievance concerning the composition of his/her thesis/dissertation or advisory committee, the following procedure will apply. The Dean of the Graduate School shall meet with the graduate student and the faculty member named in the grievance and shall consult the chair of the committee, the departmental chairperson/area coordinator, and the academic dean, for their recommendations. In unusual circumstances, the Dean of the Graduate School may remove a faculty member from a student's thesis/dissertation committee or advisory committee, or make an alternative arrangement (e.g. assign a representative from the Graduate faculty to serve on the committee). With regard to the chair of the dissertation/thesis committee (not the advisory committee), the Graduate School considers this to be a mutual agreement between the faculty member and the student to work cooperatively on a research project of shared interest. Either the graduate student or the faculty member may dissolve this relationship by notifying the other party, the departmental chairperson, and the Graduate Dean. However, the student and the adviser should be warned that this may require that all data gathered for the dissertation be abandoned and a new research project undertaken, with a new faculty adviser.
3. If a grievance, other than those covered by step 4, is not satisfactorily resolved through step 3 or 5, an appeal in writing and with all relevant material may be submitted for consideration and a joint decision by the Chancellor of the University of Arkansas, Fayetteville, and the Provost/Vice Chancellor for Academic Affairs. This appeal must be filed within 20 working days of receiving the decision of the Graduate Dean. Any appeal at this level shall be on the basis of the complete written record only, and will not involve interviews with any party to the grievance. The Chancellor of the University of Arkansas, Fayetteville, and the Provost/Vice Chancellor for Academic Affairs shall make a decision on the matter within 20 working days from the date of receipt of the appeal. Their decision shall be forwarded in writing to the same persons receiving such decision in step 3. Their decision is final pursuant to the delegated authority of the Board of Trustees.

4. If any party to the grievance violates this policy, he/she will be subject to disciplinary action. When alleging such a violation, the aggrieved individual shall contact the Graduate Dean, in writing, with an explanation of the violation.

Grievance Policy and Procedures for Graduate Assistants

NOTE: Graduate Assistants in the Graduate School of Business should follow the grievance procedures for that School.

Introduction

It is the philosophy of the Graduate School that assistantships are not typical employee positions of the University. This has two implications. First, the sponsor should also serve as a mentor to the student and assist, to the extent possible, in facilitating the student's progress toward his/her degree. Second, any questions concerning performance in or requirements of assistantships shall be directed to the Graduate School or, for master's students in business, to the Graduate School of Business. Note: the term *graduate assistant* will be used to refer to those on other types of appointments as well, such as fellowships, clerkships, etc.

The Graduate School has the following authority with regard to graduate assistantships:

1. All requests for new positions, regardless of the source of the funds, must be approved by the Graduate School. When the position is approved, the requesting department or faculty member must complete the form "Request for a New Graduate Assistant Position" and submit it to the Graduate School. All proposed changes in duties for existing graduate assistantships must be approved by the Graduate School prior to their implementation.
2. The duty requirements of the graduate assistantship, including the number of hours required, must be approved by the Graduate School. Fifty percent GAs may not be asked to work more than 20 hours per week (Note: this is not limited to time actually spent in the classroom or lab; the 20 hour requirement also pertains to time required to grade/compute results, develop class/lab materials, etc. Moreover, students cannot be asked to work an *average* of 20 hours per week, with 30 hours one week and 10 hours the next, for example. The duty hour requirement is no more than 20 hours per week for a 50 percent appointment. See the *Graduate Handbook*. However, it should also be noted that if the student is engaged in research which will be used in his/her required project, thesis or dissertation, or if the student is traveling to professional meetings, data sources, etc., the student may work more than 20 hours per week.) The duty requirements must complement the degree program of the graduate student and must abide by the philosophy that the first priority of graduate students is to finish their degrees. If a student is assigned to teach, the maximum duty assignment is full responsibility for two three-hour courses per semester.
3. The Graduate School has set the following limits on holding graduate assistantships (not fellowships): Master's students may hold a graduate assistantship for no more than four major semesters; a doctoral student may hold a graduate assistantship for no more than eight major semesters; a student who enters a doctoral program with only a baccalaureate degree may hold a graduate assistantship for no more than ten major semesters. The

department/program may petition the Graduate School for extensions to these requirements on a case by case basis.

4. The Graduate School, in consultation with the Graduate Council, has the right to set the enrollment requirements for full-time status for graduate assistants (as well as graduate students in general).
5. The Graduate School sets the minimum stipend for graduate assistantships, but does not have responsibility for setting the actual stipend.

Graduate assistants will be provided with a written statement of the expected duties for their positions, consistent with the duties outlined in the “Request for New Graduate Assistant Position” or any amendments submitted to the Graduate School. A copy of the written statement will be submitted to the Graduate School for inclusion in the student’s file.

Graduate assistants may be terminated from their positions at any time, or dismissed for cause (Board Policy No. 405.4). Termination is effected through the giving of a notice, in writing, of that action at least 60 days in advance of the date the employment is to cease. A copy of the notice must be sent to the Graduate Dean.

A graduate assistant has the right to request a review of the termination by the Graduate Dean, following the procedure given below. However, a student should be warned that if the grounds for dismissal are based on any of the following, the only defense to the termination is evidence to show that the charges are not true:

1. The student fails to meet the expectations of the assistantship positions, as outlined in the initial written statement provided to him/her at the beginning of the appointment.
2. The student provides fraudulent documentation for admission to his/her degree program and/or to his/her sponsor in applying for the assistantship position.
3. The student fails to meet certain expectations, which need not be explicitly stated by the sponsor, such as the expectation that: a) the student has the requisite English language skills to adequately perform the duties of the position; b) the student has the appropriate experience and skills to perform the duties of the position; and c) the student maintains the appropriate ethical standards for the position. The Research Misconduct Policy provides one reference source for such ethical standards.
4. The student fails to make good progress toward the degree, as determined by the annual graduate student academic review and defined by program and Graduate School policies.
5. The assistantship position expires.

Definition of Terms

Graduate Assistant. Any graduate student holding a position which requires that the student be admitted to a graduate degree program of the University of Arkansas, regardless of the source of funds, and for whom tuition is paid as a result of that position.

Sponsor. The person responsible for the funding and duty expectations for the graduate assistant.

Formal graduate assistant grievance. Any dispute concerning some aspect of the graduate assistantship, as defined above, which arises from an administrative or faculty decision that the graduate student claims is a violation of his or her rights. The formal graduate assistant grievance does not pertain to cases in which there is a dispute between co-workers.

Violation of graduate assistant's rights. An action is considered a violation of the graduate assistants' rights if: a) it violates Graduate School policy with regard to graduate assistantships; b) it threatens the integrity of, or otherwise demeans the graduate student, regardless of any other consideration; c) it illegally discriminates or asks the graduate assistant to discriminate; d) it requires the student to do something which was not communicated as a condition of holding the assistantship (or the underlying expectations outlined above); e) it terminates the student from an assistantship for behaviors which are irrelevant to the holding of the assistantship or were never included as expectations for the assistantship; f) it requires the student to do something which violates University policy, the law, or professional ethics. Note: It is impossible to state all of the conditions which might constitute a violation of graduate assistants' rights or, conversely, which might defend a respondent against charges of such violations. Such complaints require a process of information gathering and discussion that leads to a final resolution of the matter by those who have been given the authority to do so.

Formal grievance. A grievance concerning graduate assistantships/fellowships is considered formal when the student notifies the Graduate Dean, in writing, that he/she is proceeding with such a grievance. The implications of this declaration are: a) the student will be provided with an advocate; b) all correspondence pertaining to any aspect of the grievance will be in writing and will be made available to the Graduate Dean; c) all documents relevant to the case, including minutes from all relevant meetings, will be part of the complete written record, and will be forwarded to the Graduate Dean upon receipt by any party to the grievance; d) the policy contained herein will be strictly followed; and e) any member of the academic community who does not follow the grievance policy will be subject to disciplinary actions. Filing a formal grievance is a serious matter, and the student is strongly encouraged to seek informal resolution of his/her concerns before taking such a step.

Respondent. The person who is the object of the grievance.

Procedures

NOTE: Grievances are confidential. Information about the grievance, including the fact that such a grievance has been filed, may never be made public to those who are not immediately involved in the resolution of the case, unless the student has authorized this release of information or has instigated a course of action which requires the respondent to respond. An exception to this confidentiality requirement is that the immediate supervisor or departmental chairperson of the respondent will be notified and will receive a copy of the resolution of the case. Since grievances against a respondent also have the potential to harm that person's reputation, students may not disclose information about the grievance, including the fact that they have filed a grievance, to any person not immediately involved in the resolution of the case, until the matter has been finally resolved. This is not intended to preclude the student or respondent from seeking legal advice.

1. (Graduate assistants who are master's students in the Graduate School of Business should contact the Director of that School.) When a graduate student believes that his/her rights have been violated, as the result of action(s) pertaining to a graduate assistantship he/she holds or has held within the past year, the student shall first discuss his/her concerns with the respondent. If the concerns are not resolved to the student's satisfaction, the student may discuss it with the Graduate Dean and/or with the Office of Affirmative Action. If the concerns are satisfactorily resolved by any of the above discussions, the terms of the resolution shall be reduced to writing, if any of the involved parties desires to have such a written statement.
2. If the student's concerns are not resolved by the above discussions and he/she chooses to pursue the matter further, the student shall notify the Graduate Dean in writing of the nature of the complaint. This notification will include all relevant documentation and must occur within one year from the date of the occurrence.
3. Upon receipt of this notification and supporting documentation, the Graduate Dean will meet with the graduate student. If the student agrees, the Dean will notify the respondent of the student's concerns. If the student does not wish for the respondent to be notified, the matter will be dropped. The respondent will be given ten working days from receipt of the Graduate Dean's notification to respond to the concerns.
4. The Graduate Dean will meet again with the student and make an effort to resolve the concerns in a mutually satisfactory manner. If this is not possible, the Graduate Dean will refer the case to a committee.
5. Within ten working days from the final meeting between the student and the Graduate Dean, the Graduate Dean will notify the respondent and the Academic Appeals Subcommittee of the Graduate Council, which will serve as the hearing committee. The Associate Dean of the Graduate School will serve as the chair of the grievance committee and will vote only in the case of a tie. A voting member of the Graduate Council who is not on the Academic Appeals Subcommittee will serve as the non-voting secretary of the committee. At this time, the Graduate Dean will also assign an advocate to the student. The advocate must be a member of the graduate faculty. The immediate supervisor of the sponsor will serve as his/her advocate. Note: The student and sponsor advocates will have the responsibility to help the student/sponsor prepare his/her written materials and will attend committee meetings with the student/sponsor. The advocate will not speak on behalf of the student/sponsor and will not take part in committee discussions of the merits of the case.
6. The committee shall have access to witnesses and records, may take testimony, and may make a record by taping the hearing. Its charge is to develop all pertinent factual information (with the exception that the student and respondent will not be required to be present in any meeting together without first agreeing to do so) and, on the basis of this information, to make a recommendation to the Graduate Dean to either support or reject the grievance. The Graduate Dean will then make a decision based on the committee's recommendation and all documents submitted by the parties involved. The Graduate Dean's decision, the committee's written recommendation and a copy of all documents submitted as evidence by any party to the complaint, consistent with all privacy considerations, shall be forwarded to the person(s) alleging the grievance within 20 working days from the date the committee was first convened; copies shall be sent simultaneously to other parties involved in the grievance. A copy shall be retained by the

Graduate School in such a way that the student's and respondent's privacy is protected. It should be noted that the Graduate Dean has limited authority to require a sponsor to reappoint a graduate assistant. Consequently, the redress open to the student may be limited.

7. If the grievance is not satisfactorily resolved through step 6, an appeal in writing with all relevant material may be submitted by either the student or the sponsor for consideration by the Provost/Vice Chancellor for Academic Affairs of the University of Arkansas. This appeal must be filed within 20 working days of receiving the decision of the Graduate Dean. Any appeal at this level shall be on the basis of the complete written record only and will not involve interviews with any party to the grievance. The Provost/Vice Chancellor for Academic Affairs shall make a decision on the matter within 20 working days from the date of receipt of the appeal. His/her decision shall be forwarded in writing to the Graduate Dean, the student, and the respondent. This decision is final.
8. If any party to the grievance violates this policy, he/she will be subject either to losing the assistantship position or losing the assistantship. When alleging such a violation, the aggrieved individual shall contact the Graduate Dean, in writing, with an explanation of the violation.

Travel Policy for Graduate Students

Graduate students who travel on University business must comply with the travel policies of the University. For those graduate students not on assistantships/fellowships, please see the [University Travel Policy](#) or check the [Travel Policy FAQ](#).

Rules and Regulations Pertaining to International Students

International students are subject to the same rules and regulations governing domestic students in terms of academic degree requirements and graduate assistantships (page 18). In addition, there are rules and regulations which apply specifically to international students. Click here for the [International Students and Scholars](#) site which provides links to international-related web sites.

Registration and Related Topics

Students must register during one of the formal registration periods. Graduate students, new, returning, or currently enrolled, may register during the priority registration held each semester for the following semester. Students who have not already registered should register during the open registration session. For information on registration, consult the [Schedule of Classes](#) or visit the the [Office of the Registrar](#) web site.

Enrollment Limits

Under ordinary circumstances, graduate registration is limited to 18 hours for any one semester in the fall or spring, including undergraduate courses and courses audited. Registration above 15 hours must be approved by the Graduate Dean. For registration in the summer, the enrollment limit is 12 hours without approval by the Graduate Dean.

Registration for Audit

When a student audits a course, that student must register for audit, pay the appropriate fees, and be admitted to class on a space-available basis. Students not formally admitted to a degree program will not have priority for auditing a class. The instructor shall notify the student of the requirements for receiving the mark of “AU” for the course being audited. The instructor and the student’s dean may drop a student from a course being audited if the student is not satisfying the requirements specified by the instructor. The student is to be notified if this action is taken. The only grade or mark that can be given is “AU.” The Graduate School does not normally pay tuition for audited classes for students on assistantship.

Registration Out of Career

Students who wish to enroll in classes for credit outside of their career (e.g. graduate students who wish to enroll in undergraduate classes for undergraduate credit) should print the appropriate form from the Graduate School Web site (<http://grad.uark.edu/forms/index.html>), and return the form to the office indicated on the form. Students are not able to register themselves out of career.

Proper Address of Students

All students are responsible for maintaining their addresses with the University and to report any change of address promptly to the Office of the Registrar or to the Graduate School. Failure to do so may result in undelivered grades, registration notices, invoices, invitations, or other official correspondence and announcements.

Identification Cards

Identification cards are made by the Division of Student Services during each registration period and at scheduled times and places during the year. The I.D. card can be used as a debit card for purchases at the Bookstore or the Servery.

Adding and Dropping Courses

A currently enrolled student who has registered during the advance registration period should make any necessary or desired schedule adjustments such as adding or dropping courses or changing course sections during the schedule-adjustment period scheduled for the same semester. Students may also add or drop courses during the first five class days of a semester. Students who drop classes by the end of the first week of classes in the fall and spring will have

their fees adjusted. (Refer to the Treasurer's Office Web site for summer dates.) Fee adjustments are not done for classes dropped after the first week of classes. Drops and Withdrawals are two different functions. In a drop process the student remains enrolled. The result of the withdrawal process is that the student is no longer enrolled for the term. The two functions have different fee adjustment policies. Fee adjustment deadlines for official withdrawal are noted below.

A student may drop a course during the first 10 class days of the semester without having the drop shown on the official academic record. After the first 10 class days, and before the drop deadline of the semester, a student may drop a course, but a mark of "W," indicating the drop, will be recorded. A student may not drop a full-semester course after the Friday of the tenth week of classes in a semester.

Drop-add deadlines for partial semester courses and summer classes are in the schedule of classes.

Withdrawal from Registration

Withdrawing from the University means withdrawing from all classes that have not been completed up to that time. A student who leaves the University voluntarily before the end of the semester or summer term must file and have accepted by his or her academic dean and the Registrar a Petition for Withdrawal from Registration. Withdrawal must occur prior to the last class day of a semester. Students who do not withdraw officially from a class that they fail to complete will receive an "F" in that class.

Attendance

Students are expected to be diligent in the pursuit of their studies and in their class attendance. Students have the responsibility of making arrangements satisfactory to the instructor regarding all absences. Such arrangements should be made prior to the absence if possible. Policies of making up work missed as a result of absence are at the discretion of the instructor, and students should inform themselves at the beginning of each semester concerning the policies of their instructors.

Full-Time Status

Enrollment in nine semester hours (not including audited courses) is considered full-time for graduate students not on assistantship. For graduate assistants or students with research fellowships on 50 percent appointment or more, six semester hours (not including audited courses) of enrollment is considered full-time in the fall and spring semesters. Graduate assistants who are on a 50% appointment for a six week summer term must earn at least three hours of graduate credit during the summer. However, these credits do not have to be earned in the same session as the appointment, and may be taken at any time during the summer. Tuition and fees for graduate assistants on 50% appointments for a six week summer term will be paid up to a maximum of 4 hours. Students not on graduate assistantships or fellowships must be enrolled in six hours (not including audited courses) to be full time in the summer.

Continuous Enrollment

After a doctoral student has passed the candidacy examinations, the student must register for at least one hour of dissertation each semester and one hour during the summer session until the work is completed, whether the student is in residence or away from the campus. For each semester in which a student fails to register without prior approval of the Dean of the Graduate School, a registration of three hours will be required before the degree is granted. Please see the Graduate School Registration and Leave of Absence Policy.

Use of Electronic Resources of the Library

The use of electronic resources of the University Libraries from a location outside of the library is only available to enrolled students. Students who are enrolled in the spring semester and have pre-registered for the succeeding fall semester may have access to these resources during the intervening summer. Students who are not required to be enrolled for other reasons, who are not pre-registered for the fall, and who wish to use the library resources during the summer must be enrolled in at least one hour of credit in any one of the summer sessions. If a student is not enrolled at the University but is finishing work for the degree, the student's major professor may request that the student be added to ISIS as an affiliate student, in order to have access to e-mail and library resources. An e-mail should be sent by the major professor to the Associate Dean of the Graduate School with the student's name, student ID number and a reason why the request should be granted.

Student Rights Under the Family Educational Rights and Privacy Act (FERPA)

The Family Educational Rights and Privacy Act (FERPA) affords students certain rights with respect to their education records. They are as follows:

1. The right to inspect and review the student's education records, with some exceptions under the Act, within 45 days of the day the University receives a request for access. Students should submit to the Registrar's Office written requests that identify the record(s) they wish to inspect. The appendix to Universitywide Administrative Memorandum 515.1 provides a list of the types and locations of education records, the custodian of those records, and copying fees for each individual campus. The University official will make arrangements for access and notify the student of the time and place where the records may be inspected. If the records are not maintained by the University official to whom the request was submitted, that official shall advise the student of the correct official to whom the request should be addressed.
2. The right to request the amendment of the student's education records that the student believes are inaccurate or misleading. Students should write the University official responsible for the record, clearly identify the part of the record they want changed, and

specify why it is inaccurate or misleading. A sample form, which may be used in making this request, is contained in the appendix to Universitywide Administrative Memorandum 515.1.

If the University decides not to amend the record as requested by the student, the University will notify the student of the decision and advise the student of his or her right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing and is also contained in the Universitywide Administrative Memorandum 515.1

3. The right to withhold consent of disclosure of directory information, which information: the student's name; address; telephone number; date and place of birth; nationality; religious preference; major field of study; classification by year; number of hours in which enrolled and number completed; parents' or spouse's names and addresses; marital status; participation in officially recognized activities and sports; weight and height of members of athletic teams; dates of attendance including matriculation and withdrawal dates; degrees, scholarships, honors, and awards received, including type and date granted; most recent previous education agency or institution attended; and photograph.

This information will be subject to public disclosure unless the student informs the Registrar's Office in writing each semester that he or she does not want his information designated as directory information. To prevent publication of name in the printed student directory, written notice must reach the Registrar's Office by August 31 of the Fall semester

4. The right to consent to disclosures of personally identifiable information contained in the student's education records, except to the extent that FERPA authorizes disclosure without consent.

One exception, which permits disclosure without consent, is disclosure to school officials with legitimate educational interests. A school official is a person employed by the University in an administrative, supervisory, academic or research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the University has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an educational record to fulfill his or her professional responsibility.

Upon request, the University also discloses education records without consent to officials for another school in which a student seeks or intends to enroll.

5. The right to file a complaint with the U.S. Department of Education concerning alleged failures by the University to comply with the requirements of FERPA. The name and address of the office that administers FERPA is as follows:

Family Policy Compliance Office
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-4605

6. Universitywide Administrative Memorandum 515.1 is available on request in Mullins Library on campus.

Grades and Marks

Final grades for courses are “A,” “B,” “C,” “D,” and “F” (except for courses taken in the Bumpers College of Agricultural, Food, and Life Sciences where plus and minus grades are allowed). No credit is earned for courses in which a grade of “F” or, beginning with students admitted to the Graduate School in Fall 2001 or after, “D” is recorded.

A final grade of “F” shall be assigned to a student who is failing on the basis of work completed but who has not completed all requirements. The instructor may change an “F” so assigned to a passing grade if warranted by satisfactory completion of all requirements.

A mark of “I” may be assigned to a student who has not completed all course requirements, if the work completed is of passing quality. An “I” so assigned may be changed to a grade provided all course requirements have been completed within 12 weeks from the beginning of the next semester of the student’s enrollment after receiving the “I.” If the instructor does not report a grade within the 12-week period, the “I” shall be changed to an “F.” When the mark of “I” is changed to a final grade, this shall become the grade for the semester in which the course was originally taken.

A mark of “AU” (Audit) is given to a student who officially registers in a course for audit purposes (see Registration for Audit).

A mark of “CR” (credit) is given for a course in which the University allows credit toward a degree, but for which no grade points are earned. The mark “CR” is not normally awarded for graduate-level courses but may be granted for independent academic activities. With departmental (or program area) approval and in special circumstances, up to a maximum of six semester hours of “CR” may be accepted toward the requirements for a graduate degree.

A mixing of course letter grades and the mark “CR” is permitted only in graduate-level courses in which instruction is of an independent nature.

A mark of “R” (Registered) indicates that the student registered for master’s thesis or doctoral dissertation. The mark “R” gives neither credit nor grade points toward a graduate degree.

A mark of “S” (Satisfactory) is assigned in courses such as special problems and research when a final grade is inappropriate. The mark “S” is not assigned to courses or work for which credit is given (and thus no grade points are earned for such work). If credit is awarded upon the completion of such work, a grade or mark may be assigned at that time and, if a grade is assigned, grade points will be earned.

A mark of “W” (Withdrawal) will be given for courses from which students withdraw after the first 10 class days of the semester and before the drop deadline of the semester.

For numerical evaluation of grades, “A” is assigned 4 points for each semester hour of that grade; “B,” 3 points; “C,” 2 points; “D,” 1 point; and “F,” 0 points. Grades of plus and minus are assigned grade-point values in the Bumpers College of Agricultural, Food, and Life Sciences.

Time Extension Policy

It is a requirement of the Graduate School that master’s and specialist students complete their degrees within six consecutive calendar years from the first semester of enrollment in the program and doctoral students complete the degree within seven consecutive calendar years from the date of admission to the program. Requests to extend these time requirements must be reviewed and approved by the Graduate Dean, following these procedures:

1. The student’s major advisor will fill out a “[Request for Time Extension](#)” form (available on the web-site of the Graduate School) and submit this to the Graduate School.
2. For both master’s and doctoral students, the central consideration in determining whether more time can be allowed is whether the student’s knowledge of the subject matter is current at the time of graduation. Therefore, as part of the request for time extension, the major advisor will be asked to explain how this will be ensured:
 - o For the master’s degree, the student’s knowledge of any course work over six years old at the time of graduation must be recertified. Please see “Recertification of Student’s Knowledge of Course Content,” below.
 - o For the doctoral degree, recertification of the student’s knowledge of course work is not necessary, but the major advisor must explain how the currency of the student’s knowledge of the field will be assessed prior to graduation.

Recertification of Student’s Knowledge of Course Content: The major advisor must specify how recertification of the student’s knowledge of course content will occur. By recertification, we mean that the student’s knowledge of the subject matter included in the course and the content of the course are determined to be current at the time of graduation. There are several ways this may be demonstrated. Examples include: The student is teaching the subject matter in a separate context; the student will be examined by the current instructor of the course to determine his/her currency of knowledge; the student will be examined on the subject matter during his/her final oral defense of the thesis or during the comprehensive exam. It is not acceptable to say that the content of the course has not changed in the time since the student was enrolled, as it is the student’s knowledge that is most critical. The course content does not speak to this issue.

Graduation & Commencement

Graduation

Application for the Degree

A student cannot be cleared for graduation until an application for the degree has been filed with the Registrar's Office and the appropriate graduation fee has been paid. The degree application card is obtained from the Graduate School Office and filed with the Registrar for the semester in which the student expects to receive the degree. If the student does not graduate in the indicated semester, the student must reapply for graduation by contacting the Registrar's Office. Please refer to the Master's Calendar or Doctoral Calendar for specific deadline dates.

Announcement of Dissertation Defense

Announcement of a doctoral candidate's dissertation defense must be submitted to the Graduate School at least TWO WEEKS prior to the date of the defense. Upcoming defense scheduling available to the public can be found on the [Dissertation Defense Announcements page](#).

Time to Receive Diploma

The diploma is mailed by the Registrar's Office approximately 6-8 weeks after the official diploma date.

Availability of Final Transcripts

Final Transcripts with degree confirmation are available after the Graduate School forwards the appropriate clearance materials to the Registrar's Office. Students who need a transcript showing degree confirmation should submit a request indicating "Hold for Degree" to guarantee that the transcript will not be issued until the degree is officially posted to the academic record.

Degree Completion Letter

A letter from the Graduate School verifying that degree requirements are complete and verifying when the degree will be conferred is available upon request. Note: This letter can only be generated after ALL requirements are satisfied, including final grades, submission of thesis/dissertation, application for graduation, etc.

Commencement

Commencement Ceremony

Once a year, the University of Arkansas offers a number of ceremonies in the month of May for graduates who have completed graduation requirements within the academic year. Graduate students are recognized at the All-University Commencement ceremony which begins at 8:45 on the 2nd Saturday of May and runs approximately 3 hours. The College of Engineering and the Walton College of Business Administration allow graduate students to participate in their ceremony as well. Additional information is made available in the spring semester.

Participation in Ceremony

Summer, Fall and Spring Degree Recipients/Applicants are invited to participate in the All-University Commencement ceremony. Degree applicants for the future summer and fall semester MAY participate with approval of their adviser. A form is required and may be obtained from the Graduate School or our home page.

An immediate family member (spouse, parent, child) who is a member of the academic faculty at the University of Arkansas, Fayetteville, may present your diploma. Please contact the Graduate School for arrangements.

Regalia

All graduates participating in any commencement ceremony must wear appropriate regalia. The Instructions to Graduates will provide necessary information about obtaining the appropriate regalia. Regalia is distributed by the University Bookstore.

Deadline for Name to be Included in Commencement Program

The Graduate School makes the effort to include as many graduate students in the Commencement Program as possible. Keep in mind that there are printing deadlines. We tell students that their name should be included if they apply for graduation by late February. All past degree recipients for the academic year are automatically included.

Dissertation Titles in Commencement Program

The dissertation title is included for doctoral recipients/candidates. Every effort to have an up-to-date title on file with the Graduate School by late February is appreciated.

Photography/Video Services

Chappell, a professional photography company in Lawrence, Kansas, will be on hand to take pictures of each candidate as the diplomas are presented during the ceremony. You will receive information regarding their services directly from them. You may contact Chappell by calling 1-800-424-3686 or by visiting www.chappell.com on the web. The Department of Media Services,

Division of Continuing Education, will be recording the ceremony. If you are interested in purchasing a copy of the video, please contact them at 501-575-5710.

Other Commencement Information

- [University Commencement Information](#)
- [Graduate School Commencement Information and Forms](#)

Miscellaneous

Copies of Transcripts or Test Scores

Students may obtain ONE AND ONLY ONE unofficial copy of any document on file in their academic folder in the Graduate School, excluding the University of Arkansas transcript which is available from the Registrar's Office. Students must submit a written request with their signature (A form is available at the Graduate School.) There is no cost associated with this service.

Students may obtain ONE AND ONLY ONE certified copy of any **foreign transcript** on file in their academic folder in the Graduate School. Students must submit a written request with their signature (A form is available at the Graduate School.) There is no cost associated with this service.

Helpful Links

- [Graduate Catalog](#)
- [Guide for Preparing Theses and Dissertations.](#)
- [Office of Research Support & Sponsored Programs Home Page.](#)