

Appendix D

In accordance with Section IV of the Regulations of the Santa Cruz Division, the following items pertain to the policies and administration of the various graduate programs. The authorization for such programs is contained in the Regulations, Section IV, and its subchapters. (En 31 Aug 02)

Graduate Program

I. General.

- A. The ensuing policies with regard to the graduate program are issued by the Graduate Council in accordance with SCB 13.21. (Am 9 June 93; CC 29 Aug 97, 31 Aug 98, 31 Aug 02; EC 1 Aug 73)

II. Admissions.

- A. The admission of graduate students is subject to the provisions of SR 510 and 520. (CC 31 Aug 99)
- B. Application for admission to graduate study should be made to the Division of Graduate Studies by students with the Bachelor's degree from the University of California or other such institution in good academic standing. Evidence of capacity to successfully carry out graduate study leading to an advanced degree at the University of California, Santa Cruz, normally shall be a record that shows at least a B average (3.0 on a 4-point scale) overall and in the student's major subject. A student applying for admission to graduate study from an institution grading on a Pass/Fail basis must have his or her academic promise evaluated by three persons competent to make an appraisal of his or her work. (Am 26 May 99; CC 1 Feb 88, 31 Aug 98; EC 1 Aug 77, 31 Aug 06)
- C. Students are admitted for graduate study by administrative officers acting under the authority of the Graduate Council and on the recommendation of the appropriate department. Students without a specific degree objective are limited to one academic year of enrollment and must be sponsored by a member of the Academic Senate who has agreed in writing to supervise their studies. (Am 25 May 94; EC 12 May 97)
- D. Students are not admitted to graduate study under a department that does not offer an approved graduate program unless the appropriate academic divisional dean is satisfied that an approved program is likely to be offered within one calendar year from the date of registration. (CC 1 Aug 77; EC 12 May 97)
- E. Applications of students who already have pursued graduate study at another campus of the University of California or at another institution are reviewed in the same way as other applications for admission to graduate study. The department concerned determines the amount of transferable credit in accordance with SR 726 and subject to the policies of the Graduate Council. (CC 31 Aug 99; EC 12 May 97)
- F. All applicants for Master's and doctoral programs are required to provide the results of the Graduate Record Examination General Test. The Council encourages departments

and programs to take these scores into account in their admissions process as they see fit. The Council expects that, regardless of each program's stance on the value of the GRE as an indicator of quality, programs will employ an effective comprehensive review policy that strives to identify and attract a first-rate body of graduate students to the campus. (En 31 Aug 07; EC 31 Aug 08)

III. Student Programs.

- A. Programs of graduate students are approved by their respective departments and recorded in the Office of Graduate Studies and Research. (CC 1 Feb 88; EC 12 May 97)
- B. The regular course load for a full-time graduate student is 15 units of graduate and/or upper-division undergraduate course work, including any 297 or 299 units for which the student may enroll. The minimum load for a full-time student is 10 units of graduate and/or upper-division undergraduate course work. Part-time students cannot enroll for more than 8 units of graduate and/or upper-division undergraduate course work. No graduate student is permitted to enroll for more than 19 units without prior approval from the Graduate Representative or Graduate Program Director of her or his department. (Am 20 May 92; EC 1 Aug 77, 12 May 97, CC 31 Aug 08)
- C. The nature and extent of the responsibilities of graduate students appointed as readers, teaching assistants, or research assistants must be reported to the Office of Graduate Studies and Research by the department or college responsible for their supervision by the end of the second week of each term. (CC 1 Aug 77, 1 Feb 88; EC 12 May 97)

IV. Academic Progress [Taken from the Graduate Handbook, approved by GC in 2000] (CC 31 Aug 08)

- A. A duly registered graduate student is considered to be in good standing so long as (a) the student not advanced to candidacy undertakes a minimum of two upper division or graduate level courses per quarter and passes a minimum of five 5-credit courses toward a terminal degree or certificate by the end of each academic year; the student advanced to candidacy undertakes and passes at least one course per quarter, usually Thesis Research, OR (b) the student's department or committee of studies determines that she or he is making satisfactory academic progress toward a terminal degree or certificate. In addition, the student must meet the criteria below.
- B. The academic progress of each continuing graduate student shall be reviewed annually by the student's department or committee of studies by the end of the spring term.
- C. A student whose academic progress is judged not satisfactory will be recommended for academic probation until such time (one academic year, maximum) as her or his progress has become satisfactory once again and the Graduate Dean has been so informed in writing by the Graduate Representative of the student's department.
- D. Students on academic probation are not eligible for merit fellowship support and will receive lower priority for academic appointments at UCSC (including Teaching Assistant, Teaching Fellow, Graduate Student Researcher, etc.). Special justifications

- will be required to appoint probationary students so long as there are any other students in the program who lack financial support.
- E. A student whose academic progress has been found not satisfactory in two successive annual reviews will be subject to dismissal from the University.
 - F. A full-time student who has been enrolled in the same graduate program for four calendar years without advancing to candidacy for the doctorate is not considered to be making satisfactory progress and will be recommended for academic probation until advancement is achieved.
 - G. A student who has been advanced to candidacy for more than three calendar years is not considered to be making satisfactory academic progress and may be recommended for academic probation for up to one academic year by the student's department.
 - H. A full-time master's degree student is considered not to be making satisfactory progress beyond three calendar years of enrollment and may be recommended for academic probation for up to one academic year by her or his department.
 - I. Students on probation will continue to be eligible for institutional, state, and federal need-based assistance for up to one academic year to support their efforts to make up satisfactory academic progress shortfalls.
 - J. A student who fails to register promptly following expiration of an approved leave of absence is not in good standing. The usual term for a leave of absence is three academic quarters, and all requests to extend or renew a leave must be approved in advance by the Graduate Dean.
 - K. Only students in good standing are eligible for leaves of absence. Students who are neither registered nor on an approved leave of absence are not in good standing. Only students in good standing are eligible to use the Filing Fee.
 - L. Time to Degree
 - 1. Full-time graduate students are expected to complete their degree objectives within the following maximum time frames:
 - b. Certificate students: one calendar year from the date of first enrollment in the program;
 - c. Master's degree students: three calendar years from the date of first enrollment in the program;
 - d. Doctoral students: seven calendar years for all programs except Literature and History of Consciousness, where it is eight years.
 - 2. Part-time graduate students are subject to the same provisions as full-time students, except that satisfactory progress toward degree completion is measured at a minimum of one course per quarter or three courses per academic year, and the maximum time frame is prorated accordingly:

- a. Certificate students: two calendar years
 - b. Master's degree students: six calendar years
 - c. Doctoral students: eleven calendar years (Once advanced to candidacy a student is considered full-time when enrolled in thesis research.)
3. For the purpose of measuring satisfactory academic progress, course incomplete, withdrawals, repetitions, and noncredit courses do not count as courses completed.

(CC 31 Aug 08)

V. Certificate Requirements [Taken from the Graduate Handbook, approved by GC in 2000] (CC 31 Aug 08)

- A. The minimum residency requirement for a Certificate at the University of California is three quarters. In order to be eligible to receive a certificate from UC Santa Cruz, you must be registered at the Santa Cruz campus for at least two of the three quarters.
- B. The student must submit an Application for the Certificate to the department for review by the end of the second week of the quarter in which the student intends to receive the certificate.

(CC 31 Aug 08)

VI. The Master's Degree. (EC 31 Aug 08)

- A. In accordance with SR 682, the minimum residence requirement is three quarters at the University of California, of which at least two must be spent at the University of California, Santa Cruz campus. At least one of the three quarters must occur after the student has applied for admission to candidacy for the Master's degree. (SR 724) Residence is established by satisfactory completion of one course per term. (CC 1 Aug 77, 31 Aug 98, 31 Aug 99)
- B. Programs for the Master's degree are subject to SR 720-726. (CC 31 Aug 98, 31 Aug 99)
- C. Students pursuing academic Master's Degrees (M.A. and M.S.) will pursue either a thesis capstone (Plan I) or comprehensive capstone (Plan II) curriculum. Individual programs may adopt one or both plans. Candidates for either plan are subject to guidance by the program's Faculty respecting the distribution of the student's workload among departments. Subject to the approval of the Academic Senate, programs are to develop M.A. and M.S. degree requirements appropriate to the field of study. These requirements must meet the following minimum standards. (EC 31 Aug 06)

C.1 Minimum Number of Units Required

Plan I: Must require a minimum of 35 quarter units of graduate and upper division courses, of which no more than 15 units may be upper division undergraduate courses. Of the required graduate-level courses, a minimum of 20 units must be courses other than supervised research, except by special exception of the Graduate

Council. This exception shall be provided to the program as a whole, rather than case-by-case to individual candidates.

Plan II: Must require a minimum of 35 quarter units of graduate and upper division courses, of which no more than 15 units may be upper division undergraduate courses. Supervised research classes may not count towards the satisfaction of minimum unit requirements for Plan II candidates.

C.2 Minimum Capstone Requirements

Plan I: A Master's thesis, or a paper, project, or performance in lieu of a thesis, is required of each candidate. The Plan I capstone must be completed in the format specified by the Graduate Council and filed with the Office of Graduate Studies and Research by the end of instruction in the term in which the candidate expects the degree to be awarded.

Plan II: A comprehensive final examination or project in the major subject, of such nature and conducted in such manner as may be determined by the department or group concerned, is required of each candidate. The nature of the comprehensive capstone is to be approved by the Graduate Council for the program as a whole.

(CC 1 Aug 77, 1 Feb 88, 6 Apr 06; EC 12 May 97)

- D. A Committee to read and evaluate the Master's thesis is appointed by the candidate's department, and the department shall at the same time notify the Graduate Studies and Research Office of the membership of the Committee by the end of the second week of the quarter in which the degree is to be granted. The majority of the membership of a thesis reading committee shall be members of the Santa Cruz Division of the Academic Senate. A change in the membership of the committee, once appointed, may only be made with the approval of the Graduate Dean. (En 29 May 91; EC 12 May 97)
- E. The student must submit an Application for the Master's Degree to the department for review by the end of the second week of the quarter in which the student intends to receive the degree. [Taken from the Graduate Handbook, approved by GC in 2000] (CC 31 Aug 08)

VII. The Ph.D./Ed.D./DMA Degree. (CC 31 Aug 08; EC 31 Aug 08)

- A. In accordance with SR 686 the minimum residence requirement for the doctoral degree is six terms, three of which must be spent in residence at the University of California, Santa Cruz campus. Residence is established by the satisfactory completion of one course per term. (CC 1 Aug 77, 31 Aug 98, 31 Aug 99; EC 31 Aug 08)
- B. Subject to the approval of the Graduate Council, each department determines the language requirement appropriate to its subject-matter area and defines the means by which students demonstrate their language proficiency. The student must have satisfied all language requirements in his or her field of study before taking the qualifying examination for advancement to candidacy for the doctoral degree. (EC 1 Aug 77, 12 May 97, 31 Aug 08)

- C. Advancement to candidacy follows and is contingent upon the passing of an oral examination (departments may also require a written examination) and the appointment of a qualified Dissertation Reading Committee. A student cannot be advanced to candidacy with course grades of "I" (Incomplete) standing on his or her record. (Am 17 Feb 78, 26 Feb 97; 8 Mar 84 EI, 25 May 94; CC 1 Feb 88)
- D. The student must be a registered graduate student the quarter s/he takes the qualifying examination. [Taken from the Graduate Handbook, approved by GC in 2000] (CC 31 Aug 08)
- E. The qualifying examination committee shall consist of at least four examiners, one of whom is not a member of the student's department. The department shall submit to the Office of the Graduate Dean at least one month before the proposed examination a list of four qualified persons who are willing to serve on the examination committee, and who meet the following conditions:
1. The Chair of the Examination Committee must be a tenured faculty member.
 2. The student's thesis adviser cannot chair the examination committee unless this is specifically allowed by departmental policy.
 3. The outside member must be either a tenured faculty member from a different discipline on the University of California, Santa Cruz, campus, a tenured faculty member of the same or different discipline from another academic institution involved in research and graduate education, or a qualified person outside of academia with significant research experience. (CC 31 Aug 98; EC 31 Aug 06)
 4. These nominations must be approved by the Graduate Dean, who is authorized to grant exceptions to the guidelines when requested in writing by the departmental chair.
- (Am 26 Feb 97; EC 1 Aug 77, 31 Aug 08)
- F. Before applying for advancement to candidacy the student must satisfy the language requirement (if applicable), pass the qualifying examination, complete all required course work, clear all incompletes, and submit a Dissertation Reading Committee form to the Graduate Dean for approval. [Taken from the Graduate Handbook, approved by GC in 2000] (CC 31 Aug 08)
- G. Advancement to Candidacy takes effect on the first day of the quarter following the receipt of the Qualifying Examination Report and the Dissertation Reading Committee form, Language Requirement form (if applicable) and the Advancement to Candidacy fee in the Graduate Studies office. [Taken from the Graduate Handbook, approved by GC in 2000] (CC 31 Aug 08)
- H. At least one academic term in registration must intervene between Advancement to Candidacy and the award of the degree. (Am 17 Apr 74, 26 Feb 97; CC 1 Aug 77; EC 31 Aug 08)
- I. If the doctoral degree is not awarded within seven years from the date of Advancement to candidacy, the student's candidacy shall lapse and the student will be required either to pass a new qualifying exam prior to submitting the dissertation or undergo such other formal review as the student's department shall direct, with the result of this examination

or review being transmitted in writing to the Graduate Council. (En 12 Feb 92; Am 26 Feb 97; EC 31 Aug 08)

- K. A committee to read and pass upon the dissertation is appointed by the candidate's department, subject to the approval of the Graduate Dean. The committee will have at least three members, and at least half of the committee must be members of the Santa Cruz Division of the Academic Senate. A change in membership of the dissertation committee must be approved by the Graduate Dean. (Am 10 Feb 78, 2 June 78, 29 May 91, 26 Feb 97; CC 1 Aug 77, 1 Feb 88, CC 31 Aug 08; EC 31 Aug 08)
- L. The student must either be a registered student or on Filing Fee the quarter in which the degree is to be conferred. The Announcement of Candidacy and Application for a doctoral degree must be submitted to the Division of Graduate Studies by the end of the second week of the quarter in which the degree is to be awarded. [Taken from the Graduate Handbook, approved by GC in 2000] (CC 31 Aug 08)
- M. The dissertation, completed in the format specified by the Graduate Council and approved by the dissertation committee, must be submitted to the Office of Graduate Studies and Research by the end of instruction in the term in which the degree is to be awarded. (CC 1 Aug 77, 1 Feb 88, EC 31 Aug 08)
- N. If the report of a qualifying examination committee or a dissertation committee is not unanimous, the Graduate Dean shall, before certifying that the examination is passed, make such investigation of the case as he or she deems necessary and present his or her findings to the Graduate Council for its final disposition of the case. (En 10 Feb 78; CC 1 Aug 78, 1 Feb 88, EC 31 Aug 08)

VIII. Scholarship. (EC 31 Aug 08)

- A. A graduate student may be dismissed or placed on probation on grounds of poor academic performance by the Graduate Dean, upon recommendation of the department. (Am 4 June 69; CC 1 Feb 88; EC 12 May 97, 31 Aug 08)

IX. Financial Aid. (EC 31 Aug 08)

- A. Responsibilities of the Graduate Council with regard to financial aid of graduate students are as specified in SB 330B(5). (CC 4 Aug 87, 31 Aug 98, 31 Aug 99)
- B. Fellowships funded from University sources are awarded by the Chancellor of the University of California, Santa Cruz. Recommendations are made to the Graduate Council by departments, reviewed by the Graduate Council to determine priorities, and forwarded to the Chancellor of the University of California, Santa Cruz. (CC 31 Aug 98; EC 12 May 97)
- C. Regents' Graduate Fellowships are normally awarded for one year, but they may be renewed for a total period not to exceed three years. Preference is given to first-year graduate students. Awards are made by the Chancellor of Santa Cruz with the advice and counsel of the Graduate Council. (CC 31 Aug 98)

- D. Students are appointed as readers, teaching assistants, or research assistants upon the recommendation of the department or college which supervises them. Appointment is subject to the approval of the appropriate academic divisional dean. (CC 1 Aug 77; EC 12 May 97)

X. Public Academic Ceremonies. (EC 31 Aug 08)

- A. In order for a student to qualify for an advanced degree, the requirements for said degree must be met, as certified by the department on an appropriate form of the Division of Graduate Studies. To qualify for participation in graduate commencement exercises, doctoral students and thesis master's candidates must meet all requirements for their degrees, including submittal of the completed thesis or dissertation, no later than the end of the ninth week of the term in which the degree is to be awarded. Exceptions will be made to participate in spring commencement exercises only if the student's graduate advisor in consultation with other committee members and the departmental graduate representative certify that all degree requirements will be completed with reasonable certainty by June 30. (En 9 Mar 73; CC 1 Aug 77, 1 Feb 88; Am 21 Feb 96, 4 Apr 02; EC 12 May 97, 31 Aug 06)

XI. Review of Graduate Programs. (EC 31 Aug 08)

- A. All graduate programs approved by the Graduate Council shall be subject to detailed review by the Graduate Council at intervals no greater than six years. In normal cases, for programs associated with a single department, reviews may be conducted in concert with the departmental reviews. At least once every six years, at the time of departmental reviews if appropriate, the reviews will include evaluations of the graduate programs by external committees. The external review committee may be identical to the departmental one. Other reviews may be conducted, with or without an external review committee of one or more members as needed, in cases deemed appropriate by the Graduate Council. Such intermediate reviews are advisable for new programs and other programs needing a greater than normal level of monitoring. After a graduate program review is completed, including follow-up reports, the Graduate Council shall recommend, based on the issues raised in the review reports and the level of compliance with recommended changes, a date by which the next review should take place for programs that are approved for continuation. A review shall take place no later than that recommended date, but may take place sooner if the Graduate Council deems one to be necessary. The review process shall be coordinated by the Vice Provost for Academic Affairs and the Division of Graduate Studies. The Graduate Council shall exercise oversight of all aspects of the graduate portion of the review process, including approval of the charge and external review committee and the nature of the site visit, the closure meeting, and follow-up reports. The Graduate Council expects a programmatic review within six years of the prior review. If a review within this period is not completed, suspension of graduate admissions is warranted unless the Council is successfully petitioned. (Am 4 Apr 02; EC 31 Aug 08)

XII. Appeals of Academic Judgments. (En 1 Aug 84; Am 7 Jan 88, 26 May 99, 24 Apr 08, 21 May 09; EC 31 Aug 02, 31 Aug 08, 31 Aug 09)

Revisions approved by Graduate Council on May 21, 2009, and effective July 1, 2009

Students have the right to appeal various institutional judgments concerning their academic standing at UC Santa Cruz including dismissal from graduate standing, placement on

probationary status, narrative evaluation or grade notation, and their academic progress. This appeal procedure applies only to enrolled graduate students at UC Santa Cruz and is not available to appeal denial of admission or readmission to any program.

The scope of this procedure is limited to the matters listed above, and excludes complaints regarding student employment as a Teaching Assistant, student discipline, auxiliary student services (such as housing, child care, etc.), and sexual harassment, which are covered by other policies and procedures.

This document outlines the four levels of complaint resolution available to graduate students at UC Santa Cruz:

Instructor appeal,
Departmental appeal,
Graduate Dean appeal, and
Graduate Council appeal.

Throughout all stages of the appeal process, both parties are strongly encouraged to seek informal resolution. The Graduate Dean may be consulted for informal resolution at any stage of the process. In addition graduate students may contact the Office of the Ombudsman for assistance with informal complaint resolution. Working toward informal resolution does not preclude continuation of a formal appeal. However, unless a request for extension of a deadline is granted as provided below, informal resolution efforts shall not serve in any way to stay or extend an applicable filing deadline.

Requests for Extension of Filing Deadlines: Except as otherwise provided in this policy, any party may for good cause seek an extension of a deadline by filing a request with the Graduate Dean. Such request must be submitted in writing prior to the deadline for which an extension is sought, and must explain the reason(s) why an extension is necessary. The decision to grant or deny a request is within the discretion of the Dean and shall be final and binding.

Basis for Appeals

An appeal may be filed based upon one or more of the following grounds, provided that the action complained of has had a material impact on the student's academic standing:

1. Procedural error or violation of official policy by academic or administrative personnel;
2. Judgments improperly based upon non-academic criteria including, but not limited to, discrimination or harassment on the basis of race, color, national origin, religion, sex, disability, age, medical condition, ancestry, marital status, citizenship, sexual orientation, or status as a veteran or special disabled veteran, or any personal or arbitrary reasons;
3. Special mitigating circumstances beyond the student's control not properly taken into account in a decision affecting the student's academic progress;
4. Capricious or arbitrary application of appropriate criteria in a manner not reflective of the student's performance in relation to a course or program requirement.

Procedure for Appeals

Throughout the appeals process all time periods are expressed in working days¹ within the academic term or during the normal working days of summer. Students should be aware that appeals begun late in spring or in summer may be delayed by the unavailability of specific faculty and/or the Graduate Council.

A written appeal must be initiated by the student within the time limits specified below. The student must seek resolution of the action sequentially as described below, unless the action complained of is not an evaluation or grade notation. In that instance, the student would begin the appeal with Step II below.

Step I. If the student is appealing an evaluation or grade notation, the appeal must be submitted to the instructor who provided the evaluation or grade notation;

Step II. For all other appeals, or if the student is continuing the appeal of an evaluation or grade notation, the appeal must be submitted to the student's major department;

Step III. The Graduate Dean;

Step IV. The Graduate Council.

In all cases (Step I through IV), the appeal should indicate the action(s) being appealed, the date(s) the action(s) occurred, the grounds upon which the appeal is based, and the outcome desired.

Step I. Appeal to Instructor

If a student is appealing a narrative evaluation or grade notation, the student must submit a written appeal to the instructor of the course within twenty (20) working days of the deadline contained in the campus Academic and Administrative Calendar for submittal of narrative evaluations or grade notation or, if that deadline has passed, of the actual date when the faculty member filed the narrative evaluation or grade notation. The chair of the faculty member's department should be copied on the appeal, in order to inform the student if the faculty member is unavailable.

The faculty member may elect to meet with the student to discuss the appeal and determine if a reasonable compromise can be reached that is acceptable to both parties. The faculty member must submit a written response to the student with a copy to chair of the student's department within ten (10) working days of the date of the student's Step I appeal.

This deadline may be extended by the chair of the faculty member's department or his/her designate should the faculty member be away from campus for research, administrative duties, sabbatical time, or personal leave.

¹ The term "working days" means Monday through Friday, excluding University holidays.

If the course in question was sponsored by a unit other than the student's home department, the appeal should be addressed to the instructor of the course and copied to the chairs of the two departments jointly.

Step II. Appeal to the Department

The student may continue the appeal of an evaluation or grade notation with the department. In addition, a student may begin the appeal of any other action at this level. Students continuing the appeal of an evaluation or grade notation must submit a written appeal to the chair of the department of the faculty instructor of the course, and this appeal must be submitted within twenty (20) working days of the date of the written response from the faculty instructor in Step I. If the course in question was sponsored by a unit other than the student's home department, the chair of the student's home department should be copied. In addition, the student may begin the appeal of any other department action at this level by submitting a written appeal to the chair of the department. This appeal must be submitted within twenty (20) working days of the date of the notice of the appealed action.

Review of the appeal at the departmental level should be conducted by the departmental graduate affairs committee or analogous group. This group should minimally include two or more faculty members. If a faculty member's action(s) is the subject of the appeal, s/he must recuse him or herself from the committee. Departments may also elect to establish an ad hoc committee to handle appeals filed in a given academic year. The committee will initiate a review process within ten (10) working days of receipt of the appeal.

The committee will receive the written appeal from the student, all pertinent material from the faculty member and student, and any additional material considered germane to the appeal either by the student or the faculty member. The committee may request additional information, as it deems necessary. The committee or its designated members may elect to interview the faculty member and/or student involved in the appeal. The appeal must be concluded within fifteen (15) working days of receiving the written appeal from the student.

The committee will render its decision in written form within five (5) working days of the conclusion of the review process. For the decision to be binding, it must be consensual and accepted by all parties.

If the action being appealed, such as probation or dismissal, was initiated by the department, the review process remains the same.

After ten (10) working days, the suggested resolution, if not accepted by all parties, becomes null and void.

Step III. Appeal to the Graduate Dean

The student may elect to submit a written appeal of the department's decision to the Graduate Dean. The decision must be appealed within ten (10) working days of the expiration of the department's suggested resolution (see Step II).

At the discretion of the Graduate Dean, the appeal may be assigned to the Associate Graduate Dean. Additionally, if the Dean determines that the appeal should be submitted

directly to the Graduate Council (for example, if the Dean determines that a fair and impartial hearing may be jeopardized by conflicts within the Graduate Division or other extenuating circumstances), the Dean may refer the appeal directly to the Graduate Council.

The Graduate Dean will review all documents and records submitted in the departmental review. In addition the Graduate Dean may meet with the student, faculty member(s), and/or graduate affairs committee, where appropriate, and may consider additional materials as s/he deems appropriate. The nominal time limit for completing the Graduate Dean's review is within twenty (20) working days of receipt of the student's appeal. The Graduate Dean may suggest a resolution of the appeal in written form within five (5) working days of completion of his/her review. For the decision to be binding, it must be consensual and accepted by all parties.

After ten (10) working days, the suggested resolution, if not accepted by all parties, becomes null and void.

Step IV. Appeal to the Graduate Council

The student may submit a final appeal to the Graduate Council within ten (10) working days of the expiration of the Dean's suggested resolution (see Step III). The Graduate Council is a committee of the Academic Senate. There are ten Santa Cruz faculty members, plus the Graduate Dean serving ex officio. In addition, there are one Library representative nominated by the UCSC Librarians Association, no more than three Graduate Student Association representatives, and one Postdoctoral Scholars Association Representative.

The student will submit a written appeal to the Graduate Council through the Academic Senate Office. The Graduate Dean will forward all pertinent documents to the Graduate Council for evaluation. The Chair may request additional information, as she/he deems necessary.

The Graduate Council Chair in consultation with the Graduate Council will review the file and determine whether sufficient cause exists to justify a formal hearing. This determination must be made within ten (10) working days of receipt of the student's appeal, a written decision must be submitted within five (5) working days thereafter. If the Council declines to hear the case, this would be the final conclusion of the appeals process.

If the Council determines that a hearing is to be held, the student and instructor or chair of the department will be notified of the initial hearing date in writing at least twenty (20) working days in advance. The hearing may continue to later session if necessary but in any case must be completed within ten (10) working days. The Graduate Council Chair may at his/her discretion constitute a subcommittee of at least four members, including at least one student representative, to hear the appeal, or she/he may convene the Graduate Council as a whole, as appropriate to the case and circumstances. If a subcommittee is established, it acts for the Graduate Council for the remainder of the appeal at this level. At least five (5) calendar days prior to the hearing date, each party shall provide the other with all relevant materials, including: names of all witnesses and any and all written materials to be introduced at the hearing. Copies of this material must also be submitted to the Graduate Council at least ten (10) working days prior to the hearing.

During the appeal, the Graduate Council shall review the charges. At the hearing, the Graduate Council may interview such witnesses as are brought to the hearing by either party or such other witnesses as the Graduate Council considers relevant.

During the procedure, the graduate student members of the Graduate Council participate fully and equally with faculty members of the Graduate Council to review the issues of the case and ensure due process for the student. The graduate students are not to be viewed as a special resource or advocate for the student to any greater degree than any individual faculty member of the Graduate Council.

A formal hearing will follow these procedures and conditions:

1. The student:

- a. shall be present throughout the hearing. If the student fails to attend the hearing, she/he shall be considered to have abandoned her/his appeal unless deferral was granted by the Graduate Council;
- b. may be accompanied by a Senate member of her/his choice, if desired and available;
- c. may be accompanied by a graduate student of her/his choice to serve in an advisory role, if desired and available;

Please note: although Graduate Council will attempt to accommodate requests, the non-availability of a requested accompanying Senate member or graduate student is not sufficient cause for delay of an appeals hearing, nor does it affect the legitimacy of the Council's findings.

- d. shall have the right to present evidence, including witnesses, first; and
- e. may cross-examine all witnesses presented by the instructor, department, or dean.

If the student desires a Senate member as an advisor and is unable to secure a Senate member to serve in this role, the Graduate Council, at the student's request, will appoint a faculty member to act in this role. This advisor may or may not be a member of the Graduate Council. A Graduate Council member serving in this capacity shall be recused from the Graduate Council deliberations of the appeal.

2. The hearings will be confidential and limited to the principals (student, Senate member selected by the student, graduate student selected by the student, and instructor or department representative or relevant administrator), and members of the Graduate Council (but see 3 and 5 below).
3. By prior arrangement, witnesses may be interviewed as part of the hearing process.
4. All witnesses other than the student and the instructor (or department representative or other relevant administrator) shall be excluded from the hearing except when testifying.

5. Evidence may be oral or written, but must be limited to issues raised in the original written complaint. Formal rules of evidence shall not apply, and evidence shall be admitted if of the type upon which reasonable people are accustomed to rely in the conduct of serious affairs. The Graduate Council may, in its discretion, exclude irrelevant or unduly repetitive evidence. At its discretion the Graduate Council may agree to hear closing arguments (either oral or written at the Council's discretion) as to the correct resolution of the matter. If the Council determines to allow written closing arguments, the hearing process shall be deemed complete upon the parties' submission of their written arguments to the Council.
6. The meeting shall be tape recorded, or, at the option of the student, a stenographer may be provided at the student's expense. The student shall have access to a copy of the tape recording and may copy the tape at her/his expense. All records pertaining to the hearing shall be kept by the Graduate Council for a period of three years. Student records shall be retained beyond that time if there is an outstanding request by a principal party to the review to inspect them.
7. The Graduate Council will reach its finding subsequent to completion of the hearing. The deliberations of the Graduate Council shall be in private. The Graduate Council shall submit a written finding including an explanation for the basis of it to the Graduate Dean within ten (10) working days of the date of completion of the hearing process.
8. Consistent with Senate authority and informed by the finding of the Graduate Council, the Graduate Dean will make the final decision on all cases involving probation and dismissal. The Graduate Council will have final decision-making authority in all other cases. In either case, the decision must be made within ten (10) working days of the receipt of the Graduate Council finding. Grade changes mandated by the Graduate Council are limited to Satisfactory/Unsatisfactory/Withdraw.
9. The Graduate Dean will have the administrative responsibility to implement the elements of the final decisions from Step 8 and to ensure that the instructor involved and/or department abide by the terms of the final resolution of the appeal. In addition the Graduate Dean will take reasonable steps to ensure that the student is not subject to any form of retaliation and is further restored to good standing with the department if so determined by the decision of the review. This may include the provision of lost wages or fellowship funds if so determined by the decision of the review.

Financial Support

Financial support will continue for the student for the term in which the appeal is submitted. Support beyond this term will be contingent upon approval of the department and the Graduate Dean, and determined on a case-by-case basis.

Ramifications of Appeal Process

At all stages of the appeal process, a faculty member may request that his or her name be removed from the course in the final academic transcript.

No punitive actions may be taken against the instructor on the basis of these procedures. Neither the filing of an appeal by a student nor the final disposition of the appeal shall, under any circumstances, become a part of the personnel file of the instructor. The use of non-academic criteria in assigning a grade is a violation of the Faculty Code of Conduct. Sanctions against an instructor for violation of the Faculty Code may be sought by filing a complaint in accordance with CAPP 002.015 or the relevant collective bargaining agreement. A complaint may be filed by the student or by others consistent with CAPP 002.015.

No punitive action may be taken against the complainant on the basis of these procedures. Neither the filing of an appeal by a student nor the final disposition of the appeal shall, under any circumstances, become a part of the complainant's file. The instructor may, if he or she feels that his or her record has been impugned by false and malicious allegations, file charges against the complainant through the Office of the Vice Chancellor for Student Affairs.