

GUIDELINES FOR GRADUATE APPEALS

(Revised by the Graduate Council June 2007)

The Graduate Council Appeals Board acts as the appeals body for graduate students seeking redress on academic decisions regarding their graduate program.

I. Graduate Council Appeals Board (GCAB)

- A. The GCAB will review written appeals of graduate students concerning:
 - 1. Retention in graduate programs (with the limitations described below),
 - 2. Procedural matters in graduate student programs (e.g., procedures relating to programs of study, supervisory committee, thesis, dissertation, preliminary or comprehensive exams), or
 - 3. Other academic issues that are not covered by other university policies or processes.
- B. The GCAB does not review appeals of course grades, allegations of academic dishonesty or scientific misconduct, matters relating to employment or assistantships, or allegations of discrimination.
 - 1. Grade appeals are subject to review by the dean of the academic college as outlined in the *Graduate Catalog* under the University Policy for Student Appeal Procedures on Grades.
 - 2. Allegations of academic dishonesty are subject to review under the ASU Student Academic Integrity Policy.
 - 3. Allegations of scientific misconduct are subject to review under ASU policy RSP 111 (Misconduct in Research) in the Research and Sponsored Projects Policy and Procedures Manual.
 - 4. Allegations of discrimination should be directed to the ASU Office of Equal Opportunity/Affirmative Action.
- C. The GCAB normally will not review appeals related to application of department and program policies regarding satisfactory academic progress and performance. These include GPA requirements, time limits, comprehensive exam results, and other performance measures related to continuance in or dismissal from a program.
- D. The GCAB will not review appeals for which the graduate student has not fully used all other appeal and review procedures in the academic unit or academic college.
- E. The University Vice Provost and Dean the Graduate College may ask the GCAB to review student matters for the Graduate College, if review is not otherwise available through another university process.
- F. Definitions
 - 1. "Dean" refers to the University Vice Provost and Dean of the Graduate College or his or her designee.
 - 2. "Day" means normal university business day, not including Saturday, Sunday, any officially recognized university employee holiday, or any day the university is closed. The GCAB does not normally meet over the summer. When computing timelines under this policy, days between the end of the spring semester and the beginning of the fall semester will not be counted.

- G. The GCAB consists of three or more members of the Graduate Council appointed by the Dean. The Dean will designate one of the faculty members to serve as Chair. The Assistant Dean of the Graduate College will assist the GCAB but will not serve as a member.

II. Resolution Prior to Appeal to GCAB.

- A. A student who disputes an academic decision should first discuss his or her concerns with the student's major professor or the person who made the decision.
- B. If the issue is not resolved, the student should follow the appeal procedures and process as specified by the program and/or academic unit.
- C. If the dispute is not resolved, the student should follow the appeal procedures and process as specified by the academic college.
- D. Prior to initiating a written appeal to the GCAB, the graduate student should contact the Associate Vice Provost of Graduate Student Programs of the Graduate College for information on GCAB jurisdiction and procedures and further opportunities for informal resolution.
- E. If the concern is not resolved after pursuing these steps, then the student may request review by the GCAB.

III. Filing an Appeal

- A. A student's request for review or appeal must be submitted in writing no later than 10 business days after receiving notification of the action taken at an appeal by the academic unit and/or academic college. The request should identify:
 - 1. The disputed academic decision (within the jurisdiction of the GCAB),
 - 2. The person who or committee that made the decision,
 - 3. The date the decision was made,
 - 4. All efforts made to resolve the dispute informally and formally,
 - 5. Information directly relevant to the GCAB review of the request for appeal,
 - 6. Relevant witnesses or individuals with information regarding the decision, and
 - 7. Any other relevant pertinent evidence or documents.
- B. The written request should be submitted to the Assistant Dean of the Graduate College. The written appeal may not exceed 10 double-spaced pages excluding attachments. The Assistant Dean will send a copy of the written appeal (and all other materials submitted to the GCAB) to the academic unit.
 - 1. Within 10 business days of receiving notice of the student's request, the academic unit will submit a written response to the Assistant Dean on behalf of the GCAB. The Assistant Dean will send a copy to the student. The response may not exceed 10 double-spaced pages excluding attachments. The response should identify:
 - a. The disputed academic decision (including any issues regarding the jurisdiction of the GCAB),
 - b. The person who or committee that made the decision,
 - c. The date the decision was made,
 - d. All efforts made to resolve the dispute informally and formally,
 - e. Additional information directly relevant to the GCAB review of the request for appeal,

- f. Relevant witnesses or individuals with information regarding the decision, and
 - g. Any other relevant pertinent evidence or documents.
2. The Assistant Dean will provide copies of all information to the GCAB.

IV. Initial Review of Appeals

- A. The Chair will convene the GCAB to conduct an initial review of the request for appeal to determine whether the request is within the jurisdiction of the GCAB. The initial review meeting will be closed to the public.
- B. Two-thirds of the GCAB must be present for a quorum. The Chair may invite others to this meeting to provide information to the GCAB.
- C. A GCAB member may not review a case that involves a student in the member's academic department. A GCAB member may not review a case if the member has a personal or professional relationship with any of the parties that would reasonably create an appearance of bias or potential conflict of interest. In the event of a potential bias or conflict, the Dean will replace the member with a current or past Graduate Council member.
- D. Requests that are not within the jurisdiction of the GCAB will be dismissed.
- E. At the initial review meeting, the GCAB may come to a final decision or may determine that further action is appropriate.
- F. The Chair of the GCAB will give written notice to the parties of the results of the initial review meeting.

- V. Mediation.** At any time, the Graduate College or the GCAB may recommend that the parties consider mediation of outstanding issues. Neither the Graduate College nor the GCAB will conduct the mediation, but may assist the parties in identifying a qualified mediator. All applicable GCAB timelines remain in effect, unless extended by the Chair.

VI. Appeal Hearing

- A. If the process proceeds to a hearing, the Chair will send notice of the hearing to the academic program and the student. The notice will include the time, date, and location of the hearing.
- B. Anyone who intends to submit supplemental materials to the GCAB for consideration must at the same time provide copies to the other parties to the hearing, and all copies must be provided at least 10 business days prior to the scheduled hearing. These materials may not exceed 10 double-spaced pages excluding attachments. Failure to provide copies in time may result in the materials not being considered by the GCAB.
- C. Hearings will be conducted in a manner conducive to ascertaining the facts of the case. Parties to the appeal will be provided an opportunity to:
 - 1. Be present and hear all arguments and oral statements made to the committee during the hearing;
 - 2. Make arguments, present oral statements and written documents, and call witnesses with regard to issues of fact relevant to the grounds for appeal; and
 - 3. To ask questions of other witnesses, either directly or through the Chair (to be determined by the Chair).
- D. Each party may be accompanied at the hearing by an advisor, who may be a lawyer.
 - 1. If the student will be represented by a lawyer, the student must notify the GCAB of this at least 4 weeks prior to the hearing.

2. If the student is represented by a lawyer, the responding faculty member or academic unit may also be represented by a lawyer.
 3. If either party decides to be accompanied at the hearing by an advisor, he/she must inform the chair of the GCAB in writing at least 2 weeks before the hearing.
- E. At any time, the GCAB may consult an advisor or a lawyer, call witnesses, or introduce matters and information deemed relevant to the appeal. GCAB is authorized to request the appearance of additional witnesses or the submission of additional evidence. The GCAB may address questions to any person participating in the hearing.
 - F. The GCAB may establish time limitations for the oral presentations of the parties.
 - G. The formal rules of evidence do not apply to GCAB proceedings. All evidence not repetitious or irrelevant may be admitted, subject to guidelines of time and length. The Chair has discretion regarding evidentiary rulings and hearing procedures. The parties may vary from these hearing procedures by agreement with the Chair.
 - H. No witness who is not a party will be allowed to attend the hearing before he/she testifies. Hearings will be closed to the public.
 - I. In hearings involving more than one student, a single hearing may be scheduled for all of the students. If any one of the students requests a separate hearing; or if the Chair determines that it would be in the best interest of the individuals involved, separate hearings may be provided. When collective hearings are held, individual findings, decisions, and recommendations will be rendered. Students who do not request a review or appeal will not automatically benefit from an appeal requested by another student.
 - J. The hearing will be recorded (e.g., by audiotape, videotape or a court reporter). The student may obtain a copy of the record by paying the cost of reproduction or transcription.
 - K. The Chair may dismiss anyone from the hearing whose conduct is not appropriate during the proceedings.

VII. Appeals Hearing—Order of the Proceedings

- A. The Chair will begin the hearing with a brief opening statement. The Chair will then ask each person in the room to introduce himself or herself for the record. The Chair will briefly summarize the issues, describe the role of the GCAB and explain the procedures to be followed.
- B. Following the Chair's summary, and unless otherwise determined by the GCAB Chair, the order of presentation will be:
 1. Opening statement by the faculty or academic unit (5 minutes)
 2. Opening statement by the student (5 minutes)
 3. Faculty or academic unit presents case (witnesses and other evidence), with opportunities for questioning by the student and the GCAB (30 minutes)
 4. Student presents case (witness and other evidence), with opportunities for questioning by the academic unit and the GCAB (30 minutes)
 5. Brief recess for summary preparation (10 minutes)
 6. Summary by faculty or academic unit (5 minutes)
 7. Summary by student (5 minutes)
 8. Declaration by Chair that hearing is concluded

VIII. Findings, Decisions, and Recommendations of the GCAB

- A. Upon completion of the hearing, the GCAB will meet in closed session for deliberations. If the process requires more time than originally scheduled, the GCAB may suspend its discussion and reconvene at an agreed upon later date and time. A simple majority vote of the GCAB is required for all findings, decisions, and recommendations. The Chair is a voting member of the GCAB.
- B. The GCAB Chair will prepare a written final decision, to include:
 - 1. Written findings addressing the issues presented in the appeal that are within GCAB jurisdiction;
 - 2. A decision that indicates whether the appealed decision or sanction is affirmed, set aside, or modified;
 - 3. (Optional) recommendations, if appropriate, for further actions by University authorities.
- C. The Assistant Dean of the Graduate College will provide the student, the academic unit, and the University Vice Provost and Dean of the Graduate College with a copy of the decision of the GCAB.
- D. The decision of the GCAB is the final university decision.



**GRADUATE STUDENT APPEAL
TO THE GRADUATE COUNCIL APPEALS BOARD
ARIZONA STATE UNIVERSITY
GRADUATE COLLEGE**

A student's request for review or appeal must be submitted in writing no later than **10 business days** after receiving notification of the action taken at an appeal by the academic unit and/or academic college.

Appeal of:

STUDENT NAME (LAST, FIRST, MIDDLE)	STUDENT ASU I.D. NO.	DATE OF THIS REQUEST
LOCAL STREET ADDRESS	CITY, STATE, ZIP	
STUDENT EMAIL ADDRESS		
DISPUTED ACADEMIC DECISION		
PERSON/COMMITTEE WHO MADE DECISION		DATE OF DECISION

On attached sheets, please provide the following information as completely as possible:

- All efforts made to resolve the dispute informally and formally. State all review procedures requested prior to this date. Detail dates and with whom reviews have been held. Indicate the nature of the review and the results.
- Information directly relevant to the GCAB review of the request for appeal. The graduate student should state, in a concise form, the facts involved in this appeal. The graduate student should state why the decision or action taken is being appealed based on the GCAB jurisdiction provided in Section I.A. of the *Guidelines for Graduate Appeals*.
- Relevant witnesses or individuals with information regarding the decision.
- Any other relevant pertinent evidence or documents. The graduate student may supply any other supporting material for the appeal (e.g., letters, forms, exam results).

This form and attachments should be submitted in person or by mail to:

Person: Sarah B. Lindquist
Assistant Dean
Graduate College
Administration B-wing, Room 285
Arizona State University

Mail: Sarah B. Lindquist
Assistant Dean
Graduate College
Arizona State University
PO Box 871003
Tempe, AZ 85287-1003



**PROGRAM RESPONSE TO A GRADUATE STUDENT APPEAL
BEFORE THE GRADUATE COUNCIL APPEALS BOARD
ARIZONA STATE UNIVERSITY
GRADUATE COLLEGE**

The program's response to a student's appeal to the Graduate Council Appeals Board at the Tempe campus must be submitted in writing no later than **10 business days** after notification of the appeal.

Appeal of:

STUDENT NAME (LAST, FIRST, MIDDLE)	STUDENT ASU I.D. NO.
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From:

FACULTY GROUP (i.e., department, school, program, or individual rendering decision to be appealed)
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Contact (individual who will respond to inquiries regarding the decision and appeal):

NAME	EMAIL
CAMPUS ADDRESS	CAMPUS PHONE

The above named student has filed the attached appeal to the Graduate Council Appeals Board. You are requested to respond to the same questions that guided the student's comments. Please be as complete but as concise as possible:

- All efforts made to resolve the dispute informally and formally. State all review procedures requested prior to this date. Detail dates and with whom reviews have been held. Indicate the nature of the review and the results.
- Information directly relevant to the GCAB review of the request for appeal. The program should state, in a concise form, the facts involved in this appeal.
- Relevant witnesses or individuals with information regarding the decision.
- Any other relevant pertinent evidence or documents. The program may supply any other supporting material for the appeal (e.g., letters, forms, exam results).

This form and attachments should be submitted in person or by mail to:

Person: Sarah B. Lindquist
Assistant Dean
Graduate College
Administration B-wing, Room 285
Arizona State University at the

Mail: Sarah B. Lindquist
Assistant Dean
Graduate College
Arizona State University
PO Box 871003
Tempe, AZ 85287-1003



**GRADUATE STUDENT APPEAL
DECISIONS, FINDINGS, AND RECOMMENDATIONS OF THE
GRADUATE COUNCIL APPEALS BOARD
ARIZONA STATE UNIVERSITY
GRADUATE COLLEGE**

Student/Program Information:

STUDENT NAME (LAST, FIRST, MIDDLE)	STUDENT ASU I.D. NO.
ACADEMIC DEPARTMENT	DATE, TIME, PLACE OF GCAB MEETING

Appeal Information:

SUBJECT OF APPEAL
FINDINGS
DECISION
RECOMMENDATION

SIGNATURE OF CHAIR, GRADUATE COUNCIL APPEALS BOARD	DATE
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