

GSAS POLICIES AND PROCEDURES MANUAL

TABLE OF CONTENTS

SECTION	PAGE NUMBER
1. THE GRADUATE SCHOOL OF ARTS AND SCIENCE COMMUNITY	1
2. AFFILIATE PROGRAMS	2
3. GRADUATE CURRICULUM	2
4. ADMISSIONS.....	6
5. COURSEWORK AND ASSESSMENT	9
6. ENROLLMENT.....	15
7. GRADUATION	24
8. ACADEMIC PROBATION AND TERMINATION	26
9. DISCIPLINE	29
10. GRIEVANCES.....	31
LINKS	34

ADMINISTRATIVE FORMS

[Academic Leave of Absence Request Form](#)

[Adjunct Instructor Approval Form](#)

[Doctoral Thesis Oral Defense Form](#)

[Extension of Incomplete Grade Form](#)

[Foreign Language Report and Evaluation](#)

[Master's Thesis Reader Sheet](#)

[New Course Proposal Form](#)

[Outside Dissertation Reader Form](#)

[Parental Accommodation Form](#)

[Pass/Fail Form](#)

[Transfer Credit Request Form](#)

[Tuition Scholarship for Undergraduate Skills Request Form](#)

1. THE GRADUATE SCHOOL OF ARTS AND SCIENCE COMMUNITY

- 1.1. *Policies and Procedures:* The Graduate School of Arts and Science (GSAS) is committed to providing a supportive and structured environment for the development of scholars, researchers, and teachers. It is expected that the responsibilities of students, faculty, and staff will be discharged with impartiality, reason, and consistency. To this end, it is the responsibility of all members of the GSAS community to respect and comply with all GSAS Policies and Procedures as well as all University rules and policies.
- 1.1.1. *Dean's Designee:* The Dean of GSAS may designate any member of the administration of GSAS or of Arts and Science (A&S) to fulfill any of the GSAS procedural roles outlined in this document in place of the indicated GSAS administrator in any case where either there is a clear conflict of interest involving the indicated administrator or the position of the indicated administrator is vacant. Any named member of the administration of GSAS may also designate any member of GSAS or of A&S to fulfill their specified role listed in the policies below.
- 1.1.2. *Applicants:* Applicants are individuals who have applied to any GSAS program. From the point at which GSAS receives an application for admission, GSAS and New York University reserve the right to deny admission, to deny permission to register, or to revoke matriculation of any applicant at any time for cause, including falsification of academic credentials or scholarship, character, or personal conduct.
- 1.1.3. *Students:* An individual becomes a student on the first day of the first term in which they enroll in a GSAS sponsored program and are granted the rights in and are under the authority of GSAS Policies and Procedures on that date. Students remain under the authority of these rules until they graduate or officially separate from GSAS.
- 1.1.4. *Departments:* The word “departments” in this document refers both to all established A&S departments and to any other free standing academic units that oversee graduate programs registered with the State of New York. All such academic units are expected to maintain a director of graduate study (DGS) and a graduate administrator at a minimum.
- 1.1.5. *Time to Respond:* Should any response or action required of GSAS or departmental administrators normally fall in a time period partially or entirely within a University designated break or closure, including summer, the time during the designated break or closure will not count towards the total stated time to respond.
- 1.2. *Student Conduct:* All students in the GSAS community must abide by the [University Student Conduct Policies](#).
- 1.3. *Discrimination, Harassment, and Sexual Misconduct:* All members of the GSAS community must abide by the University's [Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Students](#), the [Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees](#), the [Policy on Consensual Intimate Relationships](#), and its [Sexual Misconduct, Relationship Violence, and Stalking Policy](#) which outline the policies and procedures regarding all forms of prohibited discrimination, harassment, and sexual misconduct.
- 1.4. *Academic and Research Integrity:* All students in the GSAS community must abide by the University's policies on [Academic Integrity for Students at NYU](#) and its [Principles and Procedures for Dealing with Allegations of Research Misconduct](#), as well as the policy on [Retention of and](#)

Access to Research Data. In addition to University policies, all students must also abide by the GSAS Statement on Academic Integrity.

- 1.5. *Conflict of Interest, Intellectual Property and Research with Human Subjects*: All members of the GSAS community must abide by the University's policies governing Academic Conflict of Interest and Conflict of Commitment, its Statement of Policy on Intellectual Property, and the policies governing Research with Human Subjects.
- 1.6. *Environmental Health and Safety*. All members of the GSAS community must follow the policies and procedures of the Office of Environmental Health and Safety.

2. AFFILIATE PROGRAMS

- 2.1. *Definition*: Affiliate Programs are those which the University Registrar has designated as being divisions of or administered through GSAS, but which are overseen and taught by faculty other than those of A&S.
- 2.2. *List of Affiliates*: The following programs are Affiliate Programs of GSAS: Basic Medical Sciences programs, Environmental Health Sciences, and Ergonomics and Biomechanics, housed in the School of Medicine; Cinema Studies and Performance Studies, housed in the Tisch School of the Arts; and Institute of Fine Arts programs, Institute for the Study of the Ancient World program, and the Center for Data Science programs, which are free standing.
- 2.3. *Jurisdiction*: For all Affiliate Programs housed in other schools and colleges, the faculty of each such school or college has jurisdiction over any and all academic and non-academic policies and procedures including disciplinary matters, grievance proceedings, and appeals, except those overseen by the University, involving students enrolled in those Affiliate Programs. For all Affiliate Programs that are free standing, GSAS policies and procedures will be applied in any discipline, grievance or other matter that rises on appeal above the program level for students of these Affiliate Programs (See Sections 8, 9, 10).
- 2.4. *Administrative Support*: GSAS will provide administrative support to Affiliate Programs as required by the University Registrar. For any type of support provided, Affiliate Programs are required to follow the appropriate GSAS policies and procedures outlined below.

3. GRADUATE CURRICULUM

RULES

- 3.1. *The Committee on Graduate Curriculum and Financial Aid*: The composition and function of the Committee on Graduate Curriculum and Financial Aid (the Committee) is determined by the Function, Composition, Term and Structure of Committees of the Faculty of Arts and Science.
 - 3.1.1. *Purview of the Committee*: The Committee will review and vote on any new graduate course, new graduate program, graduate program revision, new or revised GSAS academic

or financial aid policy, and new graduate adjunct faculty. The Committee has the right to designate the approval of any of these items to any office within GSAS.

- 3.1.2. *Meetings*: The committee will be scheduled to meet at least four times during the academic year, a minimum of two times each fall and each spring.
 - 3.1.3. *Affiliate Programs*: Affiliate Programs may submit program and course proposals to the Committee, which may recommend, but not require, changes to such proposals.
 - 3.1.4. *Requests Approved*: Recommendations of the Committee shall be brought to the A&S full faculty for final approval.
 - 3.1.5. *Requests Not Approved*: Requests may be returned by the Committee to departments, which will be informed of any recommendations or additional supporting materials needed as well as the next deadline for submission.
 - 3.1.6. *Student Member Voting*: Student members will not vote when instructors are considered for approval.
- 3.2. *Graduate Courses*: The following guidelines apply to all GSAS sponsored courses where applicable.
- 3.2.1. *Credit Hour Requirements*: All courses regardless of location or delivery method must comply with New York State Education Department regulations on instructional time and supplementary time with regard to the number of credits offered.
 - 3.2.2. *Online Courses*: Any new course that will be offered online must be submitted to and approved by Arts and Science Office of Educational Technology prior to being submitted for review by the Committee on Graduate Curriculum and Financial Aid. Any currently existing course must also be submitted to and approved by the Office of Educational Technology before it may be offered online.
 - 3.2.3. *International Site Course Offerings*: Any new course to be offered at or existing course being adapted for an international site must be approved by the Committee.
 - 3.2.4. *Short Duration Courses*: A short duration course is one in which the meeting pattern occurs over a period of time that is less than two thirds of the standard of the term in which the course is to be offered. In the fall or spring semester this would be a course offered over a period of less than 10 weeks. In the summer term it would be a course offered over a period less than 4 weeks. Any January term or other special session term course offering is considered a short duration course. Any new short duration courses or existing courses being adapted to a short duration format must be approved by the Committee before it may be offered. These courses must conform to the following guidelines:
 - 3.2.4.1. The course must have a significant amount of in-class work relative to out-of-class preparation.
 - 3.2.4.2. The rationale for offering a short duration course must be based on academic concerns rather than financial incentives.
 - 3.2.4.3. Credits offered for a short duration course, even if it is adapted from a standard duration course, must conform to the New York State Education Department standard of one credit per 50 minutes per week in a 15-week semester. This means a minimum of 750 total minutes of instructional time per credit offered is required.
 - 3.2.5. *Cross-listing*: GSAS allows the limited cross-listing of its courses with the following restrictions:

- 3.2.5.1. All cross-listings must be approved by the Office of Academic and Student Affairs (OASA).
- 3.2.5.2. Graduate courses may not be cross-listed at the undergraduate level. Undergraduate courses may not be cross-listed at the graduate level.
- 3.2.5.3. Cross-lists must have the same title and credits awarded as the originating course.
- 3.2.6. *Internships*: In order to be eligible as a credit-bearing activity, an internship must be closely related to a student's academic program, there must be clearly defined learning objectives and goals, and there must also be supervision: both onsite and by a faculty member who agrees to serve as the instructor of record. The on-site supervisor must provide the department or program with a written evaluation of the student's effort and the faculty member will be responsible for submitting a grade if the internship is for credit or for confirming the requirement has been met if the internship is a non-credit requirement of the program. The following restrictions also apply when internships are taken for academic credit:
 - 3.2.6.1. An internship course must be listed in Albert as Internship or Field Study with the department or program's numbering designation;
 - 3.2.6.2. An internship course may not be taken in excess of a program's registered required course credit;
 - 3.2.6.3. A maximum of two internship courses may be taken for credit and no more than six credits can be earned in internship courses;
 - 3.2.6.4. An internship course may be graded with letter grades or as Pass/Fail. The grading scale must be specified and agreed upon at the time of the student's registration in an internship course;
 - 3.2.6.5. Each internship experience must include a learning agreement that outlines the mutually agreed-upon description of the student's activities, the duration and hours, and the site supervisor's commitment to provide at least one written evaluation of the student's effort to his/her program or department;
 - 3.2.6.6. Internship duties cannot exceed 20 hours per week during the fall and spring academic semesters unless the student is in the final semester of enrollment and has only one course or four (4) credits remaining to meet degree requirements, whichever is less, beyond the credits associated with the internship. In such a case the student may engage in a full-time internship. Full-time internships are also permitted during the summer term;
 - 3.2.6.7. Internship experiences beyond the parameters listed above must be approved in advance by the Assistant Dean for Academic Affairs.
- 3.2.7. *Topics Courses*: Departments may establish topics courses in which a specific topic may be taught without review by the Committee. If the department wishes to present a specific topic more than twice, then that topic must be approved by the Committee in the form of a new course.
- 3.2.8. *Dormant and Inactive Courses*: Any course that has not been offered in the past 5 years will be made inactive by the Office of the Registrar. Courses not offered for between 5 and 10 years will not be able to be scheduled without OASA approval. Courses not offered for over 10 years must be resubmitted to the Committee on Graduate Curriculum and Financial Aid for approval as if they were new courses.

- 3.3. *Graduate Programs:* GSAS oversees programs that lead to the awarding of the Doctor of Philosophy, Ph.D., the Master of Arts, M.A., the Master of Science, M.S., the Master of Fine Arts, M.F.A., and the Advanced Certificate. All of these degrees are terminal degrees and may only be awarded to students enrolled in programs offering these degrees. The Master of Philosophy, M.Phil., will be awarded to students enrolled in doctoral programs who have completed all requirements but the dissertation.
- 3.3.1. *Credit Requirements:* GSAS requires a minimum of 30 graduate credits for a Master's degree. GSAS requires a minimum of 70 graduate credits for the Ph.D. degree. Programs may set higher credit requirements.
- 3.3.2. *Dual Degree Programs:* Dual degree programs are a course of study which result in the awarding of two separate degrees, usually with some credit sharing allowed. Students may only be enrolled in two degree programs at one time if they are part of a registered dual degree program (See 4.1.2)
- 3.3.3. *Joint Degree Programs:* Joint degree programs are a course of study that result in the awarding of a single degree but are overseen by more than one department. Joint degree programs may also require additional admissions criteria beyond that of a standard degree program (See 4.1.1)
- 3.3.4. *Program Assessment:* All GSAS programs are expected to adhere to the assessment requirements and guidelines provided by the NYU [Office of Academic Program Review and Assessment](#).
- 3.3.5. *Requiring Courses of Other Schools:* If faculty wish to require a course(s) from another NYU school as part of a new program or program change proposal, then permission must be secured in writing from that school and included in the proposal.
- 3.3.6. *Other School Requiring GSAS Courses;* If faculty from another NYU school wishes to require a GSAS course as part of a new program or program change proposal, then permission must be secured in writing from the GSAS department offering the course and the use of the GSAS course must be approved by the Committee.
- 3.4. *Graduate Student Handbook:* Departments are required to distribute to all incoming students and maintain for all continuing students a graduate student handbook that defines and explains all departmentally based policies and procedures for each program hosted. All handbooks must include any and all departmental policies covering qualifying exams or papers, the thesis or culminating project, mentorship guidelines, coursework, and the policies on the handling and reporting of student complaints. The handbook must also notify students of the GSAS policies and procedures and indicate where they may be found.

ADMINISTRATIVE PROCEDURES

- 3.5. *Requests Approved:* After approval of any agenda items by the Committee on Graduate Curriculum and Financial Aid, the chair will present a motion at the next A&S meeting that they be approved by that body.
- 3.6. *New Course Materials Required:* For requests for new courses departments must submit an electronic copy of the request form and supporting material to the Office of Academic and Student Affairs by the posted deadline for consideration at the associated meeting of the Committee.

- 3.7. *Cross-listing*: All requests for cross-listing must be sent to OASA for approval by the department offering the parent course. The request must include the cross-list number for the cross-listing department/school and how many seats are being reserved for the cross-listing.
- 3.8. *Internship Reporting*: All internships taken for credit and/or as a program requirement must be reported to the Wasserman Center by means of whatever mechanism they employ.
- 3.9. *Requiring Courses of Other Schools*: If faculty wish to require a course from another NYU school as part of a new program or program change, they must first discuss the request with the department in question at the relevant NYU school. If the department at the other school approves, the request is sent to the GSAS Dean. The request to the GSAS Dean must indicate evidence and that the units involved have discussed and approved the proposed requirement, the rationale for the request, and comment on any budgetary implications. The GSAS Dean shall submit the request to the Committee, which makes the final determination. If approved, the GSAS Dean will send a letter to the dean of the school in question with the request to use the course. GSAS will send notification of any final approval by the New York State Education Department or the Office of Academic Program Review and Assessment to the school in question.
- 3.10. *Other Schools Requiring GSAS Courses*: If the faculty of another NYU school wish to require a GSAS course as part of a new program or program revision, they must discuss the request with the GSAS department in question. If the department approves, the request would then come to GSAS in the form of (a) a letter from the dean of the requesting school to the GSAS Dean, indicating that the units involved have discussed and approved the proposed requirement and addressing any financial costs involved (this letter should include a rationale for the inclusion of the GSAS course); (b) a letter from the GSAS department confirming its approval; and (c) a description of the academic program, including the full list of required courses. The GSAS Dean will consult with relevant A&S deans for comment before submitting the request to the Committee for comment and recommendation for approval. If the Committee approves the request, the requesting school would be required to follow up with notification of final approval of the program and that inclusion of the course as a requirement was part of the final approval of the program.

4. ADMISSIONS

- 4.1. *Admission to Programs*: Admission to any program overseen by the Graduate School of Arts and Science (GSAS) is determined by GSAS and a departmental or program faculty committee that sets admissions standards according to the degree requirements for study in that program.
- 4.1.1. *Joint Degree Programs*: Applications to joint degree programs are reviewed separately by both departments sponsoring the program. Admission to a joint degree program is contingent upon acceptance by both departments. If one department does not accept the application for admission to the joint program, the other department, at its discretion, may consider the applicant for admission to a different program overseen in that department.
- 4.1.2. *Dual Degree Programs*: Applicants to dual degree programs must apply to each program separately. Applicants must complete the application requirements of each program. Application materials are not shared between programs. Admission to a dual degree program is contingent upon acceptance by both programs.

- 4.1.2.1. Students may enroll in only one dual degree program—e.g., if a department’s Ph.D. program has been registered as part of two different dual degree programs, each with a different advanced certificate, students may earn only one of the advanced certificates as part of a dual degree program. If the student wishes to earn the second advanced certificate, then he or she may do so only after completion of the dual degree program and no credit sharing would be allowed toward the second advanced certificate.
- 4.2. *Notification of Admission:* All official notifications of admission decisions are made in writing by the Dean of the Graduate School of Arts and Science. Statements about admission, either expressed or implied (verbally or written) from any other source, are not official and may not be honored.
- 4.3. *Applying to Multiple Programs:* As outlined in the GSAS [Application Policies](#), applicants may submit only one application for consideration in a given term unless applying for a registered dual degree program.
- 4.3.1. If an applicant is accepted to programs in more than one school, they may not accept admission and enroll in more than one program simultaneously, unless both programs are part of a New York State registered dual degree program (See 3.3.2 and 4.1.2). This applies for cases when the second program is another GSAS program, a program at another NYU School, or a program at another institution. Enrollment in multiple programs can result in immediate revocation of admission to or matriculation in the GSAS program(s).
- 4.4. *Reapplying for Admission:* Applicants who were not offered admission in a previous attempt, applicants who were offered admission but did not enroll for the term in which they were admitted, and currently enrolled students who are applying for admission to a different program than they are currently enrolled in may reapply for admission as outlined in the GSAS [Application Policies](#). Reapplying applicants must complete an entirely new application and supply all supporting credentials as required for that application.
- 4.5. *Visiting and Non-Degree Students:* Applicants may be admitted as visiting or non-degree students at the discretion of the department and with the approval of the Graduate School. Visiting or non-degree status allows a student to take a limited number of courses in GSAS without actively pursuing a degree.
- 4.5.1. *Non-Degree Students:* To qualify as a non-degree student, the applicant must show proof of a bachelor’s degree or its equivalent, with a grade point average of at least 3.0.
- 4.5.2. *Visiting Students:* Visiting student status requires current enrollment in a degree program at another accredited university. A potential visiting student must obtain written approval from the home institution prior to application at GSAS.
- 4.5.3. *Application and Enrollment for Non-Degree and Visiting Students:* Departments within GSAS are not required to admit visiting or non-degree students. All applicants applying for non-degree or visiting student status must follow [Non-Degree and Visiting Student Instructions](#) and complete the application for admission. Applicants who are accepted are eligible to register for up to twelve credits total in a period of time not to exceed one academic year (three consecutive semesters, including the summer).
- 4.6. *Readmission:* Any previously enrolled student who has not graduated and has not enrolled for two consecutive semesters, exclusive of summer terms, is considered to have withdrawn and must apply to their former program for readmission if they wish to return to that program. Any student

who has been terminated from a program and wishes to return to that program must also apply for readmission. Readmission will not be considered for students who have been out of enrollment for more than 3 semesters, exclusive of summer terms.

- 4.6.1. All requests for readmission must be approved by the Office of Academic and Student Affairs (OASA). OASA will not consider any request for readmission that is not first approved and submitted by the student's department.
- 4.6.2. Students approved for readmission are responsible for paying a readmission fee, which is equal to the sum of the current semester's Maintenance of Matriculation fees and University Registration and Services fees. Students should not submit the online GSAS application.
- 4.6.3. Students approved for readmission are also responsible for payment of the Maintenance of Matriculation fees and University Registration and Services fees for all lapsed semesters in which they remain listed as active by the Office of the Registrar at the time of readmission. If the student is listed as active for all lapsed semesters, then the readmission fee will be waived. Students will not be permitted to register until these fees are paid.
- 4.6.4. Students approved for readmission have 30 days from the date of the approval of the readmission request or until the end of the term in which the readmission request was granted, whichever is greater, to submit the readmission fee (See 4.6.2) and pay all required Maintenance of Matriculation and University Registration and services fees (See 4.6.3). Failure to do so will result in the readmission offer being withdrawn and the former student no longer being eligible to be readmitted.
- 4.6.5. Time to degree (See 6.12) calculation begins with the first semester of the student's initial registration. OASA will exercise discretion in extending the time limit for readmitted students.
- 4.6.6. All lapsed semesters count toward time to degree (See 6.12).
- 4.6.7. Readmitted students are required to comply with degree requirements in effect at the time of their last enrolled semester previous to readmission.
- 4.6.8. Students who have been previously readmitted to the same degree program will not be considered for a second readmission.
- 4.6.9. Students with coursework that cannot be revalidated (See 6.14) will not be readmitted.
- 4.6.10. Doctoral students past time to degree will not be readmitted if all required coursework, exams and any other degree requirement other than the thesis, have not been completed. Master's students past time to degree may be considered for readmission if all coursework, exams and any other degree requirement other than the thesis/final project have not been completed if the lapse in enrollment was due to unexpected and extreme personal reasons.
- 4.6.11. No degrees will be conferred unless all delinquent fees have been paid.

5. COURSEWORK AND ASSESSMENT

RULES

- 5.1. *Academic Good Standing:* GSAS requires students to maintain a GPA of 3.0 or higher and successfully complete at least two thirds of credits attempted at NYU, excluding the current semester. Courses with grades of “I”, “N”, “NR”, “W”, and “F” are not considered successfully completed. Students also must be within time to candidacy (See 6.10) and time to degree limits (See 6.12). These GSAS standards are minimal requirements for academic good standing. Departments may impose additional requirements and/or set stricter standards including but not limited to, higher GPA requirements, higher completion rate requirements and degree progress requirements. Any additional requirements for academic good standing particular to a program must be outlined in the department’s student handbook.
- 5.2. *Annual Student Assessment:* GSAS requires that faculty assess progress for each student enrolled in the programs they oversee at least once per year. As part of the assessment process
- 5.2.1. The student’s transcript and any other relevant document detailing academic progress must be reviewed;
- 5.2.2. The assessment process and outcomes must be documented each year and included in the student’s academic file;
- 5.2.3. Departments must, at the minimum, provide written notification to each student regarding the results of the assessment, including any credits in which the student has been found lacking and what the student must do to return to program standards. This notification needs to be separate from and in addition to any probation letters that may result from the assessment process.
- 5.3. *Grades:* The following grades may be assigned in GSAS courses:

Standard Letter Grades (Count in GPA and for credit)

GRADE	MEANING	GPA VALUE PER POINT ¹
A	<i>Highest Grade</i>	4.000
A-		3.667
B+		3.333
B		3.000
B-		2.667
C+		2.333
C		2.000
C-	<i>Lowest Passing Grade</i>	1.667
F	<i>Failure</i>	0.000

Pass/Fail (Both count for credit. P does not count in GPA; F counts in GPA)

P	<i>Pass</i>
F	<i>Fail</i>

¹ Previous to Fall 2018 grades were reported to only one decimal point, so A- was valued at 3.7, B+ at 3.3, etc.

Audit (Does not count in GPA or for credit)

R *Audit*

Incomplete Grades²

I *Incomplete*
NR *No Grade Submitted*
W *Withdrawal*

- 5.4. *Cumulative GPA*: The cumulative grade point average (GPA) is an essential component of academic good standing (See 5.1) and is computed in the following way: for each course receiving a standard letter grade or “F” if taken Pass/Fail and counting toward the degree, the GPA value per credit is multiplied by the number of credits for the course. The sum of these products is divided by the sum of the number of hours for each course taken under the standard grading system. Courses that have not been awarded a grade, were awarded a grade of “P”, do not count toward the degree program, or have an incomplete grade are excluded from the GPA calculation.
- 5.5. *Completion Rate*: The completion rate is an essential component of academic good standing (See 5.1) and is calculated in the following way: the number of “earned hours” is calculated by summing the credits for all courses that count toward the degree and in which a grade in the standard grade system or the pass/fail system has been awarded. Courses in which an “F” has been awarded are excluded. Next, the number of “attempted hours” is calculated by summing the credits of all courses that count toward the degree and in which a grade in the standard grade system or the pass/fail system has been awarded. For this calculation “F” and “incomplete” grades are included, but courses from the most recent completed semester for which grades are yet to be assigned are excluded. The completion rate is defined as the number of earned hours divided by the number of attempted hours.
- 5.6. *Online Courses*: Students may not enroll in a number of online courses constituting 50% or more of the credits required for their degree if their academic program has not been registered as allowing distance learning.
- 5.7. *Change of Grades*: Only an incomplete grade, “I” or “NR” may be changed unless the original grade resulted from a departmental clerical error in recording. No change of grade will be awarded to any student for work submitted after graduating, withdrawing from the University, or being terminated, or for submitting additional work beyond what is listed in the course syllabi.
- 5.8. *Incomplete Grades*: An unresolved grade, “I”, reverts to “F” one year after the beginning of the semester in which the course was taken unless an extension of the incomplete grade has been approved by the Office of Academic and Student Affairs (OASA). An unresolved grade, “NR”, reverts to “F” one year after the beginning of the semester in which the course was taken and no extension will be allowed.
- 5.8.1. The assigning of an incomplete “I” grade is done solely at the discretion of the course instructor. It should never be granted automatically when a student does not complete all course assignments by the end of the term in which the course was taken. In such cases the

² A grade of “N”, no credit, was awarded previous to Fall 2009 and is treated as a permanent incomplete.

- instructor should award whatever grade has been earned at that point as a default, not an incomplete.
- 5.8.2. At the request of the departmental Director of Graduate Studies (DGS) and with the approval of the course instructor, OASA will review requests for an extension of an incomplete “I” grade.
 - 5.8.3. A request for an extension of incomplete must be submitted before the end of one year from the beginning of the semester in which the course was taken.
 - 5.8.4. An extension of an incomplete grade may be requested for a period of up to, but not exceeding, one year.
 - 5.8.5. Only one one-year extension of an incomplete may be granted.
 - 5.8.6. Students may not audit the course, officially or unofficially, as a means of completing an incomplete grade.
 - 5.8.7. If a student is approved for a leave of absence (See 6.7) any time the student spends on that leave of absence will not count toward the time allowed for completion of the coursework when a grade of “I” has been submitted.
 - 5.8.8. If a student is permanently separating from their program either through withdrawing or graduating, the department may request that the student be withdrawn from any course in which the student has an incomplete grade, “I” or “NR”, at the time of the withdrawal. Such a request may only be filed within one semester of the student’s separation.
- 5.9. *Pass/Fail Option:* GSAS students may opt to take a course set up with standard letter grading under pass/fail grading with the permission of the student’s program. The department must submit the Pass/Fail Form to OASA prior to the end of the ninth week of the semester to have pass/fail grading for a fall or spring term course and prior to the ninth meeting of a summer or special session course. The pass grade “P” counts for credit but does not affect the GPA. The fail grade “F” is identical to an “F” in the standard letter grading system with regard to credit and GPA.
- 5.9.1. Students matriculated in GSAS apply for the pass/fail option through GSAS regardless of the school offering the course. A student matriculated in another school at NYU must apply through their home school for and abide by the rules of the home school governing the pass/fail option if they wish to take a GSAS course under pass/fail grading.
 - 5.9.2. Once a student has been approved to take a course pass/fail, any request by the student to have the course returned to standard letter grading will be denied.
 - 5.9.3. Students who are found in violation of the [GSAS Statement on Academic Integrity](#) with regard to actions in a particular course may not then elect to take that course pass/fail. A previously granted pass/fail approval for such a course may be rescinded at the request of that student’s home department.
- 5.10. *Auditing:* Students officially auditing a GSAS course pay full tuition for the course but receive neither a grade nor academic credit. Enrolled students (See 6.1) may sit in on a GSAS course only with the permission of the instructor and the student’s advisor. Individuals who are not officially enrolled at NYU may not attend GSAS courses in any manner.
- 5.11. *Dropping and Withdrawal from a Course:* The grade “W” represents official withdrawal from a course. It will appear on a student’s transcript any time a student withdraws from a course after the second week of the fall or spring semester or according to the rules of the Office of the Registrar if

a special or summer term course. Dropping from a course before the deadline will purge that course from the student's official record. A student may withdraw from a course up to the end of the ninth week during the fall and spring semesters or according to the rules of the Office of the Registrar if a special or summer term course. Students must get permission from their department and Graduate Enrollment Services to withdraw from a course after the deadline for dropping. Any tuition refund will be in accordance with the published refund schedule for that semester (See 6.18). A grade of "W" will not be removed or changed to any other grade once posted on a student's transcript.

5.12. *Final Cumulative GPA*: GPA is final after the degree requirements for coursework have been met. Grades earned beyond those that satisfy the course-work requirements for the degree will not be entered into the computation of the final GPA. The only exceptions to this rule are as follows:

5.12.1. *Retaking Courses*: With permission of the Department Chair or the DGS, a student may be allowed to retake a course and have only the new grade count toward the GPA. In this case, only the credits for the retaken course will count toward the degree requirement. Permission will be granted for this only when the student can demonstrate that the previously earned grade was the result of factors outside the student's control. A tuition scholarship will not be awarded for courses that are retaken. A student may retake a specific course only once.

5.12.2. *Extra Courses*: With the permission of the Department Chair or the DGS and of the Assistant Dean for Academic Affairs, students may take as many as two additional departmental courses in order to meet the degree or GPA requirements. Permission should only be granted in the case of a low GPA when the reasons were at least partially beyond the student's control and when it is considered likely that the degree GPA requirement will be satisfied by taking additional courses. Additional courses needed to meet degree requirements should only be allowed when the student is not able to retake the course they did not receive credit for. A tuition scholarship will not be awarded for extra courses.

5.13. *Undergraduate Courses*: Graduate Students may not enroll in undergraduate courses without the permission of the Department Chair or DGS and of OASA. Should permission be granted, the grades for such courses are not entered into the GPA calculation and course credit will not count toward a graduate degree. With the exception of approved skills courses (See 5.14), a student enrolling in an undergraduate course will be responsible for all tuition and fees associated with the course.

5.14. *Skills Courses*: With permission of the Department Chair or DGS and the OASA, doctoral students may take skills-building undergraduate courses. A student must be GSAS financial aid eligible (See 6.6) to enroll in these courses. For MacCracken fellowship students, if the student is beyond the fellowship period of the award (four or five years depending on the terms of admission), the enrollment in a skills course in a fall or spring semester will take the place of one semester of the post-fellowship waivers of maintenance of matriculation (See 6.5.1). Tuition scholarship may be granted for undergraduate skills courses that meet the following criteria:

5.14.1. The course represents a skill or body of knowledge that is essential for the graduate students' preparation to do dissertation research.

5.14.2. The same course content is not available at the graduate level.

5.14.3. The course is offered by the College of Arts and Science.

5.15. *Transfer Credit*: GSAS programs accept transfer credit from accredited graduate institutions.

- 5.15.1. A student must apply for transfer credit, for courses taken prior to admission, within the first academic year of attendance as a matriculated student.
 - 5.15.2. Students may transfer credit for courses taken at another institution while matriculated at NYU as long as the DGS has given written approval for the course(s) to be transferred in prior to the student's enrollment in those courses.
 - 5.15.3. Courses counted towards any degree that has been awarded and is not part of a registered dual degree program may not be applied toward a GSAS master's degree.
 - 5.15.4. Courses counted toward any doctoral level degree, including but not limited to the J.D. and the Ed.D., that has been awarded and is not part of a registered dual degree program may not be applied to a GSAS doctoral degree.
 - 5.15.5. For doctoral students, when a prior graduate program is comparable to that of the department's master's program requirements, blanket credit equal to the number of credits required for the departmental master's will be awarded. Otherwise, each course will be considered separately for transfer credit up to a maximum of 40 credits.
 - 5.15.6. A grade below B is not eligible for transfer credit.
 - 5.15.7. A pass/fail type grade such as P or S will be accepted for transfer at the discretion of the DGS.
 - 5.15.8. If courses are transferred individually, credits will be transferred credit for credit (e.g., if transfer is requested for a three-credit course at another institution, then only a maximum of three credits will be granted by NYU) up to the maximum amount allowed (See 5.16)
 - 5.15.9. An external credit earned on the quarter system is worth two-thirds of an NYU credit. Individual courses must be rounded down to the nearest half credit.
 - 5.15.10. GSAS awards international transfer credit in accordance with current guidelines regarding equivalency as determined annually by Graduate Enrollment Services.
 - 5.15.11. NYU graduate courses taken prior to enrollment in a GSAS program, and not used to earn another degree, are eligible to count toward the degree and will not be counted as transfer credits with regard to the maximum level of transfer credit allowed or the minimum grade requirement. The Director of Graduate Studies will be the final arbiter of which of these courses will count toward the degree.
 - 5.15.12. Transfer of credit for individual courses older than ten years for master's students and fifteen years for doctoral students will not be allowed.
- 5.16. *Residency Requirement and Maximum Transfers Allowed:* A student is in residence at GSAS when the student is matriculated in a GSAS program. Only credits from NYU sponsored graduate courses earned while the student is in residence at GSAS count toward fulfilling program residency requirements.
- 5.16.1. *Master's:* 24 credits must be earned in residence at GSAS. The maximum transfer credit allowed may not exceed the difference between the number of credits required for the degree and the 24- credit residency requirement. (e.g., in a 32-credit required program, the maximum the student may transfer is $32 - 24 = 8$ credits.). An absolute maximum of 12 credits may be transferred.
 - 5.16.2. *Ph.D.:* 32 credits must be earned in residence at GSAS. The maximum transfer credit allowed for a 72-credit Ph.D. is then 40 credits.

- 5.16.3. *Global Network University Sites*: Courses taken at the NYU Shanghai and NYU Abu Dhabi campuses count as taken in residence. Courses taken at any other NYU away site count as transfer credit unless the student's program is based in whole or part at that away site, in which case they count fully as in residence.
- 5.16.4. *Accelerated Bachelor's-Master's Track*: Graduate courses taken by undergraduates in the College of Arts and Science who have been accepted into an accelerated Bachelor's – Master's track will be counted as taken in residence.
- 5.17. *Language Proficiency and Examination*: English proficiency is a requirement of GSAS. Departments may require that candidates for the doctorate and/or master's degree demonstrate proficiency in languages integral to the student's academic research other than English.
- 5.17.1. *English Proficiency*: To demonstrate proficiency, applicants whose native language is other than English must take the TOEFL or the IELTS. Additional testing may be required when a foreign-speaking student first registers in GSAS.
- 5.17.2. *Proficiency in a Language Other Than English*: Programs may set proficiency requirements for languages other than English. Departments may determine their own standards of proficiency and the means through which a student may meet these standards.
- 5.18. *Notification of Results of Program Requirements*: Departments must formally notify students of the results of an attempt to pass any program requirement other than coursework or thesis. If the notification is of a failure to pass a requirement, then the notification must also state program policy regarding student rights in the event of a failure. Notification must also include any grade or numerical score assigned to the requirement and contain information on how a student may view the graded item if it is not normally returned and receive feedback from the graders.
- 5.19. *Consortia*: GSAS is a participating member in several consortia including, but not limited to the Inter-University Doctoral Consortium (IUDC), NYU-Jewish Theological Seminary Consortium, NYU-Hebrew Union Consortium, and the European Studies Consortium.
- 5.19.1. GSAS abides by all rules as stated in the consortium agreement documents.
- 5.19.2. Students must be in good standing and meet conditions for enrollment (See 5.1 and 6.2) to participate in any consortium.
- 5.19.3. Credits earned as part of the established GSAS consortia do not satisfy the in-residence requirement (See 5.16).
- 5.19.4. Students taking courses at other institutions must abide by the rules of those institutions with regard to completion of coursework.

ADMINISTRATIVE PROCEDURES

- 5.20. *Change of Grade*: All grade changes must be submitted electronically in SIS/Albert.
- 5.21. *Extension of Incomplete*: After obtaining approval of the course instructor, the DGS of the student's home department should submit a completed Extension of Incomplete Grade form, indicating when, within two years from the date when the course began, the coursework will be completed. It is the responsibility of the department to notify students of OASA's decision regarding the deadline for submission of an incomplete with an approved extension.

- 5.22. *Skills Courses*: Funded Ph.D. students should complete the Tuition Scholarship for Undergraduate Skills Request form and submit it to OASA.
- 5.23. *Transfer Credit*: Requests to transfer credit earned prior to matriculation in GSAS must be made within the first year of matriculation. Requests to transfer credit earned outside of NYU after enrolment in GSAS must be accompanied by a memo from the DGS, including an explanation of the relevance of the course to the student's current program and an assurance that the course was not available at NYU or, for doctoral students, through relevant consortia programs.
- 5.23.1. All requests must be accompanied by an official transcript, and a translation, if necessary, from the institution where credit was earned. If the request is for credits earned while the student was enrolled in an undergraduate program, the transcript must explicitly state that the credits were not used for the undergraduate degree. If it does not, a letter from the undergraduate institution registrar stating that the credits were not used toward the undergraduate degree must be submitted.
- 5.23.2. If the Master's degree is more than ten years old the request for transfer must be accompanied by a supporting letter of explanation from the departmental chair or DGS. This will be treated in the same way as in the cases of requests for validation of superannuated coursework (See 6.14), and should be sent to OASA.
- 5.23.3. Requests for transfer of credit from foreign universities should be sent for evaluation to Graduate Enrollment Services. Requests for transfer of credit from American and Canadian universities should be sent via the Albert to the Registrar's Office, with request for approval from OASA. Submissions must include a scan of both the front and back of all transcripts.
- 5.24. *Notification of Results of Program Requirements*: Notification of results must be made formally. At a minimum, students should receive an electronic document containing the required information. Simple email notification is not sufficient, but may be used as an initial, quick notification to students as long as it is followed up by a formal notification in a timely manner.
- 5.25. *Consortium Grades*: Consortium partner schools exchange transcripts after the end of each semester. All recording of grades for consortium courses will be done through OASA. Students may not submit transcripts directly. Students are responsible for notifying OASA when they have completed any consortium course that was not completed prior to the exchange of transcripts.

6. ENROLLMENT

RULES

- 6.1. *Enrollment*: Students must maintain continuous enrollment in their programs from the time of matriculation to graduation. To maintain enrollment in a degree program a student must enroll in that program each fall and spring semester until that degree is granted. Failure to maintain continuous enrollment, unless granted an academic leave of absence (See 6.7), may result in an individual losing student status (See 4.6). There are two ways to maintain enrollment:
- 6.1.1. Register for at least one credit or a fraction thereof;
- 6.1.2. Enroll in Maintenance of Matriculation (MAINT-GA 4747).

- 6.2. *Conditions for Enrollment:* Students are also expected to comply with all applicable administrative policies, procedures and community standards of the University. These include but are not limited to timely payment of all charges, tuition or otherwise, student housing regulations, library policies and all University rules regarding student behavior.
- 6.3. *Registration:* All students are expected to be enrolled in either coursework or Maintenance of Matriculation by the end of the University determined drop/add period. Failure to do so may result in the student being considered as not active for that term and liable for any repercussions arising from that state.
- 6.3.1. *Late Registration:* Requests for registration after the end of the drop/add period will be evaluated on a case-by-case basis. No course registration for a specific term will be allowed after the conclusion of that term.
- 6.3.2. *Registration for Credit beyond Degree Requirement:* Students may not register for additional courses once they have reached the amount of credit required for the degree in which they are currently enrolled. Students may exceed the required credit amount only in the case in which at least part of the credit of the final course is needed to fulfill degree requirements (e.g. a student has 70 credits and registers for a 4- credit course when the degree requires 72 credits). The Office of Academic and Student Affairs (OASA) may grant an exception to this rule based solely on academic merit (See 5.12.2 and 6.20)
- 6.4. *Maintenance of Matriculation:* Payment of the Maintenance of Matriculation fee (or the award of a fee waiver) and the University Registration and Services Fee entitles students to use the libraries and other research facilities, consult members of the faculty, participate in University activities, and use the University Health Services for emergency treatment of an injury or illness.
- 6.4.1. If the student has attempted enough credits for the degree, registration for Maintenance of Matriculation, MAINT-GA 4747, is required during each fall and spring semester until the degree is conferred. Students who have completed coursework may maintain matriculation only up to the specified time limit of their degrees (See 6.12). Students beyond the specified time to degree must secure the permission of OASA to extend time to degree (See 6.13) in order to continue to maintain matriculation.
- 6.4.2. A student who has not attempted enough credits for the degree may only enroll in Maintenance of Matriculation with the approval of the Director of Graduate Studies and OASA. These semesters count toward time to degree.
- 6.5. *Waiver of the Maintenance of Matriculation Fee:* A Maintenance of Matriculation waiver covers the required University Registration and Services Fees unless the waiver is given retroactively beyond one year. Only students who are in academic good standing and meet conditions for enrollment (See 5.1 and 6.2) will be considered for waivers of Maintenance of Matriculation fees.
- 6.5.1. For funded doctoral students, waivers of Maintenance of Matriculation fees are awarded based on the terms and conditions of the MacCracken Fellowship program in consultation with Graduate Enrollment Services.
- 6.5.2. A waiver may be granted to students who have experienced unexpected extreme financial hardship. Application for this waiver must be submitted to OASA and must include a statement of support from the department and documentation that the hardship is truly unexpected and extreme, that other remedies such as loans are not available, and that the department does not have the funds to cover the student's maintenance and fees as well as a plan for the student's completion of their degree.

6.6. *Financial Aid:* Students awarded GSAS based financial aid will have their academic progress evaluated annually by their department and GSAS. Students should consult the department's student handbook and the GSAS Bulletin for specific information about degree requirements and standards of academic progress. Award eligibility is contingent upon making satisfactory academic progress. Students receiving awards from GSAS should consult the Conditions of Award document for complete information on the award.

6.6.1. *Eligibility:* Doctoral students are eligible for financial aid consideration if their enrollment is within seven years of their first term of enrollment in the program and they are in academic good standing (See 5.1). Eligibility can be extended for the term of an approved leave of absence or for unusual academic circumstances beyond the student's control. Master's students are eligible for financial aid consideration if their enrollment is within the first two years of their first term of enrollment in the program and they are in academic good standing (See 5.1). Requests for consideration of an extension are submitted by the department's DGS to Graduate Enrollment Services. Extension of financial aid eligibility does not extend time to degree.

6.7. *Academic Leave of Absence:* A student who is obliged to temporarily suspend enrollment for national service, serious illness, or compelling personal reasons may request an academic leave of absence, which, if approved by the OASA, retains the student's matriculation status in the program and acts as an exception to the continuous enrollment requirement (See 6.1).

6.7.1. *Accepted Reasons for Academic Leave of Absence:* The following summarize the only accepted reasons for taking an academic leave of absence:

6.7.1.1. *National Service:* Military service, public health service, the Peace Corps or any comparable activity is deemed to constitute national service.

6.7.1.2. *Medical:* Any condition that a physician or psychiatrist certifies is prohibitive to carrying on full- or part-time study. (See 6.22.2 for special procedures relating to health leaves.)

6.7.1.3. *Compelling Personal Reason:* Must be one outside the student's control and not a matter of choice. Difficulty maintaining academic good standing or conditions for enrollment (See 5.1 and 6.2) does not qualify as a compelling personal reason. Examples of compelling personal reasons include serious family or legal crises. OASA relies upon the DGS to review and support requests based upon compelling personal reasons and include justification separately from the student's own request.

6.7.2. *Maternal or Paternal Leave:* An academic leave of absence will be allowed for maternal and paternal leaves of absence for childbirth and care for the newborn. Maternal or paternal leave may be considered a compelling personal reason or a medical leave depending on the circumstance. Doctoral and master's students may wish to opt for a parental accommodation instead of, or in conjunction with, a maternal or paternal leave (See 6.8).

6.7.3. *Time to Candidacy and Time to Degree:* The period of an approved academic leave of absence does not count toward time to candidacy or time to degree.

6.7.4. *Eligibility:* Students are only eligible for an academic leave of absence after the first day of the first term in which they have been officially enrolled for courses.

- 6.7.5. *Duration:* An academic leave of absence can be approved for a period up to one year, except in cases of compulsory national service in which case the leave would be approved for the duration of the service.
- 6.7.6. *Financial Status:* Students will not be granted a leave of absence if their outstanding balance with the Bursar is greater than or equal to the amount that would block enrollment for the next term.
- 6.7.7. *Registration Fees:* During an academic leave of absence, registration fees for the terms the leave is granted do not accrue.
- 6.7.8. *Enrollment Status:* A student on an academic leave of absence is not eligible for full- or half-time equivalency (See 6.15 and 6.16).
- 6.7.9. *International Students:* Due to Section 6.7.8, the Office of Global Services (OGS) will be notified by OASA each time an international student is given an academic leave of absence. International students are advised to contact the OGS when considering an academic leave of absence.
- 6.7.10. *Academic Leaves Initiated After Beginning of Term:* When an academic leave involves withdrawal after a term has begun, the student will be withdrawn from all current courses as long as the request is received by the add/drop deadline for that term. Furthermore, all current courses will be removed completely from the student's transcript and all tuition and fees for the current semester courses will be refunded to the student. Health insurance fees may be exempt from this refund.
- 6.7.11. *University Resources:* While on an academic leave a student may not make use of any University resources including, but not limited to the library, the gym, and any University academic space. Students may continue for a limited time in the [Student Health Insurance](#) plan at their own expense.
- 6.7.12. *Outside Academic Activity:* While on an academic leave a student may not enroll in any other universities for the purpose of transferring credit earned there toward the NYU degree.
- 6.8. *Parental Accommodation:* Full-time doctoral students in the Graduate School of Arts and Science (GSAS) who are within the term of their MacCracken funding and full-time master's students who become primary caregiving parents to a newly born or adopted child may request to have their academic responsibilities amended for up to 6 weeks or for one full semester. This may include modifying class attendance, exams, and other academic requirements for a student's degree program.
- 6.8.1. During the period of parental accommodation (PA), students maintain full-time student status and must remain in compliance with the terms and conditions of their MacCracken award.
- 6.8.2. Students receiving PA may opt to continue to receive their MacCracken support package during the period of accommodation, including health insurance and access to university resources. If a student chooses not to receive his/her MacCracken stipend during the period of PA, all or a portion of the stipend should be placed on reserve following the guidelines of the MacCracken Reserve Program. The PA does not grant additional semesters of funding.
- 6.8.3. If the student's period of PA overlaps with summer and the student's MacCracken support package as outlined in their acceptance letter includes a commitment of summer support, then the student may opt to receive the summer support during the PA period. If

the student chooses to defer the summer support, a plan for future use should be discussed with his/her department.

- 6.8.4. Students receiving external financial support must contact the funding agency and comply with its policies. If the external funding agency suspends funding, GSAS will not assume the responsibility of funding the student.
 - 6.8.5. Students who use a PA will be granted a one-semester extension of enrollment eligibility for departmental and/or school academic requirement deadlines.
 - 6.8.6. If a student chooses to use a PA for one full semester, the student will be registered under Maintenance of Matriculation (MM). MM fees and student health insurance for that semester will be awarded by the Graduate School per the terms of the MacCracken package.
 - 6.8.7. The period of PA may begin at any time after the student becomes a primary caregiving parent to a newly born or adopted child, through 12 months after the child is born or adopted. Applications for a PA must be made no later than four months prior to the start date of the requested PA period.
 - 6.8.8. New parents who use a PA may apply for an additional leave of absence (See 6.7.2).
 - 6.8.9. MacCracken doctoral students who are beyond the term of their MacCracken funding, non-MacCracken GSAS doctoral students, and master's students who become primary caregiving parents to a newly born or adopted child may apply for a one-semester extension of enrollment to fully complete all degree requirements, and/or a leave of absence.
- 6.9. *Cotutelle*: GSAS, through NYU, allows its doctoral students to participate in cotutelle agreements (agreements for joint supervision) with international universities. Students not enrolled in a GSAS program may not enter into a cotutelle agreement with a GSAS program at NYU. The following restrictions apply to these agreements:
- 6.9.1. NYU will not list both schools' names on the diploma
 - 6.9.2. Neither GSAS nor its departments will pay tuition, fees, travel, or any other related costs incurred as a result of the agreement
 - 6.9.3. Students must maintain registration during all fall and spring semesters at NYU through the duration of the agreement and until graduation.
 - 6.9.4. All GSAS Policies and Procedures apply to the student throughout the term of the agreement. This includes composition of the dissertation committee.
 - 6.9.5. The Dean of Graduate School of Arts and Science will serve as the official signatory for NYU
 - 6.9.6. All agreements must be reviewed and approved by both GSAS and the NYU Office of General Counsel.
- 6.10. *Time to Candidacy*: To remain in academic good standing (See 5.1) doctoral students must achieve doctoral candidacy within 4 years of initial enrollment. Candidacy is reached when the student earns the Master of Philosophy, M.Phil., degree, indicating that all requirements for the Ph.D. have been met other than the dissertation.
- 6.11. *Extension of Time to Candidacy*: The Assistant Dean for Academic Affairs will consider requests endorsed by the department beyond the 4-year limit stated above for students who are

making clear progress toward the degree. Only one request for extension of time to candidacy per student per degree program will be considered. This request must include a detailed plan for the attaining of candidacy with tangible goals which the student must meet during each semester of extension requested. Should the student not meet one or more of these goals, the student must be terminated from their program. Any such extension should not exceed one year. The department will be responsible for warning the student of the deadline for completion of all requirements for candidacy. No requests for extension of time to candidacy will be considered unless the department has issued the student a probation letter containing a time table for completion of all requirements other than the dissertation.

6.12. *Time To Degree:* To remain in academic good standing (See 5.1) students must complete their degrees within specific time limits:

6.12.1. Any master's degree must be completed within 5 calendar years after the date of first enrollment in that master's program.

6.12.2. If 24 or more credits are transferred toward the Ph.D. degree in any doctoral program, the degree must be completed within 7 calendar years after the date of first enrollment in that Ph.D. program.

6.12.3. If fewer than 24 credits are transferred toward the Ph.D. degree in any doctoral program, the degree must be completed within 10 calendar years after the date of first enrollment in that Ph.D. program.

6.12.4. Doctoral students enrolled in approved dual-degree programs, not including the cases when one of the degrees is an advanced certificate, must complete the Ph.D. within 10 years of first enrollment in the dual degree program regardless of the number of credits transferred.

6.13. *Extension of Time to Degree:* The Assistant Dean for Academic Affairs will consider requests endorsed by the department beyond the limits stated above for students who are making clear progress toward the degree. Only one request for extension of time to degree per student per degree program will be considered. This request must include a detailed plan for the completion of the degree with tangible goals which the student must meet during each semester of extension requested. Should the student not meet one or more of these goals, the student must be terminated from their program. While GSAS expects that any such extension should not exceed one year, extensions for a longer period will be considered as long as the department includes reasonable justification for the need of the additional time. The department will be responsible for warning the student of the deadline for completion of all requirements for the degree. No requests for extension of time to degree will be considered:

6.13.1. If the student has outstanding incomplete grades;

6.13.2. Unless the department has issued the student a probation letter containing a time table for completion;

6.13.3. Unless all requirements other than the capstone project, for master's students, or the dissertation, for doctoral students, are completed.

6.14. *Course Work Validation:* The following lists the GSAS minimum requirements for course work validation. Departments may set more stringent standards.

6.14.1. *Master's:* At the time of completion of all requirements for any master's degree, course work greater than five years, but less than ten years old must be validated by the

department and approved by the Office of Academic and Student Affairs. No course work older than ten years shall be validated.

- 6.14.2. *Ph.D. or M.Phil.*: At the time of completion of all requirements for the Ph.D. or M.Phil. degree, course work of greater than ten years but less than fifteen years old must be validated by the department and approved by OASA. No course work older than fifteen years shall be validated.
- 6.15. *Full-Time*: The following are the requirements for full-time status and full-time equivalence during any of the fall semester, spring semester, or the summer.
 - 6.15.1. *Full-Time Status*: A student must be enrolled in at least nine credits of coursework in any fall or spring semester unless the program the student is in is registered to have a lower amount count as full time. In the summer semester, a student must be enrolled in a total of nine credits over all that year's summer semester terms. Students taking the last credits needed for the degree in any semester are also considered to have full-time status even if they are only taking one credit in that semester.
 - 6.15.2. *Full-Time Equivalence*: Working on research, examination preparation, internships, and/or coursework totaling 40 hours per week for the duration of the fall or spring semester or the entirety of the summer is required for a student to claim full-time equivalence for that semester or summer.
- 6.16. *Half-Time*: The following are the requirements for half-time status and half-time equivalence during either the fall semester, spring semester, or the summer:
 - 6.16.1. *Half-Time Status*: A student must be enrolled in at least four and one-half credits of coursework in any fall or spring semester. For the summer, a student must be enrolled in a total of six credits over all that year's summer semester terms.
 - 6.16.2. *Half-Time Equivalence*: Working on research, examination preparation, as a Research Assistant, internships, and/or coursework totaling 20 hours per week for the duration of the fall or spring semester or the entirety of the summer is required for a student to claim half-time equivalence for that semester or summer.
- 6.17. *Maximum Time Allowed in Full-Time Status and Equivalence*: The maximum amount of time allowed for a student to be considered full-time is as follows:
 - 6.17.1. Advanced Certificate students: two years;
 - 6.17.2. Master's students: three years;
 - 6.17.3. Ph.D. students: seven years.
 - 6.17.4. A student combining an advanced certificate and a degree program or two degree programs is eligible only for the maximum of the two numbers, not the total of the two.
- 6.18. *Tuition Refunds*: Students are entitled to refunds on tuition according to the [Refund Schedule](#) published by the Office of the Bursar. Students are not entitled to refunds of mandatory University Registration and Services fees after the end of the drop/add period.
 - 6.18.1. The date on which the student submits a drop/withdraw, NOT the last date of attendance, is considered the official date of withdrawal from the course.

- 6.18.2. Nonattendance of a course does not constitute a drop or withdrawal; a student is liable for tuition charges for any course not formally dropped. Notification to the instructor does not constitute official drop or withdrawal.
 - 6.18.3. Stop payment of a check presented for tuition does not constitute a drop or withdrawal, nor does it reduce the indebtedness to the University.
 - 6.18.4. A student is entitled to a refund of tuition and fees if a course is canceled.
 - 6.18.5. Requests for exceptions to the published refund schedule should be made by the department in writing to Graduate Enrollment Services and must be accompanied by appropriate documentation regarding circumstances warranting a requested exceptional refund.
- 6.19. *Teaching*: Students, doctoral or master's, may be hired into instructional roles during the time that they are enrolled in their programs. Doctoral students may serve for a maximum of eight (8) fall and/or spring semesters. No more than four (4) of these semesters may be before the end of MacCracken stipend period and no more than four (4) may be after. Students may not be hired to instructional assignments in the periods during or after receiving a dissertation completion fellowship. Summer semester instructional duties are not included in these totals.

ADMINISTRATIVE PROCEDURES:

- 6.20. *Registration for Credit beyond Degree Requirement*: The department may petition OASA to allow a student to enroll for credit beyond what is required for the student's current degree program. The department should submit a memo making the request and outlining an academic rationale of why the student should be allowed to take more credits than needed. A tuition scholarship will not be offered for any additional coursework thus approved.
- 6.21. *Maintenance of Matriculation Waivers*: Departments must nominate students for a hardship, which will be reviewed by OASA. All requests must be made in writing by the departmental chair or DGS. Requests for waivers that are awarded as part of the MacCracken support package should be recorded in the Arts and Science Information System (OASIS) and will be reviewed by Graduate Enrollment Services.
- 6.21.1. Departments will be responsible for informing students of decisions regarding approval or denial of requests for maintenance waivers.
- 6.22. *Academic Leave of Absence Requests*: The student should submit a leave of absence request in the Albert Student Center. The department will receive an email to review the request and make a decision in NYU Connect. Acceptable supporting documentation includes doctors' recommendations in the case of serious illness (though a recommendation from Counseling and Wellness Services or the Student Health is still required), evidence of national service, or a detailed written statement from the DGS documenting the compelling personal reasons.
- 6.22.1. Departments will be responsible for informing students of OASA's decisions regarding approval or denial of requests for an academic leave of absence. The decision notification will be sent from NYU Connect if the decision was processed using that system.
 - 6.22.2. If a student requests an academic leave of absence for health reasons they must schedule an assessment appointment with [Counseling and Wellness Services](#) (CWS, for mental health issues) or the [Student Health Center](#) (SHC, for physical health issues), A recommendation to take an academic leave of absence for health reasons is required from

CWS or SCH. The student must obtain written clearance to resume registration after evaluation from SCH or CWS. The University will place a hold on the student's registration until a reentry evaluation has been done by either CWS or SCH.

- 6.23. *Applying for Parental Accommodation:* Students should submit a Parental Accommodation form, with supporting documents, to the department. Once available, an electronic copy of the birth certificate or proof of adoption must be submitted to OASA. Applications by MacCracken doctoral students within the term of their MacCracken funding for a PA must be made no later than four months prior to the start date of the requested PA period. Applications for a one-semester extension of enrollment and/or leave of absence by MacCracken doctoral students beyond the term of their MacCracken funding, non-MacCracken GSAS doctoral students, and GSAS master's students must be made no later than three months after childbirth or adoption.
- 6.24. *Applying for a Cotutelle:* Once a student and their advisor have determined to participate in a cotutelle, they should request that the international university generate a cotutelle agreement in English and in the instructional language used by the international university. This agreement must comply with the minimum requirements in Section 6.9. This agreement should then be submitted by the department to the Office of Academic and Student Affairs as an editable Word document for initial review. After initial review, OASA will then send the document to the Office of General Counsel for final review. GSAS will notify the department when the cotutelle agreement is finalized.
- 6.25. *Extension of Time to Degree Requests:* The departmental chair or DGS should submit a letter to OASA providing a detailed plan for the completion of the degree and stating reasons for the recommendation of an extension of the time limit.
- 6.25.1. The department will be responsible for informing students of decisions regarding approval or denial of requests for extension of time to degree.
- 6.25.2. The department will be responsible for warning the student of the deadline for completion of all requirements for the degree, as approved by OASA.
- 6.25.3. The department must request OASA's validation of all superannuated coursework for a student who has been granted an extension of time to degree (See 6.14).
- 6.26. *Course Work Validation Requests:* The department should send a memorandum to OASA endorsing validation of superannuated coursework.
- 6.27. *Full-Time or Half-Time Equivalence:* A student must submit in writing a request for full-time or half-time equivalence which must be approved by a student's advisor or DGS. This should be documented in the student's file. The advisor, DGS, or Graduate Administrator can enter an appropriate value in SIS. This action should be completed no later than the end of the third week of the semester, and must be done for each semester full- or half-time equivalence is granted. A department does not need to enter any change in SIS when a student is registered for 9 or more credits.

7. GRADUATION

RULES

- 7.1. *Master's Thesis Readers:* A minimum of two readers are required for a master's thesis. The DGS must approve all readers. The DGS may approve readers from outside A&S as well as readers whose professional experience demonstrates mastery of the subject when such readers do not hold at least a master's degree.
- 7.2. *Ph.D. Dissertation Committee:* The Dissertation Committee must be composed of at least five members, three of whom must be full-time members of the A&S faculty. From the whole committee, three must be designated as core members. The core consists of the committee chair, the advisor, and one other member (or two other members if the chair and advisor are the same person). The core members are generally the committee members who approved the dissertation proposal or prospectus.
- 7.2.1. The following are considered members of the full-time faculty of A&S for the purpose of service on the Ph.D. dissertation committee:
- 7.2.1.1. Any individual currently designated by A&S as tenured or tenure-track faculty;
 - 7.2.1.2. A former tenured or tenure-track faculty member;
 - 7.2.1.2.1. A former faculty member may be added to a committee for up to five years from the date the faculty member severs ties with A&S and will be eligible to participate on the committee until completion of the dissertation;
 - 7.2.1.2.2. A former faculty member who was already named to a student's committee at the time of severance will be eligible to participate until completion of the dissertation.
 - 7.2.1.3. A retired faculty member granted emeritus status;
 - 7.2.1.4. A tenured or tenure-track faculty member of A&S who left A&S as the result of the discontinuation of the student's doctoral program;
 - 7.2.1.5. One clinical or similar continuing faculty member may be employed towards meeting the requirement of three members of the full-time faculty of A&S. Research faculty members are not included. Should the department and student wish to include more than one such individual as representatives of the full-time faculty, the department must seek the approval of OASA in addition to departmental approval;
 - 7.2.1.6. An NYU faculty member holding a primary appointment outside A&S who has been approved by A&S and the relevant department or program as an associated faculty member.
 - 7.2.1.7. An NYU Abu Dhabi or NYU Shanghai faculty member who has been appointed to an A&S affiliated department on those campuses.
- 7.2.2. All Dissertation Committee members must have a scholarly record that is germane to the dissertation.
- 7.2.3. A student may have a Dissertation Committee of more than five members if so-approved by the DGS.
- 7.2.4. A student may have co-advisors or co-chairs if so-approved by the DGS.

- 7.2.5. The DGS must approve all members of the Dissertation Committee. Should the DGS also be the advisor or committee chair, the Department Chair must approve all members of the Dissertation Committee.
- 7.2.6. Where circumstances require that the dissertation advisor or committee chair be other than a member of the full-time faculty of A&S, the department must seek OASA approval
- 7.2.7. Faculty appointed to departments housing affiliate programs may serve on dissertation committees for students in A&S core departments without the special permission regarding outside readers (See 7.13). Affiliate program faculty do not count toward the requirement of three A&S faculty members.
- 7.3. *Affiliate Programs:* Affiliate programs housed in a school will employ that school's faculty instead of A&S faculty for the dissertation committee in the same manner as outlined in Section 7.2. Affiliate programs which are free standing may employ program and/or A&S faculty for the dissertation committee to satisfy the requirements of Section 7.2.
- 7.4. *Approval for Defense:* Prior to the scheduling of a doctoral dissertation defense, the core committee members must approve the dissertation for defense. Approval for the defense does not constitute approval of the dissertation.
- 7.5. *Successful Defense:* A successful defense requires that no more than one vote of disapproval from the dissertation committee on the oral defense is cast.
- 7.6. *Graduation Date:* The official NYU graduation dates occur in September (summer term graduation), January (fall term graduation), and May (spring term graduation) each year. Students are responsible to know and follow all GSAS and University graduation procedures and deadlines.
- 7.7. *Enrollment:* Students must be enrolled in the term of their thesis defense (for doctoral students) or thesis/special project submission (for master's students) as well as the term in which they graduate as defined by the GSAS continuous enrollment requirement (See 6.1). Enrollment in the preceding spring term grants automatic enrollment status for the immediately following summer term. Failure to be enrolled will make any above-mentioned action null and void.
- 7.8. *Graduation after Defense:* Doctoral students may graduate no later than the second graduation date subsequent to the defense of the dissertation. Failure to do so will make the defense null and void.
- 7.9. *Student Records:* A student's records are considered final for a given degree upon the posting of graduation with that degree to the official NYU transcript. A student's records may only be altered after that point if a case of academic fraud in obtaining the degree is proven against that student.
- 7.10. *Incomplete Grades:* A student may not graduate with an incomplete grade of "I" or "NR" on their transcript.

ADMINISTRATIVE PROCEDURES

- 7.11. *Graduation Tracking in SIS:* Graduation Tracking records are created in SIS for each student who has applied for graduation, by the Office of the Registrar. Departments are responsible for the following:

- 7.11.1. The department must review the Graduation Tracking record in SIS. Additions or changes are to be noted on the Graduation Tracking record using Internal Memo System.
- 7.11.2. The department must approve the graduation on the Graduation Tracking record.
- 7.11.3. The department should submit appropriate documentation where necessary or requested by the Registrar (e.g., comprehensive exam results, thesis reader sheets, language qualification reports, waivers, validation of coursework, etc.), using the Internal Memo System.
- 7.12. *Master's Thesis Submission:* If a thesis is necessary to fulfill the requirements for the degree, the department must submit to the Office of the Registrar, a copy of the title page and two signed copies of the Master's Thesis Reader Sheet using the Internal Memo System.
- 7.13. *Dissertation Committee Members not Part of the Full-Time Faculty of A&S:* The Director of Graduate Studies (or Department Chair, See 7.2.5.) must approve any committee members who are not members of the full-time faculty of A&S by signing the Outside Dissertation Reader Approval Form. A C.V. for the outside reader must be attached and the form and C.V. must be made part of the student's permanent file and a copy must be forwarded to Degree Audit along with all other required material.
- 7.14. *Doctoral Oral Defense Procedure:* The vote and approvals of a defense must be indicated on the Doctoral Thesis Oral Defense Form, which must be submitted to the Office of the Registrar, using the Internal Memo System.
- 7.15. *Applying for Graduation:* It is the student's responsibility to apply for graduation and it is recommended that students apply for graduation no later than the beginning of the semester in which all program requirements are expected to be completed. Waiting to receive end of term comprehensive exams, thesis, or final project results before applying for graduation may result in a delay in graduation. Refer to the specific deadlines for the completion of requirements for each graduation available listed in Office of the Registrar's [Applying for Graduation](#).
- 7.16. *Submitting the Ph.D. Dissertation:* A candidate for a Ph.D. degree must follow the GSAS doctoral dissertation guidelines on [Submitting Your Dissertation](#) and submit the forms there to the indicated offices. The guidelines outline the procedures and deadlines for preliminary and final submission of the dissertation, including necessary forms, payment, typography and pagination. Students should be aware that GSAS deadlines precede University deadlines.
- 7.17. *Proof of Degree Completion:* Any student requiring proof of degree completion either before or after that student's official graduation date must request such verification from the Office of the Registrar.

8. ACADEMIC PROBATION AND TERMINATION

RULES

- 8.1. *Academic Probation:* If a student's academic performance falls below the GSAS standard for "good standing" (See 5.1), the student is accordingly on academic probation and must be informed

by the Department with a formal probation letter. A student who has not met stated program progress requirements may also be placed on probation by the Department.

- 8.1.1. *Notification of Academic Probation:* Departments are required to provide written notification to the students of their probationary status as soon as practicable. The notification must inform students of the grounds for this determination, the specific steps that must be taken to return to good standing, the means by which the students' performance will be evaluated and the penalty that will be imposed if these requirements are not met. Notification letters must be approved by the Assistant Dean for Academic Affairs prior to being sent to students.
- 8.1.2. *Timing of Notification:* In the case of probation for low GPA or completion rate, if the student is notified within the first two weeks of a semester, the student may be required to complete all requirements by the end of that semester. If notification occurs after the first two weeks of a semester have been completed, the student has until the end of the next full semester (including summer) to complete all requirements. Students beyond time to degree or time to candidacy must be placed on probation by the beginning of the term in which they exceed these standards. Students may be placed on probation at any point in the semester when they have failed to meet stated program requirements.
- 8.1.3. *Intermediate Goals;* Departments may set intermediate goals, short of a student's achieving official good standing, as part of an academic probation. Failure to meet intermediate goals may result in immediate termination.
- 8.2. *Financial Aid:* If a student is awarded GSAS or departmental financial aid (fellowship, assistantship, tuition, fees, health insurance, or other awards), then the probation letter will state the consequences of the probation on the financial aid award(s) including the terms required for the continuation or resumption of the award(s).
- 8.3. *Termination Resulting from Failure to Satisfy Terms of Academic Probation:* Students on academic probation who do not satisfy the stated terms of probation may be formally terminated from the graduate program by the Department or the Assistant Dean for Academic Affairs.
 - 8.3.1. *Notification of Termination:* Departments are required to provide written notification to students of their termination as soon as practicable. The notification must inform students of the grounds for termination including the specific steps that the student failed to take to return to good standing, the effective date of the termination, and the appeal process available to the student. Notification letters must be approved by the Assistant Dean for Academic Affairs prior to being sent to students.
- 8.4. *Termination Resulting from Failure to Meet Program Requirements:* Students may be terminated by the Department or the Assistant Dean for Academic Affairs at any time for failing to meet stated program requirements.
 - 8.4.1. *Notification of Termination:* Departments are required to provide written notification to students of their termination as soon as practicable. The notification must inform students of the grounds for termination, including the specific steps that the student failed to take to meet the program requirements, the effective date of the termination, and the appeal process available to the student. Notification letters must be approved by the Assistant Dean for Academic Affairs prior to being sent to students.
- 8.5. *Right to Appeal Academic Probation or Termination:* Students have the right to appeal an academic probation decision, the criteria set for the reversal of academic probation or a termination

issued by the Department within thirty (30) days of the receipt of the notification of termination or probation. Students wishing to appeal must file a written appeal to the Department by submitting the appeal to the DGS. This appeal must include the grounds for the appeal, specifying departmental, GSAS, or A&S policy, rules, or procedures which have not been followed; describe the facts and evidence in support of the appeal; indicate what remedy is sought; and identify any individuals who may be contacted for relevant information. The DGS, at their discretion, may determine whether to interview individuals identified by the students, other GSAS faculty and administrators, and/or the student in order to decide the appeal. The DGS will make all reasonable efforts to provide the student with a written final determination within four weeks of the date the letter of appeal was received by the DGS. In the event this deadline cannot be met, the DGS will notify the student of the reason for the delay in writing.

8.5.1. *Notification of Results of Appeal:* The department is required to provide written notification to a student of the results of their appeal within the time limits set above. The notification must address each point of contention raised in the student's appeal and include the further appeal process available to the student. Notification letters should be sent to Assistant Dean for Academic Affairs concurrently with student notification sent to students.

8.6. *Right to Appeal Departmental Decision to the Assistant Dean for Academic Affairs of the Graduate School:* If the student is not satisfied with the determination reached by the Department, the student may file a written appeal with the Assistant Dean for Academic Affairs of the Graduate School within two weeks of the receipt of the written determination from the department. This appeal must include the same items as listed in Section 8.5 as well as identifying the departmental, GSAS or A&S policy that the student believes was not followed in the departmental appeal. The Assistant Dean's review will be limited to consideration of whether departmental, GSAS, or A&S policy was followed in the departmental appeal, and whether the determination reached by the department is supported by the record presented in the departmental appeal. The Assistant Dean will make all reasonable effort to provide a written final determination within two weeks of receipt of the full set of appeal documents. In the event this deadline cannot be met, the Assistant Dean will notify the student of the reason for the delay in writing.

8.6.1. *Notification of Results of Appeal:* The Assistant Dean is required to provide written notification to a student of the results of their appeal within the time limits set above. The notification must address each point of contention raised in the student's appeal and include the further appeal process available to the student.

8.7. *Right to Appeal to the Dean of the Graduate School:* If the student is not satisfied that the above procedures were properly and fairly executed by the Assistant Dean, the student may appeal the Assistant Dean's determination to the Dean of the Graduate School within two weeks of receipt of the Assistant Dean's decision. The Dean will review only the process resulting in the Assistant Dean's finding to determine if it was fair and impartial and followed the rules and policies of the Graduate School. No new information beyond what was reported to the Assistant Dean will be considered. The Dean will render a written decision to the student within thirty (30) days of receipt of the appeal. The Dean's decision shall be final for GSAS and its departments.

8.7.1. *Notification of Results of Appeal:* The Dean is required to provide written notification to a student of the results of their appeal within the time limits set above. The notification must address each point of contention raised in the student's appeal.

8.8. *Student Status during Appeal:* During the appeal process of an academic probation or termination, a student must be allowed to maintain student status and continue enrollment in any

courses they were enrolled in at the date of the enactment of the probation or termination. The student's academic record will be frozen for the duration of the appeals process. No grade changes will be accepted during this time.

ADMINISTRATIVE PROCEDURES

- 8.9. *Probation and Termination of a Student:* When a student is put on probation or terminated, the department must notify all relevant offices, including but not limited to, the Office of Global Services if the student is international, and Graduate Enrollment Services if the student is receiving GSAS or department funding. If the department wishes to have a termination notated on the student's transcript, the department must notify Records and Grading at the Office of the Registrar.
- 8.10. *Notification of Probation, Termination, and Appeals:* Notification of probation, termination, and the results of a departmental appeal must be made formally. At a minimum, students should receive an electronic document containing the required information. Simple email notification is not sufficient, but may be used as an initial, quick notification to students as long as it is followed up by a formal notification in a timely manner.
- 8.11. *Registration Holds:* After the Office of Academic and Student Affairs has notified the department that a student is out of academic good standing (See 5.1), it will place a registration hold on the student's record. It will also place a registration hold on any student that has been terminated.

9. DISCIPLINE

RULES

- 9.1. *Jurisdiction:* All students are expected to abide by the expectations set forth in the [Student Conduct Policies at NYU](#). Allegations of behavioral (non-academic) misconduct against a GSAS student shall be addressed pursuant to the NYU [Student Conduct Procedures](#), administered by the Office of Student Conduct under the authority of the Senior Vice President of Student Affairs (See 9.4). Allegations of academic misconduct (plagiarism, cheating, clinic/internship/field placement conduct, etc.) shall be addressed by GSAS in accordance with the established procedures outlined below (See 9.3). Cases of misconduct that fall within the University's [Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Students](#) and the University's [Sexual Misconduct, Relationship Violence, and Stalking Policy](#) will be reported to and the Office of Equal Opportunity, which will oversee any investigation or resulting discipline.
- 9.2. *Suspension Pending Consideration:* As provided in University Bylaw 80, the Dean of a school or the Dean's representative may suspend a student pending consideration of a case. The Faculty of Arts and Science urges that such action should only be taken to protect the physical or emotional safety and well-being of the student, the physical or emotional safety and well-being of other students, faculty, and/or University staff, the security of University property, the maintenance of public order or the effective continuation of the educational process. When such action does occur, the student shall be afforded the opportunity to expedite disciplinary proceedings. Any period of interim suspension shall be deducted from any final sanction involving suspension.

- 9.3. *Academic Misconduct:* All students in GSAS are expected to follow the University’s policies on [Academic Integrity for Students at NYU](#) and the [Principles and Procedures for Dealing with Allegations of Research Misconduct](#). Academic integrity violations include, but are not limited to, offenses such as plagiarism, cheating, possession or use of any prohibited notes, reference resources, or data processing or other devices in any class or examination, and misrepresentation of academic credentials. Research integrity violations include, but are not limited to, fabrication, falsification, and plagiarism in proposing, performing, or reporting research results.
- 9.3.1. *Filing of a Departmental Complaint:* If a student engages in any form of academic misconduct, the individual with knowledge of the facts shall file a complaint with the Department Chair.
- 9.3.2. *Student Notification by Department:* The Department Chair shall provide notice of the filing of the complaint to the student in writing within one (1) week of receipt of the complaint.
- 9.3.3. *Meeting in Department:* The Department Chair or his/her departmental faculty designee shall meet with the student against whom a complaint has been filed, describe the complaint, and offer the student an opportunity to respond. The student shall be informed of their right to accept or reject a departmental resolution. After considering all relevant information, the Department Chair may inform the student of the terms, including where appropriate the imposition of a sanction (See 9.6) upon which the Department is willing to resolve the matter. Where the student agrees in writing to the terms of a departmental resolution, a binding consensual resolution shall exist between GSAS and the student. Where the Chair is unable to resolve the complaint by consensual resolution, the Chair shall forward the complaint to the Assistant Dean for Academic Affairs, in which case the procedures beginning with Section 9.3.4 will apply if the student is a GSAS student or Section 9.3.5 if the student is not a GSAS student.
- 9.3.4. *Referral of the Complaint to the A&S Committee on Student Discipline:* Where the Department or Program is unable to resolve the complaint of academic misconduct by consensual resolution, the student is notified that the complaint shall be forwarded to the A&S [Committee on Student Discipline](#) no less than one (1) week from the notification date. During the period between the notice to the student and the complaint being forwarded to the A&S Committee on Student Discipline (the “Mediation Period”), the student will have the opportunity to meet with the Assistant Dean of Academic Affairs or their designee. The Assistant Dean or designee shall, upon request, meet with the student, discuss the evidence of misconduct, and provide the student with information about the procedures of the A&S Committee on Student Discipline. No additional information will be gathered or considered during this period. The Assistant Dean or designees may not revise the terms for a resolution, but the Department or Program may offer revised terms and the student may change their decision about a consensual resolution on the terms offered by the Department or Program. If a consensual resolution is not reached during the Mediation Period, the matter will be referred to the A&S Committee on Student Discipline.
- 9.3.5. *Misconduct by non-GSAS student:* Where the Department or Program is unable to resolve the complaint of academic misconduct by consensual resolution with a non-GSAS student, the student is notified that the complaint shall be forwarded to the Dean of Students, or equivalent, of that student’s home school. The student’s home school policies on academic discipline will then be employed. GSAS will abide by the findings of the student’s home school.

9.4. *Behavioral Misconduct:* Behavioral misconduct includes conduct that impedes, obstructs or threatens the maintenance of the public order, interferes with or disrupts the regular operations and activities of the University, or constitutes a denial of or an unreasonable interference with the complainant's rights. When activities undertaken by registered student organizations constitute a violation of this provision or violation of University rules or of public laws and regulations, a complaint may also be brought against such organizations as well as against the individual students belonging to such organizations.

9.4.1. *Filing of a Complaint:* In the case of behavioral misconduct a complaint shall be filed in writing with the Assistant Dean for Students by the Department in which the alleged misconduct occurred or by any member of the GSAS community who claims to have been injured or affected by the alleged misconduct.

9.4.2. *Notification by the Assistant Dean for Students:* The Assistant Dean for Students shall provide notice of the filing of the complaint to the student in writing within one (1) week of receipt of the complaint. When such a complaint is received, the Assistant Dean will notify the NYU Office of Student Conduct, who will investigate the complaint and, if the student is found guilty, impose whatever sanction deemed appropriate to the offense.

9.5. *Second Offense:* The penalty for a second occurrence of academic misconduct will be termination from the graduate program.

ADMINISTRATIVE PROCEDURES

9.6. *Penalty Guidelines:* Because of the wide range of seriousness of offenses of any given general type, no specific penalties are suggested for first occurrences. Each case must be judged independently, taking into account the seriousness of the offense, aggravating and mitigating circumstances, and the general desirability of treating similarly situated students similarly. In all cases, it should be determined whether or not notice of the penalty should be placed on the student's record. As a guide to assessing the penalty to be applied, some possible considerations are outlined in the NYU [Student Conduct Procedures](#) for various general offenses.

9.7. *Notification of Charge of Misconduct:* Notification to the student of a charge of misconduct must be made formally. At a minimum, students should receive an electronic document containing the charge and the resulting process. Simple email notification is not sufficient, but may be used as an initial, quick notification to students as long as it is followed up by a formal notification in a timely manner.

10. GRIEVANCES

RULES

10.1. *Right to File a Grievance:* Any student registered in GSAS courses or otherwise formally involved in GSAS programs has the right to file a grievance. Certain types of grievances must be adjudicated within GSAS, while others must be adjudicated at the University level. The following rules are designed to provide GSAS students with a mechanism of redress.

- 10.2. *Grievances Adjudicated Outside GSAS*: In the following cases, grievances must be adjudicated outside GSAS. Questions about whether or not grievances fall within these guidelines should be addressed to either of the Assistant Deans, for Students or for Academic Affairs, in the Office of Academic and Student Affairs (OASA).
- 10.2.1. *Harassment, Discrimination, Sexual Misconduct*. If the matter involves alleged harassment, discrimination, or sexual misconduct in violation of either the University's [Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Students](#) or the University's [Sexual Misconduct, Relationship Violence, and Stalking Policy](#), grievances should be filed promptly with the Office of Equal Opportunity.
- 10.2.2. *Grievance Arising in Other School or College*. If the student's grievance concerns a student, faculty or staff member whose primary affiliation is with another school or college, the student shall consult and follow that school or college's procedures. In addition, the student shall submit copies of the written grievance to either of the OASA Assistant Deans and the comparable office in the other school or college.
- 10.3. *Grievances Adjudicated by GSAS*: In the following cases, grievances can be adjudicated within GSAS:
- 10.3.1. The student believes that they have been subject to treatment which is in violation of a GSAS or A&S rule, procedure or policy;
- 10.3.2. The student believes that they are being affected by an unfair and/or incomplete GSAS or A&S rule, procedure or policy or implementation of same;
- 10.4. *Grievances Concerning Grades*: It is the primary authority of instructors to evaluate student performance in their courses and award grades accordingly. Therefore, a student may file a grievance concerning a grade only on the basis of inequitable or prejudicial practices or administrative or clerical errors if they believe a grade to be incorrect. No other reason can form the basis for a grievance regarding a grade. The initiation of complaint should be initiated according to 10.7.1 in the academic unit offering the course in question.
- 10.5. *Grievances Concerning Academic Probation or Termination*: Students may not issue a grievance against an academic probation or termination or the terms therein. If a student believes that an academic probation or termination decision, or the terms thereof, is in violation of an NYU or GSAS rule, the appeal process should be employed (See Section 8).
- 10.6. *Grievances Concerning Distance Education*: Students who wish to file a grievance against some aspect of an online program or course must first follow the procedure beginning with Section 10.7 below. However, if they move through the entire GSAS process and are not satisfied with the decision of the Dean (Section 10.11) students may then reference the [Student Complaint Information](#) website for further information detailing the applicable complaint process rather than proceeding to the University Judicial Board. Students should contact the Assistant Dean for Academic Affairs with any questions regarding this process.
- 10.7. *Initiation of the Complaint*: Complaint proceedings concerning events or conditions within GSAS or A&S may be initiated in two ways:
- 10.7.1. If the event or condition occurred within a departmental context, the student shall notify the Department Chair or Program Director within thirty (30) days of the occurrence of the event or occurrence being grieved. The Chair or Director shall investigate the complaint and respond to the student within fifteen (15) days of notification. The student

may be offered terms which, if accepted, will constitute a binding consensual agreement in resolution of the issue.

10.7.2. If the event or condition occurred outside the departmental context but still within GSAS, the student shall contact the Assistant Dean for Academic Affairs within thirty (30) days of the occurrence of the event or occurrence being grieved. The Assistant Dean will arrange meetings within fifteen (15) days of notification as appropriate, attend such meeting(s), and attempt to aid in the resolution of the complaint. The student may be offered terms which, if accepted, will constitute a binding consensual agreement in resolution of the issue.

10.8. *Formal Grievance:* If the complaint is not resolved to the student's satisfaction through means outlined in Section 10.6, and the complaint is one defined to be adjudicated by GSAS, the student may bring a formal grievance to either of the OASA Assistant Deans within fifteen (15) days after the conclusion of the initiation of the complaint. In this case, the student must submit a formal written grievance to either of the Assistant Deans. The grievant shall state the grounds for the grievance, specifying departmental, GSAS, or A&S policy, rules, or procedures in question, describe the facts and evidence supporting the grievance, indicate what redress the grievant seeks, provide a brief history of the attempts to resolve the grievance, and identify any individuals who can be contacted for relevant information. Students may request a restriction of the investigation or attempted resolution of a grievance based on concerns about privacy or conflict of interest. The OASA Assistant Deans will determine which Assistant Dean will oversee the grievance and will notify the student of their decision.

10.9. *Receipt of Formal Grievance:* Upon receipt of a formal grievance, the Assistant Dean overseeing the grievance will promptly schedule a meeting with the grievant. One person may accompany and advise the grievant, but cannot directly participate in the meeting. The Assistant Dean or the student may request the presence of the other OASA Assistant Dean or the Director of the Master's College at the meeting. The student or the Assistant Dean may request that the meeting be recorded. The Assistant Dean may contact such other persons as the Assistant Dean deems appropriate, subject to the restrictions of the grievant (See 10.8), for the purpose of ascertaining the facts and evidence in the case. The Assistant Dean shall render a written decision on the grievance to the grievant, the respondent, and, if the matter had previously been addressed in the department, to the department.

10.9.1. *Notification of Results of Grievance:* The Assistant Dean is required to provide written notification to a student of the results of their grievance within the time limits set above. The notification must address each point of contention raised in the student's grievance and include the further grievance process available to the student.

10.10. *Appeal of Assistant Dean's Decision:* The student may appeal in writing the decision of the Assistant Dean to the Dean of GSAS within two weeks of receipt of the Assistant Dean's decision. The Dean will review only the process resulting in the Assistant Dean's finding to determine if it was fair and impartial and followed the rules and policies of the Graduate School. No new information beyond what was reported to the Assistant Dean will be considered. The Dean will render a written decision to the student within thirty (30) days of receipt of the appeal. The Dean's decision shall be final for GSAS and its departments.

10.10.1. *Notification of Results of Grievance:* The Dean is required to provide written notification to a student of the results of their grievance within the time limits set above. The notification must address each point of contention raised in the student's grievance and include the further grievance process available to the student.

- 10.11. *Appeal of Dean's Decision*: Students wishing to appeal the Dean's decision should consult the University's [Student Grievance Procedure](#). GSAS procedures cover Articles I through III of the University's procedures, so any appeal would start with Article IV, the University Judicial Board.
- 10.12. *Record Keeping*: The Office of the Dean of GSAS shall retain a copy of any grievance formally submitted under sections 10.2, 10.8 or 10.10 to the Assistant Dean for Academic Affairs or to the Dean, any amended grievance, and any decision of the Assistant Dean and/or Dean for five (5) calendar years following the date on which the grievance is resolved.

LINKS

Below is a listing of the links embedded in this document:

Academic Conflict of Interest and Conflict of Commitment: <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/academic-conflict-of-interest-and-conflict-of-commitment.html>

Academic Integrity for Students at NYU: <http://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/academic-integrity-for-students-at-nyu.html>

Counseling and Wellness Services: <http://www.nyu.edu/students/health-and-wellness/counseling-services/counseling.html>

Function, Composition, Term and Structure of Committees of the Faculty of Arts and Science: <http://as.nyu.edu/content/dam/nyu-as/as/documents/FAS%20Committee%20Rules%20and%20Guidelines%20Document%20-%20Spring%202017.pdf>

Graduation Information: <http://www.nyu.edu/students/student-information-and-resources/registration-records-and-graduation/graduation-and-diplomas/graduation-information.html>

GSAS General Application Policies: <http://gsas.nyu.edu/admissions/gsas-application-resource-center/nyu-gsas-general-application-policies.html>

GSAS Statement on Academic Integrity: <http://gsas.nyu.edu/about-gsas/policies-and-procedures/gsas-statement-on-academic-integrity.html>

Instructions for the Non-Degree and Visiting Student Application for Admission: <http://gsas.nyu.edu/admissions/gsas-application-resource-center/application-and-instructions/instructions-for-the-non-degree-application-for-admission.html>

Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees: <http://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/anti-harassment-policy-and-complaint-procedures.html>

Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Students: <http://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/non-discrimination-and-anti-harassment-policy-and-complaint-proc.html>

Office of Academic Program Review and Assessment: <https://www.nyu.edu/academics/academic-resources/academic-assessment.html>

Office of Environmental Health and Safety: <http://www.nyu.edu/life/safety-health-wellness/be-safe/environmental-health-and-safety.html>

Policy on Consensual Intimate Relationships: <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/policy-on-consensual-intimate-relationships.html>

Principles and Procedures for Dealing with Allegations of Research Misconduct: <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/researchmisconduct.html>

Refund Schedule: <http://www.nyu.edu/students/student-information-and-resources/bills-payments-and-refunds/refunds-and-withdrawals/dropping-classes.html>

Research with Human Subjects: <https://www.nyu.edu/research/resources-and-support-offices/getting-started-withyourresearch/human-subjects-research.html>

Retention of and Access to Research Data: <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/retention-of-and-access-to-research-data.html>

Sexual Misconduct, Relationship Violence, and Stalking Policy: <http://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/sexual-misconduct--relationship-violence--and-stalking-policy.html>

Statement of Policy on Intellectual Property: <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/policy-intellectual-property.html>

Student Complaint Information Regarding Distance Education: <https://www.nyu.edu/students/academic-services/student-complaint-information.html>

Student Grievance Procedure: <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/student-grievance-procedure.html>

Student Health Center: <http://www.nyu.edu/life/safety-health-wellness/student-health-center.html>

Student Health Insurance: <http://www.nyu.edu/students/health-and-wellness/student-health-center/insurance-patient-accounts.html>

Submitting Your Dissertation: <http://gsas.nyu.edu/academics/submitting-your-dissertation.html>

University Bylaw 80: <http://www.nyu.edu/about/leadership-university-administration/university-senate/rules-and-procedures.html>

University Student Conduct Policies: <http://www.nyu.edu/students/student-information-and-resources/student-community-standards/university-student-conduct-policies.html>

University Student Conduct Procedures: <https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/student-grievance-procedure.html>