



**GENERAL REQUIREMENTS**

**FOR DOCTORAL SCHOLARS**

**DEPARTMENT OF PSYCHOLOGY**

**UNIVERSITY OF NOTRE DAME**

**2016-2018**

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## 1. Purpose

This document provides an overview of the general requirements relevant to the Doctoral Program offered in the Psychology Department at the University of Notre Dame. It is not a comprehensive description of all academic requirements that may be placed on a particular scholar. Scholars should consult Area documents for any Area-specific requirements they must complete. Scholars should also consult *The Graduate School Bulletin of Information*, and *du Lac: The Graduate and Professional Student Handbook* for policies that apply to all graduate scholars at the university. It is every student's responsibility to ensure that he or she is familiar with all practices and policies related to graduate scholar education and conduct.

Questions regarding the policies described in this document should, in the first instance, be directed to the Graduate Scholar Assistant in the Psychology Department Office. Issues that cannot be resolved in the Psychology Department Office should be forwarded to the Director of Graduate Studies.

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1 Should conflicts or ambiguity arise across these documents, Graduate School policy takes precedence over Department policy, and Department policy takes precedence over Area policy.

## 2. General Academic Requirements

### 2.1. First Year Research Project

All scholars will complete a research project during the first year of graduate studies at Notre Dame, even if they have taken graduate courses elsewhere or already have a Master's Degree. The complexity and scope of this research project should be manageable and attainable within the scholar's first year of graduate study.

Depending on the scholar's chosen field of study, the First Year Project may include studies that are designed primarily by a faculty member and executed by the scholar, or studies that are formulated by the scholar in collaboration with an advisor. It may involve either newly collected or archival data sets. In all cases, the objective is for scholars to engage in research activities immediately upon their arrival at Notre Dame.

At the beginning of the fall semester, all graduate scholars in their second year at Notre Dame will present their first year projects at the Department's Fall Research Presentations. The format of these presentations varies from year to year (e.g., posters; 10-minute conference-style talks).

### 2.2. The Master's Degree

The general requirements for the Master's Degree include:

- a) registration with full-time status for *at least* one semester during the academic year or for one summer session,
- b) completion of a minimum of 30 credit hours composed of a minimum of 24 course hours (letter-graded classes) and not more than 6 Thesis Research credits (S/U graded),
- c) a cumulative grade point average of 3.0 or better,
- d) completion of PSY 60100 *and* 60101 (Quantitative Methods) with a grade of B- or better in both,
- e) completion of any area-specific requirements,
- f) participation in the Fall Research Presentations (see Section 2.1),
- g) successful defense of the Master's Thesis proposal (see Section 6.3), and
- h) satisfactory implementation and completion of the Master's Thesis document and a meeting to orally defend the research (see Sections 6.4 and 6.5)
- i) Starting with the 2015-2016 academic year, all scholars must complete the CITI "Social & Behavioral Research" training module ([www.citiprogram.org](http://www.citiprogram.org)) by the end of their first semester in the program. A copy of the certificate documenting the completion of this module must be sent to the Assistant to the Director of Graduate Studies by the end of the semester.

### 2.3. The Doctoral Candidacy Examination (Written Portion)

The Doctoral Candidacy Examination (Written Portion; AKA, “Prelim Examination” or “Comps Examination”) is a requirement to demonstrate general knowledge of Psychology and mastery in one’s major field of study. The exam’s structure, components, and delivery method vary across Areas. See Section 8 and area-specific documentation.

### 2.4. The Doctoral Degree

The general requirements for the Doctoral Degree include:

- a) registration with full-time status for *at least* four consecutive semesters (including the summer session)
- b) completion of a minimum of 60 total credit hours composed of a minimum of 26 course hours (letter-graded classes) and up to 34 credit hours from a combination of S/U graded research credits and/or additional letter-grade work. Individual program areas may require additional course credits beyond this minimum of 26 hours stipulated by the Department; consequently, scholars should be sure that they also meet all of the credit requirements in their area.
- c) a cumulative grade point average of 3.0 or better
- d) completion of all requirements in Section 2.2.
- e) completion of one advanced research methods course that can be satisfied by taking a course in statistical methods, experimental design, laboratory methods, or computer programming.
- f) completion of all area-specific requirements
- g) completion of the teaching service requirement (see Section 4.1),
- h) completion of the Master’s Degree (see Section 6),
- i) successful completion of the Doctoral Candidacy Examination (see Section 8),
- j) completion of the Graduate School’s Workshop on the Responsible Conduct of Research and Ethics (for scholars entering 2011 or later)
- k) successful proposal of the Doctoral Dissertation (see Section 9.4).
- l) successful completion of the final defense of the Dissertation and any required revisions (see Sections 9.5 - 9.7)

### **3. Protocol for Waiving Departmental and Area Requirements**

Scholars admitted to the doctoral program in Psychology often have had prior coursework and experiences that appear similar to the requirements at Notre Dame. For example, scholars entering with an MA degree may have taken courses that overlap with courses required by the Department or designated Area, and scholars may have conducted an empirical study to satisfy their previous degree requirements. Under such circumstances, the scholar may wish to have the prior work evaluated for possible substitution for, and waiving of, the relevant Departmental or Area requirements.

If the matter involves a Departmental requirement, the Director of Graduate Studies (DGS) makes the final decision (in consultation with the Graduate Studies Committee, when appropriate). For coursework substitutions, the decision of the DGS will be based on the recommendation of the student's advisor and the faculty member in the Department charged with teaching the required course. In order to evaluate the suitability of the prior course, the scholar should provide a copy of the syllabus, a statement specifically indicating the Departmental requirement sought to be waived, and documentation of the grade received. For Masters Theses (or possible equivalents), the decision of the DGS will be based on the recommendation of the scholar's advisor and one other faculty member in the Department who possesses the requisite expertise.

If the matter involves an Area requirement, the decision will be made by the Director of the particular Area in consultation with the student's advisor. In order to evaluate the suitability of the prior course, the scholar should provide a copy of the syllabus, a statement specifically indicating the Area requirement sought to be waived, and documentation of the grade received.

The Graduate School's requirements concerning transfer credits—as specified in the Academic Code of the Graduate School (updated May 2014)—are as follows (pp. 8-9 of the Code):

A scholar may transfer credits earned at another accredited university only if:

1. the scholar has degree-seeking status at Notre Dame
2. the courses taken were graduate courses appropriate to the Notre Dame graduate program, and the scholar had graduate scholar status when he or she took these courses
3. the courses were completed within a five-year period prior to admission to a graduate degree program at Notre Dame, or while enrolled in a graduate degree program at Notre Dame
4. grades of B (3.0 on 4.0 scale) or better were achieved
5. the transfer is recommended by the program and approved by the Graduate School.

These five requirements also apply to the transfer of credits earned in another graduate program at Notre Dame.

A scholar transferring from an unfinished master's program *may not transfer more than six semester credit hours* into either a Notre Dame master's or Ph.D. program. If the scholar has completed a master's or Ph.D. program, he or she may transfer up to *nine semester credit hours* to a Notre Dame master's program and *up to 24 semester-credit hours to a Notre Dame Ph.D. program.*

Grades for transferred courses are not included in the student's Notre Dame G.P.A.

Other important information as well as the procedure for requesting the transfer of credits is specified in the 2012-2013 DGS Handbook as follows (pp. 18-19 of the Handbook):

The University accepts no correspondence credits toward any degree.

The University requires prior approval of the department and the Graduate School for formal courses taken elsewhere and applied to the degree program after the student's admission to Notre Dame.

The University considers a request for credit transfer (see **Transfer of Credits form** on the Graduate School website) only after a scholar has completed one semester in a Notre Dame graduate degree program and before the semester in which the graduate degree is conferred.

## **4. General Service Requirements**

### **4.1. Teaching Requirement**

All scholars must serve as a teaching assistant (TA) and/or instructor of record for a minimum of two semesters as a requirement for their Doctoral degree. Scholars who will be supported by departmental funds during a given academic year are expected to serve as a course TA during that year. Scholars who are being supported by external grants during a given year normally are exempted from TA service during that year. However, all scholars still must fulfill the minimum requirement of two semesters of teaching service prior to graduation, regardless of their source of funding.

### **4.2. Citizenship**

Area Directors may ask graduate scholars to engage in professional activities related to their Area. Examples might include organizing the Area's study group meetings, hosting prospective graduate scholars during the interview weekend, and serving as scholar representatives to various faculty committees. Participation in such activities is a mark of good citizenship and is appreciated and expected of all graduate scholars.

## 5. Deadlines

Scholars need to be mindful of a variety of administrative, academic, and funding deadlines.

### 5.1. Administrative Deadlines

For all degree requirements, scholars must provide the Psychology Department Office with appropriate documentation to (a) apply to complete the requirement and (b) to report the outcome of all such attempts. Deadlines for filing these documents are strictly enforced, and failure to do so on time may result in delays in a student's progression through his or her program of study. It is the scholar's sole responsibility to ensure that all required documents are filed appropriately and in good time. See Section 10 for further details.

### 5.2. Academic Deadlines

It is expected that scholars will complete the Doctor of Philosophy degree within five years with the exception of those in the Clinical Area, who, because of the clinical internship, should finish in 6 years. At least once during each academic year of graduate school, each scholar should meet with his or her advisor and articulate a plan to assure that the scholar will complete his or her doctoral degree in a timely manner.

Scholars should consult their area documents for specific deadlines. Scholars are responsible for understanding and meeting their area deadlines as well as any procedures related to extensions.

Two additional Graduate School policies should be noted. First, scholars must pass their Doctoral Candidacy Examination and have their Dissertation Proposals approved by the end of the fifth year (the 10th semester) or they will lose their funding until these deadlines are met. Second, scholars have 8 years of academic and financial eligibility to complete their doctorate. After those 8 years, all funding is cut off and degree eligibility is forfeited. However, if a scholar is making satisfactory progress on his or her Dissertation, he or she may apply for an extension of academic eligibility.

### 5.3 5 + 1 Postdoctoral Fellowship Program and 6<sup>th</sup> Year Funding

Twelve months of funding is guaranteed for 5 years provided that the student remains in **good standing**. The funding may come from different sources during the five years such as, a university stipend, a faculty's grant, a university or college fellowship awarded to the student, or an external grant or fellowship awarded to the student. The funding period is from August 16 to August 15 of the following year. For students who graduate in May of their 5<sup>th</sup> year, the funding period ends on May 15. However, their final payments may be augmented by the amount that would have been paid to them during the summer. A student who loses university funding because of probationary status (following the procedures specified in the Graduate Bulletin) will not be funded by another source except in rare circumstances.

All graduate students who complete the Ph.D. requirements by August 1 of the summer of their 5th year (including submitting the final version of their dissertation to the Graduate School) are

eligible for 9 months of funding (August - May) as a postdoctoral fellowship from the College of Arts and Letters. The funding will be equal to or greater than the university graduate stipend and includes discretionary funds for professional development (\$1500 or more), and the same benefits offered to university staff (e.g., health care plans). Students who complete the Ph.D. requirements by the end of Fall of their 6<sup>th</sup> year may be eligible for a postdoctoral fellowship for the spring semester. The 9-month fellowship is available to Clinical students after completing their year-long internship in their 6<sup>th</sup> year, if they submit the final version of their dissertation by August 1 of their 5<sup>th</sup> year. Students on the 5+1 fellowship are required to teach one course. Students interested in the 5+1 program should consult the information about it on the College of Arts and Letters website.

Students who do not complete the Ph.D. requirements within 5 years and who were awarded an external fellowship (e.g., National Science Foundation Graduate Research Fellowship Program) that replaced their university stipend for one or more years, who are in good standing, and who have been making consistent progress towards completion of the Ph.D. requirements may apply for a nine-month university stipend for their 6<sup>th</sup> year. Students who did not receive an external fellowship to cover their stipend also may apply for one or two semesters of stipend support for their 6<sup>th</sup> year. However, funding will be approved only under exceptional circumstances.

In both cases, the application for 6<sup>th</sup> year stipend funding consists of (1) a letter from the student's advisor outlining the student's progress to date and a likely timetable for completing the Ph.D. requirements, (2) a one-page work plan from the student explaining the work that remains to be completed and how it will be completed, and (3) a recent copy of the student's C.V. These application materials are to be submitted to the Director of Graduate Studies before Spring break of the 5<sup>th</sup> year. The Director and Graduate Studies Committee will review the application. If the committee approves the application, the Director will forward it to the Associate Dean of the College of Arts and Letters by May 1, who makes the final determination. Additional information is available on the College of Arts and Letters website.

## **6. Policies Pertaining to the Master's Committee, Proposal, Thesis, and Defense**

### **6.1. Forms**

The following forms must accompany the completion of the requirements and procedures described below. See Section 10.1 for information regarding filing procedures and deadlines.

- *FORM MP-A*: "MA Proposal Application"
- *FORM MP-R*: "MA Proposal Report"
- *FORM MD-A*: "MA Defense Application"
- *FORM MD-R*: "MA Defense Report"
- *FORM MC-A*: "MA Candidacy Application"

### **6.2. Master's Thesis Committee**

Ordinarily, the Master's Committee shall be composed of a director and two readers. All members of this committee must hold rank in the University as regular faculty (i.e. Teaching & Research, Special Professional, and Research Faculty). At least 2 of the members must be selected from the T&R faculty and at least two must be faculty of the Psychology Department. Master's Committees must be approved by the Graduate Studies Committee. All Master's Committee members must be present at the Master's Thesis Proposal and Master's Thesis Final Defense meetings. Different policies may apply in joint degree programs or in cases where co-directors are appointed.

Under extraordinary circumstances, the membership of the student's Master's Committee may be altered between the Thesis Proposal (Section 6.3) and Thesis Defense (Section 6.5). Any such changes require the approval of the Graduate Studies Committee. Scholars should submit written requests for changes to the committee's membership to the Director of Graduate Studies that outline the reasons for the proposed change.

### **6.3. Master's Thesis Proposal**

Scholars may not proceed with data collection for the Master's Thesis until the Thesis Proposal has been accepted during a meeting of the committee. This defense of the proposal serves as a substitute for the MA Comprehensive Exam required by the Graduate School.

The Master's Thesis Proposal entails two parts. The scholar must first submit a document that conforms to area-specific requirements (if any) that outlines the intellectual purpose, background, hypotheses, methods, and analyses for the proposed research. Committee members are entitled to at least 2 weeks (i.e., 10 academic days; note that this period does not include academic breaks) to read this document before meeting with the scholar for an oral Master's Thesis Proposal Defense.

For the Master's Proposal Defense meeting the director of the thesis and the scholar can choose whether to have a more structured, or less structured question and answer period. The Defense commences with the scholar giving a brief presentation (see area-specific guidelines) about the thesis. At the conclusion of the student's presentation, questioning begins. If the more structured option has been selected, each committee member asks two rounds of questions.

In the first round each committee member has 10 minutes for questioning. In the second round each committee member has 5 minutes for questioning. The advisor is the last person to ask questions in each round. If the less structured option has been selected, the committee members will ask questions for 30 minutes, with members allowed to "jump in" and ask follow-up questions based on previous questions from another committee member. Following the 30 minutes of questioning, the advisor will ask committee members if they have additional questions. If that is the case, then each questioner will have no more than 10 minutes to ask those questions.

After the examination is concluded, the scholar is asked to leave the room. The committee has a discussion, and a vote is taken by secret ballot to decide whether the scholar has passed or failed. A candidate needs at least 2 affirmative votes (for a committee of 3) and 3 affirmative votes (for a committee of 4) to pass the Master's Proposal Defense. In the event of failure, the department allows only one retake of the Master's Proposal Defense.

#### 6.3.1. Informal Proposal Meetings.

Occasionally, a special data collection opportunity arises and scholars do not have time to complete a full Master's Proposal before the research must get underway. In this event, and with the approval of the Graduate Studies Committee, scholars may have an "informal proposal" meeting. Scholars should *at minimum provide* a written method section to committee members. If possible, inclusion of a brief introduction/rationale for the study and an explanation of the experimental hypotheses are highly desirable. Voting procedures are the same as in Section 6.3.

#### **6.4. Master's Thesis Document**

The Master's Thesis should follow the guidelines in the Graduate School's *Guide for Writing Dissertations and Theses*, a copy of which is available on line @ [www.nd.edu/~gradsch/](http://www.nd.edu/~gradsch/)

## **6.5. Master's Thesis Final Defense**

Committee members are entitled to at least 2 weeks (i.e., 10 academic days; note that this period does not include academic breaks) to read the Master's Thesis document before collectively meeting with the scholar for an oral Master's Thesis Defense. For the required Master's Thesis Final Defense meeting, the director of the thesis and the scholar can choose whether to have a more structured, or less structured question and answer period. The defense commences with the scholar giving a brief presentation (see area-specific guidelines) about the thesis. At the conclusion of the student's presentation, questioning begins. If the more structured approach has been chosen, each committee member asks two rounds of questions. In the first round each committee member has 10 minutes for questioning. In the second round each committee member has 5 minutes for questioning. The advisor is the last person to ask questions in each round. If the less structured approach has been chosen, the committee members will ask questions for 30 minutes, with members allowed to "jump in" and ask follow-up questions based on previous questions from another committee member. Following the 30 minutes of questioning, the advisor will ask committee members if they have additional questions. If that is the case, then each questioner will have no more than 10 minutes to ask those questions. The entire meeting will not last more than one hour and thirty minutes, excluding time for Committee deliberation.

After the questioning the candidate is asked to leave the room. The committee discusses the candidate's performance and project. A formal vote is taken by secret ballot. The voting options are PASS / FAIL on the question of whether to award the Master's on the basis of the project and the defense. A candidate needs at least 2 affirmative votes (for a committee of 3) and 3 affirmative votes (for a committee of 4) to be awarded the degree. In the event of failure, the department allows only one retake of the Master's defense.

## **6.6. Master's Thesis Completion Requirements**

The thesis is completed when:

- (1) it has been signed by the director,
- (2) the Reader's Reports accompanying the thesis (obtained from the Psychology Department Office) have been signed by the other two members of the student's committee and
- (3) the scholar has defended the thesis successfully. It should follow the guidelines outlined in the Graduate School's *Guide for Writing Dissertations and Theses*, online through the Graduate School's website. A copy is also available for use in the Psychology Department Office. Once the readers approve the thesis, the candidate should deliver to the Graduate School two final copies signed by the director. There it will be verified for compliance with the style manual.

## **7. Policies Governing Terminal Masters Degrees and Invitations to Doctoral Candidacy**

### 7.1. Terminal Master's Degree

In exceptional circumstances, a scholar who terminates from the doctoral program may become a candidate for a terminal, non-empirical Master's Degree, based upon recommendations by his or her area to the Department. In addition to required coursework, a specific assessment for the degree typically will be conducted by the scholar's area. This assessment will take the form of (1) an examination; or (2) a paper that consists of a review of literature.

### 7.2. Invitations to Doctoral Candidacy

Scholars must receive an invitation from their area to enter into Doctoral Candidacy. Ordinarily, these invitations will be issued by the end of the third academic year, but before the Doctoral Candidacy Examination requirements are undertaken. In some cases, a decision to invite may be delayed beyond the end of the third year if the Master's Thesis has not yet been defended and approved. Each area has specific procedures designed to examine the scholar's record and to reach the determination to invite or not invite the scholar to proceed with Doctoral level work. All Areas will conduct this evaluation expediently following:

- (1) the successful defense of the student's Master's Thesis; or
- (2) the scholar missing the area's deadline for the successful defense of the Master's Thesis. Note that this invitation process occurs earlier and is distinct from the Admission to Doctoral Candidacy requirement that occurs after the Dissertation has been successfully proposed (see Section 9.2).

## **8. Policies Pertaining to Doctoral Candidacy Examinations (AKA, Prelims)**

### 8.1. Forms

The following forms must accompany the completion of the requirements and procedures described below. See Section 10.2 for information regarding filing procedures and deadlines.

*FORM DW-A: “Application for Doctoral Scholars to Take Doctoral Candidacy Examinations”.*

### 8.2. Exam Procedures

The Doctoral Candidacy Examination (Written Portion) is a requirement to demonstrate general knowledge of Psychology and mastery in one’s major area of study (i.e., clinical, cognitive, developmental, quantitative). Deadlines for taking the Doctoral Candidacy Examination vary by area, and scholars should be aware of the requirements in their specific area of study. All scholars must indicate their intention to take the Doctoral Candidacy Exam by filing the appropriate form in the Psychology Department Office 6 weeks before the exam date(s)/deadline(s).

### 8.3. Exam Structure

Different areas have different formats for the exams and these are described in area- specific documentation.

### 8.4. Exam Grades

Grades for Doctoral Candidacy Examinations are assigned in the following manner:

- 6 - Excellent performance
- 5 - Good performance
- 4 - Average performance
- 3.5 - Cut off point, Minimal score to pass
- 3 - Below average performance
- 2 - Poor performance
- 1 - Very poor performance

## **9. Policies Pertaining to the Doctoral Dissertation Committee, Proposal, Thesis, & Defense**

### 9.1. Forms

The following forms must accompany the completion of the requirements and procedures described below. See Sections 10.3 - 10.5 for information regarding filing procedures and deadlines.

- *FORM DC-A*: “Doctoral Candidacy Application”
- *FORM DO-A*: “Doctoral Oral Exam Application”
- *FORM DD-A*: “Doctoral Defense *Application*”
- *FORM DO-R*: “Reporting form for Results of *Oral Candidacy Exams and Dissertation Defenses*”

### 9.2. Prerequisites and Formal Admission to Doctoral Candidacy

To qualify for admission to doctoral candidacy, a scholar must:

- 1) be in a doctoral program;
- 2) have been continuously enrolled in the program;
- 3) complete the departmental course work requirement with a cumulative average of 3.0 or better; 4) pass the Doctoral Candidacy Examination. It is the responsibility of the scholar to apply for candidacy admission (see Section 10.3). Note that this is a distinct process separate from the Department’s Invitation to Doctoral Candidacy (see Section 7.2).

Scholars who have successfully passed the Doctoral Candidacy Examination (Written Portion) requirement are eligible to propose their Doctoral Dissertation and to defend their proposal in a formal meeting.

### 9.3. Doctoral Dissertation Committee

Ordinarily, the Dissertation Committee shall consist of the student’s advisor and at least three other faculty members. All members of this committee must hold rank in the University as regular faculty (i.e. Teaching & Research, Special Professional, and Research Faculty). A majority of the members must be selected from the T&R faculty. A majority must also be faculty of the Psychology Department. The composition of the Dissertation Committee must be approved by the Graduate Studies Committee. All Dissertation Committee members must be present at the Doctoral Dissertation Proposal and Doctoral Dissertation Defense meetings. Different policies may apply in joint degree programs or in cases where co-directors are appointed.

Under extraordinary circumstances, the membership of the student’s Dissertation Committee may be altered between the Dissertation Proposal (Section 9.4) and Dissertation Defense (Section 9.6). Any such changes require the approval of the Graduate Studies Committee. Scholars should submit written requests for changes to the committee’s membership to the Director of Graduate Studies that outline the reasons for the proposed change.

#### 9.4. Doctoral Dissertation Proposal

The Doctoral Dissertation Proposal entails two parts. The scholar must first submit a document that conforms to area-specific requirements (if any) that outlines the intellectual purpose, background, hypotheses, methods, and analyses for the proposed research. Committee members are entitled to at least 2 weeks (i.e., 10 academic days; note that this period does not include academic breaks) to read this document before collectively meeting with the scholar for an oral Doctoral Dissertation Proposal Defense.

At the Doctoral Dissertation Proposal meeting (referred to as the Doctoral Candidacy Examination (Oral Portion) in Graduate School documentation), the scholar is examined by his or her Dissertation Committee members on the Dissertation proposal and related topics. Successful passage indicates that, in the judgment of the Committee, the candidate has an adequate knowledge of the basic literature, problems, and methods of his or her field to proceed to a Dissertation.

The director of the Dissertation and scholar can choose whether to have a more or less structured question and answer period during the examination. The examination begins with the scholar giving a brief presentation (see area-specific guidelines) of the planned research. If a more structured question and answer period has been selected, each committee member then asks two rounds of questions. In the first round each committee member has 10 minutes for questioning. In the second round each committee member has 5 minutes for questioning. The advisor is the last person to ask questions in each round. If the less structured question and answer period has been selected, the committee members will ask questions in turn, with members allowed to “jump in” and ask follow-up questions based on previous questions from another committee member. In accord with Graduate School guidelines, the exam will be conducted over a period of not less than one and one-half hours and not more than two and one-half hours, excluding Committee deliberations.

After the examination is concluded, the scholar is asked to leave the room. The committee has a discussion, and a vote is taken by secret ballot to decide whether the scholar has passed or failed. On a board of five members, four affirmative votes are required to pass the scholar. On a board of four members, three affirmative votes are required to pass the scholar. In the case of failure, the Department Chair, on the recommendation of a majority of the examiners may authorize a retake of the Proposal. An authorization to retake must also be approved by the Graduate School. A second failure results in a forfeiture of degree eligibility and is recorded in the candidate’s permanent record.

#### 9.5. Doctoral Dissertation Document

The Dissertation should follow the guidelines in the Graduate School's *Guide for Writing Dissertations and Theses*, a copy of which is available on line @ [www.nd.edu/~gradsch/](http://www.nd.edu/~gradsch/).

## 9.6. Doctoral Dissertation Defense

When the advisor has approved the Dissertation, the candidate distributes copies signed by the advisor to members of his or her Dissertation committee. Committee members are entitled to a minimum of 2 weeks (i.e., 10 academic days; note that this period does not include academic breaks) to read, approve, or reject the finished Dissertation. It is the responsibility of the candidate to check with the committee members to ensure that they have sufficient time. Each committee member must acknowledge that the Dissertation is a defensible scholarly product. If a reader is not satisfied with any part of the Dissertation, he or she will notify the candidate and his or her advisor of this decision. Only a Dissertation unanimously approved for a defense by the committee members may be defended. It is important to note that reader approval does not imply final reader agreement or support of the Dissertation; even though the Dissertation has reader approval, revisions may be required at the time of the Final Defense. If defects in the Dissertation come to light at that time, the candidate may be asked to revise the Dissertation before it can be accepted by the Graduate School and the degree conferred.

After the readers have unanimously indicated approval of the Dissertation for Defense, the scholar may schedule the Defense meeting. At the meeting, the scholar presents a brief summary (see area-specific guidelines) of his or her findings and is examined orally by the faculty. The director of the Dissertation and scholar can choose whether to have a more or a less structured question and answer period during the examination. The examination typically begins with scholars making a brief presentation of their Dissertation. If a more structured question and answer period has been selected, each committee member then asks two rounds of questions. In the first round each committee member has 10 minutes for questioning. In the second round each committee member has 5 minutes for questioning. The advisor is the last person to ask questions in each round. If the less structured question and answer period has been selected, the committee members will ask questions in turn, with members allowed to “jump in” and ask follow-up questions based on previous questions from another committee member. In accord with Graduate School guidelines, the exam will be conducted over a period of not less than one hour.

After this questioning, the chair excuses the candidate and calls for a discussion followed by a secret ballot vote of the examiners. At least three affirmative votes (out of a maximum of four) or four affirmative votes (out of a maximum of five) are required to pass. The Psychology Department sends a written report of the outcome and voting results to the Graduate School. In the case of failure, the Department Chair, on the recommendation of a majority of the examiners, may authorize a retake of the Defense. An authorization to retake must also be approved by the Graduate School. A second failure results in a forfeiture of degree eligibility and is recorded in the candidate’s permanent record.

## 9.7. Additional Requirements

The Doctoral candidate who has successfully defended his or her Dissertation must present two copies, signed by the advisor, to the Graduate School office. Deadlines are published in the Graduate School Calendar. The Graduate School office will verify the Dissertation for compliance with the approved style manual. Guidelines and checklists for submitting completed

Dissertations and additional university requirements are available through the Graduate School's website. The candidate then delivers the approved copies along with the Graduate School approval form to the Hesburgh Library where he or she pays microfilming costs. All Doctoral Dissertations must be microfilmed by University Microfilms International in Ann Arbor, Michigan. The administrative office in the library handles this publication requirement.

## 10. Important Forms and Filing Deadlines

It is the scholar's responsibility to ensure that all forms related to degree requirements are filed in good time. Form Packets are available in the Psychology Department Office and on the department's website. Questions regarding forms should, in the first instance, be directed to Judy Stewart in the Psychology Department Office.

### 10.1. Forms Pertaining to the Master's Degree

*FORM MP-A* "MA Proposal Application". This form is submitted to the Psychology Department Office to request approval of the Master's Thesis committee. It should be submitted at least 2 weeks in advance of the scholar's proposal defense.

*FORM MP-R* "MA Proposal Report". This form reports the outcome (pass/fail) of the Master's Thesis Proposal Defense.

*FORM MD-A* "MA Defense Application". This form is submitted to the Psychology Department Office to schedule a meeting to defend the Master's Thesis. It should be submitted at least 2 weeks in advance of the scholar's defense.

*FORM MD-R* "MA Defense Report". This form should be submitted to the Psychology Department Office to record the outcome of the student's Master's Thesis Defense meeting.

*FORM MC-A* "MA Candidacy Application". This form should be submitted to the Psychology Department Office as soon as the scholar has successfully defended his or her Master's thesis. This is a prerequisite to obtaining the Master's Degree. Deadlines are published in the Graduate School calendar.

### 10.2. Forms Pertaining to the Doctoral Candidacy Exam (Written Portion)

*FORM DW-A* "Application for Doctoral Scholars to Take Doctoral Candidacy Examinations". This form should be submitted to the Psychology Department Office *and* the relevant Area Director in order to formally apply to take the written candidacy exam. It must be submitted 6 weeks before the exam dates.

*DOCTORAL CANDIDACY EXAM REPORT FORM*. This form should be submitted to the Psychology Department Office to record the outcome of the scholar's Candidacy Examination.

### 10.3. Forms Pertaining to Doctoral Candidacy

*FORM DC-A* “Doctoral Candidacy Application”. A scholar should submit this form to the Psychology Department Office as soon as he or she has received formal approval of his or her Dissertation research proposal. Admission to Doctoral Candidacy is a prerequisite to receiving the doctoral degree. Be mindful that the Graduate School considers all applications once each semester and scholars should consult the Graduate School Calendar for the appropriate deadline.

### 10.4. Forms Pertaining to the Doctoral Dissertation Proposal Defense

*FORM DO-A* “Doctoral Oral Exam Application”. This form is used to obtain approval of the Doctoral Dissertation Committee and to schedule the Dissertation Proposal meeting. When the Department receives this form, it notifies the Graduate School of the time, date, and place of the Dissertation Proposal. The form should be submitted to the Psychology Department Office at least 2 weeks prior to the meeting date. It should be noted that scheduling problems often occur during vacation periods and toward the end of semesters, so it would be wise to allow additional notice during these periods.

*FORM DO-R* “Reporting form for Results of Oral Candidacy Exams and Dissertation Defenses”. This form should be signed by all members of the Dissertation Proposal Committee. It is the official record of the results for the defense of the Dissertation Proposal.

### 10.5. Forms Pertaining to the Final Doctoral Dissertation Defense

*FORM DD-A* “Doctoral Defense Application”. This form is used to schedule the Dissertation Defense meeting. It can be filed with the Psychology Department Office after all of the readers have signed their Reader’s Reports indicating approval of the Dissertation for defense. Upon receipt of the form, the Psychology Department Office will notify the Graduate School of the date and location of the defense meeting. The Graduate School must have the form and the Reader’s Reports at least two business days prior to the defense.

*FORM DO-R* “Reporting form for Results of Oral Candidacy Exams and Dissertation Defenses”. This form should be signed by all members of the exam committee. It is the official record of the results of the final defense of the Doctoral Dissertation.

### 10.6. Forms Pertaining to Teaching and Service Requirements

*FORM SV-A* “Service/Teaching Requirement Completion Form”. This form is submitted to the Psychology Department Office upon completion of the student’s service/teaching requirement.

## **11. Scholar Evaluations and Good Standing**

Areas are responsible for conducting regular scholar evaluations. These evaluations are conducted at least annually, and may occur more frequently. Each area's evaluation procedures and criteria for good standing are described in their respective area documents.

All Areas must inform the scholar and Psychology Department of the results of the evaluation in a timely fashion. Evaluation letters are to be written by the Area to the scholar and copied to the scholar's Department file. In the evaluation letter, Areas must formally state whether or not the scholar is in good standing. The Area should also make a recommendation to the Department about continued funding. Please note that the Department requires a minimum GPA in Departmentally required courses, as described in Section 2. The Graduate School requires a minimum GPA of 3.0. Scholars whose GPA falls under 3.0 for any two semesters or earning a U in research for two consecutive semesters can have their funding terminated. Please consult the *Graduate School Bulletin of Information* for additional information (see Graduate School website).

## **12. Deviations.**

Exceptions to any elements of the general requirements described in this document must be requested from the Graduate Studies Committee. Scholars should submit a letter to the Director of Graduate Studies requesting the exception. This letter must describe why the exception is essential to the completion of the general requirements. It must be signed by both the scholar and the Dissertation Advisor. Additional documentation may be requested by the Graduate Studies Committee when considering deviation requests. Therefore, scholars must submit deviation requests in a timely fashion, keeping in mind all Departmental and Graduate School deadlines. Scholars should never assume that exceptions to policy will be approved and they may not engage in unusual activities until approval is granted.

### **13. Graduate Scholar Representatives to the Faculty**

#### **13.1. Departmental Representatives.**

During the first week of the fall semester, all Departmental Areas that have four or more scholars may elect one graduate scholar representative to attend Departmental Faculty Meetings. At the Area's discretion, this scholar may also attend Area-level faculty meetings. Scholars in the respective graduate Areas nominate potential representatives from within their own Area. From the list of nominees, scholars in the respective Areas will vote for a representative (i.e., for their area only). The nominee from each Area who has the most votes, provided a majority has been attained, will be the representative for that Area. In any Area election where a majority is not attained, the top two candidates will participate in a run-off election. The representatives elected from each Area will serve a one- year term as Departmental Representatives to the Psychology Department Faculty meetings.

#### **13.2. Graduate Advisory Committee.**

During the first week of the semester, all Departmental Areas that have four or more scholars may elect one graduate scholar to sit on the Graduate Advisory Committee. Election procedures are the same as those outlined in Section 13.1 and scholars will serve a 1-year term. It is permissible for the same scholar to serve as a Departmental Representative and a member of the Graduate Advisory Committee. The Graduate Advisory Committee will meet with the Director of Graduate Studies and/or other members of the Graduate Studies Committee to communicate concerns and discuss policies related to any aspect of graduate scholar life.

## 14. Grievance Policies and Procedures

### 14.1. Preamble

Graduate scholars in Psychology are afforded the opportunity to address and resolve complaints dealing with academic issues through a series of grievance and appeals procedures, described below. These procedures are not to be used to address issues pertaining to discrimination, disability, or sexual harassment. Mechanisms for addressing such matters are described in *dual: The Graduate and Professional Student Handbook*.

### 14.2. Departmental Appeal Process

Scholars should first attempt to resolve their academic grievances at the departmental level. Scholars begin the process by consulting with the faculty member(s) factually connected to the case. If a satisfactory agreement is not reached, or if the complaint cannot be made directly to the involved faculty member(s), then the grievance should be should be presented to the Department Chair who will appoint a three member appeals committee in turn chaired by the Director of Graduate Studies. If the Chair has a real or perceived conflict of interest, the Director of Graduate Studies will appoint the committee members. The decision of this appeals committee will constitute the official department position on the matter. If the scholar continues to feel aggrieved following adjudication by the department, he or she may present his or her concerns to the Dean of the Graduate School (Section 14.3).

### 14.3. Formal Appeals to the Dean of the Graduate School

Grievances that have not been resolved at the departmental level (Section 14.2) can be presented to the Dean of the Graduate School. This process must be initiated by a written statement from the scholar to the Associate Dean of Students in the Graduate School, indicating the nature of the problem, the date(s) the problem occurred, the grounds upon which the appeal is based, background information that the scholar considers important, and the relief requested. The Associate Dean will request a description of the results of the department's resolution process from the Department Chair.

Grounds for formal appeal include procedural error, violation of official policy by academic or administrative personnel, or special mitigating circumstances beyond the scholar's control that were not properly taken into account in a decision affecting the scholar's academic progress.

The complaint must be sent to the Graduate School's Associate Dean of Students within 30 calendar days of the department's resolution. The Associate Dean will then convene a meeting of an *ad hoc* academic appeals committee, composed of three faculty members chosen by the associate dean, two of whom will be current members of the Graduate Council (one from the scholar's college and one from outside the scholar's college) and one of whom will be from the scholar's college but not a member of the Graduate Council. The committee will also include one non-voting graduate scholar. This scholar may either be one of the current Graduate Student Union representatives to the Graduate Council or a substitute from the appellant's college selected by the

Associate Dean from a pool of scholars identified by the Graduate Student Union.

The committee will be chaired by the Associate Dean, who does not vote. At the scholar's request or by request of the committee, the appeals committee will also meet with the scholar. The committee may also meet with other individuals involved.

The appeals committee will make a written recommendation to the Dean of the Graduate School within 30 calendar days of receipt of the appeal. The Dean may or may not accept this recommendation, but in either case, he or she will respond to the appeal in writing within 30 calendar days of receipt of the committee's recommendation. All deadlines may be extended in extenuating circumstances. The Dean will send a copy of this letter to the Department Chair. The judgment of the Dean of the Graduate School is final.

Scholars who have been dismissed from the program cannot register or complete the ND Roll Call process for subsequent semesters, including the summer session, during the appeal process.

#### 14.4. The Special Case of Academic Fraud

Violations of academic integrity may occur in classroom work and related academic functions or in research/scholarship endeavors. Classroom-type misconduct includes the use of information obtained from another scholar's paper during an examination, plagiarism, submission of work written by someone else, falsification of data, etc. Violation of integrity in research/scholarship is deliberate fabrication, falsification, or plagiarism in proposing, performing, or reporting research or other deliberate misrepresentation in proposing, conducting, reporting, or reviewing research. Misconduct does not include errors of judgment, errors in recording, selection, or analysis of data, differences in opinions involving interpretation, or conduct unrelated to the research process. Misconduct includes practices that materially and adversely affect the integrity of scholarship and research.

Any person who has reason to believe that a violation of academic integrity has occurred should discuss it on a confidential basis with the Department Chair. If a perceived conflict of interest exists between the Chair and the accused, the Director of Graduate Studies shall be notified of the charge.

The Chair/DGS shall evaluate the allegation promptly. If it is determined that there is no substantial basis for the charge, then the matter may be dismissed with the fact of dismissal being made known to the complainant and to the accused if the latter is aware of the accusation. A written summary of charges, findings, and actions shall be forwarded to the Dean of the Graduate School as a matter of documentation.

When credible charges of academic fraud are present, the Chair/DGS will inform the accused of the charges and select an impartial panel consisting of three members, one of whom may be a graduate scholar, to investigate the matter. The panel will first determine whether to proceed directly to a hearing to further investigate the case, or to dismiss the charges. If the panel decides that a hearing is not warranted, all information gathered for their investigation will be destroyed and the utmost care will be taken to minimize any negative consequence to the accused.

If the panel decides to proceed to a hearing, the hearing will be held within 10 business days of the original notification. The accused party must be given the opportunity to respond to any and all allegations and supporting evidence at the hearing. After considering the evidence, the panel will make a final judgment, recommend appropriate disciplinary action, and report to the Chair/DGS in writing. The report will include all of the pertinent documentation and will be presented within 30 days after meeting with the accused. Copies of the report are to be made available to the accused, the Chair/DGS, and the Dean of the Graduate School. If a violation is judged to have occurred, this might be grounds for dismissal from the University; research/scholarship violations might be reported to the sponsor of the research effort (e.g., NSF, NIH, Lilly Foundation, etc.), if appropriate. Appeals of the department's disciplinary decision must be made to the Dean of the Graduate School (Section 14.3).

#### 14.5. Disciplinary Action Involving Dismissal

Scholars may be dismissed at either a gateway that an area has established (e.g., comprehensive examinations) or through poor performance. If a scholar is dismissed for academic reasons, he or she may appeal the department's decision.

Complaints must be initiated by a written statement from the scholar to the Chair of the Department within 10 business days from the time when the scholar is informed of dismissal. To hear the appeal, the Chair appoints an *ad hoc* committee composed of three members: him/herself and at least two faculty members unconnected factually with the case or the reasons for the appeal. A graduate scholar can replace one of the two faculty members on the committee if the nature of the appeal warrants such. If the Chair has been involved in the case, the appropriate Associate Dean of the College of Arts and Letters should appoint the committee and designate a person to serve as its chair.

The scholar's statement should indicate details on the nature of the problem, the date(s) the problem occurred, the grounds upon which the appeal is based, background information that the scholar considers important and the relief requested. The appeals committee will promptly and thoroughly investigate the appeal to determine whether the relief requested is warranted. The investigation may include interviews and/or written statements from the scholar, any scholar witnesses, faculty or staff members who may be able to provide pertinent information about the facts, as well as a review of any pertinent documents.

In most situations, the appeals committee will complete the investigation in 30 business days. There may be some reports that cannot be investigated within 30 business days. In such cases, the chair of the appeals committee will communicate to the scholar that the investigation is going to take longer than 30 business days and will also include a statement indicating when the committee anticipates completing the investigation. The chair will notify the scholar in writing of his/her decision.

A scholar can be immediately dismissed from his or her program of study for the following reasons without a warning letter or a period of probationary status:

Extreme Under-performance: This dismissal will be applied to a scholar whose performance is deemed wholly unacceptable by the student's advisor, Director of Graduate Studies, or program faculty. A G.P.A. below 2.5 in any single semester, a G.P.A below 3.0 for two consecutive semesters, and three consecutive U grades in research represent examples of extreme underperformance.

Inability to Secure a Laboratory/Adviser: In some cases, a scholar may not be able to secure a laboratory and/or adviser. Normally, the scholar will be given funding for the remainder of the semester in which the scholar has registered. If the scholar and the Director of Graduate Studies are unable to find an adviser, the scholar may be dismissed from the program.

Threat to Health and/or Safety: In rare circumstances, continued enrollment of a graduate scholar may constitute a serious disruption of the residential community or the academic environment. A scholar may be dismissed if: (a) The scholar poses a direct threat to the health or safety of himself or herself or others, or has seriously disrupted others in the student's residential community or academic environment; or (b) the student's behavior or threatening state is determined to be the result of a medical condition, or the scholar refuses to cooperate with efforts deemed necessary by the University Health Services and/or the University Counseling Center to evaluate the cause of the scholar's behavior or threatening state. In some circumstances, the level of care and accommodation recommended may exceed the resources or appropriate staffing capabilities of the University or may be beyond the standard of care that University Health Services can be expected to provide or monitor.