

**GENERAL REQUIREMENTS FOR DOCTORAL STUDENTS**

**DEPARTMENT OF PSYCHOLOGY**

**UNIVERSITY OF NOTRE DAME**

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## 1. Purpose

This document provides an overview of the general requirements relevant to the Doctoral Programs 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 student. Students should consult Program documents for any Program-specific requirements they must complete. Students 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 students at the university<sup>1</sup>. It is every student's responsibility to ensure that he or she is familiar with all practices and policies related to graduate student education and conduct.

Questions regarding the policies described in this document should, in the first instance, be directed to Judy Stewart 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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<sup>1</sup> Should conflicts or ambiguity arise across these documents, Graduate School policy takes president over Department policy, and Department policy takes president over Program policy.

## 2. General Academic Requirements

### 2.1. First Year Research Project

All students 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 student's first year of graduate study.

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

At the beginning of the fall semester, all graduate students in their second year at Notre Dame will present their first year projects at the Department's Fall Research Presentations. These presentations are in the form of a conference-style talk 10 minutes in length.

### 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 program-specific requirements,
- f) participation in the Fall Research Presentations (see Section 2.1),
- g) successful defense of the Master's Thesis proposal (see Section 5.3), and
- h) satisfactory implementation and completion of the Master's Thesis document and a meeting to orally defend the research (see Sections 5.4 and 5.5)

### 2.3. The Doctoral Preliminary Examination

The Doctoral Preliminary 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 Programs. See Section 7 and program-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 55 total credit hours composed of a minimum of 30 course hours (letter-graded classes) and up to 25 credit hours from a combination of S/U graded research credits and/or additional letter-grade work,
- c) a cumulative grade point average of 3.0 or better,
- d) completion of all requirements in Section 2.2.
- e) completion of PSY 60161 (Advanced Research Methods) *or* PSY 60121 (Psychological Measurement and Test Development) with a grade of B- or better. Clinical/Counseling students may substitute PSY 60160 (Research Methods in Clinical Psychology) and Developmental students may substitute PSY 60200 (Concepts and Methods in Development)
- f) one elective statistics course with a grade of B- or better
- g) completion of all program-specific requirements
- h) completion of the teaching service requirement (see Section 3.1),
- i) completion of the Master's Degree (see Section 5),
- j) successful completion of the Doctoral Preliminary Examination (see Section 7),
- k) completion of the Graduate School's Workshop on the Responsible Conduct of Research and Ethics (for students entering 2011 or later)
- l) successful proposal of the Doctoral Dissertation (see Section 8.4).
- m) successful completion of the final defense of the Dissertation and any required revisions (see Sections 8.5 - 8.7)

### **3. General Service Requirements**

#### **3.1. Teaching Requirement**

All students must serve as a teaching assistant and/or instructor of record for at least two semesters as a requirement for their Doctoral degree. This requirement is independent of the source of a student's funding.

#### **3.2. Citizenship**

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

## **4. Deadlines**

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

### 4.1. Administrative Deadlines

For all degree requirements, students 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 student's sole responsibility to ensure that all required documents are filed appropriately and in good time. See Section 9 for further details.

### 4.2. Academic Deadlines

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

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

Two additional Graduate School policies should be noted. First, students must pass their Doctoral Preliminary Examination and have their Dissertation Proposals approved by the end of the fifth year (the 10<sup>th</sup> semester) or they will lose their funding until these deadlines are met. Second, students 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 student is making satisfactory progress on his or her Dissertation, he or she may apply for an extension of academic eligibility.

### 4.3. Funding Deadlines

Although students have 8 years of academic eligibility to complete the Doctoral Degree (see Section, 4.2), the Psychology Department only guarantees funding for 5 years and only provided the student is in good standing (see Section 10). By December of Year 5, students who are making good progress but anticipate needing an additional year may petition the Graduate Studies Committee for a 6<sup>th</sup> year of funding. A supporting letter from the advisor should accompany the petition. The petition needs to propose new deadlines for any unmet requirements. After the 6<sup>th</sup> year, the petition for funding also has to be sent to a committee at the Graduate School. Funding for graduate students following completion of the 5<sup>th</sup> year is not guaranteed and will depend upon financial resources.

## **5. Policies Pertaining to the Master’s Committee, Proposal, Thesis, and Defense**

### 5.1. Forms

The following forms must accompany the completion of the requirements and procedures described below. See Section 9.1 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”*

### 5.2. 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 5.3) and Thesis Defense (Section 5.5). Any such changes require the approval of the Graduate Studies Committee. Students should submit written requests for changes to the committee’s membership to the Director of Graduate Studies which outline the reasons for the proposed change.

### 5.3. Master’s Thesis Proposal

Students 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 student must first submit a document that conforms to program-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 to read this document before collectively meeting with the student for an oral Master’s Thesis Proposal Defense.

For the Master’s Proposal Defense meeting the director of the thesis and the student can choose whether to have a more structured, or less structured question and answer period. The Defense commences with the student giving a brief presentation (see program-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 student is asked to leave the room. The committee has a discussion, and a vote is taken by secret ballot to decide whether the student 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.

*5.3.1. Informal Proposal Meetings.* Occasionally, a special data collection opportunity arises and students 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, students may have an “informal proposal” meeting. Students 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 5.3.

#### 5.4. 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/)

#### 5.5. Master’s Thesis Final Defense

Committee members are entitled to at least 2 weeks to read the Master’s Thesis document before collectively meeting with the student for an oral Master’s Thesis Defense. For the required Master’s Thesis Final Defense meeting, the director of the thesis and the student can choose whether to have a more structured, or less structured question and answer period. The defense commences with the student giving a brief presentation (see program-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.

#### 5.6. 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 student 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 web-site. 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.

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

### **6.1. Terminal Master's Degree**

In exceptional circumstances, a student 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 program to the Department. In addition to required coursework, a specific assessment for the degree will typically be conducted by the student's program. This assessment will take the form of (1) an examination; or (2) a paper which consists of a review of literature.

### **6.2. Invitations to Doctoral Candidacy**

Students admitted in 2005 or later must receive an invitation from their program to enter into Doctoral Candidacy. Ordinarily, these invitations will be issued by the end of the third academic year, but before the Doctoral Preliminary 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 program has specific procedures designed to examine the student's record and to reach the determination to invite or not invite the student to proceed with Doctoral level work. All Programs will conduct this evaluation expediently following (1) the successful defense of the student's Master's Thesis; or (2) the student missing the program'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 which occurs after the Dissertation has been successfully proposed (see Section 8.2).

## **7. Policies Pertaining to Doctoral Preliminary Examinations (Prelims)**

### 7.1. Forms

The following forms must accompany the completion of the requirements and procedures described below. See section 9.2 for information regarding filing procedures and deadlines.

*FORM DW-A: “Application for Doctoral Students to Take Preliminary Examinations”.*

### 7.2. Exam Procedures

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

### 7.3. Exam Structure

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

### 7.4. Exam Grades

Grades for doctoral preliminary 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

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

### 8.1. Forms

The following forms must accompany the completion of the requirements and procedures described below. See Sections 9.3 - 9.5 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"*

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

To qualify for admission to doctoral candidacy, a student 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 Preliminary Examination. It is the responsibility of the student to apply for candidacy admission (see Section 9.3). Note that this is a distinct process separate from the Department's Invitation to Doctoral Candidacy (see Section 6.2).

Students who have successfully passed the Doctoral Preliminary Examination requirement are eligible to propose their Doctoral Dissertation and to defend their proposal in a formal meeting. Students may not begin work on the Dissertation Project before passing the Doctoral Preliminary Examination.

### 8.3. 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 8.4) and Dissertation Defense (Section 8.6). Any such changes require the approval of the Graduate Studies Committee. Students should submit written requests for changes to the committee's membership to the Director of Graduate Studies which outline the reasons for the proposed change.

#### 8.4. Doctoral Dissertation Proposal

The Doctoral Dissertation Proposal entails two parts. The student must first submit a document that conforms to program-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 to read this document before collectively meeting with the student for an oral Doctoral Dissertation Proposal Defense.

At the Doctoral Dissertation Proposal meeting (referred to as the Oral Candidacy Examination in Graduate School documentation), the student 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 student can choose whether to have a more or less structured question and answer period during the examination. The examination begins with the student giving a brief presentation (see program-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 student is asked to leave the room. The committee has a discussion, and a vote is taken by secret ballot to decide whether the student has passed or failed. On a board of five members, four affirmative votes are required to pass the student. On a board of four members, three affirmative votes are required to pass the student. 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.

#### 8.5. 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/).

#### 8.6. 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 a

minimum of two weeks 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 student may schedule the Defense meeting. At the meeting, the student presents a brief summary (see program-specific guidelines) of his or her findings and is examined orally by the faculty. The director of the Dissertation and student can choose whether to have a more or a less structured question and answer period during the examination. The examination typically begins with students 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.

### 8.7. 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.

## **9. Important Forms and Filing Deadlines**

It is the student'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.

### 9.1. 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 student'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 student'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 student 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.

### 9.2. Forms Pertaining to the Preliminary Exam

*FORM DW-A "Application for Doctoral Students to Take Preliminary Examinations"*. This form should be submitted to the Psychology Department Office *and* the relevant Program Director in order to formally apply to take prelims. It must be submitted 6 weeks before the prelim dates.

*PRELIMINARY EXAM REPORT FORM*. This form should be submitted to the Psychology Department Office to record the outcome of the student's Preliminary Examination.

### 9.3. Forms Pertaining to Doctoral Candidacy

*FORM DC-A "Doctoral Candidacy Application"*. A student 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 students should consult the Graduate School Calendar for the appropriate deadline.



#### 9.4. 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.

#### 9.5. 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 three 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.

#### 9.6. 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.

## **10. Student Evaluations and Good Standing**

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

All Programs must inform the student and Psychology Department of the results of the evaluation in a timely fashion. Evaluation letters are to be written by the Program to the student and copied to the student's Department file. In the evaluation letter, Programs must formally state whether or not the student is in good standing. The Program 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. Students 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).

## **11. Deviations.**

Exceptions to any elements of the general requirements described in this document must be requested from the Graduate Studies Committee. Students 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 student and the Dissertation Advisor. Additional documentation may be requested by the Graduate Studies Committee when considering deviation requests. Therefore, students must submit deviation requests in a timely fashion, keeping in mind all Departmental and Graduate School deadlines. Students should never assume that exceptions to policy will be approved and they may not engage in unusual activities until approval is granted.

## **12. Graduate Student Representatives to the Faculty**

### **12.1. Departmental Representatives.**

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

### **12.2. Graduate Advisory Committee.**

During the first week of the semester, all Departmental Programs that have four or more students may elect one graduate student to sit on the Graduate Advisory Committee. Election procedures are the same as those outlined in Section 12.1. and students will serve a 1 year term. It is permissible for the same student 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 student life.

## **13. Grievance Policies and Procedures**

### 13.1. Preamble

Graduate students 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 *duLac: The Graduate and Professional Student Handbook*.

### 13.2. Departmental Appeal Process

Students should first attempt to resolve their academic grievances at the departmental level. Students 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 student 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 13.3).

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

Grievances that have not been resolved at the departmental level (Section 13.2) can be presented to the Dean of the Graduate School. This process must be initiated by a written statement from the student 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 student 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 student's control that were not properly taken into account in a decision affecting the student'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 student's college and one from outside the student's college) and one of whom will be from the student's college but not a member of the Graduate Council. The committee will also include one non-voting graduate student. This student 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 students identified by the Graduate Student Union.

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

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

#### 13.4. 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 student'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 student, 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 13.3).

#### 13.4. Disciplinary Action Involving Dismissal

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

Complaints must be initiated by a written statement from the student to the Chair of the Department within 10 business days from the time when the student 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 student 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 student'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 student 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 student, any student 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 student 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 student in writing of his/her decision.

A student 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 student whose performance is deemed wholly unacceptable by the student's adviser, Director of

Graduate Studies, or program faculty. A G.P.A. below 2.5 in any single semester, or below 3.0 for two consecutive semesters; three consecutive U grades in research are examples of extreme underperformance.

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

Threat to Health and/or Safety: In rare circumstances, continued enrollment of a graduate student may constitute a serious disruption of the residential community or the academic environment. A student may be dismissed if: (a) The student 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 student refuses to cooperate with efforts deemed necessary by the University Health Services and/or the University Counseling Center to evaluate the cause of the student'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.