

UNIVERSITY OF ROCHESTER

REGULATIONS AND  
UNIVERSITY POLICIES  
CONCERNING GRADUATE STUDIES

*Updated November 2016*

# Regulations and University Policies Concerning Graduate Study

Updated November 2016

## Master's and Doctoral Degrees Offered at the University

The University offers the Doctor of Philosophy degree and administers the award of this degree centrally in the Office of the University Dean of Graduate Studies. The University also offers the degrees of Doctor of Education, Doctor of Medicine, Doctor of Musical Arts, and Doctor of Nursing Practice, which are administered by the respective schools. Requirements for the degree of Doctor of Education can be obtained from the Margaret Warner Graduate School of Education and Human Development (see [www.warner.rochester.edu](http://www.warner.rochester.edu)); for the degree of Doctor of Medicine in the School of Medicine and Dentistry, see [www.urmc.rochester.edu/smd](http://www.urmc.rochester.edu/smd); for the degree of Doctor of Musical Arts in the Eastman School of Music, see [www.esm.rochester.edu](http://www.esm.rochester.edu); and for the degree Doctor of Nursing Practice in the School of Nursing, see [www.son.rochester.edu](http://www.son.rochester.edu).

The master's degree is offered in arts, science, music, engineering, nursing, business administration, accountancy, and education. Information on master's degrees other than MA and MS can be found as follows: for the Master of Business Administration and Master of Science in Accountancy through the William E. Simon Graduate School of Business Administration, see [www.simon.rochester.edu](http://www.simon.rochester.edu). For the Master of Music through the Eastman School of Music, see [www.esm.rochester.edu](http://www.esm.rochester.edu), for the Master of Public Health through the Department of Community and Preventive Medicine in the School of Medicine and Dentistry, see [www.urmc.rochester.edu/cpm](http://www.urmc.rochester.edu/cpm).

## Administration of Graduate Studies

As authorized by the Board of Trustees in a Charter for Administration of Graduate Studies, the provost assigns responsibility for the administration of all postbaccalaureate work within each school to the dean of that school, who may delegate it to an associate dean of graduate studies or to another appropriate official. (In these Regulations, the term "associate dean" is used to refer to the official overseeing graduate studies in a school, regardless of title.) Policies for graduate work within each school are

determined by the respective faculties and their administrative officers in accordance with the provisions in these Regulations.

The University grants the Doctor of Philosophy degree and administers the award of this degree centrally in the Office of the University Dean of Graduate Studies. The general requirements for the PhD are set at the University level, as described later in this bulletin. The Council on Graduate Studies recommends to the provost for transmission to the Board of Trustees all candidates for the Doctor of Philosophy degree.

Schools and interdisciplinary programs offer approved PhD programs under University policies described in this bulletin. More specific requirements for degree programs may be set by individual schools and departments.

General requirements for the MA and MS degrees are set at the University level and described in this bulletin. General requirements for other master's degrees and specific requirements for all master's degree programs are set by individual schools.

The administration of work for master's degrees and for doctorates other than the PhD is vested in the associate dean of graduate studies and the Committee on Graduate Studies or equivalent in each school. Each school recommends its candidates for graduate degrees other than the PhD to the provost for transmission to the Board of Trustees. If a candidate for one of these degrees has taken work in more than one school in the University, the recommendation for award of the degree originates in the school responsible for the student's major department or program.

## University Policies for All Graduate Programs

### *Admission*

Admission to graduate studies is granted to graduates of accredited colleges/universities, technical schools, and music schools who present satisfactory evidence of ability to pursue graduate study. Additional admission requirements are set by certain schools of the University. These are stated separately in the general announcements of each school in the Official Bulletin of Graduate Studies.

An applicant's qualifications are examined by the relevant department/program of major interest and by the associate dean of graduate studies in the appropriate school to determine

whether previous training and ability promise success in work for advanced degrees. Individual departments, with the approval of their associate deans for graduate studies, may limit the number of graduate students to be admitted, determine the credit hours of prerequisite study, stipulate language requirements, or set other special admission requirements.

Admission to a graduate degree program at the University of Rochester is for that program alone. Admission to any other program requires a completely new admissions application.

In certain cases, applicants who do not meet all the requirements for admission may be admitted conditionally. Their standing is reviewed after the first term of study to decide on their continuation in graduate work. In rare, exceptional cases, a student without a bachelor's degree may be admitted to a graduate program because of demonstrated high academic competence; such students are considered graduate students.

*Special students* have satisfactory undergraduate records except that they lack prerequisite courses for the intended area of graduate study. Such prerequisites must be completed within a year, and a student will not be continued as a special student beyond this time. Enrollment as a special student does not guarantee subsequent admission and matriculation with full graduate-student status.

*Probationary admission* may be granted to a student whose credentials indicate only marginal preparation for graduate work, on approval of the associate dean of graduate studies in the appropriate school and the department of major interest. Such a student can be admitted to full standing upon completing, at the discretion of the department, from 12 to 24 semester hours of graduate credit with all grades of at least B. If the student receives any grade lower than B, enrollment in graduate studies is subject to termination. (For School of Nursing, see *Student Handbook* relating to probation policies.)

A person wishing to take a graduate course or courses not leading to a degree may register as a nonmatriculated student. Approval of the associate dean is required for the Eastman School of Music; approval of the director of PhD programs for PhD courses for the School of Nursing. In the Simon School, approval of the associate dean is required for courses other than the four basic core courses. Subsequent evaluation of such work for inclusion in a graduate program is subject to the limitations on transfer credit stated in the sections that follow.

All full-time and part-time students taking 6 or more credit hours need to comply with University and New York State immunization requirements. Please see the University Health Service website ([www.rochester.edu/uhs](http://www.rochester.edu/uhs)) for specific requirements, health history form, and immunization requirement link.

### **Acceptance of Departmental Financial Assistance**

The University of Rochester, as a member of the Council of Graduate Schools in the United States, subscribes to the following statement, which has been adopted by most of the leading graduate schools in North America, and interprets it as applying to master's and doctoral students in programs with a fall start date:

"Acceptance of an offer of financial support (such as a graduate scholarship, fellowship, traineeship, or assistantship) for the next academic year by a prospective or enrolled graduate

student completes an agreement that both student and graduate school expect to honor. In that context, the conditions affecting such offers and their acceptance must be defined carefully and understood by all parties.

"Students are under no obligation to respond to offers of financial support prior to April 15; earlier deadlines for acceptance of such offers violate the intent of this Resolution. In those instances in which a student accepts an offer before April 15, and subsequently desires to withdraw that acceptance, the student may submit in writing a resignation of the appointment at any time through April 15. However, an acceptance given or left in force after April 15 commits the student not to accept another offer without first obtaining a written release from the institution to which a commitment has been made. Similarly, an offer by an institution after April 15 is conditional on presentation by the student of the written release from any previously accepted offer. It is further agreed by the institutions and organizations subscribing to the above Resolution that a copy of this Resolution should accompany every scholarship, fellowship, traineeship, and assistantship offer."

### **Registration**

A matriculated graduate student is one who has been admitted to a graduate degree program and has completed initial registration in that program. Once matriculated, a graduate student must maintain continuous enrollment by registering each academic year semester (every quarter in the Simon School) and paying required fees until all requirements for the degree are completed. Auditing a course does not fulfill this requirement. Requirement for summer registration varies by program.

Registration must be completed within two weeks after the beginning of a semester for all courses that carry credit. Late registration is accepted with the payment of a late registration fee.

The policy for student identity verification when registering for distance learning can be found at <https://rochester.edu/provost/facultyresources/student-identity-verification.html>.

### **Courses Eligible for Inclusion in Graduate Programs**

All courses counted toward graduate degrees, whether designated as undergraduate or graduate, must be advanced in content, rigor, and requirements. Advanced content is defined as clearly dependent on prior introductory knowledge in the discipline. Advanced rigor is defined as requiring a high level of critical thinking and reasoning, attention to detail, independent conception and completion of work, and ability to articulate and synthesize salient issues in the field orally and in writing. Advanced requirements are those in which the student is required to demonstrate mastery of the content depicted above with the rigor depicted above.

### **Dropped Courses**

A regular semester course may be dropped at any time through the sixth week of classes, provided the student obtains the approval of his or her faculty advisor and the instructor(s), notifies the graduate registrar on the proper form, and the change does not alter the student's time status. No record of such actions appears on the official transcript.

Following the start of the seventh week of classes, a drop notification (or a change from credit to audit) sent to the graduate registrar must bear the signatures of the faculty advisor, course instructor(s), and associate dean of graduate studies. Such late drops will be recorded on the official transcript and identified by the grade W. At the option of the course instructor, a grade of E may also be attached.

In exceptional circumstances, the associate dean of graduate studies may approve dropping a course without record after the start of the seventh week of classes. Review of the circumstances is initiated by an appropriate written petition.

Dropping credit hours after the seventh week of a semester or retroactive after the conclusion of the semester is not permitted if the change affects the student's time status (full-time status changes to part-time status) for that particular semester.

No academic credit is granted for courses in progress at the time a student withdraws from the University, except by explicit approval of the associate dean acting upon a written petition.

### Audited Courses

Audit of a course related to a degree program is permitted for full-time and part-time graduate students, when approved by the student's faculty advisor, the course instructor(s), and the associate dean of graduate studies. There is a fee for this. With the approval of the associate dean of graduate studies, the school may decide to pay this fee. The audited course will appear on the student's transcript provided the student attends throughout the course. Students who wish later to receive credit for such a course may do so by (1) changing the registration in the office of the graduate registrar prior to the end of the sixth full week of classes in a given semester and (2) paying the required tuition for the course.

### Full-time Status

A *full-time graduate student* is defined as a student who registers for at least 12 hours of credit for the semester (or 9 hours of credit for the quarter at the Simon School), or a graduate assistant or other student doing work equivalent to that of an assistant who registers for at least 9 hours of credit for the semester. Master's students in the School of Nursing should consult the *School of Nursing Student Handbook* regarding credit requirements for full-time status.

Change of time status (i.e., full time to part time, or full time to x-time) requires approval from the associate dean, except for the Warner School and the School of Nursing.

### Residency

A student is defined as being *in residence* at the University of Rochester if he or she is registered as a full-time student and is using the facilities of the University (laboratories, libraries, consultations with faculty members, or course attendance) with sufficient frequency and regularity to establish this status clearly. Some period of residence at this University is required for all advanced degrees. (See departmental residency requirements stated in the Official Bulletin of Graduate Studies.)

### Summer Residency Status

Requirements for registration during summer sessions vary across graduate programs. Any student who has been classified as full time during the preceding academic year and is registered for the summer is considered full time during the summer regardless of summer credit load. Students in residence but not registered for summer credit may register for "990: doctoral summer in residence" or "890: master's summer in residence" and will not be subject to summer tuition charges.

### Study in Absentia or Special Status

In certain circumstances it may be desirable for a matriculated graduate student to engage in full-time or part-time study or research for a limited period of time at a location away from campus while registered for graduate credit or dissertation status at the University of Rochester. All such requests must be made in writing. Advance approval by the associate dean of graduate studies may be required.

### Credit Hour Policy

All University of Rochester degree and certificate programs are approved by the New York State Education Department (NYSED). The University of Rochester's credit hour calculations for degree and certificate programs follow NYSED guidelines—which are based on the U.S. Department of Education's definition of *credit hour*.

In addition to the information here, a more frequently updated description of credit hour policy can be found at [www.rochester.edu/provost/assets/PDFs/Credit%20Hour%20Policy.pdf](http://www.rochester.edu/provost/assets/PDFs/Credit%20Hour%20Policy.pdf).

The faculty in each school is responsible for all aspects of the curriculum and degree program requirements. Each school has a faculty curriculum committee that reviews proposed new and revised courses and degree programs, including the credit hours associated with each.

### NYSED—Credit Hour Definition

All courses and degree programs at the University must comply with Section 50.1 (o) of the New York State Commissioner of Education Regulations:

1. (o) *Semester hour* means a credit, point, or other unit granted for the satisfactory completion of a course which requires at least 15 hours (of 50 minutes each) of instruction and at least 30 hours of supplementary assignments, except as otherwise provided pursuant to section 52.2(c)(4) of this Subchapter. This basic measure shall be adjusted proportionately to translate the value of other academic calendars and formats of study in relation to the credit granted for study during the two semesters that comprise an academic year.

Source: NYSED Commissioner of Regulations: [www.highered.nysed.gov/ocue/title\\_8\\_chapter\\_ii\\_regulations\\_o.htm](http://www.highered.nysed.gov/ocue/title_8_chapter_ii_regulations_o.htm)

### United States Department of Education—Credit Hour Definition

The U.S. Department of Education defines *credit hour* as: An amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an

institutionally established equivalency that reasonably approximates not less than:

1. one hour of classroom or direct faculty instruction and a minimum of two hours of out-of-class student work for approximately 15 weeks for one semester or trimester hour of credit, or 10 to 12 weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or,
2. at least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution, including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

### Grades

Grades for graduate students are reported on one of two systems. One is A (excellent), A-, B+, B (good), B-, C (poor), and E (failure). The other is S (satisfactory) and E (failure). (See the bulletin of the Eastman School of Music for the grading system in effect for that school.)

The grade S may not be used for any student in a class in which the other students are graded on the A, A-, B+, B, B-, C, E scale (except “591” and “595”).

Minimum grades for courses or research work carrying graduate credit are C or S. C is, however, considered to be a failing grade for any student who is on probation. Moreover, a student who receives the grade of C in each of two courses, or for eight hours of work toward the degree (even if in only one course), will thereby have raised the question of the adequacy of his or her academic performance. In those circumstances the student's record must be reviewed by the associate dean of graduate studies (in the School of Nursing, the Student Affairs Committee) in consultation with the student and the program director. Individual schools may have established higher minimum standards.

The following grades are also assigned to courses: I, assignments not completed, and W, withdrawal from a course.

Courses or research for which a student has registered and which are graded I (incomplete) must be completed within the time period stated by the professor. Matriculated graduate students in Arts, Sciences & Engineering should refer to Grading in the Arts, Sciences & Engineering section of the Official Bulletin on Graduate Studies. It is the responsibility of the student to complete the work; the professor may replace the grade of incomplete with IE (failure) or with a passing grade at any time. Retroactive dropping of credit hours after the conclusion of a semester is not permitted if the change affects the student's time status (full-time status changes to part-time status) for that particular semester.

### Leaves of Absence

#### Leave of Absence (Non-Medical)

The associate dean of graduate studies may grant a leave of absence to a matriculated graduate student who has not yet completed all requirements for the degree. The leave will ordinarily be limited to one year. Students must register for “985: leave of

absence” each semester they are in this category and must pay the designated fee. It should be noted that registration of “985: leave of absence” *does* count toward the degree time limit.

Leave of absence is an x-time category of registration, which has implications for health insurance eligibility, possible loan deferments, and visa status. X-time is defined as neither a full-time or part-time student, but is used to maintain a student's place in their graduate program so that they will not be considered withdrawn by the University.

For any leave of absence, whether medical or non-medical, students should be aware that student health insurance coverage will continue until the end of the contracted time period but is not renewable after that period if the student is still on leave. School staff may be able to assist students to find other sources of insurance. Stipend support, if any, also may end once the leave of absence begins.

#### Medical Leave of Absence

On occasion, a serious health problem requires a student to go on inactive status before the end of a semester. In that situation, it may be reasonable to give the student a pro-rated refund on tuition and certain fees. Associated with this special consideration is the right of the University to determine (1) whether the leave is justified on medical grounds and (2) whether the student has recovered sufficiently to return at some point in the future.

Any student who wishes to start a medical leave of absence mid-semester must petition the student's school. The school will then ask the University Health Service (UHS) to review relevant health-related information, some of which may have to be provided by the student. The director of UHS (or his or her designee) will make a recommendation to the school regarding the appropriateness of allowing the student to take a medical leave of absence. The recommendation will be based on the seriousness of the health problem and the extent to which the health problem has interfered with the student's coursework. Evidence of both is required.

The school will make the decision concerning the medical leave petition and will inform the student of that decision, including the effective date of the leave and any other conditions attached to it that are deemed appropriate to the circumstances of the particular case. Such conditions may include, for example, minimum and/or maximum length of time of the leave and/or requirements that must be met before the student can return from leave. Except in unusual situations, as determined by the school in its sole discretion, the petition to go on leave for medical reasons must be initiated by the student before the end of the semester in question.

A student who wishes to return from a medical leave of absence must petition the student's school. The school will then ask the UHS to review relevant health-related information, some of which may have to be provided by the student. The director of UHS (or his or her designee) will make a recommendation to the school regarding the appropriateness of allowing the student to return from medical leave of absence. The recommendation will be based on evidence that the medical condition that required the leave is controlled sufficiently to allow the student to make a successful return.

The school will consider that recommendation and whether any conditions imposed on the leave have been met, will decide

on the student's return, and will inform the student of its decision.

Except in unusual situations, as determined by the school in its sole discretion, the petition to return from medical leave of absence must be initiated by the student at least two and preferably three months before the expected date of return.

Students must register for "985: leave of absence" each semester they are in this category and must pay the designated fee. It should be noted that registration of "985: leave of absence" *does* count toward the degree time limit.

### **Involuntary Leave of Absence**

The University of Rochester provides a wide range of services to support and address the mental and physical health needs of students including assessment, short-term care as appropriate, and referrals. Our first concern is for the health and welfare of each individual in our community. Our goal is to enable all of our students to participate fully as members of Rochester's academic community.

However, students who disrupt the educational activities of the University community may be required to take a leave of absence from the University. Under these circumstances, students will be given the opportunity to take a voluntary leave. However, if a student declines to take a voluntary leave, the University may determine that the student's welfare or the needs of the community require a period of involuntary leave. The following policy establishes the protocol under which an involuntary leave of absence may occur and the process for return from such a leave.

The University may place a student on an involuntary leave of absence or require conditions for continued attendance when the student exhibits behavior that harms or threatens to harm the health or safety of anyone within the University community; causes or threatens to cause significant property damage; or significantly disrupts the educational and other activities of the University community.

When a student exhibits any of the behaviors described above, the matter may be brought to the attention of the school associate dean of graduate studies (or designee), the University's CARE Network ([www.rochester.edu/care](http://www.rochester.edu/care)), or another University official. The official receiving the report is encouraged to use the resources of the College Dean of Students who serves as the judicial officer for the University. The associate dean of graduate studies (or designee) may place a student on an involuntary leave of absence or impose conditions upon the student's continued attendance.

The associate dean of graduate studies (or designee) will seek an immediate assessment of the student's ability to remain at the University. This assessment will be based on the student's observed conduct, actions, and statements and may require consultation with the University Counseling Center (UCC), University Health Services (UHS), or other appropriate professionals regarding the student's circumstances.

The student will be notified that the associate dean of graduate studies (or designee) is seeking to determine whether he or she should be required to take a leave of absence. When reasonably possible, the student will be given the opportunity to confer with the associate dean of graduate studies (or designee) and to provide additional information for consideration.

The associate dean of graduate studies (or designee) will conclude the review of available information with a decision that may include the following:

- The student remain enrolled with no conditions;
- The student remain enrolled subject to conditions (including a description of those conditions); or
- The student be placed on an involuntary leave of absence.

If the associate dean of graduate studies' (or designee's) decision is to require an involuntary leave of absence, the decision will also indicate the length of the leave and describe the conditions (if any) under which the student may seek to return from leave. The student will then be withdrawn from active status by the associate dean of graduate studies.

The student shall be informed in writing by the associate dean of graduate studies (or designee) of the leave decision, the effective date of the leave, and conditions for return (if applicable). If a student is permitted to remain enrolled subject to conditions, the student shall be informed in writing of the effective date and the duration of the modified attendance.

### **Appeal Process**

A student who is placed on Involuntary Leave may appeal the decision to the dean of the school or his or her designee within seven days of receipt of the letter notifying him or her of the involuntary leave. The appeal must be in writing, delineating the reasons why the student believes the decision is inappropriate. The dean of the school will review the student's appeal and uphold, reverse, or alter the decision. The dean's decision will be communicated to the student in writing and shall be considered final.

### **Process for Return from Involuntary Leave**

A student seeking a return from leave must meet the conditions specified by the associate dean of graduate studies (or designee). The student must apply in writing to the associate dean of graduate studies. It is the responsibility of the associate dean of graduate studies to review the student's compliance with specified conditions for the return from leave and to advise other University offices accordingly. Appropriate administrative duties with respect to commencing this leave process and maintaining its records will be the responsibility of the associate dean of graduate studies.

### **Confidentiality Regarding Involuntary Leave**

All records concerning involuntary leaves of absence will be kept in accordance with the University confidentiality policy and other applicable policies. No statement regarding the leave of absence or withdrawal appears on the student's official transcript.

### **Withdrawal from a Degree Program**

The continuance of each student upon the rolls of the University, the receipt of academic grades, and the conferring of any degrees or the granting of any certificate are strictly subject to the discretionary powers of the University. Each student concedes to the University the right to require his or her withdrawal at any time for just cause.

Voluntary withdrawal from the University by a student who has not completed the degree program should be reported

in writing by the student to the appropriate associate dean of graduate studies.

### ***Readmission and Rematriculation after Withdrawal***

Students who have withdrawn from work toward a graduate degree may apply for readmission. If readmitted, the student will be expected to reformulate a graduate program with the assistance of the faculty advisor and will be required to pay the stated rematriculation fee plus any other indebtedness previously incurred. Graduate courses completed successfully by the student prior to withdrawal may be counted as partial fulfillment of the requirements of the degree, provided:

- A. the courses form an integral part of the student's new program and are approved for inclusion by the faculty advisor; and
- B. the courses were completed not more than five years prior to the date of application for rematriculation.

The maximum time for a rematriculated student to complete the program for the degree will be based on the credit hours remaining to be completed, computed at a rate of at least six credit hours a year. This does not negate the maximum time limit for the degree.

### ***Continuing Registration in Master's or PhD Dissertation Phase***

All students must maintain continuous enrollment. If enrollment has been allowed to lapse, students must pay the appropriate fees for unregistered semesters in order to complete the degree.

MS, MA, or PhD students who have completed all credit requirements but not yet completed the final dissertation may register, with the approval of the advisor and the associate dean of graduate studies, for one of the categories below.

#### **999/899**

This status is utilized as follows:

- It is considered full-time enrollment for all reporting purposes and satisfies government requirements for F-1 and J-1 international students to maintain full-time enrollment.
- It is for students who are not enrolled in full-time coursework but are, nonetheless, working full time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.).
- It includes a relevant fee (often a dissertation fee), as well as other fees associated with full-time enrollment.
- Students are registered with specific reference to a faculty advisor, who is ultimately responsible for monitoring their full-time effort.
- The student has either completed all requirements for the degree other than the thesis or is enrolled in final coursework in addition to the work necessary for the degree requirements (e.g., dissertation, degree recital, etc.).
- The student has actively demonstrated full-time effort, whether through being physically located on campus or having completed the appropriate petitions to demonstrate full-time effort elsewhere in the U.S. (999A/899A) or abroad (999B/899B).

- Mandatory Health Fee is not required if the student is studying in absentia (e.g., 999A/899A) and the student is not enrolled in the University health insurance.
- International students utilizing the in absentia options must coordinate with ISO for immigration purposes.
- Students are eligible for federal loans.
- Students are eligible for University health insurance.

#### **998/898**

This status is utilized most often by the Warner School and can be applied as follows:

- It is considered part-time (at least half-time) enrollment for all reporting purposes.
- This dissertation category does **not** satisfy government requirements for F-1 and J-1 international students to maintain full-time enrollment and will require that students obtain advanced permission for a Reduced Course Load, if eligible.
- It is for students who are not enrolled in half-time coursework but are, nonetheless, working at least half time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.).
- It includes a relevant fee (often a dissertation fee).
- Students are registered with specific reference to a faculty advisor, who is responsible for monitoring their part-time effort.
- The student has either completed all requirements for the degree or is enrolled in final coursework in addition to the work necessary for degree requirements (e.g., dissertation, degree recital, etc.).
- Students are eligible for federal loans.
- Students are **not** eligible for University health insurance.

#### **997/897**

This status is utilized as follows:

- It is considered full-time enrollment for all reporting purposes and satisfies government requirements for F-1 and J-1 international students to maintain full-time enrollment.
- It is for students who are not enrolled in full-time coursework but are, nonetheless, working full time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.).
- It does **not** include a relevant fee, though it does include other fees associated with full-time enrollment. The decision to utilize 997/897, and thus **not** charge fees, is made independently by each school and may occur for many reasons (for example, the student has not yet completed four full-years of doctoral enrollment, the student is enrolled full time during the summer, the student has been granted a one-time waiver of fees at the master's level, etc.).
- Students are registered with specific reference to a faculty advisor, who is ultimately responsible for monitoring their full-time effort.
- The student has either completed all requirements for the degree other than the thesis or is enrolled in final coursework in addition to the dissertation.

- The student has actively demonstrated full-time effort, whether through being physically located on campus or having completed the appropriate petitions to demonstrate full-time effort elsewhere in the U.S. (997A/897A) or abroad (997B/897B).
  - Mandatory Health Fee is not required for students studying in absentia (e.g., 997A/897A or 997B/897B) and not enrolled in the University health insurance.
  - International students utilizing the in absentia options must coordinate with ISO for immigration purposes.
- Students are eligible for federal loans.
- Students are eligible for University health insurance.

### 995/895

This status is utilized as follows:

- It is considered less than half-time enrollment for all reporting purposes.
- This category does **not** satisfy government requirements for F-1 and J-1 international students to maintain full-time enrollment and will require that students obtain advanced permission for a Reduced Course Load, if eligible.
- It is for students who are working less than half time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.) or who are enrolled solely to satisfy the continuous enrollment requirement.
- It includes a relevant fee (often an enrollment continuation fee).
- Students are not necessarily registered with specific reference to a faculty advisor to monitor their effort. The choice to register with specific reference to a faculty advisor is made at the individual school level.
- Students are **not** eligible for federal loans.
- Students are **not** eligible for University health insurance.
- Though less than half time, this status does fulfill the requirement of continuous enrollment.

### 990/890

This status is utilized as follows:

- It is considered full-time enrollment for all reporting purposes and satisfies government requirements for F-1 and J-1 international students to maintain full-time enrollment.
- It is for students who are in full-time residence during the summer for purposes such as completing a dissertation, performing research, completing a clinical rotation, etc.
  - Note that this status is different than using 997/897 for full-time summer enrollment. If the 4th, 5th, and 6th bullets of the 997/897 definition can be satisfied, a school may wish to use that status instead, to allow the student to be eligible for federal loans.
- It does **not** include a relevant dissertation fee.
- Students are not necessarily registered with specific reference to a faculty advisor to monitor their effort. The choice to register with specific reference to a faculty advisor is made at the individual school level.

- Students are **not** eligible for federal loans.
- Students are eligible for University health insurance.

### Refund of the Semester or Quarter Fee in the Final Semester

If the final corrected copy of the dissertation has been submitted and all degree requirements have been met midway through a semester or quarter, the student is eligible for a refund of the current fee for continuing enrollment according to the following schedule:

- 75% during weeks 1–4 of the semester or weeks 1–3 of the quarter.
- 50% during weeks 5–8 of the semester or weeks 4–5 of the quarter.
- 25% during weeks 9–11 of the semester or weeks 6–7 of the quarter.

The form for refund is available in the Office of the University Dean of Graduate Studies for PhD students, and in the office of the associate dean of graduate studies for master's students. There are no refunds of health fees or health insurance premiums.

### Conferral of Degrees

Degrees are awarded by the Board of Trustees at its regular meetings (August, October, December, March, and May) and conferred annually at the University's Commencements. A degree candidate, upon meeting all degree requirements, will likely be awarded the degree at the next meeting of the Board of Trustees, but will receive the diploma by mail or at the following Commencement.

### Transcripts

Transcripts of graduate work will be issued *only at the written request* of the student. Fees are determined at the school level. Transcript requests should be directed to the University registrar. (Students in the Eastman School of Music should request transcripts from the registrar, ESM.) The University reserves the right to withhold academic transcripts if an outstanding balance is owed the University.

### Student Records

The University of Rochester complies fully with the provisions of the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. 1232g. Under FERPA students have, with certain limited exceptions, the right to inspect and review their educational records and to request the amendment of their records to ensure that they are not inaccurate, misleading, or otherwise in violation of the student's privacy or other rights. Requests to inspect or review records should be addressed to the registrar, or to the appropriate administrator responsible for the record and will be honored within 45 days. Any student questioning the accuracy of any record may state his or her objection in writing to the University administrator responsible for the record, who will notify the student of his or her decision within 45 days of receiving the objection. Final review of any decision will be by the appropriate dean who, if requested by the student, will appoint a hearing committee of two faculty members and one staff member to investigate and make recommendations. Students concerned with the University's compliance with FERPA have the right to



file complaints with the U.S. Department of Education's Family Compliance Office.

FERPA further requires, again with certain limited exceptions, that the student's consent must be obtained before disclosing any personally identifiable information in the student's education records. One such exception is disclosure to parents of dependent students. Another exception is disclosure to school officials with legitimate educational interests, on a "need-to-know" basis, as determined by the administrator responsible for the file. A "school official" includes anyone employed by the University in an administrative, supervisory, academic, research, or support staff position (including law enforcement unit personnel and health staff); any person or company acting on behalf of the University (such as an attorney, auditor, or collection agent); any member of the Board of Trustees or other governance/advisory body; and any student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility. Other exceptions are described in the FERPA statute at 20 U.S.C. 1232g and regulations at 34 C.F.R. Part 99.

The University considers the following to be directory information: name, campus address, e-mail address, home address, telephone number, date and place of birth, academic fields of study, current enrollment (full or part time), dates of attendance, photographs, participation in recognized activities and sports, degrees and awards, weight and height of athletic team members, previous educational agencies or institutions attended, and other similar information. The University may publicize or respond to requests for such information at its discretion. However, the use of the records for commercial or political purposes is prohibited unless approved by the appropriate dean.

Currently enrolled students may request that directory information be withheld from disclosure by making a request, in writing, to the appropriate registrar. All requests made on or before September 30 will make it possible to have directory information omitted from printed directories. Requests made after this date should still be forwarded since they will prevent directory information from being released in the future. The University assumes that failure on the part of the student to specifically request the withholding of any directory information indicates approval of disclosure.

Student conduct violations are reflected in the student record under some circumstances. This policy is found in the Standards of Student Conduct.

## Policies Concerning the Doctor of Philosophy Degree

### *Administration of PhD Degree Programs*

The degree of Doctor of Philosophy is awarded primarily for completion of scholarly work, research, or outstanding creative work satisfactorily described in a dissertation. It is assumed that recipients of this degree are well versed in the subject matter and research techniques of a specific discipline and have dem-

onstrated breadth of interest and originality of outlook that indicate promise of success in future research and teaching.

### **Established Interdisciplinary PhD Programs**

For an established formalized interdisciplinary program (e.g., Visual and Cultural Studies, Neuroscience), a standing committee of faculty with formal affiliation to that program acts as a "department" and supervises the program requirements for its students.

### **Ad Hoc Joint PhD Degree Programs**

To enable a student to pursue an individualized program of PhD study in more than one field, departments and programs authorized to offer work leading to the PhD degree may cooperate to offer a joint program. Joint work is supervised by an ad hoc committee convened for each student. Typically, the committee consists of two faculty from each discipline of the joint program, and a fifth member from outside the two programs of study who serves as the outside reader.

Each ad hoc committee is appointed by the University dean of graduate studies upon nomination by the Graduate Committee of the school(s) in which the departments/programs are located. A proposal outlining how degree requirements will be met, along with supporting documentation (including program of study, proposed plan for qualifying examination(s), up-to-date advising record, proposed thesis topic) must be submitted for approval before the student is admitted to candidacy.

### **University Administration of PhD Programs**

Each school of the University has a Committee on Graduate Studies or the equivalent, consisting of representatives of departments and programs offering graduate degrees. The duties of these committees include reviewing the administrative practices of the departments/programs and the school with respect to requirements and training for the PhD, and advising the associate dean of graduate studies about the work toward the PhD degree.

The University has a Council on Graduate Studies composed of

- representatives of departments and programs in the University authorized to offer the PhD degree;
- the deans or associate deans for graduate studies of each school, or officer whose duties most closely correspond to this role;
- the provost of the University;
- the University dean of graduate studies, who serves as chair.

The principal functions of the council are

- to decide on the basis of quality considerations which departments shall be authorized to give work towards the PhD degree, and to authorize or restrict, as necessary, the different PhD programs.
- to scrutinize the policies, standards, and facilities for work for the degree of Doctor of Philosophy throughout the University to ensure a minimum quality standard is met, and to make reports on the findings and recommendations to the provost and president. In performance of this function, the council may engage scholars from other universities.

- upon nominations by the faculties or other authorized agencies in the several schools, to recommend to the provost for transmission to the Board of Trustees the candidates for the Doctor of Philosophy degree.

A Steering Committee of the Council, composed of the University dean of graduate studies and the dean or associate dean of graduate studies (or equivalent) of each school, advises the council in the performance of its functions, exchanges information, and adjusts procedures in the schools to enable administrative uniformity as needed.

The vice provost and University dean of graduate studies is appointed by the trustees on recommendation of the provost and president. The vice provost and University dean of graduate studies

- is the University spokesperson in matters of graduate studies
- presides at meetings of the council and the steering committee
- may serve *ex officio* as a member of the committee established in any school for the conduct of the MA, the MS, or the PhD degree
- appoints (upon the advice of each associate dean of graduate studies) all committees for the final oral examination for the PhD degree
- the University dean of graduate studies or a delegate presides at all such examinations as chair.

### **Admission to PhD Programs**

Policies on admission to graduate programs described earlier in these Regulations apply to PhD applicants. In addition, the following policies apply.

### **Financial Awards**

Many students are able to pursue graduate studies by receiving financial aid from the University. Students should also apply for fellowships granted by private foundations, the federal government (e.g., the National Science Foundation), and by various state organizations.

It is the responsibility of all graduate students to inform the Financial Aid Office of aid they receive from non-University sources.

### **Graduate Fellowships and Assistantships**

The University awards a large number of fellowships, assistantships, and scholarships to help graduate students meet the cost of education. Whether the funds for these awards come ultimately from individuals, corporations, foundations, government agencies, or the University itself, the amount and nature of the awards are decided by officers of the University.

Awards are made for various periods of time, and all awards are contingent upon satisfactory academic progress. Awards may be terminated at any time if academic performance is unsatisfactory. For those fellowships awarded directly to students from non-University sources, such as foundations or government agencies, the term of the grant is up to the donor. Nevertheless,

holders of non-University fellowships may be terminated from a degree program during the term of the award if they do not maintain satisfactory academic standing.

Graduate fellowships are intended to further the recipients' education and recipients are expected to devote full time to their studies and to any required teaching, research, or training.

### **Acceptance of Departmental Financial Assistance**

The University of Rochester, as a member of the Council of Graduate Schools in the United States, subscribes to the following statement, which has been adopted by most of the leading graduate schools in North America, and interprets it as applying to master's and doctoral students in programs with a fall start date:

"Acceptance of an offer of financial support (such as a graduate scholarship, fellowship, traineeship, or assistantship) for the next academic year by a prospective or enrolled graduate student completes an agreement that both student and graduate school expect to honor. In that context, the conditions affecting such offers and their acceptance must be defined carefully and understood by all parties.

"Students are under no obligation to respond to offers of financial support prior to April 15; earlier deadlines for acceptance of such offers violate the intent of this Resolution. In those instances in which a student accepts an offer before April 15, and subsequently desires to withdraw that acceptance, the student may submit in writing a resignation of the appointment at any time through April 15. However, an acceptance given or left in force after April 15 commits the student not to accept another offer without first obtaining a written release from the institution to which a commitment has been made. Similarly, an offer by an institution after April 15 is conditional on presentation by the student of the written release from any previously accepted offer. It is further agreed by the institutions and organizations subscribing to the above Resolution that a copy of this Resolution should accompany every scholarship, fellowship, traineeship, and assistantship offer."

### **Faculty Eligibility to Enroll in PhD Programs**

No person holding a full-time appointment as assistant professor or higher at the University of Rochester may be awarded an earned degree of Doctor of Philosophy from this University. An exception to this rule may occur only if the faculty member's appointment is in a department other than the one in which the degree is earned and only if that appointment is warranted by the completion of a separate Doctor of Philosophy or other appropriate graduate degree. Faculty members holding the rank of instructor and non-faculty full-time employees of the University may pursue studies leading to the degree of Doctor of Philosophy only by special permission of the appropriate school's Committee on Graduate Studies.

### **Transfer Credit**

The associate dean of graduate studies may approve, for students who do not present the master's degree, up to 30 credit hours of acceptable graduate work taken at this or another university toward the requirements for the doctoral degree. Work taken prior to matriculation in a graduate degree program is classified as *possible* transfer work. Limits on transfer credits are set at the

program level. Credit hours may be accepted toward degree requirements if the subjects taken form an integral part of the proposed program of study and if taken within five years of the date of matriculation with a grade of B or higher as interpreted in this University. Requests for transfer credit must have the approval of the associate dean of graduate studies. Similarly, permission to take work at another institution for transfer credit after matriculation in a graduate program must be approved in advance by the associate dean of graduate studies. Credit hours already applied to two degrees, whether at the University of Rochester or elsewhere, cannot be applied to a third degree at the University.

### **Full-Time Residency Requirement**

A minimum of one year (two consecutive semesters, excluding summers) in residence while enrolled as a full-time student is required. Doctoral Dissertation (“999”) may not be used to meet the one-year residency requirement. Further requirements may be completed by full-time residence either during the academic year or during the summer. Departmental/program requirements, however, may necessitate continuous residence until work for the degree is completed.

### **Part-Time Study**

Ordinarily, graduate students may pursue work leading to the degree Doctor of Philosophy only if they are full-time students.

Permission to pursue a part-time plan of study is at the option of the department/program, subject to the approval of the Committee on Graduate Studies of that school. Part-time plans of study are subject to the following restrictions:

1. under no conditions will the residency requirement described above of one continuous academic year of full-time study be waived,
2. the minimum registration will be two courses, each carrying at least three credit hours, per calendar year (however, departments/programs may establish a higher minimum registration requirement), and
3. a student receiving grades lower than B (or S) in more than one-quarter of the courses for a given academic year may not be permitted to continue in the part-time program.

### **Program of Study**

At least 90 credit hours of study beyond the bachelor’s degree or 60 hours beyond an acceptable master’s degree are required.

A tentative program of study leading to the degree of Doctor of Philosophy must be prepared by the student in consultation with his or her advisor. This should be done within two years after initial registration for doctoral studies. This program must include the following:

- A list of those courses for which the student must receive graduate credit. Other courses deemed desirable but not essential need not be listed.
- The specific foreign language(s), if any, in which the student must show competence (see below).
- The dissertation title if known, or area of study in which the dissertation is expected to be written.
- Name of the research director.

The program of study must be approved by the department chair/program director or a designated representative and then transmitted to the associate dean of graduate studies for approval. Changes in a student’s program are made by the same procedure.

The program of study will constitute the formal requirements that must be met by the student before completion of work for the degree.

Credit hours used for two graduate degrees cannot be used for another graduate degree at the University.

### **Foreign Language Requirements**

Subject to the approval of the appropriate Committee on Graduate Studies, each department/program may designate its foreign language requirements for the PhD degree and specify the method of testing. Specific language requirements may be set for individual students by the department/program, subject to review by the associate dean of graduate studies. Each student should consult with his or her advisor concerning language requirements.

The basic language requirement, if any, must be met before the candidate may be permitted to take the qualifying examination.

### **Time Limit for PhD**

All work for the PhD, including the final oral examination, must be completed within seven years from date of initial registration, except that a student who enters with a master’s degree or its equivalent for which the full 30 credit hours is accepted in the doctoral program must complete all work within six years from date of initial registration. All registration categories, including “985: Leave of Absence,” count towards the time limit.

Students who for good reasons have been unable to complete a program within the above stated limits may, upon recommendation of the faculty advisor and the department chair/program director, petition the associate dean (in the School of Nursing, the PhD subcommittee) for an extension of time. Such extensions, if granted, will be of limited duration and must be reappraised at least annually. Requests for extensions beyond 12 years must be approved by the University dean of graduate studies.

### **Qualifying Examination**

All PhD programs must administer a qualifying examination as part of the PhD program requirements. The qualifying examination may be either written or oral or both, at the discretion of the department/program, and must be passed at least six months before the final examination may be taken. The Committee to conduct a qualifying examination will be appointed by the appropriate associate dean and will consist of at least three full-time faculty of professorial rank (four for the School of Medicine and Dentistry). Subject to the approval of the appropriate Committee on Graduate Studies, each department/program may designate whether or not it will include a member from another department/program on the committee. A vote to pass the candidate must be approved by a majority of the designated members of the committee. The votes of all committee members will be recorded. The office of the associate dean must be notified at least two weeks before a qualifying examination is to be held, and passage or failure must be reported within one

month after the examination. After a failure, a second qualifying examination may be taken if in accordance with program policy. A third examination may be taken only upon the recommendation of the appropriate Committee on Graduate Studies and with the approval of the associate dean or equivalent. In the School of Nursing and the School of Medicine and Dentistry, a third examination will not be given.

### **Admission to Candidacy**

When the associate dean of a school certifies that a student has passed the qualifying examinations and is recommended for candidacy, it is assumed that the student is a candidate for the PhD degree. Upon request, the University dean of graduate studies may issue a certificate attesting to this fact.

## **PhD Dissertation**

### **Dissertation Advisory Committee**

Ordinarily no later than when a student has been admitted to candidacy, the department chair or program director approves an advisory committee for the dissertation. The members should meet the requirements for membership in the final oral examination committee as described below. The composition of the dissertation advisory committee should be reported to the associate dean.

It is the responsibility of the dissertation advisory committee to advise the student concerning the proposed research and thesis, consult with him or her at appropriate stages in the research, and ordinarily to serve on the final oral examination committee.

Upon recommendation of the faculty of the student's department/program and the associate dean of the school involved, the University dean of graduate studies may approve a person other than a full-time University of Rochester faculty member (e.g., a senior research associate or an adjunct or part-time faculty member) to serve as the student's faculty advisor or research director. Approval must be obtained in writing.

In some circumstances, it may be appropriate to appoint to the advisory committee a person other than a member of the faculty of the University. With the approval of the associate dean and the University dean of graduate studies, this person may serve in place of or in addition to the outside department faculty member. Approval must be obtained in writing, based on a petition that includes a rationale for the request and a CV of the proposed non-standard member.

### **Preparation of Dissertation**

A dissertation is required of each candidate for the degree Doctor of Philosophy. The dissertation research must be conducted and the dissertation written under the supervision of the main advisor or research director, regardless of the student's residency status.

The dissertation must be an original critical or synthetic treatment of a suitable subject, an original contribution to creative art, or a report on independent research formulated in a manner worthy of publication.

The dissertation must be written in English except where the subject matter demands otherwise and when requested by the department chair/program director and approved by the associate dean of graduate studies. *Preparing Your Thesis: A Manual for Graduate Students* must be followed to prepare the

dissertation. The manual is available at the University Graduate Studies publications webpage ([www.rochester.edu/gradstudies/publications.html](http://www.rochester.edu/gradstudies/publications.html)).

### **Disclosure of Collaboration, Financial Support, and Prior Publication**

In addition to other required elements delineated in the thesis manual, each dissertation must include a section entitled "Contributors and Funding Sources." Placement of this section in the dissertation is described in the thesis manual.

In this section, all collaborations with others in carrying out the dissertation research must be clearly described, and the student's independent contributions must be made clear. Similarly, the sources of financial support for the research must be listed.

Students who completed all work independently and/or without outside funding support should indicate this in the required section.

If content or results from the dissertation have been published in full or in part, the biographical sketch section of the dissertation must include bibliographic information about those publications. The dissertation will not be approved if it is subject to governmental or other restrictions that limit freedom of publication.

## **Final Oral Examination for the PhD Degree**

### **Final Oral Examination Committee**

The committee for the final examination for the PhD degree is appointed by the University dean of graduate studies on the advice of the appropriate associate dean of graduate studies. In most cases, the Final Oral Examination Committee includes the members of the original Dissertation Advisory Committee that supervised the thesis work. The committee for the final examination shall consist of:

- At least two current full-time doctorally prepared tenure-track or standing members with the rank of assistant professor or higher who hold their primary appointments in the department offering the degree program, or are among the core faculty defined for an interdisciplinary PhD program, in the role of "inside members" of the final oral examination committee. The dissertation advisor or supervisor may or may not hold a primary appointment in the department offering the candidate's degree program but is considered to be inside that department or program for the purpose of committee membership.
- At least one current full-time faculty member at assistant professor rank or higher from outside the department offering the degree program in the role of "outside reader." The holder of a secondary appointment in the department offering the candidate's degree program may serve as the outside member, provided that his or her primary appointment is in another department. A committee made up of faculty members whose primary appointments are all in the same department will not be permitted. For interdisciplinary degree programs with faculty from several departments, the definitions of "inside" and "outside" for the final oral examination committee are set by the schools.

Exceptions to the above must be approved in writing, as described in the Dissertation Advisory Committee section above. Exceptions requiring petitions include faculty who retire, change

to part-time status, or leave the University. If the change in status occurs less than one year prior to the planned final defense, the faculty member may serve on the committee in his or her original role. After one year, a petition is required for faculty to serve on final defense committees. These conditions apply only to committee members and not to appointed defense chairs. Only current full-time doctorally prepared ranked faculty may serve as chairs of final defenses.

The University dean of graduate studies may appoint no more than one nonstandard member, with vote, to any PhD final examination when requested by the program director or chair of the department concerned. As is the case for a nonstandard dissertation advisory committee member described earlier, the nonstandard oral examination committee member may either replace or be in addition to the usual outside reader.

Such nonstandard members shall be recognized experts in the field of the dissertation, but not necessarily members of a university faculty. A nonstandard member who is not a current or former faculty member of the University must be approved by the University dean of graduate studies *prior to the dissertation being registered*. A request to the University dean of graduate studies must include a curriculum vitae and must have been approved by the associate dean of graduate studies in the relevant school.

Other persons may attend the closed portion of PhD final examinations only if the approval of the University dean of graduate studies has been granted before or at the time of dissertation registration. These visitors shall not participate in the questioning and must leave before the committee votes.

### **Scheduling the Final Oral Examination**

Final oral examinations for the PhD degree may be scheduled for any day when the University Office of Graduate Studies is open. Defenses may not be held on weekends, holidays, or the week between Christmas and New Year's Day.

### **Faculty Approval to Register the Dissertation**

The candidate, with advisor support, will set the date for the final oral defense and obtain committee members' signatures on the PhD Final Oral Examination Appointment Form before submitting the final work to the PhD program director and school associate dean/dean of graduate studies. The candidate must provide the completed work to committee members at least two weeks before signatures are to be collected. If a member is distant from the University, a faxed signed form or a PDF signed with a password-protected, date-stamped digital ID is acceptable.

A candidate may proceed with registration of the dissertation only after receiving written permission of all members of the final oral examination committee with the exception of the examination chair. The dissertation will not be accepted for registration if the candidate is not registered for the current semester/quarter.

### **Nomination of a Chair of the Final Oral Examination**

The final oral examination committee is presided over by the University dean of graduate studies or an appointed representative, who serves as chair. The chair will monitor and promote

fairness and rigor in the conduct of the defense. The chair's status as a nonmember of the advisor's and student's working group, program, or department enables distance from previously established judgments on the candidate's work and limits the role of administrative influence in the defense process.

In Arts, Sciences & Engineering, the School of Medicine and Dentistry, and the Eastman School of Music, the chair may not hold an appointment as primary faculty within the department offering the PhD program. In the School of Nursing and Warner and Simon schools, the chair may be a faculty member within that school but will be outside the candidate's and advisor's defined area of specialty. For interdisciplinary programs, rules for chair appointments are the same as for outside reader appointments and are set by the schools.

The senior official for graduate studies in the school will identify a chair for each PhD oral defense within that school, using a process determined by the school, and will notify the selected individual, the candidate, and other committee members of the appointment. The student is responsible for providing the chair and all other committee members with copies of the dissertation identical to the version submitted for registration, for use at the oral defense.

The University dean of graduate studies grants final approval of all committee membership, including the appointed chair. This final committee approval is sent electronically to the entire committee and candidate shortly before the defense.

### **Registering the PhD Dissertation for the Final Oral Examination**

The dissertation must be submitted to the office of the associate dean of graduate studies in the appropriate school to be processed and then delivered to the Office of the University Dean of Graduate Studies for registration. Dissertations may be submitted to the Office of University Graduate Studies for registration on any working day except for the week between Christmas and New Year's Day and a period in late April (indicated on the PhD calendar distributed to all graduate studies officials in the schools).

The final oral examination cannot be held until at least *five full working days* have elapsed after the dissertation has been registered in the Office of the University Dean of Graduate Studies. The dissertation is not considered registered until it arrives in the Office of the University Dean of Graduate Studies. Therefore, the department and/or school deadline may be in advance of the University dean of graduate studies' deadline. It is the student's responsibility to plan accordingly. The student should check with the office of the associate dean of graduate studies for established deadlines.

It is the responsibility of the candidate to submit the completed dissertation to the office of the associate dean of graduate studies in the appropriate school by the school's deadline. All typographical, spelling, and grammar errors must be corrected before the dissertation is submitted for registration. The dissertation submitted for registration must be bound in some manner and submitted with the required paperwork, including the appointment form with signatures of the members of the examining committee, and the date, time, and place of the examination.

The candidate must distribute copies of the dissertation to all members of the final examination committee before or at the same time the dissertation is registered, or the examination will be canceled. The candidate also must provide a copy of the same version to the appointed dissertation chair. Once the dissertation has been registered and copies distributed to committee members, no further changes can be distributed to committee members until after the final oral examination or the examination will be canceled.

#### **Procedures for Final Oral Examination (PhD Dissertation Defense)**

The final oral examination will be taken after completion of all other requirements for the degree but not earlier than six months after the qualifying examination.

The final oral examination for the Doctor of Philosophy degree must be taken at this University. The candidate, the advisor, and the appointed chair must be physically present. Participation of others via videoconference is permitted only if approved in advance by the advisor, the associate dean of graduate studies, the appointed examination chair, and the University dean of graduate studies.

The final oral examination will include the subject covered by the dissertation and the field in which the dissertation is written, with particular attention to recent and significant developments in that field. The purpose is to ascertain whether or not the candidate has proposed a significant thesis in the dissertation and whether or not he or she has defended the dissertation adequately by offering appropriate and effective arguments and by marshaling relevant and convincing evidence.

The presentation and defense of a significant dissertation is the capstone of the work for the PhD degree. All other work toward the degree is preliminary to this presentation. The final oral examination results not only in a judgment on a single work of scholarship but also implicitly on the quality of the whole graduate education of the candidate. Because the final oral examination has this wider meaning, it is important that the committee satisfy itself that a significant thesis has been successfully defended.

A vote of approval of the final oral examining committee must be unanimous, but in the case of a single dissenting vote the case will be presented for decision to the University Council on Graduate Studies. A candidate who fails the final examination shall be allowed one repeat examination, unless the examining committee recommends against it by a majority vote. Regulations for committee structure, timing of registration before defense, and so forth for a repeat examination are the same as those applied to the initial examination.

#### **Submission of Final Dissertation**

Following successful completion of the final oral examination, the candidate completes final revisions, secures approval of those revisions if so specified at the defense, uploads the final copy to the UMI/ProQuest website, and notifies the Office of the Dean of Graduate Studies that this process is complete. The candidate also should provide paper copies for use of the school or department if required.

Each PhD candidate also is required to submit a completed authorization form for inclusion of the dissertation in UR Research (the University's digital research repository). Further instructions along with the authorization form will be emailed to the student on the next working day after the final oral examination.

## **University Policies Concerning the MA and MS Degrees**

### ***Administration of Master of Arts and Master of Science Degrees***

The master's degree is awarded in arts, science, music, engineering, nursing, business, and education. Certain policies for MA and MS degree programs are common across programs and are detailed in this bulletin. All administration of work for master's degrees and recommendation of candidates for these degrees is vested in the associate dean of graduate studies and the Committee on Graduate Studies in each school.

### ***Program of Study***

Each full-time master's student must submit a proposed program of study to the associate dean of graduate studies before the end of the second term. Each part-time master's student must submit a proposed program of study upon the completion of 9 or 12 hours of graduate credit or as determined by the school.

The program of study, to be formulated with the assistance of the faculty advisor and approved by the associate dean, is expected to form a consistent plan of work pursued with a definite aim. Courses in another department closely related to, but outside the student's major field of interest should not ordinarily exceed 12 hours of credit, and the candidate must have had thorough undergraduate preparation for such work. The program must include at least 20 hours taken at the University of Rochester as a matriculated student in a graduate degree program. Other than in approved combined undergraduate-graduate degree programs, no course completed before the candidate has received the bachelor's degree may be included in the graduate program.

Two plans of study are available to students working for most MA and MS degrees; the principal difference between them is that under one plan (Plan A) a dissertation is required, while under the other (Plan B) a dissertation is not required, but in most departments a comprehensive examination must be passed.

Students may not switch from Plan A to Plan B (or vice versa) without written approval from the associate dean of graduate studies.

A minimum of 30 semester hours of correlated work of graduate character is required, together with such other study as may be necessary to complete the student's preparation in the chosen field and bring it to the required qualitative level. Minimum requirements are determined by the department/program concerned, with the approval of the associate dean of graduate studies.

### **Transfer Credit**

Work taken prior to matriculation in a graduate degree program is classified as possible transfer work. Transfer credit may be accepted toward degree requirements if the subjects taken form an integral part of the student's proposed program of study and if taken within five years of the date of matriculation with a grade of B or higher as interpreted in this University. Requests for transfer credit must have the approval of the faculty advisor and the associate dean of graduate studies.

The number and type of credit hours acceptable as transfer credit for work previously taken at the University of Rochester or another university is determined at the school level. Credit hours already applied to two degrees, whether at the University of Rochester or elsewhere, cannot be applied to a third degree at the University.

Permission to take work in another institution for transfer credit after matriculation in a graduate program must be approved in advance by the associate dean of graduate studies.

### **Part-Time Study**

Students admitted to master's degree programs on a part-time basis must follow continuous programs of study. The associate dean of graduate studies may disapprove a part-time program if the nature of the proposed study makes such a program inadvisable.

### **Time Limit for MS or MA Degree**

A candidate must complete all the requirements for the master's degree within five years (seven years at the Simon School) from the time of initial registration for graduate study, and must maintain continuous enrollment for each term after matriculation. Except in the School of Nursing, the five-year maximum period will be reduced at the rate of one term for each unit of three hours taken prior to matriculation at this University and applied toward the requirements for the master's degree. All registration categories including "Leave of Absence" count towards the time limit.

Students who for good reason have been unable to complete a program within five years may, upon recommendation by the faculty advisor and department chair, petition the associate dean of graduate studies for an extension of time. Such extension, if granted, will be of limited duration.

### **Requirements for the MA or MS Degree under Plan A**

Plan A requires the writing of a dissertation and the passing of an oral examination on the dissertation.

#### **Program of Study for Plan A**

A dissertation is required in each program for the Master of Arts or Master of Science degree under Plan A. The dissertation and the research upon which it is based represent a minimum of 6 and ordinarily a maximum of 12 credit hours in reading or research. In certain cases, and with the prior approval of the associate dean of graduate studies, the credit for dissertation research may exceed 12 hours.

### **Preparation of MS or MA Dissertation**

The dissertation must show independent work based in part upon original material. It must present evidence that the candidate possesses ability to plan study over a prolonged period and to present in an orderly fashion the results of this study. The dissertation should display the student's thorough acquaintance with the literature of a limited field.

"Preparing Your Thesis: A Manual for Graduate Students" is also used to prepare master's dissertations. Copies of the booklet are available from the office of the associate dean of graduate studies or on the University's website: [www.rochester.edu/theses](http://www.rochester.edu/theses).

### **Registration of MS or MA Dissertation**

The dissertation must be registered with the office of the associate dean of graduate studies and copies given to the members of the examining committee at least one week prior to the oral examination (two weeks in the School of Medicine and Dentistry). The final examination must be held prior to the date set by the associate dean of graduate studies.

### **Submission of Copies**

The school or program may require printed and/or electronic copies of the final thesis as a condition of completion of the degree program.

### **Final Oral Examination for MS or MA under Plan A**

Each candidate must pass a final oral examination before a committee of at least three members of the faculty appointed by the associate dean of graduate studies (four for the School of Medicine and Dentistry). One member will be from a department other than that in which the student has done the major portion of the work. No candidate may appear for the final examination until permission is received from the faculty advisor to proceed. The examination will not be given until at least a week has elapsed after registration of the dissertation. The final examination may be preceded by other examinations, oral or written, as designated by the department/program or school concerned.

### **Re-Examination**

A student who fails the final oral examination may request re-examination not less than four months later. No student will be allowed to take the examination a third time without a recommendation from the department/program in which the major work was done and the approval of the Committee on Graduate Studies of the school.

### **Requirements for the MA or MS Degree under Plan B**

#### **Program of Study for Plan B**

The degrees Master of Arts and Master of Science under Plan B are awarded for successful completion of at least 30 hours of graduate credit, or more if required in the student's program of study. At least 18 hours of the coursework must be in the student's principal department, except for interdisciplinary programs which have been approved by the relevant school's Committee on Graduate Studies. Individual schools may set higher requirements.

If the department requires a course of directed individual study leading to the writing of a master's essay, this course is in addition to the minimum requirement of courses numbered 400 or over. It may carry up to four hours of credit.

Ordinarily, research credit is not part of a Plan B master's program; but, with the approval of the associate dean of graduate studies, up to six hours of research credit may be granted. Total credit for research, reading, and the master's essay may not exceed six hours.

#### **Directed Study for the Master's Essay**

The master's essay, required by some departments/programs, must present evidence of the student's ability to present a well-organized report on a topic of significance in the field. The writing of this essay is under the supervision of one member of the student's principal department/program, and must be approved by one additional member designated by the chair of the department or by the program director for interdisciplinary programs.

#### **Comprehensive Examination**

Most Plan B programs of study require a comprehensive examination in the field of specialization. It may be written, oral, or both, and is conducted by at least two faculty members.

Students failing the general examination may be allowed to take another examination during the following semester but not later than one year after the original examination. More than one repetition of the examination is not permitted.

## **The University as a Safe and Inclusive Community**

### ***Standards of Student Conduct***

The University of Rochester is dedicated to providing educational opportunities for its students and to transmitting and advancing knowledge. The tradition of the University as a sanctuary of academic freedom and a center of informed discussion is an honored one. It is committed to the protection of intellectual freedoms and rights: of professors to teach; of scholars to study; of students to learn; and of all to express their views.

The University of Rochester is pluralistic and values diversity. Members of the community must respect the rights of the individuals and diverse groups that constitute the University. It is essential that the University remain supportive of democratic and lawful procedure, dedicated to a rational approach to resolving disagreement, and free from discrimination, violence, threats, and intimidation.

Students are expected to abide by the rules of the University and to conduct themselves in accordance with accepted standards of good citizenship, honesty, and propriety, and with proper regard for the rights of others. Students must also obey federal, state, and local laws as would any good citizen. Furthermore, their responsibilities as students, scholars, researchers, and in many cases teachers and emerging professionals, often make special demands for the highest ethical standards.

The maintenance of harmonious community standards requires that behavior that interferes with or threatens the welfare of others or the University community be prevented. Ignorance of these standards will not be considered a valid excuse or

defense. Student participation in any unlawful or other potentially serious violations of University policy may lead to suspension or expulsion from the University.

**All University of Rochester students, both undergraduate and graduate, are responsible to uphold the Standards of Student Conduct. The Standards, including statements of principles and specific policies for harassment and discrimination, drugs and alcohol, weapons, the hearing process for nonacademic conduct violations, elements of conduct records that may be preserved in the student record, and many other important policies, are found at [www.rochester.edu/college/cscm/assets/pdf/standards\\_studentconduct.pdf](http://www.rochester.edu/college/cscm/assets/pdf/standards_studentconduct.pdf).**

## **Affirmative Action, Equal Opportunity, and Antidiscrimination**

### ***An Inclusive Community***

The University of Rochester envisions itself as a community that welcomes, encourages, and supports individuals who desire to contribute to and benefit from the institution's missions of teaching, research, patient care, performance, and community service. In a pluralistic culture of faculty, staff, and trainees, members of the University's community come from different geographical areas and represent differences in ethnicities, religious beliefs, values, and points of view; they may be physically different, have different intellectual interests, or have different abilities. The success of the University of Rochester depends on an environment that fosters vigorous thought and intellectual creativity, one in which diverse ideas can be expressed and discussed by all in its community. To fulfill its missions and prepare future leaders to succeed in an equally wide-ranging environment, the University actively seeks to recruit and include diverse individuals in all aspects of the institution's operations.

### ***Affirmative Action and Equal Employment Opportunity Statement***

In keeping with its long-standing traditions and policies, the University of Rochester affirms its commitment to nondiscrimination and equal opportunity in admissions, employment, access to and treatment in University programs and activities, in accordance with federal, state, and local laws and regulations. To help establish and perpetuate an inclusive and open environment, all members of the University community are expected to support the University's Equal Opportunity Statement:

The University of Rochester values diversity and is committed to the equal opportunity for all persons regardless of age, color, disability, ethnicity, gender identity or expression, genetic information, marital status, military/veteran status, national origin, race, religion/creed, sex, sexual orientation or any other status protected by law. The University complies with all applicable nondiscrimination laws in the administration of its policies, admissions, employment, and access to and treatment in University programs and activities.

The University maintains a policy regarding Affirmative Action, pursuant to its obligations as a federal contractor, which can be found at [www.rochester.edu/working/hr/policies/pdfpolicies/102.pdf](http://www.rochester.edu/working/hr/policies/pdfpolicies/102.pdf).



### ***Discrimination and Harassment***

The University is committed to maintaining a workplace and academic environment free from unlawful discrimination and harassment. The University prohibits and will not engage in discrimination and harassment based on any status protected by law. Further, the University prohibits retaliation against any person who complains or opposes perceived unlawful discrimination or harassment, including those who participate in an investigation or a proceeding involving a complaint of unlawful discrimination or harassment. See the University's Policy against Discrimination and Harassment (employees), Policy 106, found at [www.rochester.edu/working/hr/policies/pdfpolicies/106.pdf](http://www.rochester.edu/working/hr/policies/pdfpolicies/106.pdf).

The Student Policy Against Discrimination and Harassment can be found at [www.rochester.edu/president/assets/pdf/attachment-student-policy-against-harassment-and-discrimination-4.26.16.pdf](http://www.rochester.edu/president/assets/pdf/attachment-student-policy-against-harassment-and-discrimination-4.26.16.pdf).

### ***Sex-Based Discrimination and Harassment***

The University prohibits sex-based harassment and discrimination, including sexual assault, dating violence, domestic violence, and stalking, in accordance with Title IX of the Education Amendments Act of 1972 and other applicable federal and local laws.

The University's Discrimination and Harassment Policy (referenced above) explains the process for addressing complaints against faculty, staff, and visitors.

### ***Sexual Misconduct and Assault***

The Student Sexual Misconduct Policy (found at [www.rochester.edu/sexualmisconduct/options.html/](http://www.rochester.edu/sexualmisconduct/options.html/)) explains definitions of sexual misconduct for students and resources available. Morgan Levy serves as the University's Title IX Coordinator and can be reached for questions or concerns by phone at (585) 275-7814, by email at [morgan.levy@rochester.edu](mailto:morgan.levy@rochester.edu), or in person at her office in 268 Wallis Hall.

### ***Disability Accommodation***

The University of Rochester is committed to providing equal educational and employment opportunities for qualified individuals with disabilities, in accordance with state and federal laws and regulations. Further, the University is committed to maintaining an inclusive environment for individuals with disabilities. The University's affirmative action policy with respect to individuals with disabilities (including disabled veterans) can be found at [www.rochester.edu/working/hr/policies/pdfpolicies/102.pdf](http://www.rochester.edu/working/hr/policies/pdfpolicies/102.pdf).

### ***Disability Accommodation for Students***

The University is committed to providing all students a learning environment that optimizes their ability to succeed. The University Intercessor oversees disability accommodations. Resources and further information can be found at [www.rochester.edu/intercessor/](http://www.rochester.edu/intercessor/).

### ***Jurisdiction and Responsibility for Academic and Nonacademic Misconduct***

There is not always a clear distinction between academic and nonacademic misconduct. The fundamental criterion for deciding whether a matter is academic or nonacademic is whether the student was acting in a scholarly or professional capacity. When the incident involves a student acting in his or her role as a student, teaching assistant, or expert in his or her discipline, then the matter is an academic matter. When the incident involves a student acting as an individual independent of these roles, then the matter is nonacademic.

A complaint against a graduate student should be forwarded to the appropriate associate dean of graduate studies within that student's school, who determines whether the complaint should be treated as an academic or a nonacademic matter. Academic misconduct matters will be referred to the appropriate associate dean, as explained above. Nonacademic matters will be referred to the judicial officer, who will consult with the associate dean before going forward with any complaint against a graduate student that he or she receives from any source other than the associate dean.

The available hearing procedures are not intended to be mutually exclusive; it is possible that a student could be subject to both academic and nonacademic discipline for the same misconduct.

### ***Academic Honesty Policy***

The University of Rochester considers academic honesty to be a central responsibility of all students. Suspected infractions of University policies will be treated with the utmost seriousness. Suspected graduate academic misconduct will be reported to the department chair and associate dean of graduate studies or to a designee specified by the school's policy.

Plagiarism is a pervasive form of academic dishonesty. This is the use, whether deliberate or unintentional, of an idea or phrase from another source without proper acknowledgment of that source. The risk of plagiarism can be avoided in written work by clearly indicating, either in footnotes or in the paper itself, the source of any other major or unique idea which the student could not or did not arrive at on his or her own. Sources must be given regardless of whether the material is quoted directly or paraphrased. Another form of plagiarism is copying or obtaining information from another student. Submission of written work, such as laboratory reports, computer programs, or papers, which has been copied from the work of other students, with or without their knowledge and consent, is also plagiarism. In brief, any act that represents someone else's work as one's own is an academically dishonest act.

There are several other forms of academic dishonesty including, for example, obtaining an examination prior to its administration or using unauthorized aids during an examination. It is also academically dishonest to assist someone else in an act of academic dishonesty. Fraud, misrepresentation, forgery, falsifying documents, records, or identification cards, and fabricating or altering research data are other forms of academic misconduct.

A student remains responsible for the academic honesty of work submitted to the University as part of the requirements for the completion of a degree (or any other coursework taken at the University) even after the work is accepted, the degree is granted, or the student is no longer matriculated at the University of Rochester.

Ignorance of these standards is not considered a valid excuse or defense.

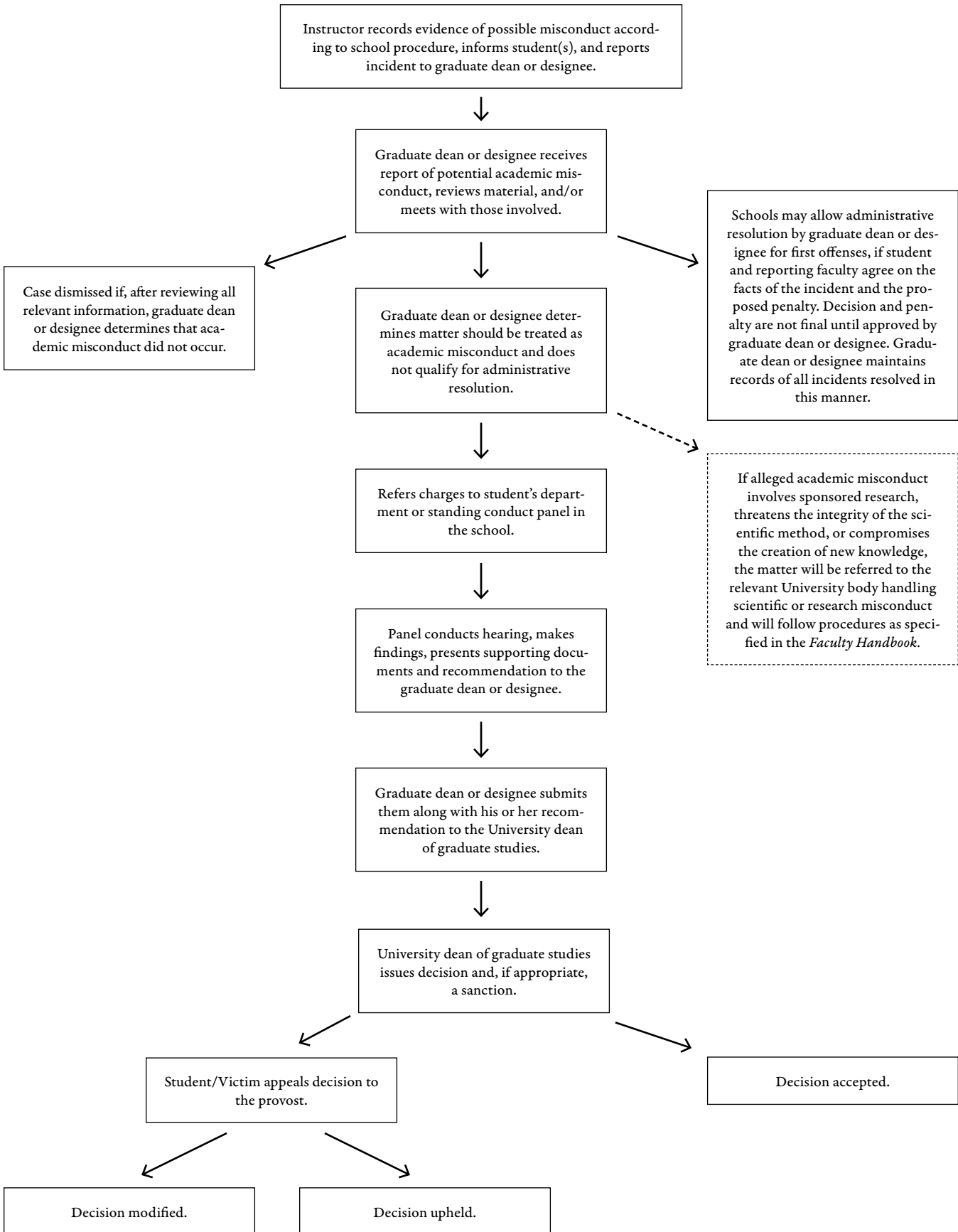
### ***Judicial Process for Academic Misconduct***

The events and documents indicating suspected misconduct and the information provided by involved parties during the investigation should be documented in full. Schools may develop forms for this purpose.

Each department, interdisciplinary program, or school will have a written policy on academic misconduct on file with the graduate dean or designee and a designated group to hear the charge. This may be a standing panel within the school or a department panel that consists of (1) the usual faculty group that deals with graduate student business, (2) the entire faculty of the department, or (3) a committee appointed specifically for the purpose of hearing the academic misconduct charge. A school's written policy may call for graduate student representation on the panel.

The process of review of academic misconduct is shown on page 18. Some academic misconduct incidents may be handled administratively by the graduate dean or designee. These are limited to first offenses in which the student(s) alleged to have committed the offense, the student victims if any, and the faculty member(s) reporting the incident agree on the events that occurred, the nature and seriousness of the misconduct, and the proposed penalty. Documentation is submitted to the graduate dean or designee, who may approve the proposed penalty and communicate this to the parties involved or may opt to refer the case to the panel. In handling cases administratively without panel involvement, graduate deans or designees must satisfy themselves that the student admitted guilt without coercion and that the proposed penalty is appropriate to the offense and comparable to other penalties for similar offenses.

# Academic Misconduct





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