

Regulations and University Policies Concerning Graduate Study

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. An applicant's qualifications are examined by the relevant department/program of major interest and by the associate dean for graduate studies in the appropriate school or college to determine whether previous training and ability promise success in work for advanced degrees. 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.

Additional admission requirements are set by certain schools and colleges of the University. These are stated separately in the general announcements of each school or college in this bulletin.

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.

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. Admission as a special student does not guarantee subsequent admission and matriculation with full graduate-student status.

Probationary admission may be granted to a student on approval by the associate dean for graduate studies in the appropriate school and the department of major interest when the applicant's credentials indicate only marginal preparation for graduate work. 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.)

Occasionally, a student without a bachelor's degree is admitted because of demonstrated high academic competence; however, all students taking post-baccalaureate work are considered graduate students. 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.

A person wishing to take a graduate course or courses not leading to a degree may register as a nonmatriculated student.* Subsequent evaluation of such work for inclusion in a graduate program is subject to the limitations on transfer credit stated in the sections "Regulations for the Degree of Doctor of Philosophy: Transfer Credit," and in "Master's Degrees: General Requirements: Transfer Credit."

All full-time students, upon formal acceptance, are required to submit a health certificate filled out by a primary care provider on University forms prior to the start of initial registration.

Registration

Colleges/schools in the University may have slightly different registration procedures. Refer to the Preface in the University of Rochester Course Schedule for particular college deadlines or check the relevant college/school Web site.

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.

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, which is on the quarter system), or a graduate assistant or other student doing work essentially 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 this policy.

* Approval of the associate dean is required for the Eastman School of Music; approval of the director of Ph.D. programs for Ph.D. courses for the School of Nursing. In the Simon School, approval of the associate dean is required for courses other than the basic four core 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 for 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 for 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 of 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.

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 for graduate studies. There is a fee for this. With the approval of the associate dean of graduate studies, the college/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.

Matriculation and Categories of Registration*

Matriculation

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 every semester (every quarter in the Simon School) and paying the required fee until all requirements for the degree are completed. Auditing a course does not fulfill this requirement. Categories of registration are listed below.

Summary of Special Registrations

- 890: master's summer in residence (full time)
- 895: continuation of master's enrollment (x-time)
- 899: master's dissertation (full time)
- 985: leave of absence (x-time)
- 990: doctoral summer in residence (full time)
- 995: continuation of doctoral enrollment (x-time)
- 999: doctoral dissertation (full time)†

Rematriculation

Students who have previously matriculated here and 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;
- (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.

Study in Residence

A student is defined as being *in residence* at the University of Rochester if he or she is registered 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 residence at this University is required for all advanced degrees. (See departmental residence requirements stated in this bulletin).

Students who have been classified as full time during the preceding academic year are classified as full-time graduate students during the summer. Students enrolled for the summer, even though the number of credit hours for which they are registered may be less than that otherwise defined as full time, are also classified as full-time students. 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

In certain circumstances it may be desirable for a matriculated graduate student to engage in full-time study or research for a limited period of time at another university, research organization, or scholarly institution and to register for appropriate graduate credit at the University of Rochester. All such requests must be made in writing and must be approved in advance by the associate dean for graduate studies.

* Change of time status (i.e., full time to part time, or full time to x-time—see the footnote for the section "Leave of Absence" for the definition of x-time) requires approval from the associate dean, except for the Warner School and the School of Nursing.

† Students who are no longer full time (either because they are employed full time or for any other reason) cannot register for "999: doctoral dissertation" for the purpose of deferring student loans.

Leave of Absence (Non-Medical)*

Upon the recommendation of the department, the associate dean for 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.

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 go on a medical leave of absence must petition the student’s school or college. The school or college 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 or college 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. Contemporaneous evidence of both is required.

The school or college will make the decision concerning the 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 or college 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 or college. The school or college 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 or college regarding the appropriateness of allowing the student to return from medical leave of absence. The recommendation will be based on evidence that the condition that required the leave is under sufficient control to allow the student to make a successful return.

The school or college 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 or college 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 Leaves of Absence (Withdrawal)*

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 with psychiatric, psychological, or other medical conditions who pose a threat to themselves or others, or 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 health and 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.

Guidelines: The University may place a student on an involuntary leave of absence or require conditions for continued attendance under the following circumstances when the student exhibits behavior associated with a psychological, psychiatric, or other medical condition that:

1. harms or threatens to harm the health or safety of the student or others;
2. causes or threatens to cause significant property damage; or
3. significantly disrupts the educational and other activities of the University community.

Withdrawal Process: When a student exhibits any of the behaviors described above, the matter may be brought to the attention of the college/school associate dean of graduate studies (or designee). 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 psychological, psychiatric, or other medical condition from the University Counseling Center (UCC), University Health Services (UHS), or from 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

* Leave of absence is an x-time category of registration, which has implications on 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.

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:

1. the student remain enrolled with no conditions;
2. the student remain enrolled subject to conditions (including a description of those conditions); or
3. 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 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.

Process for Return from 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: 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.

Dissertation Enrollment for Students in Residence

A candidate for the doctoral degree who has completed at least 90 semester hours of graduate credit beyond the bachelor's degree (or 60 hours beyond an accepted master's degree, or more if required in the doctoral program), who has completed all requirements for the degree except the dissertation, and who is continuing in residence will register each semester with the approval of the advisor or research director for "999: doctoral dissertation" and will be regarded as a full-time student. Such a student will not be subject to the usual tuition charges, but will pay the designated fee for this registration as well as all required health fees.

Upon written request and with the prior approval of the associate dean for graduate studies, "999" registration may also be elected by eligible candidates not in residence who are entitled to full-time student status.

A candidate for the master's degree who has completed at least 30 semester hours of graduate credit, who has completed all requirements for the degree except writing the dissertation, and who is continuing in residence will register, with the approval of the advisor, for "899: master's dissertation" for the completion of the master's dissertation. Such a student will not be charged tuition but will pay the designated fee for this registration as well as all required health fees.

Dissertation Enrollment for Students Not in Residence

Upon written request and with prior approval of the appropriate associate dean for graduate studies, a student may be granted permission to complete the doctoral dissertation while not in residence as a full-time student, if during such a period the faculty advisor or research director is able to maintain close supervision of the work. A student in this status (x-time) must maintain enrollment as a doctoral degree candidate by registering each semester for "995: continuation of doctoral enrollment" and paying the designated fee for this registration. A student completing a master's degree under these conditions must register for "895: continuation of master's enrollment." All students must maintain continuous enrollment. If enrollment is allowed to lapse, students must pay the appropriate fee for unregistered semesters in order to register the dissertation.

Registration of Dissertation (Ph.D. and Master's)

Ph.D. dissertations are submitted for registration in the office of the appropriate associate dean for graduate studies. After approval by the associate dean, the Ph.D. dissertation is considered registered when it is accepted in the Office of the University Dean of Graduate Studies. Master's dissertations are registered in the office of the appropriate associate dean for graduate studies. Students must pay the appropriate fee for unregistered semesters (or quarters for the Simon School) in order to register the dissertation. Instructions for the preparation of dissertations are available in the Office of the University Dean of Graduate Studies, the Office of the Associate Dean for Graduate Studies, in departmental offices, or on the University's Web site at www.rochester.edu/theses.

Refund of the Current Semester or Quarter Fee

When the final two corrected copies (one for the School of Medicine and Dentistry and the School of Nursing) of the dissertation are turned in, the student is eligible for a refund of the current fee for continuing enrollment according to the following schedule: 75 percent during the first calendar month of the semester or first three weeks of the quarter for the Simon School, 50 percent during the second calendar month of the semester or second three weeks of the quarter, or 25 percent during the third calendar month of the semester or third three weeks of the quarter. The form for refund is available in the Office of the University Dean of Graduate Studies for Ph.D. students, and in the Office of the Associate Dean for Graduate Studies for master's students.

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 for graduate studies in consultation with the student and the program director. Individual colleges 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 the College should refer to the “Policies Governing Use of the Grade of Incomplete in Graduate Courses” in the College section of the Bulletin. 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.

Doctoral students who have registered for a total of at least 90 hours or more beyond the bachelor’s degree, but whose accepted and completed hours are fewer than 90, may register for “999: doctoral dissertation” only with written approval of the appropriate associate dean for graduate studies. (See the School of Nursing Ph.D. handbook for the policy regarding the use of “999.”)

Any student whose enrollment is continued will be considered to be in good academic standing.

Programs of Study†

A *faculty advisor* will generally be named for each student by the end of the first year of study. The advisor assists the student in developing a complete program of study for the anticipated degree. Each program and all subsequent changes must be approved by the student’s advisor and the associate dean for graduate studies. Students who take courses without the approval of the advisor and the associate dean, or without registering for them, may not receive credit toward their degree requirements.

Ph.D. programs, approved by the department chair, program director, or their representative, should be filed with the associate dean for graduate studies no later than two years after initial registration as a matriculated student.

Master’s degree programs must be filed no later than the date specified by the college.

Conferral of Degrees

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

Transcripts

Transcripts of graduate work will be issued *only at the written request* of the student. There is no transcript fee for graduate students in the College. A maximum of 30 transcripts may be ordered. Requests for more than 30 transcripts will be charged \$2.00 per copy. 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.

Withdrawal

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 for graduate studies.

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

* In the School of Nursing a grade of C automatically places a master’s student on probation. Policies regarding student progression rest with the standing faculty committee and the Student Affairs Committee, not the faculty advisor.

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

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.

University Letterhead

When an individual or group uses a University letterhead, or employs the phrase "University of Rochester" in a specially invented letterhead, there is the implication that the communication has the sanction of the University. Such letterheads are

sometimes used inappropriately in letters or other documents to pursue a personal goal or for social or political purposes that are not the direct responsibility of the University. In these cases, such a letterhead should not be used, however worthy the cause and despite the fact that University members may be part or all of the membership of a group.

If there is any doubt about the appropriate use of a University letterhead, the provost or the president should be consulted.

Information Technology Resources

Information technology resources at the University of Rochester are designed to support the missions of the University, notably the creation and dissemination of new knowledge, by protecting the University's resources, reputation, legal position, and ability to conduct its operations. These resources are intended to facilitate activities that are important to the University.

The right to use computing and telecommunications resources can be revoked if misused or abused. Activities and products must be consistent with the University's academic ethics, including guidelines on computer security, prohibition of racial and sexual harassment, academic misconduct, nondiscrimination, confidentiality of records, appropriate use of computing facilities, as well as federal and state computer crimes statutes. Violations include, but are not limited to, commercial activities not approved by the University; using information technology resources to harass or to create, store, or transmit libelous or obscene materials; copyright and licensing infractions; and infringing on rights of personal privacy.

File Sharing

Sharing copyrighted works without the copyright owner's permission is illegal and a violation of University policy. Copyrighted works may include songs, films, television shows, video game and other software, and other original creative works. Copyright holders can find out exactly what files are shared from your computer through peer-to-peer file sharing programs like BitTorrent and Limewire, and many college students have paid thousands of dollars to settle civil suits brought by copyright holders. The Recording Industry Association of America (RIAA) brought lawsuits against over 1,500 individuals in 2006 alone. Students have the responsibility to know the law and University policy on downloading and distributing copyrighted files. Specific information is located at www.rochester.edu/its/security/copyright.html.

Copyright infringement can result in civil and criminal penalties:

- Civil: A copyright holder can sue to recover **either** (1) his actual damages (e.g., lost sales revenue) **or** (2) "statutory damages," which generally can range from \$750 to \$30,000 per work (e.g., song) infringed, and up to \$150,000 per work if the infringement is judged by a court to have been willful. The infringer can also be required to pay the copyright holder's attorney fees in addition to statutory damages.

- Criminal: a person who infringes copyright willfully **either** (1) for financial or commercial gain **or** (2) by reproducing or distributing works, during a 180-day period, with a total retail value of \$1,000 or more, can face fines up to \$100,000 and a prison term of up to one year.

Copyright infringement can result in University action separate from the legal ramifications above. University action may include, but not be limited to, any one or more of the following:

- Termination of user privileges
- Disciplinary Probation
- Community Restitution
- Reconnection Fees
- Suspension or Expulsion from the University of Rochester

Information Technology Policy

All students should review and follow the University's Information Technology Policy, which has important information about the proper use of IT resources, penalties for misuse, and users' privacy. The full policy can be found on the ITS Web site at www.rochester.edu/it/policy/.

Disciplinary Procedures and Guidelines

When students violate the University's rules and regulations, they may be subject to disciplinary action. Any student accused of misconduct will be treated in accordance with standards of fundamental fairness as explained on [pages 32–33](#).

Detailed information on the Student Discipline Guidelines is outlined below as follows:

- The Nature and Objectives of the University
- Basic Rights and Expectations
- The University and the Public Law
- Division of Jurisdiction and Responsibility
- Standards of Conduct
- Judicial Process
- Fundamental Fairness
- Sanctions
- Appeals
- Disciplinary Records
- Academic Misconduct
- Harassment and Discrimination

The Nature and Objectives of the University

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.

Basic Rights and Expectations

Students who choose to attend the University of Rochester should understand that they have certain fundamental rights and that they have committed themselves to adhering to academic and social standards essential to the well-being of the community. Any student charged with misconduct will be treated in accordance with the basic standards of fundamental fairness, which include timely notification of charges, fair and impartial hearings, and the right of appeal.

A significant goal of campus judiciary proceedings is to promote the welfare of the student, making the student aware of community standards, and discouraging the student from engaging in unacceptable behavior. Another significant goal is to protect the University community's collective interests and deter potential offenders.

There are important technical differences between campus and criminal judicial proceedings. Universities, in contrast to the state, do not have fully trained police or investigative units, do not have legal counsel in preparing or presenting cases, and have limited capabilities in comparison with the state to subpoena witnesses or punish them for perjury. It would not be in either the University's or the student's best interest to attempt to incorporate these features in the campus judicial system. Indeed, a formal and adversarial procedure might have the effect of suppressing information that, in the interest of a student's long-term development, is best to bring out.

The University and the Public Law

- A. The University is not a sanctuary from public law and does not promote or condone unlawful behavior. The University cooperates with law enforcement authorities in a manner consistent with its legal duties and the interests of the University community.
- B. Students under prosecution for violation of public law may also be subject to University judicial proceedings, which are independent of those under public law. The University may take prompt action under its own procedures regardless of whether the public officials have disposed of the case or what disposition they make.
- C. Students may be subject to University discipline for allegations of unlawful conduct that occur on University property or that occur off campus if such off-campus conduct is associated with a University activity or raises considerable concerns that the individual or group poses a threat to the safety or welfare of the University community.

Division of Jurisdiction and Responsibility

- A. Authority to discipline students (which the University considers to be any person or group who is or was in attendance during an academic period in which misconduct occurred or between academic periods for continuing students) is vested in the president of the University by the University's bylaws. This authority has been delegated to the judicial officer in the Office of the Dean of Students of the College ("the judicial officer") for all nonacademic discipline involving graduate students with a further delegation to disciplinary hearing teams. These disciplinary hearing teams determine, on the basis of the standards of the University community, whether a given alleged act can be said to have occurred by the preponderance of the evidence and if so, the response which is most likely to uphold community standards and educate the individual who committed the act. As the University official responsible for discipline, the judicial officer receives the recommendation of these groups on behalf of the University, accepts or modifies the recommendation, and formally implements University disciplinary action.
- B. Jurisdiction over cases of academic misconduct involving graduate students has been delegated to individual department hearing panels who, in consultation with the associate dean for graduate studies, make findings and submit recommendations to the University dean of graduate studies.
- C. 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. 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.
- D. Discretionary responsibility for handling extreme cases, where such action is essential for maintaining the orderly processes of the University, is retained by the president or a delegate. The University retains the right to summarily suspend, ban, or otherwise constrain students if they pose a perceived threat to themselves or to the University community, including threats to their own physical or emotional safety and well being, the preservation of University property, or safety and order on University premises. Summary suspension, removal from housing, or other interim restrictions may be imposed before, during, or after a hearing and any appeal process.
- E. Other officers and agents of the University may promulgate rules and regulations applicable to students in particular situations independent of these procedures and guidelines. These officers and agencies shall report serious violations of such rules and regulations to the judicial officer.

Standards of Conduct

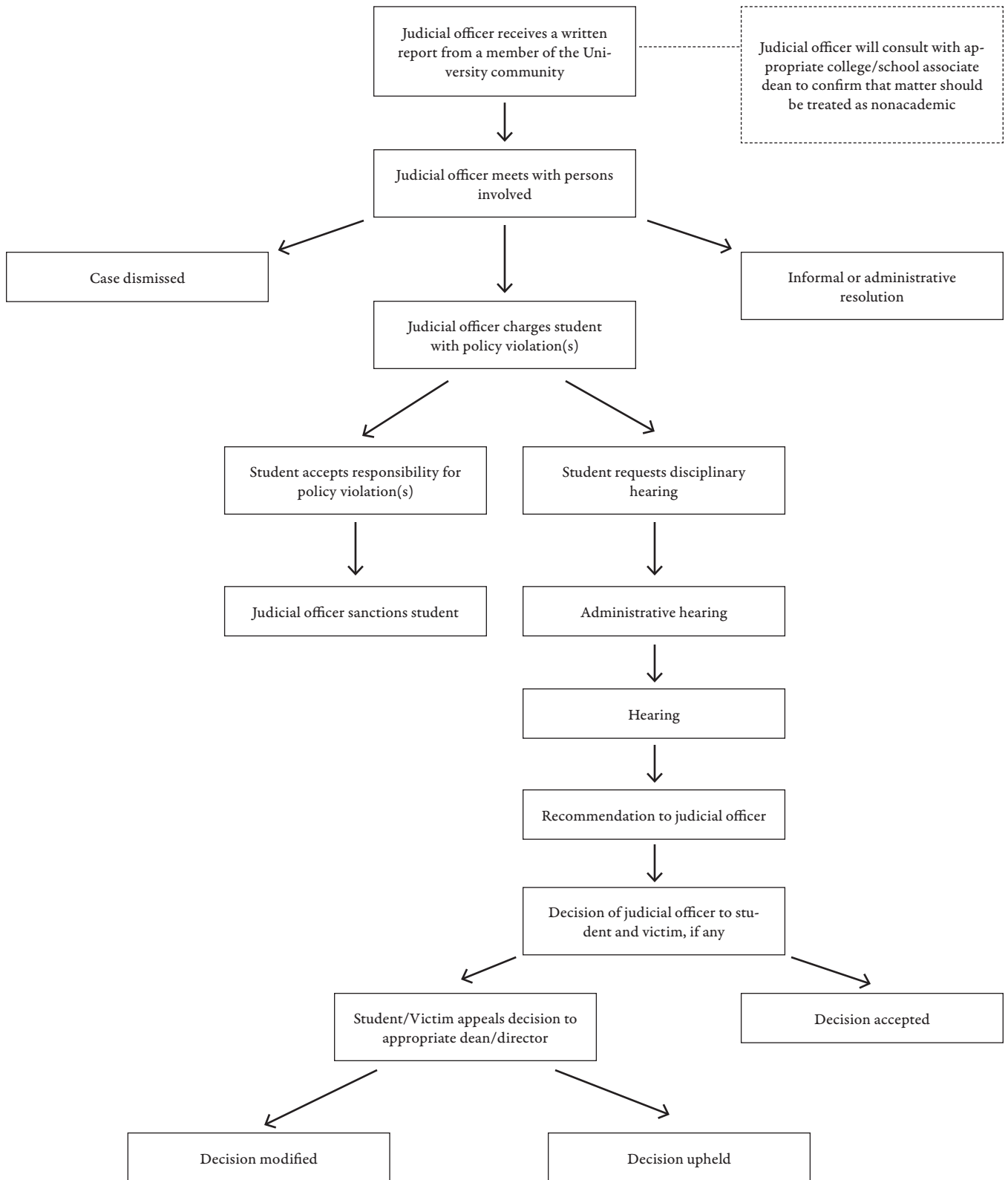
Students are expected to abide by the rules of the University and to conduct themselves in accordance with accepted standards of good citizenship, honesty, and propriety, and with proper regard for the rights of others. Students must also obey federal, state, and local laws as would any good citizen. 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 which 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.

While this list is not intended to be exhaustive, some examples of how students might violate University standards and regulations include

1. fraud, misrepresentation, forgery, falsifying documents, records, or identification cards, fabricating research data, plagiarism, and other scientific and academic misconduct. (See Academic Misconduct below.)
2. unlawful use, manufacture, sale, distribution, or possession of alcohol, drugs, narcotics, or controlled dangerous substances.
3. unlawful or improper possession, distribution, or use of firearms, knives, or other dangerous weapons.
4. disorderly conduct, including fighting, threats, harassment, or other conduct which threatens the health or safety of another.
5. obstruction, disruption, or noncooperation with a disciplinary hearing process, including perjury, and the failure to comply with an imposed sanction.
6. failure to comply with any reasonable request of a University official acting within the scope of his or her duties.
7. theft and/or damage to the property of the University or others.
8. unauthorized use of or entry into property or facilities; obstruction of or dangerous interference with the free flow of traffic on campus; leading or inciting the disruption of normal activities of others on campus.
9. hazing, which may include actions taken or situations created to produce mental or physical harm, discomfort, embarrassment, harassment, or ridicule.
10. sexual harassment, racial harassment, or any other form of illegal discrimination. (See Harassment and Discrimination policies outlined below.)
11. sexual misconduct, including any form of unwanted sexual contact. "Unwanted" means against a person's wishes or without consent, including those instances in which the individual is unable to give consent because of unconsciousness, sleep, impairment, or intoxication due to alcohol or other drugs.
12. any violation of the University's policies, rules, or regulations.

Nonacademic Misconduct



Judicial Process

All complaints against graduate students should be forwarded to the appropriate associate dean for graduate studies within that student's school or college who determines whether the complaint should be treated as an academic or a nonacademic matter. Academic matters will be referred to the appropriate associate dean, as explained on pages 34–36. 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 judicial officer screens cases and is obligated to make judgments on the disposition of disciplinary complaints of a nonacademic nature. The judicial officer has several basic options with any given complaint:

- A. Dismiss the complaint as groundless or trivial.
- B. Decide that the complaint should be handled as an administrative matter.
- C. Direct the complaint to mediation or some other informal means of resolution.
- D. Decide that the complaint contains grounds to reasonably believe that the University's policies, rules, or regulations have been violated and charge the student, on behalf of the University, accordingly.

Normally within 14 days after a student is charged the hearing team will be convened. The accused student will receive notice of the hearing at least 7 days before the hearing. If these time lines cannot be met, the judicial officer will advise the accused (and any other participants who need to know) of the reason and an alternative time line.

The judicial officer will hold an informational session with each of the persons involved in the complaint or named in the report to discuss the charges put forth and the hearing process. The judicial officer may take any reasonable steps to insure an orderly hearing process, including asking other members of the University community, not explicitly named or involved in the official report or complaint, to take part in the judicial process as the judicial officer deems appropriate for the proper and true adjudication of the matter. The judicial officer has full discretion to make appropriate changes, additions, or clarifications to the disciplinary procedures depending on the circumstances.

In cases where the student will have a judicial hearing, the judicial officer will give him or her a copy of the *Regulations and University Policies Concerning Graduate Studies*, which explains the University's judicial process and the student's rights.* The judicial officer will also give the student one day to choose an administrative hearing.

The administrative hearing team normally consists of four (at least three, but no more than six) faculty and/or staff and/or graduate students of the University. The administrative hearing team is selected by the judicial officer (in consultation with the appropriate associate dean for accused graduate students) from a group of approximately 20 faculty, staff, and graduate students from throughout the University who serve as a standing

committee to hear such complaints. Panelists will be selected to provide balance and to ensure that no panelist is a member of either party's academic department or field of interest. Cases of allegations involving sexual assault, sexual harassment, racial harassment, and other illegal discrimination are reviewed by administrative hearing team members who have been specially trained to handle such cases in a sensitive and appropriate manner.

Within the hearing, there are two decisions a team must reach. It must find whether there has been a violation of the University's policies, rules, or procedures and if so, recommend a remedial measure or penalty. The purpose of the hearing team is to learn, to the best of its ability, the truth from all parties to the charge. The hearing team is not to assume the role of either prosecution or defense. The team treats both the accused and those providing testimony against the accused in the same manner.

Fundamental Fairness

Except in extreme cases (where discretionary responsibility has been retained by the president or a delegate), no student shall be expelled or suffer other disciplinary action for nonacademic misconduct unless the judicial officer takes summary disciplinary action (interim sanction pending a hearing) or unless the student has gone through a hearing. However, a student or group may waive any disciplinary hearing after consultation with the judicial officer, who will implement an appropriate sanction.

Fundamental fairness for disciplinary hearings at the University consists of the following standards:

1. All charges must be in writing and presented to the student at the time of notification of the hearing.
2. Charges shall be reasonably specific as to the nature, time, and place of the alleged infraction.
3. The student shall be informed of his or her rights at the time he or she is charged and in his or her preliminary meeting with the judicial officer.
4. The accused shall be afforded one day to decide if he or she wishes to have a hearing.
5. The accused shall be afforded at least seven days' notice of the hearing in writing.
6. Hearings are normally scheduled within 14 business days after the hearing has been selected; however, the judicial officer may extend time lines to accommodate academic calendar or other extenuating circumstances.
7. All hearings are closed.
8. The accused shall have the right to be accompanied by an advisor who may confer with and assist the accused but may not speak for him or her as an advocate. The advisor may be any member of the University community who is not an attorney. Names of recommended advisors who are well informed about disciplinary procedures are available from the Office of the Dean of Students in the College.
9. Both the accused and the judicial officer have the right to request that the hearing be recorded. A recording of the hearing will be available in the event of an appeal, but remains the property of the University.

* For the School of Nursing, consult the *School of Nursing Handbook*.

10. The accused shall have the opportunity to answer accusations and to submit the testimony of material witnesses on his or her own behalf.
11. All evidence and testimony, including the relevant security reports, the text of statements made by the accused prior to his or her hearing and used at the hearing, and any physical evidence shall be presented in the presence of the accused; however, legal rules of evidence shall not apply.
12. Relevant reports, documents, and other evidence may be reviewed by the accused in the Office of the Dean of Students prior to the hearing. Copies of any such material may not, however, leave the office.
13. The accused shall have the opportunity to indirectly question (through the hearing teams) all witnesses. This does not necessarily include the right to confront witnesses in person.
14. The accused and all other participants are expected to cooperate fully in the hearing. However, the accused has the right not to take the oath. In such a case a violation of University policy may nevertheless be found based on the other evidence presented. If the oath is not taken, the accused may ask questions of the witnesses and may summarize the testimony of the witnesses, but may not describe the incident.
15. The hearing team shall determine by a majority vote whether it is more likely than not (i.e., by a preponderance of the evidence) that the accused violated a University policy, rule, or regulation.
16. The findings and recommendations of the hearing team will be forwarded to the judicial officer. In the event the judicial officer does not accept the findings or recommendation of a hearing team, he or she may request further consultation and review by the hearing team or may make a different finding or recommendation if warranted by the evidence presented at the hearing. The judicial officer will notify the accused in writing of the hearing team's findings/recommendations and of his or her decision and sanctions, if any.
17. The accused has the right to appeal a final decision in a nonacademic case to the appropriate dean/director and in an academic case to the provost.
18. The judicial officer has discretion to modify, expand, or clarify these standards and any other aspect of the disciplinary process, depending on the circumstances.

Victim's Rights

In all cases, charges are brought by the University against a student accused of an offense; in many cases, the University is in fact the only identifiable "victim" of an alleged offense. However, there are cases in which there is an identifiable "victim" other than the University. When the judicial officer determines that a victim can be identified, the victim is entitled to the following:

1. He or she may be present to hear all testimony, indirectly question witnesses (through the hearing team), and may be accompanied by an advisor who may confer with and assist the victim but may not speak for him or her as an advocate. The advisor may be any member of the University community who is not an attorney.

2. He or she is entitled to learn the final outcome of the case.
3. He or she will be given an opportunity to make a victim impact statement, which will become part of the case record to be reviewed by the judicial officer in any decision/sanction and by any dean or director considering an appeal.
4. He or she may request separate hearing rooms (connected electronically) in order to allow full participation of the parties while at the same time avoiding undue embarrassment or intimidation.

Sanctions

Maintenance of community standards is an important component of the judicial process. A major goal of the disciplinary process in particular and the University in general is to teach why something is wrong as well as to prevent its repetition. This goal is often difficult to carry out, but an effort is made to impose a penalty that will best educate the student or group involved. One or more of the following sanctions (or any combination) may be implemented when students or groups have been found in violation of University regulations. The following list is not exhaustive and other sanctions may be imposed at the discretion of the judicial officer.

1. *Community Restitution*, which may require individuals or groups to write a letter of apology, participate in a designated service project, or give an identified community (on or off campus) a number of service hours to be completed within a specified time period.
2. *Counseling Intervention*, which may be recommended, and in some cases required, when behavior indicates that the counseling may be beneficial to the student. Specific circumstances will determine an appropriate mental health service referral, which may include drug, alcohol, and other educational workshops.
3. *Financial Restitution*, which may require individuals or groups to restore or replace within a specified time, property which has been damaged, defaced, lost, or stolen.
4. *Revocation or Restriction of Privileges* for the use of designated University facilities or programs.
5. *Disciplinary Warning*, including an official letter of reprimand to the student stating that his or her behavior is in violation of University policy and may not recur.
6. *Disciplinary Probation*, which normally consists of an official notice that further violation of University policy will result in serious consideration being given that the individual or group not be permitted to continue as a student or group at the University of Rochester. This is a serious warning which serves as a check on the student's or group's future behavior. Once a student or group is on probation, any further disciplinary action will be more severe. Probation is given for a period of time and can limit the activities or privileges of a student or group if specified.
7. *Suspension from University Housing*, which involves revocation of the privilege of living in University housing for a certain period of time. Students or groups who have their housing contracts or leases terminated for disciplinary reasons are not entitled to a reimbursement.

8. *Suspension*, which generally involves the revocation of the privilege of attending the University and using its facilities for a certain period of time. Conditions for re-entry may be specified.
9. *Expulsion*, which means the student is permanently separated from the University. He or she may not apply for readmission to any program.

Appeals

Grounds for Appeal

An appeal is intended to provide an opportunity to consider any previously overlooked, exceptional, or unfair circumstances pertinent to the case. It is not intended to be a rehearing of the events presented at the original disciplinary hearing. The only grounds on which an appeal can be made are

1. to review the punishment in order to determine whether it was appropriate;
2. to consider information sufficient to alter the decision that was not available at the time of the disciplinary hearing; or
3. to determine whether errors substantive enough to affect the decision were made during the hearing.

Process of Appeal

An appeal must be made in writing to the appropriate dean/director (for nonacademic cases) or to the provost (for academic cases) within seven days of the date of the letter officially stating the original disciplinary decision. The letter must state the grounds on which an appeal is made and what the appellant believes supports an appeal on those grounds. The dean/director or provost may review material from the original hearing before considering an appeal. The dean/director or provost may consult with anyone he or she feels is pertinent to, or would be helpful in determining, the appeal.

Effect of Appeal

The student appealing will receive a written decision from the dean/director or provost. On appeals, the dean/director or provost may modify the decision. At the discretion of the dean/director or provost and upon the recommendation of the judicial officer, where appropriate, all or some of the sanctions may be suspended pending the final decision.

Disciplinary Records

Student records, including files from disciplinary cases maintained by the University, are treated with appropriate confidentiality, in accordance with the University policy on student records and relevant legal standards. Academic transcripts issued during periods of suspension or expulsion will be accompanied by a letter from the registrar indicating that the student is currently suspended or expelled from the University for disciplinary reasons. At the discretion of the University, other disciplinary sanctions may also be included in a letter from the registrar to accompany an official transcript. Officers of the University who have knowledge of disciplinary action may on occasion be asked to respond to inquiries regarding

the student's involvement in disciplinary action. In accordance with the confidentiality of such records, the University officer may only reveal such information with the authorization of the student, except when required by law or when the University officer perceives a significant risk to the safety or well-being of that student or others. Disciplinary files are normally destroyed five years after the student's graduation or other separation from the University. However, certain University officials may retain indefinitely a record of offenses and final dispositions (without the names of the participants) to provide a precedent to assist the adjudication of future cases.

Academic 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 for graduate studies.

A common form of academic dishonesty is plagiarism. 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 you could not or did not arrive at on your own. Sources must be given regardless of whether the material is quoted directly or paraphrased. Another form of plagiarism is the 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.

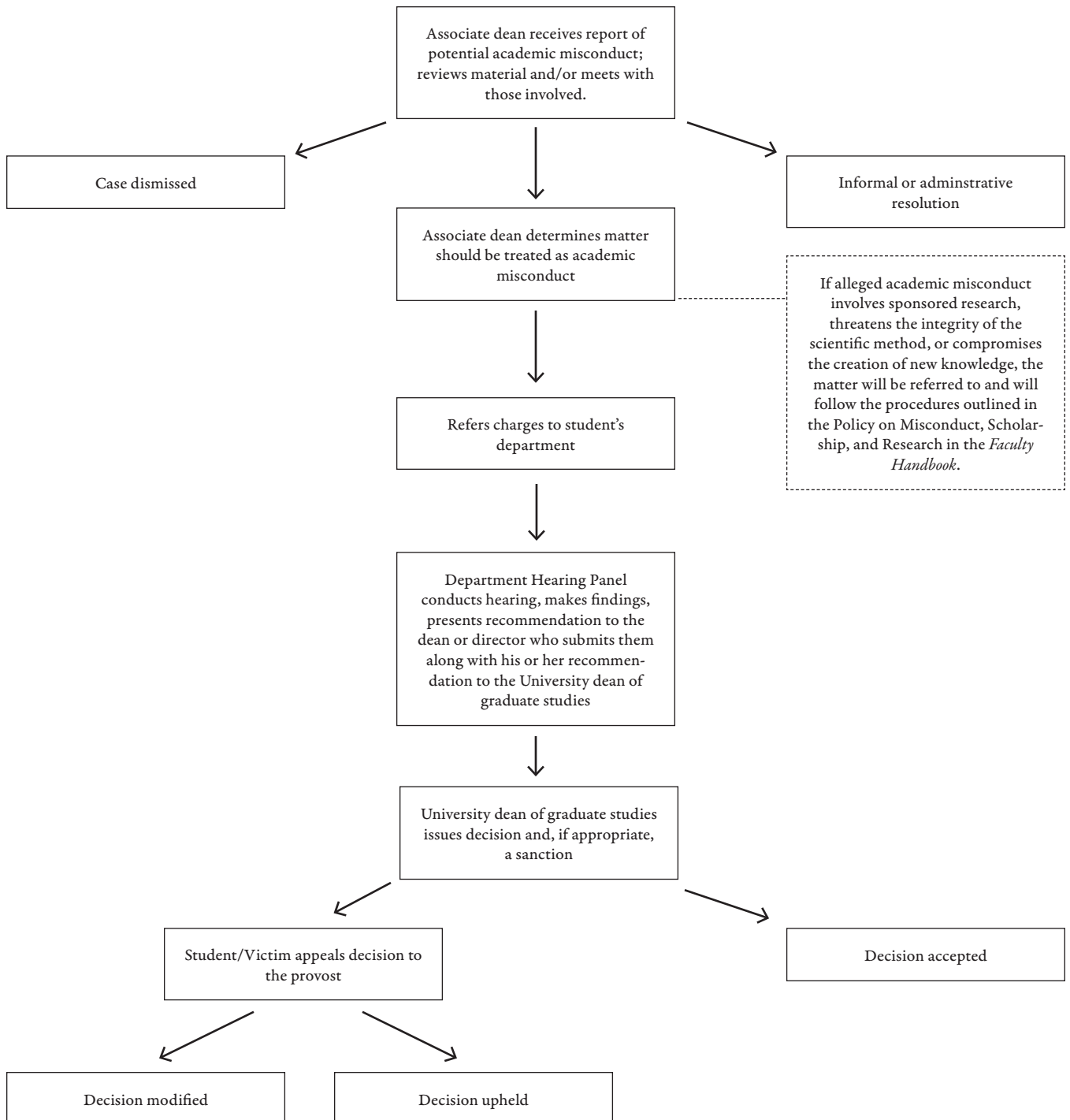
A second example of academic dishonesty relates to misuse of library materials. Any act that maliciously hinders the use of or access to library materials is academically dishonest and falls under the terms of this policy. The removal of pages from books or journals disadvantages others in the academic community. Similarly, the removal of books from the libraries without formally checking out the items, the intentional hiding of materials, or the refusal to return reserve readings to the library is dishonest and harmful to the community.

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 knowingly falsify data or data analysis results or assist someone else in an act of academic dishonesty.

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 or the degree is granted. This rule applies to students who are no longer matriculated at the University of Rochester, including those who have graduated.

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

Academic Misconduct



Judicial Process for Academic Misconduct

As indicated in the diagram on page 35, charges of academic misconduct are referred to the student's department by the associate dean. In a school or college without departments, these matters will be handled by the school or college. Each department, interdisciplinary program, or college will have a written policy on file with the associate dean to deal with these matters and a designated group called the Department Hearing Panel (Committee on Academic Integrity at Eastman) to hear the charge. The department may utilize one of several mechanisms for hearing charges of academic misconduct. These may include a 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 by the department chair specifically for the purpose of hearing the academic misconduct charge. A department's written policy may also call for graduate student representation on the panel.

The Department Hearing Panel, in consultation with the associate dean and in accordance with the standards set forth in the section Fundamental Fairness above (to the extent appropriate to the circumstances—with the associate dean functioning as the "judicial officer" and the Department Hearing Panel as the "hearing team") conducts a hearing, makes findings, and presents a recommendation to the appropriate dean or director. The dean or director then reviews the findings and recommendation, and submits them along with his or her recommendation to the University dean of graduate studies, who issues the final decision and sanction. An appeal may be made to the provost within seven days of the decision and will follow, to the extent feasible, the procedures set forth in the section Appeals above.

If either the department chair or the associate dean believes that the alleged misconduct in any way involves sponsored research (including federal training grants), threatens the integrity of the scientific method, or compromises the creation of new knowledge (including original art, scholarship, and research), the matter will be referred to and will follow the procedures outlined in the Policy on Misconduct in Scholarship and Research in the *Faculty Handbook*.

Harassment and Discrimination

The success of the University of Rochester depends on an environment that fosters vigorous thought and intellectual creativity. It requires an atmosphere in which diverse ideas can be expressed and discussed. The University of Rochester seeks to provide a setting that respects the contributions of all the individuals composing its community, that encourages intellectual and personal development, and that promotes the free exchange of information and ideas.

To help establish and perpetuate an inclusive and open environment, all members of the University community shall adhere to and advance the University's Equal Opportunity Statement:

The University of Rochester values diversity and is committed to equal opportunity for all persons regardless of age, color, disability, ethnicity, marital status, national origin, race, religion, sex, sexual orientation or veteran status, or any other status protected by law. Further, the University complies with all applicable nondiscrimination laws in the administration of its policies, programs, and activities.

(Questions on compliance with the Equal Opportunity Statement should be directed to the particular school or department and/or to the University's Equal Opportunity Coordinator, University of Rochester, P.O. Box 270039, Rochester, NY 14627-0039. Phone: (585) 275-9125.)—See HR Policy 100

Any behavior, including verbal or physical conduct, that constitutes discrimination against or harassment of any member or guest of the University community in any form is prohibited.

Retaliation in any form against a person because he or she complained about an act of discrimination or harassment is prohibited.

The University's full policy on Discrimination and Harassment can be found in the Human Resources Policies and Procedures, # 106, available on the Web at www.rochester.edu/working/hr/policies/ or in hard copy from the Office of Human Resources. The policy, which applies to all faculty, staff, and students, also describes the procedures available to address complaints of harassment and discrimination.

Sexual Assault

The University has established procedures to insure that consistent supportive care is available to victims of rape and sexual assault victims. Numerous resources are available, including the 24-hour sexual assault hotline (275-7273), University Security (275-3333, x13 for emergencies), University Counseling Center (275-3113), University Health Service (275-2662), and the intercessor for sexual harassment (275-9125). The Office of the Dean of Students (275-4085) is responsible for handling campus judicial procedures dealing with the adjudication of incidents involving sexual assault and sexual harassment. (See "UR Here" available from the Office of the Dean of Students.)

Graduate Degrees

Doctoral Degrees

The University offers the degrees of Doctor of Education, Doctor of Medicine, Doctor of Musical Arts, Doctor of Nursing Practice, and Doctor of Philosophy.

The requirements for the degree of Doctor of Philosophy are described in the sections which follow. Requirements for the degree of Doctor of Education can be obtained from the Margaret Warner Graduate School of Education and Human Development (see www.rochester.edu/warner); for the degree of Doctor of Medicine, the School of Medicine and Dentistry, see www.urmc.rochester.edu/smd; for the degree of Doctor of Musical Arts, the Eastman School of Music, see www.esm.rochester.edu; and for the degree Doctor of Nursing Practice, the School of Nursing, see www.son.rochester.edu.

Doctor of Philosophy Degree

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

The amount of background knowledge and degree of technical skill required for entrance into programs leading to the degree of Doctor of Philosophy vary greatly, both with the subject of specialization and with the objectives of the candidate. Because of this variation, there are very few requirements for the degree applicable to candidates in all departments. Each candidate is personally responsible for satisfying not only these general requirements but also any specific requirements imposed by the candidate's department or division of the University.

Joint or Interdisciplinary Doctor of Philosophy Degrees

Departments/programs authorized to offer work leading to the Ph.D. degree also may cooperate to offer work toward the degree on an interdepartmental basis. Joint work is supervised by an ad hoc committee for a single student (one member of the ad hoc committee must be from outside the two programs of study). Each ad hoc committee is appointed by the University dean of graduate studies upon nomination by the Graduate Committee of the college or colleges in which the departments/programs are located. A proposal outlining how degree requirements will be fulfilled 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.

For a continuing formalized interdisciplinary program (i.e., Visual and Cultural Studies, Neuroscience), a standing committee acts as a "department" and supervises the program requirements for its students.

Administration of Work for the Degree Doctor of Philosophy

Each school and college of the University has a Committee on Graduate Studies 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 or college with respect to requirements and training for the Ph.D., and advising the associate dean for graduate studies about the work toward the Ph.D. degree.

In addition to the Graduate Committee of each school and college, there is a University Council on Graduate Studies composed of representatives of departments and programs in the University authorized to offer the Ph.D. degree, the dean and the associate dean for graduate studies of each school or college, the director of Research and Project Administration (ex officio and without vote), the provost of the University, and the University dean of graduate studies, who serves as chair.

The principal functions of the council are

1. 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 avail itself of the services of scholars from other universities who may be appointed for short terms as "visitors."
2. to decide on the basis of quality considerations which departments shall be authorized to give work towards the Ph.D. degree, and to authorize or restrict, as necessary, the different Ph.D. programs within a department.
3. upon nominations by the faculties or other authorized agencies in the several schools and colleges, 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 and associate dean for graduate studies of each college, advises the council in the performance of its functions.

The University dean of graduate studies presides at meetings of the council and the Steering Committee; is the University spokesperson in matters of graduate studies; serves ex officio as a member of the committee established in any college for the conduct of the M.A., the M.S., or the Ph.D. degree; and appoints (upon the advice of each associate dean for graduate studies) all committees for the final oral examination for the Ph.D. degree. The University dean of graduate studies, or a representative of the University dean, presides at all such examinations as chair.

Regulations for the Degree Doctor of Philosophy

Admission

Admission to graduate studies in any department/program must be recommended by the chair of that department, program director, or a designated representative and approved by the associate dean for graduate studies. 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.

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 reflects the completion of a separate Doctor of Philosophy or other appropriate advanced graduate degree. Faculty members of the rank of instructor and 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. Such permission does not constitute a waiver of the rule stated in the first sentence of this paragraph.

Transfer Credit*

Of the University's minimum required 90 credit hours for the Doctor of Philosophy degree, no more than 30 credit hours may be accepted as transfer credit for work previously taken at the University of Rochester or at another university. All transfer hours, whether taken at the University of Rochester or at another university, must be approved by the associate dean of graduate studies.

Work taken prior to matriculation in a graduate degree program is classified as *possible* transfer work. Up to the 30-credit-hour limit 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 for graduate studies.

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 for graduate studies.

Full-Time Residence

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

Students who register for at least 12 hours of credit for a semester, and graduate assistants and other students doing work essentially equivalent to that of an assistant who register for at least 9 hours of credit for a semester, are full-time students in graduate studies, as are advanced students registered for "999: doctoral dissertation." Students, who during the academic year have been full-time graduate students as defined above, are classified as full-time during the summer. Students enrolled for the summer, even though the number of credit hours for which they are registered may be less than that otherwise defined as full time, are also classified as full time. Students in residence but not registered for summer credit may register for "990: doctoral summer in residence."

A minimum of one year (two consecutive semesters, excluding summers) in residence and enrollment as a full-time

student is required.† 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.

At least 90 credit hours of study beyond the bachelor's degree or 60 hours beyond an acceptable master's degree are required. The associate dean for 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 (see preceding section on *Transfer Credit*).

A doctoral student who has completed at least 90 credit hours of graduate credit beyond the bachelor's degree, or at least 60 hours beyond an accepted master's degree, or more if required in their doctoral program, will be considered to have fulfilled the credit-hour requirements for the Doctor of Philosophy degree as stated above. Such a student may continue in residence as a doctoral candidate and hold a graduate student appointment with the approval of the associate dean without being required to register for a full-time program of study. If additional work for graduate credit is necessary to complete the program, the student must register formally, and tuition and fees will be charged. If, however, all work except writing the dissertation is completed, the student will register, with the advisor's approval, for "999: doctoral dissertation," and will not be subject to the usual tuition charges, but will be charged the designated fee for this registration as well as all required health fees. Upon written request and with the prior approval of the associate dean for graduate studies, "999" registration may be elected by eligible candidates not in residence who are entitled to full-time student status.

Ordinarily, research in preparation for the dissertation must be completed while the student is in full-time residence at the University of Rochester. Occasions may arise that demand this research be performed and the dissertation be written elsewhere. Such occasions may arise, for example, from the availability of source material and consultation with authorities in the field of interest. Permission to do work for credit in absentia must be obtained in advance from the associate dean for graduate studies after recommendation by the student's department/program. Permission also may be granted to complete the dissertation while not in residence as a full-time student if the appropriate conditions are met and the student registers for "995: continuation of doctoral enrollment."

Part-Time Residence

In certain cases a department may decide that it is not feasible for a student to pursue all of the work for the Ph.D. degree on a full-time basis and may recommend a special Ph.D. program in which some of the work is on a part-time basis. The setting up of such a special plan of study is at the option of the department/program, subject to the approval of the Committee on Graduate Studies of that college. (In the School of Nursing, part-time admission and program plans are approved by the Ph.D. program director.) If the plan is approved, the department/program may recommend the admission of students to work toward the Ph.D. degree under this plan, subject to the following restrictions: (1)

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

† Doctoral Dissertation ("999") may not be used to fulfill the one-year residency requirement.

under no conditions will the requirement 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 this special program.

Time Limit*

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

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 Ph.D. 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 for graduate studies. Each student should consult with his or her advisor concerning language requirements.

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

Program of Study†

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:

1. a list of those courses for which the student must receive graduate credit. Other courses deemed to be desirable but not essential need not be listed.
2. the specific foreign language(s), if any, in which the student must show competence (see section above).
3. the dissertation title if possible, but otherwise the area of study in which the dissertation is expected to be written, and the 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 for approval. The program, approved by the associate dean (in the School of Nursing, the

Ph.D. program director), will constitute the formal requirements which will be met by the student before completion of work for the degree.

Changes in the program are made by the same procedure as for new programs.

Qualifying Examination

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. A second qualifying examination after failure, if permitted, may be taken after a period of five calendar months. 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 (in the College, approval from the dean of graduate studies is sufficient; in the School of Nursing, a third examination will not be given).

Admission to Candidacy

When the associate dean of a school or college 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 Ph.D. degree. Upon request, the University dean of graduate studies may issue a certificate attesting to this fact.

Dissertation Advisory Committee

At an appropriate time, ordinarily no later than when a student has been admitted to candidacy, the department chair/program director must approve an advisory committee for the dissertation typically consisting of at least the following persons of assistant professor rank or higher: the faculty advisor or research director (who shall be a full-time member of the University faculty), at least one other full-time faculty member from the student's department/interdisciplinary program, and a full-time faculty member from another department or academic unit. The composition of the dissertation advisory committee should be reported to the associate dean.

* All registration categories, including "985: Leave of Absence," count towards the time limit.

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

‡ Seven months in the College: Arts and Sciences

Upon recommendation of the faculty of the student's department/program and the associate dean of the college 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.

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 serve on the final oral examination committee.

Dissertation*

A dissertation is required of each candidate for the degree Doctor of Philosophy. The dissertation must be an original critical or synthetic treatment of a fitting subject, an original contribution to creative art, or a report on independent research formulated in a manner worthy of publication.

Ordinarily, the dissertation is written in residence. However, this rule will not be interpreted to forbid the completion of the dissertation while the student is not in residence if during such a period the research director is able to maintain close supervision over the work. Such arrangements, which must have the associate dean's approval before they are undertaken, do not exempt the student from the responsibility of paying two full years of tuition beyond the time that he or she receives the master's degree or three full years beyond the bachelor's degree.

If a candidate for the degree Doctor of Philosophy has collaborated with others in carrying on the research upon which the dissertation is based, the character and extent of the candidate's own participation in the project must be stated clearly in a foreword to the dissertation.

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 for graduate studies.

The dissertation must be approved by the research supervisor before the candidate may take the final oral examination.

Final Oral Examination Committee

The dissertation advisor or supervisor is a member of the final oral examination committee and must be present for the examination.

The committee for the final examination for the Doctor of Philosophy degree is appointed by the University dean of graduate studies on the advice of the appropriate associate dean for graduate studies. The committee shall consist of at least two current full-time faculty members of the rank of assistant professor or higher who hold their primary appointment in the candidate's major department and one current full-time faculty member, assistant professor or higher, with a primary appointment in a department other than the candidate's major department (usually referred to as the outside reader).† Some departments require the appointment of an additional faculty member to the committee; check with the appropriate associate dean's office. The holder of a *secondary appointment* in the candidate's major department may serve as the outside member, provided that his or her *primary appointment* is in another department.

For authorized interdisciplinary programs (Neuroscience, Visual and Cultural Studies, etc.), the committee shall consist of at least two current full-time faculty members of the rank of assistant professor or higher from the defined list of core faculty for the program, and one current full-time faculty member, assistant professor or higher, who is not a member of the program core faculty. Some programs require the appointment of an additional faculty member to the committee; check with the appropriate associate dean's office. A committee made up of faculty members whose primary appointments are all in the same department will not be permitted.

The University dean of graduate studies may appoint no more than one guest member, with vote, to any Ph.D. final examination when requested by the program director or chair of the department concerned. Such guest members shall be recognized experts in the field of the dissertation, but not necessarily members of a university faculty. A guest 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*. The guest member may either replace or be in addition to the usual outside reader. A request to the University dean of graduate studies must include a curriculum vitae and must first be approved by the associate dean of graduate studies in the relevant college before being forwarded to the University dean of graduate studies.

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

In addition to the members of the examining committee, other persons may attend the closed portion of Ph.D. final examinations with the approval of the University dean of graduate studies. Such visitors shall not participate in the questioning and must leave before the committee votes.

* "The Preparation of Doctoral Theses: A Manual for Graduate Students" must be followed to prepare the dissertation. Copies are available from the University dean's office, associate deans' offices, departmental offices, or the University's Web site: www.rochester.edu/theses.

† If the dissertation advisor holds his/her primary appointment in a department other than the candidate's major department, the dissertation advisor cannot also serve on the committee as the required outside reader.

Registering the Ph.D. Dissertation for the Final Oral Examination

It is the responsibility of the candidate to submit the completed dissertation in FINAL FORM* to the Office of the Associate Dean for Graduate Studies in the appropriate college by his or her deadline, together with the required paperwork including the appointment form which states the departmental recommendation for members of the examining committee, and the date, time, and place of the examination. The dissertation will not be accepted for registration if the candidate is not registered for the current semester/quarter. The dissertation will not be accepted for registration until the mandatory Thesis Archive fee is paid to the bursar and the ProQuest/UMI Dissertation Publishing forms are filled out and signed.

It is the responsibility of the candidate to distribute copies of the dissertation to members of the committee appointed to conduct the final oral examination before or at the same time the dissertation is registered or the examination will be canceled. Once the dissertation has been registered and copies distributed to committee members, no further changes can be made until after the final oral examination or the examination will be canceled.

The dissertation must be submitted to the Office of the Associate Dean for Graduate Studies in the appropriate college in sufficient time for it to be processed and then delivered to 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.

If approved by the associate dean of graduate studies, the dissertation must then arrive in the Office of the University Dean of Graduate Studies a *MINIMUM OF 15 FULL WORKING DAYS* prior to the scheduled final oral examination.† Note that the deadline of 15 full working days is for registration of the dissertation in the Office of the University Dean of Graduate Studies. Prior to that, the dissertation must be approved by the department and the appropriate college associate dean of graduate studies. Therefore, the department and/or college deadline may include days in addition to the University dean of graduate studies' deadline. It is the student's responsibility to plan accordingly. The student should check with his/her department and with the Office of the Associate Dean for Graduate Studies for established deadlines. See the section below (*Final Oral Examination*) for additional information.

Final Oral Examination

A 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 (seven months in the College: Arts and Sciences).

The final oral examination for the degree Doctor of Philosophy cannot be held until *AT LEAST 15 FULL WORKING DAYS* have elapsed after the dissertation has been registered in the Office of the University Dean of Graduate Studies.†

No final examination for the degree Doctor of Philosophy can be held during certain specific periods listed in the Ph.D. calendar established by the Office of the University Dean of Graduate Studies. Final oral examinations for the Ph.D. degree

may be scheduled by the normal procedure during the summer according to the Ph.D. calendar. Examinations are permitted only in very special circumstances and by approval of the University dean of graduate studies during nonexamination (blackout) periods.

The final oral examination for the Doctor of Philosophy degree must be taken at this University. A candidate may proceed with the final oral examination only after receiving written permission of the advisor of the dissertation.

The final oral examination will include the subject covered by the dissertation and the special field in which the dissertation is written, with particular attention to the more recent and significant developments in that field. The purpose of the final oral examination 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 Ph.D. degree. Everything else is a preliminary for this presentation. Courses are intended to prepare the student for work on the dissertation, and the qualifying examination is intended to ascertain whether or not the preparation is adequate. In a sense then, the final oral examination results not only in an explicit judgment of 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 and provided such repeat examination is held in such a way as to conform with regulations for the initial examination.

Following successful completion of the final oral examination and any additional minor revisions, two permanent paper copies (one for the School of Medicine and Dentistry and the School of Nursing) of the corrected dissertation, unbound and without perforations are to be presented to the Office of the University Dean of Graduate Studies for permanent deposit in the University library system. (Candidates in the School of Medicine and Dentistry are to present their dissertations to the office of their associate dean for graduate studies.) The candidate should prepare a copy for personal use and such other copies as may be required by the department in which the work was done.

* Final Form: All typographical, spelling, and grammar errors must be corrected before the dissertation is submitted for registration. A final "draft" (which includes numerous errors to be corrected after the defense) is not acceptable.

† The University dean of graduate studies' deadline of 15 full working days may be increased to 20 full working days during the summer Ph.D. final oral examination period.

In addition to the final paper copies, all Ph.D. students are also required to submit one complete copy of their dissertation in digital/electronic format along with a completed authorization form for UR Research (the University's digital research repository). Further instructions along with the authorization form will be given to each student at his or her final oral examination.

The dissertation need not be published, but the dissertation will not be approved if it is subject to governmental or other restrictions which limit freedom of publication. If published in full or in part, or if the substance of a dissertation is published, a statement that the publication is based upon the dissertation must be included in the publication.

Master of Arts and Master of Science Degrees

The master's degree is awarded in arts, science, music, engineering, nursing, business administration, accountancy, and education. The administration of work for the master's degrees is vested in the associate dean for graduate studies and the Committee on Graduate Studies in each school or college. The University dean of graduate studies is authorized to appoint a committee to review the M.A. or M.S. program in any department of the University at appropriate intervals, but at least once every 10 years.

Two plans of study are available to students working for these master's 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 for graduate studies.

General Requirements for the Degree

The requirements for some Master of Arts and Master of Science degrees can be fulfilled in one academic year (two semesters) wholly devoted to advanced study. In other cases, one and one-half or two years of study may be required to complete requirements. Students whose preparation is deficient upon admission will find it necessary to devote proportionately more time to completing their master's programs.

A minimum of 30 semester hours of correlated work of graduate character is required, at least 12 of which must be at the 400 level or higher, 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 for graduate studies.

Maximum Time*

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 for 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.

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 for an extension of time. Such extension, if granted, will be of limited duration.

Part-Time Study

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

Program of Study†

Each full-time master's student must submit a proposed program of study to the associate dean for 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 or college. 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 in residence at the University of Rochester as a matriculated student in a graduate degree program. Ordinarily, no course completed before the candidate has received the bachelor's degree may be included in the graduate program.

Transfer Credit†

Of the University's minimum required credits for the master's degree, no more than 10 credit hours may be accepted as transfer credit for work previously taken at the University of Rochester or another university. All transfer credit, whether taken at the University of Rochester or at another university, must be approved by the associate dean for graduate studies.

Work taken prior to matriculation in a graduate degree program is classified as *possible* transfer work. Up to the 10-credit-hour limit for transfer 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 for graduate studies.

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 for graduate studies.

* All categories including "Leave of Absence" count towards the time limit.

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

Credit for Reading Courses

The amount of graduate credit allowed for independent study and single-student reading courses may not exceed a total of six hours, except with the special permission of the associate dean for graduate studies obtained *before* such additional courses are begun. Students registering for a reading or independent study course must submit at the time of registration a brief description of the subject to be covered. This description must be signed by the instructor conducting the course and filed in the Office of the Associate Dean prior to registration.

Requirements for the Degree under Plan A

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

Dissertation

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 for graduate studies, the credit for dissertation research may exceed 12 hours.

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.

"The Preparation of Doctoral Theses: A Manual for Graduate Studies" is also used to prepare master's dissertations. Copies of the booklet are available from the Office of the Associate Dean for Graduate Studies or on the University's Web site: www.rochester.edu/theses.

Registration

The dissertation must be registered with the Office of the Associate Dean for 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 for graduate studies.

Number of Copies

If the dissertation is accepted by the student's examining committee, two permanent unbound copies (one for the School of Medicine and Dentistry and the School of Nursing) must be presented to the Office of the Associate Dean for Graduate Studies for deposit in the University library system. The candidate should prepare such other copies as may be required by the department in which the work is done.

Final Oral Examination

Each candidate must pass a final oral examination before a committee of at least three members of the faculty appointed by the associate dean for 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 may be designated by the department/program or college 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 College.

Requirements for the Degree under Plan B

In most departments/programs Plan B requires a comprehensive examination in lieu of a master's dissertation, but credit up to a maximum of four hours may be given for writing a master's essay.

Program of Study*

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 college Committee on Graduate Studies, and at least 12 of the 18 hours in the approved program must be in courses numbered 400 or over. Individual colleges 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 for 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, but must be approved by one additional member designated by the chair of the department or by the program director for interdisciplinary programs.

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

Comprehensive Examination

Most departments/programs require a general examination on the field of specialization. It is conducted by at least two faculty members.

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

Other Master's Degrees

The University of Rochester offers other master's degrees as follows:

1. 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.
2. Master of Music through the Eastman School of Music. See www.esm.rochester.edu.
3. 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.