

UNIVERSITY OF ROCHESTER

REGULATIONS AND  
UNIVERSITY POLICIES  
CONCERNING GRADUATE STUDIES

*Updated August 2024*

# Regulations and University Policies Concerning Graduate Study

## Graduate Degrees Offered at the University

The University offers the Doctor of Philosophy degree (PhD) and administers the award of this degree centrally in the Office of the University Dean of Graduate Education. The University also offers the degrees Doctor of Education, Doctor of Medicine, Doctor of Musical Arts, and Doctor of Nursing Practice, which are administered by the respective schools. Requirements for them can be obtained from the respective school that grants the degree: the Margaret Warner Graduate School of Education and Human Development for the degree Doctor of Education (EdD); the School of Medicine and Dentistry for the degree Doctor of Medicine; Eastman School of Music for the degree Doctor of Musical Arts, and the School of Nursing for the degree Doctor of Nursing Practice.

The master's degree is offered in arts, sciences, music, engineering, nursing, business administration, accountancy, and education. Information on master's degrees other than MA and MS can be found as follows: for the Master of Business Administration and Master of Science in Accountancy through the William E. Simon Graduate School of Business Administration. For the Master of Music through the Eastman School of Music, for the Master of Public Health through the Department of Community and Preventive Medicine in the School of Medicine and Dentistry.

## Administration of Graduate Education

As authorized by the Board of Trustees in a Charter for Administration of Graduate Education, the provost assigns responsibility for the administration of all postbaccalaureate work within each school to the dean of that school, who may delegate it to an associate dean of graduate education or to another appropriate official. (In these Regulations, the term "associate dean" is used to refer to the official overseeing graduate education in a school, regardless of title.) Policies for graduate work within each school are determined by the respective faculties and their administrative officers in accordance with the provisions in these Regulations.

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

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

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

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

## University Policies for All Graduate Programs

### Admission

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

An applicant's qualifications are examined by the relevant department/program of major interest and by the associate dean of graduate education in the appropriate school to determine whether previous training and ability promise success in work for advanced degrees. Individual departments, with the approval of their associate deans for graduate education, may limit the number of graduate students to be admitted, determine the credit hours of prerequisite study, stipulate language requirements, or set other special admission requirements.

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

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

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

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

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

All full-time and part-time students taking 6 or more credit hours need to comply with University and New York State immunization requirements. Please see the University Health Service website for specific requirements, health history form, and immunization requirement link.

### **Rescinding an Offer \*New Policy August 2024\***

The University of Rochester reserves the right to rescind an offer of admission, even after an applicant accepts but prior to attending the University, under certain circumstances, including:

- New information comes to light that might have resulted in a different decision at the time of review, including with

respect to satisfactory completion of coursework currently underway or degrees in progress.

- The applicant has made a misrepresentation to the University.
- The University learns that an applicant has engaged in behavior that indicates a serious lack of judgment, integrity, or alignment with University values, and/or would violate University policies.

The University further reserves the right to require admitted students to provide additional information and/or authorization for the release of information about any of the above, and to place a hold on registration during the investigation into any such matter.

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

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

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

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

### **Registration**

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

Registration must be completed within two weeks after the beginning of a semester for all courses that carry credit. Late registration may carry an additional charge.

### Courses Eligible for Inclusion in Graduate Programs

Courses must be designated as graduate courses if they are to be counted toward a graduate degree. Courses that are cross-listed should have different designations for those enrolled as graduate students, and the syllabus must specify the advanced work to be completed by graduate-level enrollees.

### Dropped Courses

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

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

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

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

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

### Audited Courses

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

### Full-Time Status

A full-time graduate student is defined as a student who registers for at least 9 hours of credit for the semester.

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

### Residency

A student is defined as being in residence at the University of Rochester if they are registered and engaging with the University (laboratories, consultations with faculty members, or course

attendance) with sufficient frequency and regularity to establish this status clearly. Engagement does not necessitate physical presence on campus but can reflect distance learning. Some period of residence at this University is required for all advanced degrees. Students should be aware that schools, departments, or programs may have more stringent requirements regarding residency.

### Summer Residency Status

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

### Study in Absentia or Special Status

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

### Credit Hour Policy

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

In addition to the information here, a more frequently updated description of credit hour policy can be found at [www.rochester.edu/provost/academic-administration-accreditation-and-assessment/verification-of-compliance/verification-of-compliance-8/](http://www.rochester.edu/provost/academic-administration-accreditation-and-assessment/verification-of-compliance/verification-of-compliance-8/).

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

### Credit Hour Definition:

*All courses and degree programs at the University of Rochester must comply with credit hour policies of the New York State Commissioner of Education Regulations (NYSED) and the United States Department of Education definition of credit hour.*

### Grades

Grades for graduate students are reported through 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 course section in which the other students are graded on the A, A-, B+, B, B-, C, E scale (except independent study, research and internship courses).

Minimum grades for courses or research work carrying graduate credit are C or S. C is, however, considered to be a substandard grade and will have raised the question of the adequacy of the student's academic performance. In those circumstances the student's record must be reviewed by the associate dean of graduate studies (in the School of Nursing, the Student Affairs Committee) in consultation with the student and the program director. Individual schools may have established higher minimum standards.

The following grades are also assigned to courses: I (incomplete) and W (withdrawal).

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. It is the responsibility of the student to complete the work; the professor may replace the grade of incomplete with E (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.

X-time is defined as neither full time nor part time but is used to maintain a student's place in their graduate program so that they will not be considered by the University as withdrawn. Under X-time registration categories (see also 995/895 under Continuing Registration, below), students are not expected to be doing active work toward the degree.

### **Leaves of Absence**

In certain circumstances, a school's associate dean of graduate education may permit (or require) students to take a leave of absence from their degree program. Students on leave of absence do not perform active work toward their degree but maintain their place in the program. Leave of absence is not considered an active student status and has implications for health insurance eligibility, loan deferments, and visa status. Periods of leave count toward the degree time limit. For any leave of absence, whether voluntary or involuntary, students should be aware of the following policies:

- It is considered less than half time for all reporting purposes.
- This category does **not** satisfy the requirement that F-1 and J-1 international students maintain full-time enrollment and will require that students obtain advance permission for a Reduced Course Load, if eligible.
- It includes a relevant fee (often an enrollment continuation fee).
- Students are **not** eligible for federal loans.
- Students are **not** eligible for University health insurance. Existing student health insurance coverage will continue until the end of the contracted time period but is not renewable after that period if the student is still on leave.
- Though not an active student status, leaves of absence do fulfill the requirement of continuous enrollment.

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

A student seeking a return from leave must meet the conditions (if any) specified by the associate dean of graduate education (or designee). The student must apply in writing to the associate dean of graduate education. It is the responsibility of the associate dean of graduate education 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 education.

### **Voluntary Leaves of Absence**

The associate dean of graduate education 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 academic year, and students must pay the designated fee for each semester of leave. If a student does not return from leave at the end of one year and has not received an extension from the relevant associate dean, the student will be withdrawn from the University.

### **Medical Leave of Absence**

On occasion, a serious health problem may require a student to take a leave of absence. In that situation, students are permitted to take a leave for up to four years. Associated with this special consideration is the right of the University to determine (1) whether the leave is justified on medical grounds and (2) whether the student has recovered sufficiently to return at some point in the future.

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

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

A student who wishes to return from a medical leave of absence must petition their school. The school will then ask the UHS to review relevant health-related information, some of which may have to be provided by the student. The director of UHS (or his or her designee) will make a recommendation to

the school regarding the appropriateness of allowing the student to return from medical leave of absence. The recommendation will be based on evidence that the medical condition that required the leave is controlled sufficiently to allow the student to make a successful return. For students not under care of UHS, a letter from their personal health care provider indicating the student's readiness to return to school should be requested.

The school will consider that recommendation and whether any conditions imposed on the leave have been met, will decide on the student's return, and will inform the student of its decision. Except in unusual situations, as determined by the school in its sole discretion, the petition to return from medical leave of absence must be initiated by the student at least two and preferably three months before the expected date of return.

### **Involuntary Leave of Absence**

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

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

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

When a student exhibits any of the behaviors described above, the matter may be brought to the attention of the school associate dean of graduate education (or designee), the University's CARE Network ([www.rochester.edu/care](http://www.rochester.edu/care)), or another University official. The official receiving the report is encouraged to use the resources of the College Dean of Students who serves as the judicial officer for the University. The associate dean of graduate education (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 education (or designee) will seek an immediate assessment of the student's ability to remain at the University. This assessment will be based on the student's observed conduct, actions, and statements and may require consultation with the University Counseling Center (UCC), University Health Service (UHS), or other appropriate professionals regarding the student's circumstances.

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

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

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

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

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

### **Appeal Process**

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

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

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

Voluntary withdrawal from the University by a student who has not completed the degree program should be reported in writing by the student to the appropriate associate dean of graduate education.

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

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

withdrawal may be counted as partial fulfillment of the requirements of the degree, provided:

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

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

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

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

Master's or doctoral students who have completed all credit requirements but not yet completed the final dissertation may register, with the approval of the advisor and the associate dean of graduate education, for one of the categories below.

#### **999/899**

This status is utilized as follows:

- It is considered full-time enrollment for all reporting purposes and satisfies government requirements for F-1 and J-1 international students to maintain full-time enrollment.
- It is for students who are not enrolled in full-time coursework but are, nonetheless, working full time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.).
- It includes a relevant fee (often a dissertation fee), as well as other fees associated with full-time enrollment.
- The student's program is responsible for monitoring their full-time effort.
- The student has either completed all requirements for the degree other than the thesis or is enrolled in final coursework in addition to the work necessary for the degree requirements (e.g., dissertation, degree recital, etc.).
- The student has actively demonstrated full-time effort, whether through being physically located on campus or having completed the appropriate petitions to demonstrate full-time effort elsewhere in the U.S. (999A/899A) or abroad (999B/899B).
- Mandatory Health Fee is not required if the student is studying in absentia (e.g., 999A/899A) and is not enrolled in the University health insurance.
- International students utilizing the in absentia options must coordinate with ISO for immigration purposes.
- Students are eligible for federal loans.
- Students are eligible for University health insurance.

#### **998/898**

This status is utilized as follows:

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

#### **997/897**

This status is utilized as follows:

- It is considered full-time enrollment for all reporting purposes and satisfies government requirements for F-1 and J-1 international students to maintain full-time enrollment.
- It is for students who are not enrolled in full-time coursework but are, nonetheless, working full time on their degree requirements (e.g., dissertation, thesis, degree recital, etc.).
- It does not include a relevant fee, though it does include other fees associated with full-time enrollment. The decision to utilize 997/897, and thus not charge fees, is made independently by each school and may occur for many reasons (for example, the student has not yet completed four full years of doctoral enrollment, the student is enrolled full time during the summer, the student has been granted a one-time waiver of fees at the master's level, etc.).
- The student's program is responsible for monitoring their full-time effort.
- The student has either completed all requirements for the degree other than the thesis or is enrolled in final coursework in addition to the dissertation.
- The student has actively demonstrated full-time effort, whether through being physically located on campus or having completed the appropriate petitions to demonstrate full-time effort elsewhere in the U.S. (997A/897A) or abroad (997B/897B).
- Mandatory Health Fee is not required for students studying in absentia (e.g., 997A/897A or 997B/897B) and not enrolled in the University health insurance.
- International students utilizing the in absentia options must coordinate with ISO for immigration purposes.

- Students are eligible for federal loans.
- Students are eligible for University health insurance.

### 995/895

This status is utilized as follows:

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

### 990/890

This status is utilized as follows:

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

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

The refund schedule below applies to all but Simon Business School students, who should consult program handbooks. If the final corrected copy of the dissertation has been submitted and all degree requirements have been met midway through a semester, the student is eligible for a refund of the current fee for

continuing enrollment according to the following schedule:

- 75% during weeks 1–4 of the semester
- 50% during weeks 5–8 of the semester
- 25% during weeks 9–11 of the semester

Completion of all degree requirements includes completion of all required credits and courses, successful defense of master's or doctoral thesis when required, approval of completed major revisions when required, upload of corrected PhD thesis to ProQuest, UR Graduate Education acceptance of that upload, and completion of required forms and surveys. The form for a refund is available from the Office of the University Dean of Graduate Education for PhD students and from the office of the associate dean of graduate education for master's students. There are no refunds of health fees or health insurance premiums.

### Conferral of Degrees

Degrees are conferred by the Board of Trustees at its regular meetings (August, October, December, March, and May).

## Policies Concerning the Doctor of Philosophy Degree

### Administration of PhD Degree Programs

The degree Doctor of Philosophy is awarded by the University of Rochester 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.

### Established Interdisciplinary PhD Programs

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

### University Administration of PhD Programs

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

The University has a Council on Graduate Education composed of

- representatives of departments and programs in the University authorized to offer the PhD degree;
- the deans or associate deans for graduate education of each school or officer whose duties most closely correspond to this role;



- the provost of the University;
- the University dean of graduate education, who serves as chair.

The principal functions of the council are

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

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

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

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

### **Admission to PhD Programs**

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

### **Financial Awards**

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

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

### **Graduate Fellowships and Assistantships**

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

Awards are made for various periods of time, and all awards are contingent upon satisfactory academic progress. Awards may be terminated at any time if academic performance is unsatisfactory. For those fellowships awarded directly to students from non-University sources, such as foundations or government agencies, the term of the grant is up to the donor. Nevertheless, holders of non-University fellowships may be terminated from a degree program during the term of the award if they do not maintain satisfactory academic standing.

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

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

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

### **Transfer Credit**

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

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

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

### **Part-Time Study**

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

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

1. *a minimum of two years (four consecutive semesters) in residence while enrolled as a part-time student is required,*
2. the minimum registration will be two courses, each carrying at least three credit hours per calendar year (however, departments/programs may establish a higher minimum registration requirement), and
3. a student receiving grades lower than B (or S) in more than one-quarter of the courses for a given academic year may not be permitted to continue in the part-time program. *Students should be aware that schools, departments, or programs may have more stringent requirements regarding minimum grade expectations.*

### **Program of Study**

At least 90 credit hours of study beyond the bachelor’s degree are required.

A tentative program of study leading to the degree Doctor of Philosophy must be prepared by the student in consultation with his or her advisor. This should be done before admission to candidacy for doctoral studies. This program must include the following:

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

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

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

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

### **Foreign Language Requirements**

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

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

### **Time Limit for Degrees**

All work for the doctoral degree, including the final oral examination, must be completed within seven years of full-time equivalent study 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 of the faculty advisor and the department chair/program director, petition the associate dean (in the School of Nursing, the PhD subcommittee) for an extension of time. Such extensions, if granted, will be of limited duration and must be reapproved at least annually. Requests for extensions beyond 12 years must be approved by the University dean of graduate education.

### **PhD Dissertation**

#### **Qualifying Examination**

All PhD students must take a Qualifying Examination (QE) to demonstrate they are prepared to advance to candidacy, undertake independent research, and begin the dissertation. All PhD programs administer a qualifying examination as part of the PhD program requirements. The qualifying examination may be either written, oral, or both, at the discretion of the department/program, and must be passed at least six months before the dissertation oral defense is taken. The appropriate associate dean appoints the committee to conduct a qualifying examination and consists of at least three full-time faculty of professorial rank (four for the School of Medicine and Dentistry). 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 are recorded. The office of the associate dean must be notified at least two weeks before a qualifying examination is to be held, and passage or failure must be reported within one month after the examination. After a failure, a second qualifying examination may be taken if in accordance with program or school policy. A third examination may be taken only upon the recommendation of the appropriate Committee on Graduate Education and with the approval of the associate dean or equivalent. In the School of Nursing and the School of Medicine and Dentistry, a third examination is not given.

### Admission to Candidacy

Attaining candidacy status signifies a doctoral student's attainment of a level of proficiency within a discipline that enables the generation of an original research contribution in their field. The certification by the associate dean of a school, following the successful completion of the qualifying examination, officially designates the student as a candidate for the PhD degree. At the request of the candidate, the University dean of graduate education is authorized to issue a certificate validating this significant academic milestone.

### Dissertation

The submission of a dissertation stands as an imperative requirement for the conferral of the PhD degree. A dissertation is a formal document or scholarly product wherein a candidate meticulously presents their original research contribution. While the content of the dissertation adheres to the scholarly standards of the specific discipline and is guided by the dissertation committee, the candidate assumes a primary role in conducting the research and authoring the dissertation. The final phases of the doctoral degree completion process fall under the purview of the University Office of Graduate Education and Postdoctoral Affairs. These phases encompass the preparation of the dissertation for oral defense, the actual conduct of the oral defense, and the subsequent submission of the final copy of the dissertation.

### Policy on generative A.I. in the dissertation. \*New Policy August 2024\*

Innovative uses of generative AI, such as predictive text and image generation, can enhance scholarly activities and research integrity, while graduate students and faculty uphold high academic standards. Therefore, the utilization of generative AI tools in the process of doctoral dissertation and master's thesis research and writing, master's capstone projects, or culminating experiences must always occur with full transparency. This includes providing a description of any employment of generative AI in the research or writing process, along with appropriate citation. Students are required to include a disclaimer in their dissertation, such as: 'Generative AI was used for XYZ [listing tasks such as writing text, generating code for graphs, etc.]'.

If generative AI is utilized, it also becomes the student's responsibility to ensure that any sources potentially utilized by the AI, without citation, are properly cited within the student's work.

Students intending to utilize generative AI tools in their dissertation, thesis, capstone project or culminating experience must consistently obtain and formally document unambiguous approval for the intended uses in advance from their supervisor(s) and supervisory committee.

Unauthorized or unacknowledged use of generative AI tools for scholarly graduate work at the University of Rochester may be considered an offence under the Academic Honesty Policy (Pages 19-20 of the Regulations and University Policies Concerning Graduate Studies) and the University Policy on Misconduct in Scholarship and Research.

*Note: Schools may have more stringent guidelines.*

**Warning:** Commercial products (ie. ChatGPT, Perplexity, Gemini) bears the risk of the data being considered public domain and generated material can't be copyrighted without transformative human input.

### I. Dissertation Advisory Committee

The pivotal role of the dissertation advisory committee lies in guiding the candidate through the intricate process of preparing the dissertation for the final oral defense. Central to its purpose is the facilitation of the dissertation project's development and the critical evaluation of the dissertation's acceptability in fulfilling the stringent requirements for the doctoral degree. Committee members collectively shoulder the responsibility of ensuring the candidate produces scholarship of the highest caliber. This involves advising the student on research conduct, meticulously reviewing drafts of the dissertation, and offering insightful suggestions for potential enhancements. The constitution of the dissertation committee is carefully designed to provide both independent evaluation and expert guidance on the dissertation.

Formation of the dissertation advisory committee occurs at least six months prior to the scheduled oral defense. This lead time is strategically allotted to facilitate comprehensive discussions on the dissertation, ensuring a thorough and collaborative preparation process.

In this document, a 'program' refers to the graduate faculty capable of advising on a dissertation within a specific academic subject of the PhD degree. In certain instances, the term "program" is used interchangeably with "department," particularly in cases where the department exclusively houses a single PhD program, but for interdisciplinary programs and departments that house more than one PhD program, it is more complex. In interdisciplinary degree programs with faculty from multiple departments, the school hosting the program defines 'internal' and 'external' for the final oral examination committee. In departments that house more than one PhD program, the school hosting the program defines 'internal' and 'external' for the final oral examination committee.

### II. Dissertation Oral Defense

The oral defense of the dissertation represents the institutional commitment to rigorously assess a candidate's scholarly contributions and ascertain their fulfillment of the requirements for the PhD degree. This pivotal event marks the culmination of a candidate's doctoral studies, serving as the paramount intellectual encounter wherein discerning individuals dedicate meticulous attention to the candidate's ideas and/or body of work.

The appointment of the Dissertation Oral Defense Committee is sanctioned by the University Dean of Graduate Education, guided by the counsel of the relevant Associate Dean of Graduate Education. Typically, this committee comprises the members of the original Dissertation Advisory Committee that oversaw the candidate's thesis research.

The constitution of the Dissertation Oral Defense Committee necessitates the inclusion of the following individuals, each vested with the authority to cast a vote during the dissertation oral defense.

The constitution of the Dissertation Oral Defense Committee adheres to the following criteria, ensuring a comprehensive and impartial evaluation.

### **Voting Membership Limit**

The committee may have a maximum of five members with voting rights. However, additional members, without voting privileges, are permitted to participate in the proceedings.

### **Internal Faculty Members**

A minimum of two faculty members internal to the program at the University of Rochester. One of which is the advisor. If the student has two advisors, they will both serve as internal members of the committee, regardless of appointment.

### **External Faculty Member**

At least one faculty member external to the program, hailing from either the University of Rochester or another accredited university.

### **Chair of the Dissertation Oral Defense**

A faculty member from the University of Rochester, external to the program, and without a significant scholarly relationship with the candidate or other committee members, will preside as the chair during the dissertation oral defense. The chair is considered neutral party and is neither an internal nor external member of the committee.

### **Ratio of Internal to External Members**

The ratio of external to internal committee members with voting privileges should not exceed 50 percent. This stipulation ensures that either an equivalent number or a majority of committee members are internal to the program or department.

Based on the criteria above, there are three options for voting committee composition.

- Two internal members, one of which is the advisor, and one external member and the chair.
- Two internal members, one of which is the advisor, and two external members and the chair.
- Three internal members, one of which is the advisor, and one external member and the chair.

To view an illustration of these committees, we have developed a committee matrix: <https://www.rochester.edu/graduate-education/phd-students/phd-completion-process/committee-matrix/>.

These guidelines have been established to guarantee a judicious and balanced assessment of the candidate's work during the dissertation oral defense.

In the context of dissertation advisory or oral defense committees, the term "faculty" pertains to individuals holding an earned doctorate and occupying a full-time, tenured or tenure-eligible position at the rank of professor, associate professor, or assistant professor within an accredited university. University of Rochester faculty members, encompassing instructional, clinical, emeritus, and research roles, may seek inclusion on the permanent roster of faculty eligible to participate in PhD dissertation

committees by petitioning\* the University Dean of Graduate Education (Link to petition: <https://forms.office.com/r/b2SK8MGZBQ>).

Some petitions happen infrequently and do not have a documented practice in place. Therefore, an email petition is required. The email petition should include relevant information to the request. Other petitions, because of their frequency, have a formalized process, by which a form needs to be completed with very specific questions that need to be answered. Those petitions which have a process defined are noted in this document with an asterisk (\*).

Key points regarding the composition and roles of the committee include:

### **Chair**

The pivotal role of overseeing the final oral examination committee is entrusted to the University Dean of Graduate Education or a designated representative, who assumes the position of chair. The chair's responsibility encompasses the vigilant promotion of fairness and rigor throughout the defense proceedings. Distanced from affiliations with the advisor's and student's working group, program, the chair's impartial stance minimizes pre-existing judgments on the candidate's work and mitigates administrative influence in the defense process. Notably, the chair holds voting membership status within the final oral examination committee. This role is ineligible for petitions.

### **Primary Dissertation Advisor**

The primary dissertation advisor must be a tenured or tenure-eligible faculty member at the University of Rochester, holding the rank of professor, associate professor, or assistant professor. Irrespective of their primary appointment, the dissertation advisor is always an internal member. However, they are ineligible to serve as the chairperson of the final oral defense or as the external member of the oral defense committee for their advisee.

### **Dissertation Co-advisor**

If there is a co-advisor, The dissertation co-advisor must be a tenured or tenure-eligible faculty member, holding the rank of professor, associate professor, or assistant professor. Irrespective of their primary appointment, the dissertation advisor is always an internal member. However, they are ineligible to serve as the chairperson of the final oral defense or as the external member of the oral defense committee.

### **Internal Committee Members**

The committee's internal members play a vital role in guaranteeing the thoroughness and adherence of the candidate's dissertation defense to program requirements. These members, who have in-depth knowledge of doctoral-level training, research, and scholarship in the candidate's research area, must hold their primary appointment in the University program offering the PhD program or be core University faculty designated for an interdisciplinary PhD program. However, it's important to note that the advisor/co-advisor policy takes precedence over this general policy.



### External Member

The external member is required to have expertise in the candidate's research field, enabling them to comprehend, critique, and contribute to the dissertation's quality and significance. This member may not hold their primary appointment in the University program offering the PhD. Candidates are encouraged to include an external member from outside the University of Rochester. Such individuals must petition to be on the committee during the registration of the oral defense (Link to petition: <https://forms.office.com/r/NWnFURXUUX>).

### Continuation of Service for Departing Faculty

Faculty members departing from a program retain the eligibility to serve as internal members on any PhD dissertation committees to which they were previously appointed before leaving the program. Note: schools may have more stringent timeframes.

### Objective Evaluation and Professional Relationships

To ensure an unbiased assessment of the dissertation, committee members are prohibited from having intimate or close family relationships with each other. Exceptions may be considered only when a documented COI Management plan exists to manage professional relationships, safeguarding the interests of all parties involved. This document is filed at the time of creation of the online record and will be reviewed by the University Graduate Education Office. The sample COI Management Plan Document is located at this web address: <https://www.rochester.edu/graduate-education/phd-students/phd-completion-process/committee-matrix/>.

### Additional Members for Enhanced Quality and Rigor

Beyond the mandatory four members, additional individuals whose inclusion significantly contributes to the quality and rigor of the dissertation research and oral defense are permissible. These members, possessing a doctorate, are not obligated to hold a faculty position, either within the University or elsewhere. Approval for external committee members that are also external to the University must be sought through a petition\* to the University Dean of Graduate Education before scheduling the dissertation oral defense. The first of these members will participate with voting privileges, while any subsequent additional members will serve without a vote (Link to petition: <https://forms.office.com/r/NWnFURXUUX>).

### Nomination of the Chair for the Final Oral Examination

In the Schools of Arts, Sciences & Engineering, Medicine and Dentistry, and the Eastman School of Music, the chair is not allowed to hold a primary faculty appointment within the PhD program. Conversely, in the Schools of Nursing, Warner, and Simon, the chair may be a faculty member within the school but must operate outside the defined area of specialty for both the candidate and the advisor.

The senior official overseeing graduate education within each school is tasked with identifying a chair for every PhD oral defense within that school. The selection process, determined by the school, ensures a school specific approach to chair appointments. Some schools have instituted a policy whereby the

selection of the chair occurs either at the program level or at the level of the defending student, with approval flowing from the program, through the school, and subsequently to the University. Please check with your program to verify the process for selecting the chair.

Subsequent to the appointment, the selected individual, the candidate, and other committee members are duly notified. The candidate bears the responsibility of furnishing the chair and all committee members with copies of the dissertation identical to the version submitted for registration, to be utilized during the oral defense.

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

To initiate the final oral examination process, the PhD candidate must establish a comprehensive record within the University's online PhD processing system. This record includes details such as the planned defense date and time, committee members, and other pertinent information and if applicable COI Management Plan and non-standard committee members approvals. Simultaneously, all relevant documents, including the dissertation, must be uploaded to this record. Subsequently, online approvals for the dissertation defense are obtained from all inside and outside committee members, the program director, and the school's graduate office. This crucial step must be completed at least five business days before the defense date, allowing for the requisite final approval from the University Graduate Education office. Review the provided website for guidance on school dissertation timelines, and always consult your program to ascertain any supplementary timelines.

**Dissertation Defense Scheduling:** <https://www.rochester.edu/graduate-education/phd-students/phd-completion-process/#PhDcalendar>.

Final approval from the University Graduate Education office signifies the formal registration of the dissertation for defense. This approval can be granted on any business day, with the exception of the week between Christmas and New Year's Day and a designated period in late April, as specified in the PhD calendar distributed to all graduate education officials across schools. It is also posted here: <https://www.rochester.edu/graduate-education/phd-students/phd-completion-process/#PhDcalendar>.

In the event of necessary formatting changes, the office staff in the respective school and University Graduate Education will indicate these changes on a version of the dissertation added to the student's online PhD defense record.

The final oral examination cannot be conducted until at least five business days have passed since the dissertation's registration in the Office of the University Dean of Graduate Education. It is the student's responsibility to align their plans accordingly, and deadlines can be confirmed with the office of the school's associate dean of graduate education.

In preparation for the registration process, the candidate must distribute copies of the dissertation to all members of the final examination committee at least two weeks before initiating

the online registration. Committee members retain the right to decline approval if they have not had at least two weeks for review. Additionally, a copy of the same version must be provided to the appointed dissertation chair. Once the dissertation is registered, no further changes can be distributed to committee members until after the final oral examination, or the examination will be canceled.

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

The final oral examination occurs following the completion of all other degree requirements, but not sooner than six months after the qualifying examination. This examination, covering the dissertation subject and the related field, places emphasis on recent and significant developments in the field. Its purpose is to assess the proposal of a substantial thesis in the dissertation and evaluate the candidate's ability to defend it with appropriate and effective arguments, supported by relevant and convincing evidence.

The presentation and defense of the dissertation serves as the pinnacle of the PhD degree. The final oral examination is not just a judgment on a single scholarly work but implicitly reflects on the overall quality of the candidate's graduate education. Given its broader significance, the committee must ensure the successful defense of a substantial thesis.

A unanimous vote of approval from the final oral examining committee is required. In the case of a single dissenting vote, the matter will be presented to the University Council on Graduate Education for a decision. A candidate failing the final examination is granted one repeat examination unless a majority vote from the examining committee recommends against it. Regulations for committee structure, timing of registration before defense, and other aspects for a repeat examination mirror those applied to the initial examination.

For candidates passing their defense with no/minor revisions, the revisions must be completed within three months from the defense date. If the defense requires major revisions, these must be completed within six months from the defense date. Delays beyond these time limits necessitate a proposed timeline for completion, which must be reviewed and approved by the University Dean of Graduate Education. Note: schools may have more stringent deadlines.

### **Remote Defense Policy**

At the discretion of the faculty member responsible for the administration of a PhD program, and with the unanimous agreement of all committee members and the student, oral defense examinations may be conducted either in person or online via high-quality electronic audio and video conferencing. All members of the oral defense committee are expected to participate synchronously. Committee members may participate either live or remotely. If the defense is conducted remotely, instructions for accessing online exams must be made available to all members of the oral defense committee via the PhD Completion system. Therefore, online provisions for the defense must be set at the time of the registration of the PhD Dissertation for the Final Oral Examination.

If held in person, exams must take place on the Eastman School of Music Campus, Medical Center/Middle Campus, Mount Hope Campus, River Campus, South Campus, or at a satellite campus location (including the Memorial Art Gallery).

### **Submission of Final Dissertation**

Following the successful completion of the final oral examination, the candidate must undertake final revisions, including formatting changes as indicated by the University graduate education office staff. Approval of these revisions, if specified at the defense, is mandatory. The final copy must be uploaded to the UMI/ProQuest website, and the Office of the Dean of Graduate Education must be notified upon completion of this process. If required by the school or program, paper copies must be provided.

Each PhD candidate is obligated to submit a completed authorization form for the inclusion of the dissertation in UR Research, the University's digital research repository. Instructions, along with the authorization form, will be emailed to the student on the next business day after the final oral examination.

### **Dissertation Embargo Policy**

The University of Rochester adheres to open access publishing principles, digitally archiving the completed dissertations of all PhD graduate students. The university archives these dissertations, allowing access via UR Research and has partnered with ProQuest for wider dissemination. Students retain ownership of the copyright for their work.

Students have the option to request an embargo on access to the full text of the dissertation through UR Research at the time of submission to the Office of University Graduate Education and Postdoctoral Affairs. An embargo on full access allows users to view the title, program, URL, and the date when the full text will become available.

At the time of submission, students may choose an initial embargo period of up to two years. Up to two renewals of the embargo period may be granted at the discretion of the Office of University Graduate Education and Postdoctoral Affairs. The total embargo period, including approved renewals, will not exceed six years from the date of submission. Requests for extension must be directed to [UnivGradEducation@UR.Rochester.edu](mailto:UnivGradEducation@UR.Rochester.edu).

For those wishing to extend the embargo on their dissertation in ProQuest, contact ProQuest directly. Extensions will be subject to ProQuest's then-current policy and procedures.

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

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

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

### **Program of Study**

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

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

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

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

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

### **Transfer Credit**

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

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

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

### **Part-Time Study**

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

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

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

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

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

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

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

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

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

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

Preparing Your Dissertation: A Manual for Graduate Students is also used to prepare master's dissertations. Copies of the booklet are available from the office of the associate dean of graduate education or on the University's website at <https://www.rochester.edu/graduate-education/academic-resources/dissertation-manual>.

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

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

**Submission of Copies**

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

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

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

**Re-Examination**

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

**Requirements for the MA or MS Degree under Plan B****Program of Study for Plan B**

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

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

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

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

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

**Comprehensive Examination**

Most Plan B programs of study require a comprehensive

examination in the field of specialization. It may be written, oral, or both and is conducted by at least two faculty members.

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

**The University as a Safe and Inclusive Community****Standards of Student Conduct**

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

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

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

The maintenance of harmonious community standards requires that behavior that interferes with or threatens the welfare of others or the University community be prevented. Ignorance of these standards will not be considered a valid excuse or defense. Student participation in any unlawful or other potentially serious violations of University policy may lead to suspension or expulsion from the University.

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

**An Inclusive Community**

The University of Rochester envisions itself as a community that welcomes, encourages, and supports individuals who desire to contribute to and benefit from the institution's missions of teaching, research, patient care, performance, and community service. In a pluralistic culture of faculty, staff, and trainees,



members of the University's community come from different geographical areas and represent differences in ethnicities, religious beliefs, values, and points of view; they may be physically different, have different intellectual interests, or have different abilities. The success of the University of Rochester depends on an environment that fosters vigorous thought and intellectual creativity, one in which diverse ideas can be expressed and discussed by all in its community. To fulfill its missions and prepare future leaders to succeed in an equally wide-ranging environment, the University actively seeks to recruit and include diverse individuals in all aspects of the institution's operations.

The University has committed to building a Culture of Respect ([www.rochester.edu/respect/](http://www.rochester.edu/respect/)) and has articulated the Vision and Values by which the community works together. Creating a welcoming environment for individuals of all backgrounds, traditions, abilities, and gender expressions is a top priority. Graduate students are encouraged to use the resources and participate in the opportunities listed at the site above to make the University of Rochester ever better as a community.

### ***Nondiscrimination Statement***

The University of Rochester does not discriminate on the basis of age, color, disability, domestic violence victim status, ethnicity, gender identity or expression, genetic information, marital status, military/veteran status, national origin, race, religion/creed, sex, sexual orientation, citizenship status, or any other status protected by law in matters of admissions, employment, housing, or services or in the educational programs or activities it operates.

The University complies with all federal and state laws that prohibit discrimination based on the protected categories listed above, including Title IX of the Education Amendments of 1972, which prohibits sex discrimination (including sexual harassment and violence based on sex) in the University's educational programs and activities, and Section 504 of the Rehabilitation Act of 1973, which prohibits discrimination on the basis of disability.

Inquiries concerning the application of Title IX and sex-based complaints should be referred to the University's Title IX Coordinator, (<https://www.rochester.edu/sexualmisconduct/>). Questions about compliance with Section 504 can be addressed to the University's Disability Compliance Director, (<https://www.rochester.edu/disability/>).

Questions regarding the application of Title IX and Section 504 can also be directed to the U.S. Department of Education's Office of Civil Rights (OCR) at its New York office at (646) 428-3900 or its national headquarters at (800) 421-3481; TTY: (800)-877-8339, or [www.ed.gov/ocr/](http://www.ed.gov/ocr/).

### ***Policy Against Discrimination and Harassment***

The University Policy Against Discrimination and Harassment prohibits discrimination and harassment based on any status protected by law (see Nondiscrimination statement, above) as well as retaliation against any person who complains or opposes perceived unlawful discrimination or harassment, including those who participate in an investigation or a proceeding involving a complaint of unlawful discrimination or harassment. See the University's Policy against Discrimination and Harassment

(employees), Policy 106, found at [www.rochester.edu/working/hr/policies/pdfpolicies/106.pdf](http://www.rochester.edu/working/hr/policies/pdfpolicies/106.pdf). For complaints about conduct by students, see the Standards of Student Conduct at <https://www.rochester.edu/college/cscm/assets/pdf/standards-of-student-conduct.pdf>.

### ***Faculty Intimate Relationships Policy***

The UR Faculty Handbook includes the policy below approved in May 2018, governing relationships between University faculty and other members of the University community, including their graduate or undergraduate students:

Freedom of thought and expression and the opportunity for all members of the University community to pursue knowledge unencumbered are the foundation of the academic enterprise. The development of intimate relationships may, in some cases, compromise the academic relationships that are fundamental to the intellectual and professional development of members of the University. The faculty member–student academic relationship is of special concern in this context given the innate power imbalance between faculty and students; however, such power imbalances also may exist among faculty members. The purpose of this policy is to protect the rights and interests of all members of the University community by avoiding the potential for real or perceived coercion, favoritism, bias, or exploitation that may be created by intimate relationships among members of the University community.

To provide clarity regarding the intentions and purposes of this policy, the following definitions are employed.

- Student refers to all full-time, part-time, visiting, or prospective undergraduate or graduate students and all post-graduate trainees, research associates, residents, and fellows.
- For the purposes of this policy Faculty refers to tenure-track, instructional, adjunct, research, and clinical faculty members of all ranks. (Other individuals [e.g.: students, post-doctoral fellows, and other trainees] who exercise academic authority over students should see their respective handbooks for related policies.)
- Intimate relationships refer to non-familial sexual, dating, and/or romantic relationships. Note: unwanted advances or other inappropriate behaviors may be considered sexual harassment, which falls under HR Policy 106.
- The exercise of academic authority includes the following activities (on or off campus): teaching courses, (i.e., having primary or shared responsibility for the conduct of a course but not, for example, simply delivering occasional guest lectures); grading or otherwise evaluating student work; advising on formal projects such as a thesis or other research; serving as an external examiner or member of a thesis committee; participating in decisions regarding student funding or resource allocation; performing clinical supervision; and making recommendations or otherwise influencing decisions regarding admissions, employment, tenure and promotions, or the awarding of grants, fellowships, or other recognitions. Generally, it is assumed that faculty exercise academic authority over all students in their department or program. However, there are circumstances and academic

structures within the University where the assumption of academic authority may not be fitting, for example, in cases of some secondary faculty appointments or informal program affiliations, or in the distributed departments and programs in the School of Medicine and Dentistry. In such cases, it is left to the department chair and cognizant dean to define appropriate domains of academic authority; however, if there is uncertainty on the part of the student or faculty member academic authority should be assumed or clarification about the existence of academic authority should be sought from/determined by the department chair and cognizant dean.

Any questions regarding the above definitions, as well as other aspects of this policy, should be directed to the University Intercessor or the appropriate department chair or dean.

### The Policy

III. C. i. Faculty are prohibited from entering into intimate relationships with undergraduate students of the University.

III. C. ii. Faculty are prohibited from entering into intimate relationships with any member of the University community over whom they exercise academic authority as defined above.

III. C. iii. Faculty are prohibited from accepting academic authority (as defined above) over any member of the University community with whom they currently share an intimate relationship, or with whom they have shared such a relationship in the past.

### Violations

Violations of this policy will result in disciplinary actions, which can include, but are not limited to, written warnings, loss of privileges, mandatory training or counseling, probation, suspension, demotion (including revocation of tenure), expulsion, and termination of employment. Disciplinary actions will be enforced at the appropriate administrative level ranging from department chair to the Office of the Provost.

### Exceptions

In cases in which a mutually consensual relationship develops, exceptions to this policy may be granted, but must be managed carefully by agreement of both parties in the relationship, the chair(s)/dean(s) of the faculty member and other party, and the University Office of Counsel. A written management plan outlining measures to ensure the integrity of the academic interaction and to protect the interests of all parties must be filed with the cognizant dean and reviewed annually. The University Intercessor is available for guidance in the creation of such a plan.

## Policy on Graduate Students' Relationships with Students Over Whom They Hold Academic Authority

### I. Intimate Partner Relationships

#### Purpose

The purpose of the present policy statement is to outline prohibitions and management of situations when graduate students in past or present relationships with other students hold academic

authority over those students, and to provide examples and potential penalties specific to graduate students in roles of academic authority. This policy does not apply to postdoctoral fellows/trainees or undergraduate students who hold academic authority.

This policy is intended to prevent bias in academic treatment or grading due to a current or past relationship. Bias can take the forms of favoritism, as when a graduate student in a teaching assistant or research supervisor role grades their relationship partner's work unfairly favorably, or negative prejudice, as when a graduate student in a teaching assistant or research supervisor role grades a former relationship partner's work unfairly harshly.

Coercion or exploitation, when a graduate student makes a positive evaluation contingent on sexual concessions by the student being evaluated, is a form of sexual misconduct and is not the subject of this policy. Please see policies on student sexual harassment at this site: <https://www.rochester.edu/sexual-misconduct/healthy-relationships.html>.

### Definitions

**Intimate relationships.** This policy uses the same definition as the Faculty Intimate Relationships Policy in the Faculty Handbook (<https://www.rochester.edu/provost/academic-resources/academic-policies-procedures/>) and refers to sexual, dating, and/or romantic relationships.

**Relationship partner.** The term relationship partner is used in this policy to indicate an individual with whom a graduate student is in a current or past intimate partner relationship, regardless of duration or exclusivity of the relationship.

**Academic authority** held by graduate students is defined as the following activities (on or off campus): teaching or serving as teaching assistant in courses or performing clinical supervision when the graduate student has formal assigned responsibility for grading or otherwise evaluating a relationship partner's work. It applies whether the academic authority role is paid or unpaid and whether the role is independent, such as when serving as a course instructor, or delegated by faculty, such as when serving as a teaching assistant. It applies whether the subject of the authority is a graduate or undergraduate student, and whether either party holds only the student role or is also a member of the University of Rochester faculty or staff.

The following are not considered academic authority: participating in class discussions or informal group discussions of a relationship partner's work when grading is not involved, giving guest lectures in a course in which a relationship partner is enrolled, serving as one of several TAs in a course when someone else has responsibility for grading of the relationship partner, or otherwise being in the vicinity of a relationship partner in academic settings without having influence over their academic success.

The policy applies when there is a real or perceived risk of bias in grading or evaluation due to an intimate relationship involving a graduate student and another student. When the likelihood of perceived bias or the presence or direction of academic authority is unclear, a faculty supervisor, graduate program director, dean, or another academic leader in the school should be consulted to clarify whether the present policy applies.

### ***Policy on Intimate Relationships When Graduate Students Hold Academic Authority***

1. Graduate students with academic authority are prohibited from entering into new intimate relationships with undergraduate students over whom they hold academic authority.
2. Graduate students with academic authority are prohibited from entering into new intimate relationships with graduate students over whom they hold academic authority unless a management plan is approved or the academic authority ends.
3. Graduate students are prohibited from accepting new academic authority over current or past undergraduate or graduate student relationship partners. If reassignment of either of the relationship partners is not feasible, a management plan must be in place.

### ***Consequences of Violations***

Violations of this policy will result in disciplinary actions against the relationship partner holding academic authority. Actions can include, but are not limited to, written warnings, mandatory training or counseling, termination of TA and instructor assignments and loss of related income, academic probation, suspension, or expulsion in accordance with the relevant code of graduate student conduct. Disciplinary actions will be enforced at the appropriate administrative level, ranging from graduate program director to graduate dean.

### ***Management Plans***

A written management plan must be agreed to by both parties in the relationship and approved by the head of the relevant graduate programs in the school of the graduate student holding academic authority: graduate dean or senior associate dean of the school (ASE, SMD, ESM, Warner); in the Simon School, the PhD faculty director (PhD students) or dean of students (master's students); or in the SON, the associate dean for education and student affairs (master's students) or PhD programs director (PhD students). The University intercessors are available for guidance in the creation of such a plan. It should outline measures to insure the integrity of the academic interaction and to protect the interests of all parties. The plan must be filed with the approving official indicated above and reviewed annually.

## **II. Immediate Family Members**

Graduate students are prohibited from accepting academic authority over an immediate family member (parent, spouse or committed partner, sibling, or child) unless a management plan is in place. The plan must be approved by both family members and the appropriate approving official in the school of the graduate student holding academic authority, as indicated above.

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

Harassment, discrimination, and sexual misconduct reporting options and resources for students and faculty are posted at <https://www.rochester.edu/sexualmisconduct/resources/>. The site lists both confidential and private sources of support and includes a guide for help deciding whom to contact. In general,

offenses by and against students are covered by Title IX. Offenses by faculty (against students or faculty) are covered by UR Policy 106. In either situation, the Title IX office can provide guidance and discuss options. (<https://www.rochester.edu/sexualmisconduct/>).

### ***Disability Accommodation***

The University of Rochester is committed to providing equal educational and employment opportunities for qualified individuals with disabilities, in accordance with state and federal laws and regulations. Further, the University is committed to maintaining an inclusive environment for individuals with disabilities. The Office of Disability Resources is described, and resources listed at (<https://www.rochester.edu/disability/>).

### ***Students' Academic Grievances***

This policy applies to graduate students at the University of Rochester and (a) defines an Academic Grievance, (b) establishes that each school has its own process and complete decision rights for evaluating Academic Grievances, and (c) provides a general discussion of what these processes typically entail.

An academic grievance is a complaint in writing by an individual student about an academic decision by a faculty member in the role of advisor, instructor, or formally identified mentor or program leader that directly and adversely affects that student in his or her academic capacity.

Academic grievances concern faculty decisions related to a student's performance and opportunity for progress in his or her academic program, such as course access, grades, evaluations, program dismissal, teaching and research expectations, professional development opportunities, examinations, dissertation, and limits on time to degree. Grievances are limited to perceived unfairness in an individual student's academic environment or progress. The student with a grievance must aim to demonstrate that the student has been treated unfairly in comparison with student peers or the grading criteria or conditions for enrollment or pursuit of the degree were applied inequitably.

Academic grievances do not include an individual's or group's dissatisfaction or disagreement with a policy or approach that is applied in a uniform manner. Students who wish to state a position about an academic policy or have nonacademic complaints about a faculty member's conduct should express these concerns to the Graduate Program Director or another graduate education official within the school.

If discrimination or sexual harassment by a faculty member has occurred, please see resources and reporting mechanisms described in these Regulations. At any point, for any issue, a student may consult the school ombudspersons or University intercessors.

Each school has a written procedure for student-initiated grievances and retains the authority to make final decisions about them. The following is a summary of a typical process and does not supersede processes established by the school: The first step generally is to discuss the issue with the involved faculty. If this does not produce a satisfactory outcome, procedures generally indicate that the complaint should be made in writing to that faculty member and include the factual history of the issue



from the student's perspective. The faculty member should respond in writing. If the response is unsatisfactory to the student, he or she should follow the process outlined in the relevant school's policies, which may include submitting all correspondence and a statement of actions taken and why they are viewed as unsatisfactory to the graduate program director or other designated official for a decision. If that person's judgment is viewed as unsatisfactory, the student may pursue the issue at the next designated level of school official, until a level is reached where the official's decision is final, typically the dean of the school. All actions should be documented in writing, and each actor should retain copies until the grievance is resolved.

## Jurisdiction and Responsibility for Academic and Nonacademic Misconduct

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

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

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

### **Academic Honesty Policy**

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

Plagiarism is a pervasive form of academic dishonesty. This is the use, whether deliberate or unintentional, of an idea or phrase from another source without proper acknowledgment of that source. The risk of plagiarism can be avoided in written work by clearly indicating, either in footnotes or in the paper itself, the source of any other major or unique idea which the student could not or did not arrive at on his or her own. Sources must be given regardless of whether the material is quoted directly or paraphrased. Another form of plagiarism is copying or obtaining information from another student. Submission of

written work, such as laboratory reports, computer programs, or papers, which has been copied from the work of other students, with or without their knowledge and consent, is also plagiarism. In brief, any act that represents someone else's work as one's own is an academically dishonest act.

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

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

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

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

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

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

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



***Records of Academic Misconduct***

1. The files for cases that result in exoneration will be destroyed within 30 days of the date of the exoneration letter.
2. All paper and electronic records and recordings of cases that result in a finding of responsibility after a hearing will be kept by the school for a period of seven years after the date of the decision letter and then they may be destroyed.
3. XF or XE course grades will be noted on the transcript as due to academic dishonesty.
4. Suspension will be noted on the transcript as due to academic dishonesty during the period of suspension.
5. Expulsion will be noted permanently on the transcript as due to academic dishonesty.

# Academic Misconduct

