

Department of Brain and  
Cognitive Sciences

Ph.D. Program Policies &  
Procedures

2025-2026

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## How to Use This Document

This document lays out the policies and procedures relating to successful completion of the PhD program in the Department of Brain and Cognitive Sciences. **All new students entering the program should read this document in its entirety.** It also serves as reference for students, faculty, and staff for any questions about our PhD program..

- All students (and post-docs and faculty) should also **read the department's Mentorship Handbook**, which lays out expectations for mentors and mentees. [Handbook Link](#)
- For **general requirements for all graduate degrees**, see the [Regulations and University Policies Concerning Graduate Study](#).
- For **university-wide expectations about mentorship, ethics, communication, and related topics** are described in the [Graduate Education and Postdoctoral Affairs \(GEPA\) Handbook](#)

**Who to contact if this document requires changes:**

- Kathy Corser, [kcorser@ur.rochester.edu](mailto:kcorser@ur.rochester.edu), 358 Meliora Hall, (585) 275-1844

## ADDRESS DETAILS FOR THE Department of Brain and Cognitive Sciences

Mailing address is: Box 270268, 775 Library Road, Rochester, NY 14627

Students can receive mail to their mailbox located on the 3rd floor of Meliora Hall addressed to their name using the BCS department mailing address listed above.

For in-person deliveries use the following address: 775 Library Road, Meliora Hall Rochester, NY 14627

Students can send mail via Intercampus mail to locations on UR Campuses using Intercampus Mailing Folder and blue UR Mail bags located by the mailboxes in Meliora Hall third floor.

## **Points of Contact**

### **BCS Department Contacts**

The BCS department has dedicated staff members available to assist all graduate students. Graduate students are encouraged to ask staff with any questions or concerns because staff will have the most current and up-to-date information on policies and procedures.

#### **Supervisor, Academic Finance and Operations: Jennifer Gillis**

Jennifer is responsible for the financial procedures in the BCS department. Jennifer processes the forms necessary to get graduate students paid and ensure tuition and health insurance fees are paid.

#### **Accounting Assistant: Chris Dambra**

Chris can assist with purchasing items for the lab, memberships and conference registration.

#### **Systems Administrator: Chris Freemesser**

Chris is the IT manager for both Brain & Cognitive Sciences and the Center For Visual Science. He is responsible for setting up and maintaining all computers within BCS as well as managing the various computing resources (wired network, printers, data storage devices, servers, etc.) that members of BCS typically rely upon. Any questions concerning IT-related issues should be addressed to him first.

#### **Web Coordinator: Sara Peterson**

Sara assists instructors and TAs with Blackboard, gaining access, uploading materials, or general assistance. Sara also provides resources for creating personal webpages and link those pages to the BCS website.

#### **Administrative Assistant, BCS and CVS: Michele Schultz**

Michele is an administrative assistant in Brain & Cognitive Sciences and the Center for Visual Science, as well as assistant to the Chair of BCS. Michele assists with booking travel (F2s) for some grad students from the DeAngelis, Poletti, Rucci and Tadin as well as placing orders for their associated research labs.

**Graduate Programs Administrator: Kathy Corser** – Kathy is the primary contact person on questions regarding the PhD program in BCS. Please contact her directly with any questions about the PhD program.

### **Graduate Student Representatives**

The graduate students representing the needs, interests, and opinions of all graduate students. We strive to ensure just representation and treatment of all graduate students and to enhance your academic and social experiences.

### **Graduate Representatives: Paul Jolly and Alina Neverodska:**

These grad reps primarily serve as liaisons between the BCS graduate student body and faculty. In addition to attending monthly faculty meetings, the grad reps also represent BCS graduate students at various ad-hoc committees or meetings that arise over the year. They also assist in coordinating between the different student leaders and setting the agenda for the leadership meetings.

### **Social chairs: Yue Guzhang and Krishnaveni Nagarajan**

Social chairs oversee organizing social events during the academic year with the goal of creating a sense of community within the BCS department. These students also serve on the committee that plans the BCS retreat at the beginning of the academic year.

### **Recruitment Organizer: Jose Reynoso**

The recruitment organizer assists the administration with organizing lunches and events with prospective students. They are also responsible for collecting feedback from current grad students about prospective students after organized events.

### **DEI Representative: Oviya Mohan**

The DEI rep serves as the liaison between the grad leadership and the DEI committee. This role assists with coordination and communication between the two entities.

### **University Graduate Education**

Richard Libby, Interim Vice Provost and Interim University Dean of Graduate Education

<http://www.rochester.edu/gradstudies/>

### **AS&E Graduate Education and Postdoctoral Affairs (GEPA)**

Nick Vamivakas: Dean of Graduate Education & Postdoctoral Affairs

Kris Lantzky-Eaton: Assistant Dean of Graduate Education and Postdoctoral Affairs

Katie Ferruzza: Assistant Director of Student Services

Leanne Temp: Assistant Director of Academic Affairs

Aisling Sive: Assistant Director of Admissions and Enrollment

Donna M. Derks, Academic Records Manager

Nick Chodak: Financial Analyst

Silka Houghton: Graduate Student Recruiter

David Cota-Buckhout: Assistant Director of Alumni Engagement and Career Support

<https://www.rochester.edu/college/gradstudies/index.html>

## **Departmental Citizenship**

At least in part, the BCS graduate program is so successful because people (e.g., staff, students, faculty) make an extra effort to be good department citizens, meaning team players who help and support each other. All members in the BCS department are requested to be good department citizens. This might mean different things in different situations, such as helping a fellow student in their research efforts, helping a BCS staff member prepare for a departmental event, or helping a BCS faculty member supervise an undergraduate student.

The BCS department engages in many different types of activities requiring student organization and participation. Some activities might serve as an educational function (e.g., colloquium talks by faculty from other universities), other activities might serve as a departmental function, and still other activities might serve as a social function. All of these are important to the department's welfare, and students will assist with their time and energy when it comes to organizing and participating in these activities.

## Financial Support

Graduate students in BCS are financially supported by a 12-month stipend, which is intended to defray living expenses so that they may devote full time to their research and not have to work outside of the University. The department also pays the mandatory university health fee, which covers visits to the University Health Service and the University Counseling Center and a single plan University Health Insurance. The university fees students are responsible to pay is the graduate student activity fee (\$10 per semester) and, if applicable, International Student Fee (\$70 per semester).

### **2025 – 2026 Financial Support: Departmental and College of Arts & Sciences**

\$33,500 – 12-month stipend *\*paid on 15<sup>th</sup> and last day of the month*

\$952 – mandatory health fee

\$3,720 – UR Single plan health insurance *\*\*insurance coverage for spouse and dependents are student's financial responsibility*

\$51,600 – Tuition scholarship *\*\*\*tuition scholarship is for courses to use towards the student's MA & PhD Program of Study*

It is the student's responsibility to check their bill every semester. The monthly statement is posted in UR Student Home Page. Refer to Appendix B, **View Bill, View Financial Aid and Pay Bill**.

All full-time students receive a stipend for up to five years while they are pursuing their PhD degree, as long as the student remains in “good standing” meaning that the student is making satisfactory progress toward his or her PhD degree.

BCS does not distinguish between students who are supported by fellowships, research assistantships, or training grants. With relatively few exceptions, stipends are uniform across students (exceptions include, students who receive outside fellowships such as those provided by NSF and/or University Sproull of Provost Fellowships).

### **Who to contact with questions about financial matters:**

- Jennifer Gillis, [jgillis@ur.rochester.edu](mailto:jgillis@ur.rochester.edu), 360 Meliora Hall, (585) 275-2852



## Time Table of Requirements toward a PhD Degree

This section describes the graduate program requirements on a year-by-year basis. Specific course requirements are listed in a separate section.

### Year 1

#### Fall:

- Students typically take two to three courses in their first semester.
- Select a primary research advisor(s) in the Fall. While most students will have already chosen their advisor before they arrive in the Fall, students may use the semester to finalize their choice in consultation with department faculty.
- Students begin conducting research in their first year. Typically, students begin the process of defining an initial research project with their advisor in the fall and are fully engaged in the spring and summer.

#### Spring:

- Students typically take two to three courses. Every first-year student will enroll in BCSC 599 (Professional Development and Career Planning).
- By February 1st, each student must select a **scientific advisory committee** composed of three faculty members, including the student's primary research advisor. Committee members can include secondary faculty in the department. The student will ask one of the committee members, not their research advisor, to be committee chair. If a student has two research advisors (e.g., a collaborative project), then it is fine for both advisors to be on the committee, but the committee must also include at least one member who is not directly involved in the student's research. That person would be chair if there are two research advisors on the committee.
- By May or June, the student arranges a meeting (~60 min) with the Advisory Committee to discuss the student's progress and their readiness for the oral/written presentation to the same committee in Fall of Year 2 (see below).
- Following the May/June meeting, the chair of the Advisory committee will summarize the student's progress and the committee's recommendations and advice for the second year.

### Year 2

- Students will continue with their course work in the second year – typically taking one to three classes each term. Students can petition to take BCSC 582 (described below) one year early in Year 2 with advisor approval.
- Students will be assigned to TA a class in their second year.
- Before 8/15, typically by the end of spring or the start of summer of Year 2, students will **submit a short paper** (3-5 pages) and **give an oral presentation to their scientific advisory committee** describing their research progress and their plans for the coming year.
- Before 8/25, typically by the end of spring or the start of summer, students select a qualifying exam committee of three faculty, including their research advisor(s). This committee may be the same as their advisory committee, but need not be.

## Year 2, Summer or Year 3, Fall

- Each student will complete the **Qualifying Exam**.
- Students will **complete the remainder of courses** required in their third year, depending on their progress in completing the program's course requirements or their own interests.
- Students will be **TAing a course** in either the fall or spring semester.
- The bulk of this year is devoted to continuing research and developing a dissertation proposal.
- **Spring BCS Lunch Talk:** Each student will give a short talk in typical conference format (20min + 10 min for questions) during a BCS lunch. This provides a forum for all of the faculty and students to be aware of your research, and will also serve as a good practice for giving short talks at conferences, handling questions, etc.
- Students must take **BCSC 582, a grant writing workshop**, in which they develop a research plan in the form of an NIH predoctoral fellowship proposal.

## Year 4

This year is typically devoted to dissertation research. Students will TA a course in either the fall or spring term, typically completing their three-term teaching requirement.

**BCS Lunch Talk:** Fourth-year students give a full length (approximately 50 minute presentation) which is preparation for a colloquium talk, a type of talk common in job interviews for faculty positions.

**Dissertation Proposal:** Student forms a dissertation committee of at least three faculty (two BCS faculty members and one outside faculty member). At the end of the term, students defend their dissertation proposal in a closed meeting with their committee. The thesis committee may differ from a student's advisory committee.

The thesis proposal should be a 4-5 page document specifying the plan for the thesis. For each major section of the thesis, it should describe the research questions addressed by that section, the background and significance motivating these research questions, and the research plan for studying the questions. Relevant preliminary data and/or results that the student has obtained can also be described. Hopefully, it will often be the case that the student wrote a grant proposal in BCS 582 (taken during Year 3) that contains many of the materials needed for a thesis proposal.

Students will complete a Thesis Proposal Form and send it to their Thesis Committee at least two weeks before the meeting.

**Year 5** This year is devoted to completing the student's dissertation research and preparing the dissertation document. Students typically defend their dissertation by the end of their fifth year.

## Course Requirements, Registration Procedure and Grading

Registration is a process all students are required to complete each semester up to and including the semester you are completing your final degree exam. Registration each semester begins with completing the On-Boarding task in your UR Student In-Box or part of the Action Items and Holds that can stop registration. Refer to Appendix C– **Completing Required Onboarding in UR Student**

Registration will be conducted in the UR Student system ([www.rochester.edu/urstudent](http://www.rochester.edu/urstudent)). Refer to Appendix D – **Register for a Course Section**.

Students will register for 12 credits per semester until they reach the 90 credit hours for their PhD degree. Credit hours are awarded for a combination of courses, research and teaching. Students must complete the following distribution requirements. In addition to regular classes, students must complete a first-year professional training seminar as well as training in research ethics through one of several seminars or workshops offered at the University.

Please refer to the GEPA Policy about grades all graduate students must maintain, incomplete policy, academic probation policy, academic probation and separation and the process for appealing a separation.

[https://www.rochester.edu/college/gradstudies/graduate-handbook/academic/grading.html#academic\\_probation\\_policy](https://www.rochester.edu/college/gradstudies/graduate-handbook/academic/grading.html#academic_probation_policy)

### **Required to take both courses (offered every year)**

BCSC 502 Cognition: The goal of the course is to provide students with a broad foundation in key areas of (nonperceptual) human cognition. An interdisciplinary introduction to cognition. Topics covered include learning, memory, attention, concepts and categories, cognitive development, and reasoning, each considered from the perspectives of behavioral study, computational processes, and neural mechanisms

BCSC 505 Perception, action and neural foundations: This team-taught course will provide an interdisciplinary introduction to sensory perception, interplay between action and perception, as well as their basic neural foundations. Topics to be covered include: fundamentals of perceptual detection and discrimination, eye movements, visual perception of form, motion, and depth, haptic perception, basics of neural coding, multisensory processing, and attention.

### **5 advanced courses in relevant research areas – courses are not always offered every year/semester**

Courses can be either in BCS or in related research areas, including Linguistics, Computer Science, Optics, and Neuroscience.

At least one course needs to have a focus on statistics or research methodology.

### **See below for partial list of currently offered courses**

By selecting 3 courses from a concentration area students can also earn a concentration in either: (A) Computer Science, (B) Linguistics, (C) Vision Science or (D) Neuroscience.

<b>Partial List of Currently Offered Courses</b>	
BCSC 511 Behavioral Methods in Cognitive Science, <u>or</u> research experience	This course will cover a variety of behavioral techniques and analyses, with the goal of developing technical and analytical skills in thinking about experimental psychology. After several classes to introduce behavioral research and experimentation, we will focus on three prior experiments in detail: time series data from language comprehension, psychophysics, and animal behavior. Tools: Work will use a variety of free/open/replicable analysis tools in R and RStudio, including: Version control, backup, and data sharing: github and RStudio integration Data wrangling: tidyverse, magrittr, dplyr, broom, purrr Data visualization: ggplot2, plotly Data and code documentation: R markdown (good coding: styler, lintr, assertthat, here) Setting up code for reuse and sharing (devtools, roxygen2) Data analysis: lme4, lmerTest, gamm4 Data and model tables: stargazer, sjPlot Optionally Bayesian data analysis: brms (requires rstan, stan, and c-compiler to be installed)
BCSC 512 Computational Methods in Cognitive Science, <u>or</u> research experience	Deep neural networks (DNNs) have become very important modeling tools in cognitive science and neuroscience. This course focuses on: (1) the mathematical foundations of deep neural networks (DNNs); (2) knowledge of how to implement DNNs using the Python programming language and the Keras library; and (3) the uses of DNNs in the cognitive science and neuroscience literatures.
BCSC 513 Intro to fMRI, <u>or</u> research experience	Prerequisite: Prior programming experience (esp. Matlab) recommended. The core focus of the course will be on how fMRI can be used to ask questions about neural representations and cognitive and perceptual information processing. Some of the questions that the course will address include: 1) The basic fMRI signal just shows activation in different parts of the brain. How can we get from that to addressing questions about neural representations and neural information processing? 2) Ways of relating neural activation to behavioral performance. Can fMRI provide information over and above what can be obtained from behavior alone? 3) Standard fMRI analysis using the General Linear Model, including preprocessing steps. 4) Multivariate fMRI analysis using machine learning approaches. There will also be a component, about 20% of the class, on the big-picture aspects of MRI physics and physiology which make fMRI possible.
BCSC 515 Applied Introduction to Signal and Systems in BCS, <u>or</u> research experience	Why should I care about vector spaces and orthonormal bases? Or that a matrix defines a linear transformation? How should I properly acquire a biological signal? How are linear time-invariant systems useful to my research? What is a power spectrum and how do I properly estimate it? These are examples of the questions that will be addressed in this course. Students in BCS come from a variety of programs, some of which do not emphasize quantitative training. The goal of the course is to provide an introduction to the analysis of signals and systems and establish a background foundation by covering fundamental mathematical concepts that are essential for conducting rigorous research. To do so, the course will follow an applied approach, in which individual concepts are first introduced by means of scientific articles in the BCS-relevant literature, covered in depth in class, and then reviewed by means of additional articles or case-study problems. Rather than simply surveying topics at an introductory level, the course aims to reach a sufficiently advanced level for each technique introduced, that the student should be able to use that technique in his/her research and in other graduate courses. To give a common introductory framework to the materials, the course will focus on linear methods, but we will also discuss deviations from linearity. Covered topics, all introduced with the immediate goal of grasping why they are critically important to the student's research, include fundamental concepts from linear algebra, system analysis, and signal processing.
BCSC 547 Introduction to Computational Neuroscience, <u>or</u> research experience	Computational neuroscience studies how the brain can be understood in terms of computations implemented by neural circuits, and in terms of using computational methods to analyze neural and behavioral data. This course for advanced undergraduates and graduate students starts with models of individual neurons before moving on to networks of neurons and behavior. It provides both a classic signal processing, and a probabilistic perspective on how neurons support the brain's computations. While primarily lecture-based, an important part of the course are exercises that typically consist on implementing (programming) a model discussed in the class and analyze its behavior. The course also provides the opportunity for a final

	project but this is not required. The material mostly considers the sensory system and perceptual decision-making. Programming experience and a minimal background in linear algebra (vectors and matrices) and analysis (basic ordinary differential equations) are essential. At the beginning, there will be a very brief introduction to the key biological concepts necessary for the course.
BCSC 557 Advanced Computational Neuroscience	This is a seminar-style course for advanced undergraduate and graduate students covering multiple areas of computational neuroscience by weekly readings and student presentations. Many of the topics are deeper explorations of topics covered in BCSC 547 Introduction to Computational Neuroscience, focusing on the sensory system, decision-making, action selection and active inference, especially from a probabilistic and normative perspective. The reading list is somewhat flexible and adaptable to student interest. There is an opportunity for a final project but this is not required
<b>Additional Required Courses</b>	
BCSC 582 Grant Writing in Brain and Cognitive Sciences	A workshop in which students will write a proposal for either a pre-doctoral or post-doctoral NRSA fellowship from NIH. Students will review old NRSA proposals, both successful and unsuccessful and analyze the components of a successful proposal. Through process of peer review and discussion, students will write and revise the main sections of an NRSA proposal, culminating in a penultimate proposal that will be reviewed by two mock study sections – one in the class and one by faculty in BCS and CVS. Reviews from these study sections will be returned a week before the deadline for NRSA proposals at NIH. Students are encouraged to use the class to prepare real proposals that they can submit to NIH.
BCSC 599 Professional Development and Career Planning	The purpose of this 1-credit course is to provide first- and second-year graduate students with a set of guiding principles for optimizing their progression through the PhD program. The following topics will be discussed: fulfilling program requirements, advising and mentoring, time management, conference presentations and journal publications, writing skills for journals and grants, how to juggle, persist, drop, and collaborate in your research projects, the post-PhD job market and qualifications required for success.
Ethics: Option IND 501 or NSF Responsible Conduct of Research Training *see below	
BCSC 595: PhD Research	Variable
BCSC 598: Supervised Teaching Assistant	Teaching Assistant for undergraduate courses in Department of Brain and Cognitive Sciences – required for all BCS graduate students to TA 3 times
Qualifying exam:	covering the areas of Language and Cognition, Perception and Action and Behavioral Neuroscience – required for all BCS graduate students
Doctoral Dissertation	including oral defense
<b>Total:</b>	<b>90 credit hours</b>

### BCSC 999 Doctoral Dissertation

Students who have completed their 90 credit hours will register for BCSC 999, 0 credits. This will keep the student as a full time PhD Graduate student who is working “with full time and energy” on the thesis and is in active contact with the department.

### Ethics training

Students are required to obtain training in research ethics. They fulfill this requirement through one of two mechanisms.

### IND 501: Ethics and Professional Integrity in Research- Biomedical Sciences

The course features 10 sessions consisting of lecture/case study presentations followed by small group discussions that provide information on the various topics that the National Institutes for Health consider essential for the responsible conduct of research. Specific topics include the ethical issues underlying human experimentation and related conflicts of interest, animal

experimentation, the mentor-mentee relationship, scientific misconduct and plagiarism, collaborative and team science, and publication/authorship. The course also provides an introduction to approaches for improving rigor and transparency with the goal of enhancing research reproducibility. (Fall)

**NSF Responsible Conduct of Research Training:** NSF RCR is mandatory by NSF for all graduate students supported by NSF. Topics will include Research Misconduct and Plagiarism, Responsible Authorship, Intellectual Property, Copyright and Conflict of Interest. (Spring)

## Teaching Requirements and Opportunities

**Teaching Assistant Training:** All first-time teaching assistants (TAs) are required to attend TA training which will be organized by GEPA, offered by CETL. Students will be contacted in August or December regarding the date and time for training.

**Teaching Assistant:** All students are required to serve as a TA three times beginning in Year 2. Students will register for BCSC 598 Supervised Teaching Assistant in Year 2 and Year 3 and the third assignment is to fulfill the needs of supporting the BCS and NSC undergraduate program. The Academic Coordinator will work with the DGS and assign the TA assignments.

Assignments are done in June prior to the start of the academic year. Students who need to complete the requirement are asked which course they would like to TA and a preference to either fall or spring semester. The DGS and Academic Coordinator try their best to accommodate students with their preference but the need to fulfill all assignments must take precedence.

Students must meet with the instructor prior to the semester they are TAing to discuss the teaching assistant requirements. The teaching assistant contract will set expectations for attending class, office hours, recitations/review sessions, exam preparation, and grading.

**Other teaching opportunities:** Students often teach or co-teach undergraduate courses (typically for additional pay). Such courses might be offered during the Fall or Spring semesters, or might be offered during the summer sessions. Students thinking about careers as college or university professors, especially at small “liberal arts” colleges, are strongly encouraged to gain teaching experience by teaching courses. Students should consult with their faculty advisors before asking the department chair for teaching opportunities.

## Professional Development

The Ph.D. program in the Department of Brain and Cognitive Sciences is designed to foster students' professional development. In this section, we review components of the program that specifically address professional development, supplementing the professional development that takes place through coursework, research, and mentoring from the student's primary advisor.

### Professional and Career Development Seminar – BCS 599

*Students are required to take this course in Year 1.* This one-credit course meets for 4-6 two-hour sessions in the spring semester. The course reviews the progression through the program, providing students with an overview of the opportunities, challenges and decisions they are likely to face, along the way. The requirements of the program are reviewed, along with targeted topics, including: (1) common challenges and choices in juggling the multiple responsibilities of coursework, research and department citizenship, which change as a student progresses through the program; (2) designing a research program, including different approaches, e.g., multiple projects versus a single focused project; (3) different career paths; e.g., university professor, college, teaching-oriented faculty positions, industry; (4) networking and disseminating one's work through conferences and journals, including challenges associated with writing; (5) overview of grants and funding mechanisms; and (6) application process, and materials (e.g., vitas, research and teaching statements, for post-docs, faculty positions, and other jobs.

### Grant-writing workshop – BCS 582

*Students must take this class, and typically do so in Year 3 as a natural step towards an application for dissertation fellowships. The proposals students develop in this class also serve as a starting point for the thesis proposal, due in Year 4.* The workshop begins with an introduction to the structure of organizations that provide support for research and training, focusing primarily on the NSF and the NIH. Focusing on the NIH model, students learn about the grant-review process through participation in a simulated review panel ("study section") as reviewers and panelists. Most importantly, students write, in stages, the research components of an NIH proposal, refining their research ideas and writing skills, with weekly feedback from peers and faculty, culminating in a "mock" study section review of the full proposal, with faculty from BCS and other experts in the university community serving as reviewers.

### BCS Lunch Talks

BCS lunch talks expose students to presentations on a variety of scientific topics that span the gamut of the research being conducted within the BCS community. All students and faculty are expected to attend regularly.

- Year 3 students must give a conference length presentation (15 minutes) on their research, providing experience in presenting and receiving feedback from an audience with wide-ranging expertise across diverse areas.
- Year 4 students give a full length (approximately 50 minute) presentation which prepares them for a colloquium talk, a common part of job interviews for post-doc and faculty positions.



**Advisory Committee**

The advisory committee is designed to provide students with regular feedback about their research, citizenship, and coursework, including future plans. The structure of the committee is intended to make sure that students have contact with, and receive complementary feedback from, faculty other than the primary advisor.

**Support for Attending Conferences**

Professional conferences are an essential forum for learning about ongoing work in the field and developing professional relationships. The department provides (partial) financial support to encourage and enable first and second year students to attend conferences, even before they are ready to disseminate their work.

**Service and Administrative Experience**

The department provides and requires students to gain experience in the administrative and service tasks that are essential to an academic unit, thus contributing to the department while preparing them for performing these activities after leaving the department. These activities can include organizing BCS lunch (Year 2), helping to organize the annual graduate student recruiting visits (Year 1 – 5), meeting with colloquium speakers, and job candidates, including providing feedback on prospective students and faculty, and serving as a student representative, faculty recruitment (job-search) committees, and other ad hoc or standing committees.

## Annual Evaluations

It is extremely important that every student receives fair, honest, and timely feedback and evaluation on a regular basis. Critically, this is a **shared responsibility** --- faculty advisors are responsible for providing feedback to their advisees, and advisees are responsible for requesting feedback from their faculty advisors whenever this feedback would be useful. If a student is not receiving fair, honest, and timely feedback and evaluation on a regular basis, the student should talk with his/her faculty advisor. If needed, students can also talk with the BCS Director of Graduate Studies (Jude Mitchell) and/or the Department Chair (Dora Biro).

The University of Rochester requires all graduate students to complete an Annual Evaluation. BCS has developed its own “BCS Graduate Student Activities and Self-Evaluation Report”. The information requested in this report is provided below. Students must complete this report by July 1 of each year. This report is similar to the “Faculty Activities Report” that faculty are required to complete each year.

The report should provide an opportunity for each student to reflect on her or his progress in the BCS graduate program. The report should also provide information to BCS faculty that will be valuable to faculty as faculty attempt to evaluate each student, and as faculty modify and improve the graduate program in an on-going basis.

## Qualifying Exam

All BCS students must pass the PhD qualifying exam before the end of their third year. Students choose between one of two formats for the exam. BCS graduate students enter PhD candidacy upon successful completion of a qualifying exam.

Option A is the most common option and is the default used by students unless they have had a conversation with their advisor that suggests that the other option is a good choice.

### **Option A—Six long essay questions:**

In collaboration with a faculty qualifying exam committee, students prepare a reading list on three to five topics chosen to provide both broad coverage of those areas of the field related to a student's research interests and depth of coverage of the student's specific research area (questions about appropriate topics and papers should be addressed by the faculty qualifying exam committee). The final version of the reading list must be approved by the faculty committee. After completing the readings, students take the exam. Students are given four days (if appropriate, the faculty qualifying exam committee may choose to give additional time to international students who are not native English speakers) to complete the exam. The answer to each essay question should be a maximum of 2,500 words.

### **Option B—A “review plus opinion” paper potentially suitable for publication and three long essay questions:**

With respect to the review-plus-opinion paper, students should (in collaboration with the qualifying exam committee) select a specific research area closely related to the student's research interests and a reading list focused on that area. The faculty qualifying exam committee must approve this topic and reading list. After receiving approval, the student should write the paper.

With respect to the essay questions, the student should prepare a reading list on two to three topics providing broad coverage of those areas of the field related to a student's research interests. As above, the final list must be approved by the faculty qualifying exam committee. Students are given two days (again with a possible extension for international students) to answer the essay questions.

Students pursuing option B must adhere to the following time constraint: the review-plus-opinion paper must be written first, and the essay component of the exam must be completed within the following 30 days.

**Note:** The faculty qualifying exam committee grades each essay question of the exam as well as the review-plus-opinion paper for students choosing option B. The committee may ask for revisions of essay answers and/or of the paper. After revisions are submitted, the committee assigns a passing or failing grade to the exam, and the student is given written feedback on his/her performance on each part of the exam. Students will need to set up individual appointments with each committee member for individual feedback on their qualifying exam.

**Note:** Students wishing to read questions (not answers) from previous students' exams should see Kathy Corser.

**Elevation to Ph.D. Candidacy (Ph.D. Qualifying Procedure)**

Once the qualifying exam has been completed and the student has passed, the student will be recommended for elevation to Ph.D. Candidacy.

*Students should note that at least six months must elapse between this point and the final oral defense of the dissertation.*

## PhD Dissertation Policies

**Please refer to the Regulations and University Policies: Concerning Graduate Studies for more details on PhD Dissertation (pages 9 – 13) – Appendix A**

### **Dissertation proposal:**

Student forms a dissertation committee of at least three faculty (two BCS faculty members and one outside faculty member). At the end of the term, students defend their dissertation proposal in a closed meeting with their committee. The thesis committee may differ from a student's advisory committee. Furthermore, the set of faculty serving on the thesis committee is not fixed forever. If a student's research program subsequently changes, the faculty members on the thesis committee can be modified. At least two weeks prior to the meeting, the student will distribute a thesis proposal to the committee members (see next paragraph). At the meeting, the student will describe the proposed thesis and receive feedback from the thesis committee members. The chair of the committee (a faculty member who is not the student's primary advisor) will write a memo stating whether or not the student is making adequate progress toward a successful thesis, and providing written feedback to the student. All members of the thesis committee will sign the memo.

The thesis proposal should be a 4-5 page document specifying the plan for the thesis. For each major section of the thesis, it should describe the research questions addressed by that section, the background and significance motivating these research questions, and the research plan for studying the questions. Relevant preliminary data and/or results that the student has obtained can also be described. Hopefully, it will often be the case that the student wrote a grant proposal in BCS 582 (taken during Year 3) that contains many of the materials needed for a thesis proposal.

### **Preparing for a PhD Defense**

<http://www.rochester.edu/college/gradstudies/phd-defense/index.html>

### **Dissertation Writing and Guidelines**

The [Preparing Your Doctoral Dissertation](#) manual is a great resource to help you bring your dissertation up to the required standard of organization, appearance, and format for the University of Rochester. Before preparing the defense copy of your dissertation, check the contents of the manual carefully to help avoid mistakes that can be time-consuming and costly to correct.

Including material produced by other authors in your dissertation can serve a legitimate research purpose, but you want to avoid copyright infringement in the process. For detailed instructions on avoiding copyright infringement, please see ProQuest's [Copyright Guide](#).

The BCS department also requires PhD students to include an introduction and a conclusion in their dissertation. The introduction should include a review of the background of the project and the model system and the relevant literature. The concluding chapter will include interpretation and speculation for the future.

Refer to Appendix E – Dissertation Manual

Please see Kathy Corser for all questions about your dissertation defense.

**PhD Committee Members:**

**Inside Members:** The committee shall consist of at least two current full-time tenure-track members with the rank of assistant professor or higher in BCS.

**Outside Member:** At least one current full-time faculty member at assistant professor rank or higher from outside the BCS department. An outside member can also be from another institution and must petition the Dean's Office for a nonstandard committee member.

**Chair:** You must identify a faculty member to serve as chair for your defense. The chair must be a current full-time faculty member at the assistant professor rank or higher; not a primary faculty member in BCS; and someone who has not had prior involvement in your research. The chair is appointed for each PhD oral defense to monitor and promote fairness and rigor in the conduct of the defense.

**Day and Time of Defense:**

It is the student's responsibility to select the day and time of the dissertation. Defenses can be held on any day the University's Graduate Studies Office is open (not weekends, evenings, holidays, or the days between Christmas and New Year's). Once you have confirmed a day and time, Kathy Corser will schedule the rooms for the open and closed defense.

**Register Thesis:**

Kathy Corser will create a record in the PhD Completion website and will upload all the necessary documents for registering your thesis. You will receive an email from UnivGradStudies@ur.rochester.edu and you will need to update your personal email address and mailing address.

Your thesis must be registered 15 business days prior to your defense (the 15 days does not include the day you register your thesis and the day of your defense). Registration includes approvals from Kathy Corser, Inside and Outside Committee members (not the Chair of your committee) and either the Department Chair or the BCS Director of the Graduate Program. Your committee members should receive your thesis a minimum of one week prior to the registration date to read your thesis. Kathy Corser will check the formatting of your thesis only.

**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.

## Travel and Expense Reimbursement Guidelines

Policies and procedures change frequently and if you have any questions regarding travel policies, please contact Jennifer Gillis or Kathy Corser.

General guidelines apply to all conference reimbursements and departmental expenses.

Add “Expense Hub” to your Workday Menu. Refer to the reference guide, Appendix F, **Adding the Expenses App in Workday**”

Must setup your Direct Deposit Payment Election to receive your reimbursements via Direct Deposit. Refer to the reference guide, Appendix G, **Payment Election**.

Option to delegate a BCS staff member to assist in processing BCS departmental expenses. Refer to the reference guide, Appendix H, **Delegations**.

1. **DISCUSS YOUR TRAVEL PLANS WITH YOUR ADVISER PRIOR TO YOUR TRIP!** It is **YOUR** responsibility to make sure your adviser agrees to support your travel **BEFORE** you spend your own money. There are limited departmental funds for travel so you will likely need funding from your adviser to cover the full amount of your travel expenses.
2. **Foreign travel or plans to include personal travel with your business-related travel must be discussed with Jennifer Gillis BEFORE making any travel arrangements.**
3. Expense reports **MUST** be submitted within **60 days** from return of the trip (for travel), date of the event (for example, a local meal with a guest speaker) or from the date and item was purchased. The 60-day rule is to ensure that the University is compliant with IRS regulations. If expense reports are not filed within 60 days, you will need to be reimbursed through payroll via extra compensation, and this will be considered taxable income.
4. You must attach receipts for all reimbursements. Acceptable documentation must contain **all** the following information: **Name of vendor, location, date, amount of expense and description of the goods.** This includes receipts for meals. The restaurant receipt should detail the food that was ordered at the meal. If the meal was for you and another BCS student, you must provide the name of the person at the meal
5. Merchant receipt is required for all purchases \$50 or more. Debit/Credit card statements are not a substitute for a merchant receipt. Pictures and scans of receipts are accepted. When a copy cannot be obtained, a completed Missing Receipt Form is required. Attach the Missing Receipt Form and proof of payment, debit/credit card transaction (statement).

If a receipt for a purchase greater than \$50 is lost, and you are unsuccessful in obtaining a copy of the missing receipt, you will be required to complete a **Missing Receipt Form**. <https://www.rochester.edu/adminfinance/finance/employee-reimbursements/employee-reimbursements-forms/> Bank or credit card statements are not accepted as a substitution of a missing detailed receipt.

6. Receipts are not required for expenses less than \$50, **BUT** the employee will still need to provide the following information to be reimbursed for the expense: **Name of vendor, location, date, amount of expense and description of the goods.** Because you still need to provide all these details, best practice is to attach all receipts to the Expense Report, even if the expense is under \$50.

7. It is possible for the department to direct pay **Airfare, Conference Registration, Abstract Fees, Membership Dues and Other Research Related Expenses** so that you do not have to use your own funds for these. In fact, it is highly recommended that you do **NOT** pay for expenses out of pocket if there is a way to direct pay for the charge. We prefer to avoid students putting out their own money for travel when possible.

In general, the following are the categories of expenses related to conference travel that are allowable for reimbursement.

#### **Transportation:**

For University related business, you are expected to use the most economical mode of travel that is suited for the trip. In the case of flights, you must fly coach or economy. If you fly business or first class, you will only be reimbursed for the cost of the lower price airfare. There are some exceptions, but these should be discussed in advance of making reservations for the trip.

#### **Best Practice for Making Airline Reservations:**

The University works with two local travel agencies that you can use for booking flights. If you book your business-related flight with a University travel agent, **you do not have to pay out of pocket for airfare.** When you use one of the travel agents, the cost of the airfare is directly charged to the University account covering the expense. To get the best price on flights, it is recommended that you contact the University travel agent at least 21 days prior to the trip, but for students, the reservation can be made at anytime prior to the trip. Here is the contact information for the two UR approved travel agencies:

DePrez Travel Bureau, Inc.

Phone: 585-442-8900 option 3

Email: [UofRtravel@depreztravel.com](mailto:UofRtravel@depreztravel.com)

Town & Country Travel

Phone: (585) 381-2850

Website: [www.towncountrytravel.com](http://www.towncountrytravel.com)

It is highly recommended you book your University business flights with one of these travel agents. To do this, simply call the travel agency (we have traditionally used Town and Country) to make your reservation and let them know you are a University of Rochester graduate student. Students must complete an F-2 form and contact the travel agent to book a reservation. Email the approved F2 Form to the travel agent the same day the reservation is made. Jennifer Gillis and/or Kathy Corser can provide you with the F2 Form and the account number needed for the form. Using an F2 Form the fees are charged to the UR



Please note: If you plan to add any personal travel time into your business trip, please discuss this with Kathy Corser or Jennifer Gillis **PRIOR to booking your flight with the travel agent or booking the flight with your own funds if you decide not to use the travel agency.**

### **Special Considerations for Foreign Travel:**

UR Staff and students who are traveling abroad on University sponsored or supported activity are required to register their trip with the Office for Global Engagement, <http://www.rochester.edu/global/>

Due to anticipated changes to **international travel** insurance policy in December 2025 and increased geopolitical risks worldwide, all University-sponsored or supported travel, **including faculty and staff business travel**, must be registered through the [University of Rochester International Travel Registry](#) at least two weeks in advance of departure. Registration enables the University to provide support during emergency response, and it is a critical step to ensuring travelers can access university-provided resources, such as international travel insurance and assistance, abroad.

All flights (domestic and international) supported with federal funds must be taken on U.S. flag air carriers, regardless of cost or convenience – unless an exception, as listed in the [Federal Travel Regulation \(FTR\)](#) is authorized. The University travel agents are very familiar with the rules surrounding flight restrictions for grant supported travel. They can ensure you are booked on a flight that is compliant with the Fly American Act.

### **Lodging Expenses:**

You must provide an itemized bill, folio, or proof of stay. Itemization should include name and location of the hotel, dates of stay, and separate amounts for charges such as lodging, meals, and telephone calls. You will only be reimbursed for the cost of the room and parking charges if you drove your own vehicle. Cleaning fees for AirBnB rentals are also okay. You must provide a detailed receipt, and lodging is only reimbursed **AFTER** you have returned from the conference. We are unable to direct pay or reimburse lodging expenses until after the conference.

NOTE: If you do not have lodging expenses because you stayed with friends or family, please note this on your reimbursement form. If lodging expenses were shared with other BCS students, staff or faculty, please let us know that information as well.

### **Conference Registration, Abstract Fees, and Membership Dues:**

If there are fees related to any of these items, please contact Kathy Corser or Jennifer Gillis. It is possible (and recommended) for us to use a departmental credit card to directly pay for these expenses. When we pay for these expenses with a purchasing card, you do not have to use your own funds and get reimbursed for the expenses.

If you do pay for the expense out of pocket, you must turn in the receipt with the Expense Report to be reimbursed for the expense.

**Meals:**

For conference travel, the cost of food is only reimbursed when your adviser agrees to pay for this expense. If your adviser does agree to cover this cost, you will have to choose if you want to be reimbursed for actual meal costs (by turning in actual receipts per the guidelines above) or by the federal per diem rate. The per diem rate can also be used for lodging on INTERNATIONAL travel. The per diem rates can be checked at the following website: [GSA.gov/Perdiem](http://GSA.gov/Perdiem). The rates vary by state and city. Please talk to your adviser about what they will cover for meals when you are at a conference prior to attending.

**\*\*ALCOHOL WILL NEVER BE REIMBURSED.\*\***

FYI. Reimbursement for meals with local visitors or department events is handled differently, so please talk to Kathy Corser or Jennifer Gillis about local meals with visitors.

**Miscellaneous Allowable Travel Expenses:** Receipts needed per the guidelines

- Taxis, Trains, Shuttles, UBER, Lyft: When University business travel requires the use of a ride hailing service (such as Uber or Lyft), the least costly available arrangement which are suited to the trip are to be used, taking into account the number of passengers, luggage or equipment, etc.
- Expenses for shipping University equipment or baggage handling and storage
- Tips for above items
- Highway and bridge tolls
- Necessary parking fees
- Certain specific approved fees from University contracted travel agents

**EXPENSES THAT ARE NEVER REIMBURSABLE:**

- Personal entertainment expenses
- In-flight/room movies, satellite radio on car rentals, headsets, books, magazines, newspapers, health club fees, hotel movies, social activities, honor/mini bar charges, sporting events, and similar
- Expenses associated with your normal commute (for example taking a taxi or ride hailing service because your car broke down on your way into work)
- Damages incurred to any form of lodging, rental accommodations or vehicles as a result of engaging in activities not directly related to University business
- Charges incurred as a result of changes in travel itinerary made for personal convenience including no-show charges for hotel or car service
- Charitable contributions or Donations that do not benefit the University or further the University's objectives
- Babysitting, house-sitting, and pet-sitting/kennel fees
- Fees on personal-liability credit cards or accounts
- Credit card annual fees, late fees, or finance charges
- Traffic fines, court costs, parking violations, and other fees; even if driving a University-owned/leased vehicle
- Rental car insurance (Domestic Travel)

**If a University traveler interrupts a business trip or adds days to make a side trip for personal reasons, all expenses that were not incurred for University business must be borne by the traveler and not submitted for reimbursement.**

**HOW TO GET REIMBURSED:**

After you have returned from your trip, you will need to complete an **Expense Report**. Refer to the reference guide, Appendix J, on how to **Create a Student Expense Report**. For the expense report, you will need to know the "Worktag", which is essentially the account that will be charged for the travel expenses. Jennifer Gillis can help to provide you with the correct "Worktag" (account) for your travel expenses. We also understand you may need assistance the first time you are completing the expense report, so please talk to Kathy Corser or Jennifer Gillis for assistance with completing the Expense Report.

STEP 2: After your Expense Report has been completed and approved by all the necessary individuals, and submitted to Accounting, you will receive your reimbursement.

If you have any questions regarding travel policies or need help with completing expense report, please contact Jennifer Gillis or Kathy Corser.

## Resources for Conflict Resolution

Pursuing a PhD degree is difficult, and it is inevitable that problems will arise. Some problems will be academic in nature (e.g., my experiments are not producing the results that I was hoping for), whereas other problems (e.g., health problems, family problems, etc.) are normal parts of everyday life. There are a wide variety of resources available to students.

**IMPORTANT:** Discussions with faculty and many others (e.g., AS&E ombudspersons) normally operate under a rule of confidentiality. It must be understood, however, that there are circumstances in which faculty and others are required to disclose information. For example, if an Ombudsperson believes a person is a danger to themselves or others, the Ombudsperson is required to disclose this to the University Counseling Center and Public Safety. Many other examples also exist.

- **Faculty Advisors, Other Faculty, BCS Director of Graduate Studies, BCS Department Chair:** Although these individuals might be most useful for academic problems, they can also be useful for other types of problems (especially the BCS Director of Graduate Studies and the BCS Department Chair).
- **AS&E Dean of Graduate Studies:** Students should not be shy about approaching the Dean. An important aspect of this person's job is to listen and, if possible, help graduate students.
- **AS&E Ombudsperson:** There are two Ombudspersons. Each is an AS&E faculty member who can provide confidential, impartial and independent advice to help graduate students address their concerns. The Ombudspersons provide a resource for and information about institutional policies and act as facilitators to help students resolve their problems, connecting students with those who can help, accompanying the student in discussions of problems or issues with faculty or administrators, and acting as an informal mediator between the student and faculty or administrators.

### **Ombudsperson for the Humanities and Social Sciences**

Professor Marie-Joelle Estrada  
402 Meliora Hall  
Phone: (585) 275-8685  
Email: [mestrada@ur.rochester.edu](mailto:mestrada@ur.rochester.edu)

### **Ombudsperson for the Natural Sciences and Engineering**

Professor Jenn Brisson (she/her)  
310 Hutchison Hall  
Phone: (585) 275-8392  
Email: [jennifer.brisson@rochester.edu](mailto:jennifer.brisson@rochester.edu)

- **University Health Services:** The mission of the University Health Service is to improve the health and well-being of University of Rochester students and staff. As part of an academic institution, UHS also participates in the education and research missions of the

University. The staff of University Health Service value **caring** for the health and well-being of our patients, **respect** for the diverse individuals we serve and with whom we work, and **excellence** in all that we do. The divisions of UHS include: **Primary Care, University Counseling Center, Occupational Health, Health Promotion, and Administration** <http://www.rochester.edu/uhs/>

- **University Counseling Center:** The University Counseling Center (UCC) provides a comprehensive initial assessment and an individualized treatment plan to full-time members of the University of Rochester community who pay the mandatory health fee. Based on the initial assessment, a treatment plan is developed by the clinician that addresses the client's unique needs and concerns. This plan may include recommendations such as, but not limited to: group therapy, workshops, brief therapy, referrals to community provider for specialized treatment or longer term therapy services, case management services, psychiatry or other campus services. Our therapists are licensed professionals and professionals-in-training from a variety of mental health disciplines. They employ many treatment approaches and draw upon a wide range of training and experiences in the field of psychotherapy. Our consulting psychiatrists are available for psychiatric evaluations and ongoing medication management. All psychiatry appointments require a referral from a UCC therapist or UHS primary care physician/nurse practitioner. Students who choose not to follow the UHS psychiatrist's recommendations will be referred to other sources of care. UCC case management services are available to help with referral to the appropriate provider. <http://www.rochester.edu/uhs/ucc/>
- **Office of Equity and Inclusion:** University is committed to not discriminating on the basis of age, color, disability, 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. This commitment extends to the administration of our policies, admissions, employment, access, and recruitment of candidates from underrepresented populations, veterans, and persons with disabilities consistent with these values and government contractor Affirmative Action obligations. <https://www.rochester.edu/eoc/>

## **UR Campus Resources for Graduate Students**

### **Academic and Career Support**

Center for Excellence in Teaching and Learning (CETL) provides graduate students with resources to support their work as classroom TAs, laboratory TAs, and instructors. CETL also offers academic honesty support, including educational outreach programming and confidential counseling for students.

### **AlertUR System**

AlertUR is the University's crisis notification system designed to provide rapid notification and instruction via voice, text, and email message to students, faculty and staff in all University Divisions.

<https://alert.rochester.edu/>

### **Athletics and Recreation**

Full-time graduate students enjoy free access to the campus fitness and aquatic centers. Part-time students can join the membership program, R Club, to use campus athletic facilities. Both full-time graduate students and R Club members can participate in club and intramural sports. For a full list of offerings, visit the Athletics & Recreation website.

### **Basic Needs Hub**

The Basic Needs Hub (<https://www.rochester.edu/students/support/>) facilitates connection to campus and community resources for students who are experiencing a time of critical need. The Hub provides urgent, essential necessities, such as clothing, emergency shelter, and access to academic tools. Please note that the Hub does not cover items that are already included in a student's financial aid package, including tuition and fees. Requests are typically fulfilled within 3-5 days.

The mission of the Basic Needs Hub is to provide short-term, temporary financial assistance in unanticipated or emergency situations; priority is given to students with the highest financial need. The Basic Needs Hub is not a crisis response service.

### **CARE Network**

Students can also refer themselves and others to the CARE Network ([www.rochester.edu/care](http://www.rochester.edu/care)), an office dedicated to helping students understand what type of support they need and connecting them with the appropriate campus resource.

### **Customer Service Center/ID Office**

Visit the Customer Service Center for ID cards. The office is located on the first floor of Susan B. Anthony Hall. Please note that you should report a lost or stolen ID card to the ID Office as soon as you become aware that it is missing.

**The David T. Kearns Center for Leadership and Diversity** strives to expand the educational pipeline through the doctoral degree for low-income, first-generation college, and underrepresented minority students. The center also helps develop and guide the University's diversity and inclusion efforts.

### **Department of Transportation and Parking Management**

Get connected in, around, and between campuses when you ride on the University's shuttle fleet or register your vehicle and purchase a permit to park on campus. Visit the Department of Transportation and Parking Management website for details on shuttle services and parking permits.

### **Emergency Contacts**

Call the Department of Public Safety at (585) 275-3333 or by picking up a direct dial Blue Light Emergency Phone on campus. For mental health emergencies, call Public Safety or the UCC 24/7 on-call professional at (585) 275-3113.

### **Graduate Housing**

The University of Rochester has several graduate housing options available for students and their family members. Visit the Graduate Housing website for more information.

### **Graduate Student Association (GSA)**

The GSA exists to act as an advocate and liaison for, and to promote interaction among, the graduate students in departments of Arts, Sciences & Engineering at the University of Rochester. Visit the GSA website and Facebook page to find out more.

### **The Gwen M. Greene Center for Career Education and Connections**

Career advisors at the Greene Career Center assist students in achieving their individual career goals while providing them with the resources and tools they need to develop connections among their aspirations, academic pursuits, and co-curricular experiences.

### **Interfaith Chapel**

The Interfaith Chapel provides students of many faith traditions a place to meet, meditate, and mingle, contributing to the rich diversity that is the University of Rochester experience.

**International Services Office (ISO)** provides immigration and related support services for the University's international population and the divisions and departments that sponsor them. The office staff offers support through immigration advising, cross-cultural counseling, advocacy, and programming.

### **Libraries**

With combined holdings of more than 3.5 million volumes and extensive collections of online databases, electronic journals, rare books, and musical scores, Rochester's libraries rank among the top academic research libraries in the United States and Canada.

**Office of Disability Resources** offers a variety of services for undergraduate students, graduate students, and faculty. These services aim to provide an inclusive experience and equal access to academic content and program requirements.

### **Public Safety**

The Department of Public Safety offers various services to the University community beyond responding to emergencies—from safety escorts and vehicle services to training opportunities

and more. Use the quick links below to explore common services or scroll down for a complete list.

<https://www.rochester.edu/public-safety/services/>

**Writing, Speaking, and Argument Program (WSAP)** in concert with faculty across the College, builds a strong community of undergraduate and graduate writers, speakers, and researchers. WSAP offers a range of services designed for graduate student writers, including writing groups, tutoring, writing boot camps, and workshops.

### **Emergency or Temporary Closings and Other Changes in Class Schedules and University Operations.**

The University plans to commence and conclude classes on the dates indicated in the academic calendars. But unforeseen circumstances or events may occur that require the University to temporarily close or otherwise make adjustments to its student life, residential housing, class schedules and format, method and location of instruction, educational activities, and operations because of reasons beyond the University's control. For example, such circumstances or events may include but are not limited to inclement weather, the onset of public health crises, being subject to government order(s), significant safety or security concerns, faculty illness, strikes, labor disturbances, sabotage, terrorism, war, riot, civil unrest, fire, flood, earthquake, acts of God, malfunction of University equipment (including computers), cyberattacks, unavailability of particular University facilities occasioned by damage to the premises, repairs or other causes, as well as disruption/unavailability of utilities, labor, energy, materials, transportation, electricity, security, or the internet. If any of these or other unforeseen circumstances or events outside of the University's control occur, the University will respond as necessary and appropriate, and it assumes no liability for any interruption or adjustments made to student life, residential housing, class schedules and format, method and location of instruction, educational activities, and operations caused by these or other unforeseen circumstances or events. And the University shall not be responsible for the refund of any tuition or fees in the event of any such unforeseen circumstances or events, except as may otherwise be expressly provided in the University's Leave of Absence and Withdrawal Policy or its published tuition refund schedule ([Payments and Refunds - Office of the Bursar \(rochester.edu\)](#)).



UNIVERSITY OF ROCHESTER

REGULATIONS AND  
UNIVERSITY POLICIES  
CONCERNING GRADUATE STUDIES

*Updated February 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.

### **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 sub-standard 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.

### **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/pdf/policies/106.pdf](http://www.rochester.edu/working/hr/policies/pdf/policies/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.

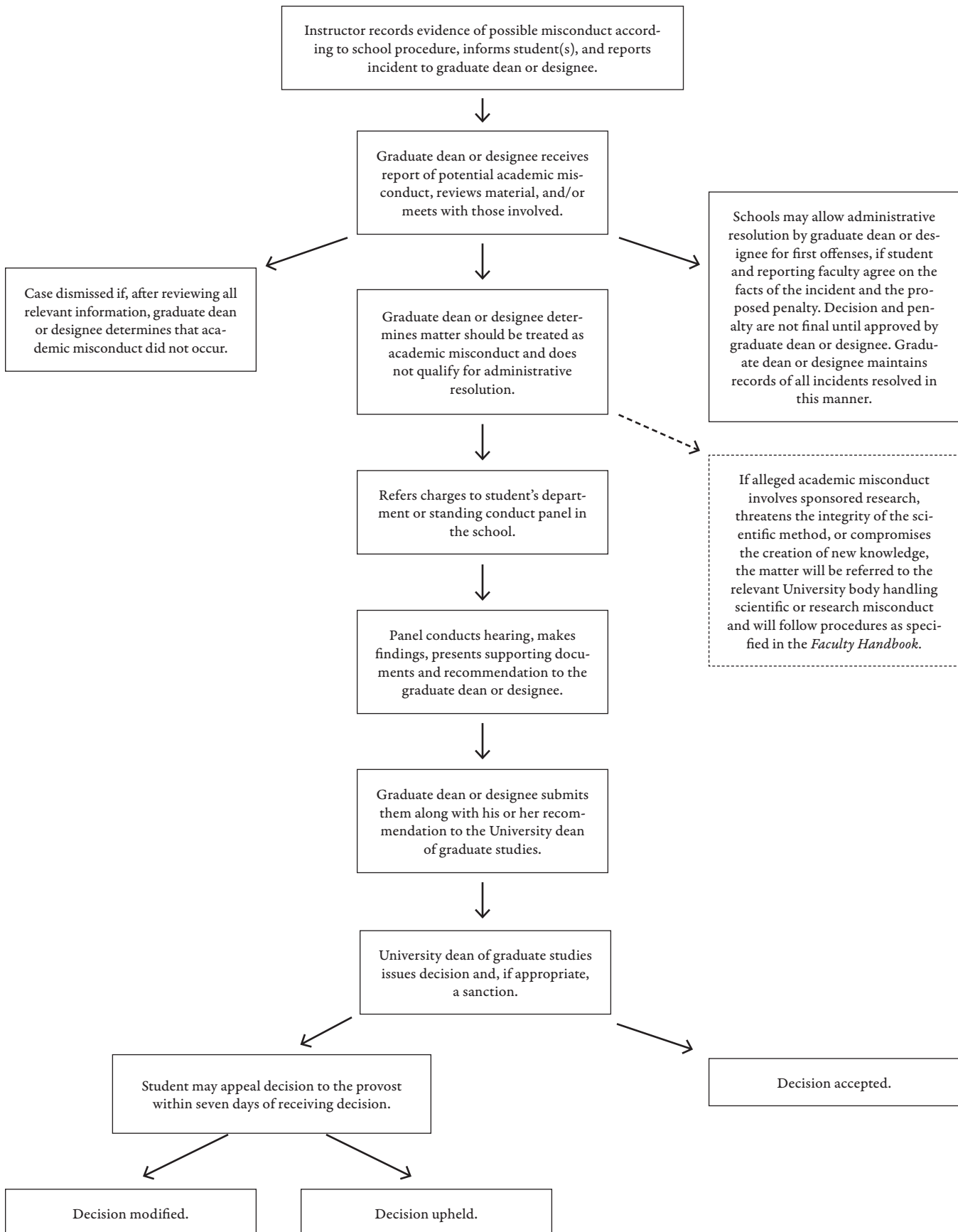
These are limited to first offenses in which the student(s) alleged to have committed the offense, the student victims if any, and the faculty member(s) reporting the incident agree on the events that occurred, the nature and seriousness of the misconduct, and the proposed penalty. Documentation is submitted 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



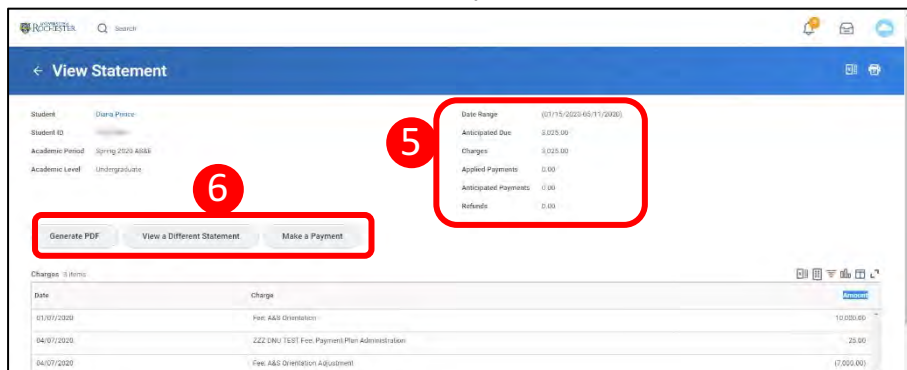
# View Bill, View Financial Aid and Pay Bill

Throughout your time as a student at University of Rochester, you will want to view your tuition or other charges, view any financial aid you receive, make payments and confirm the payments have been received. Follow these steps to successfully attend to your financial wellbeing. **Please note, for the most up-to-date financial aid information, you should consult FAOnline.**

## View Your Bill and Financial Aid

From your UR Student Home Page

1. Click **Finances**
2. Click **View Statement** under My Account
3. Specify the relevant Academic Period
4. Click **OK**
5. **View Statement** shows a summary of Charges, Applied Payments, Anticipated Payments, Refunds and Courses for that Academic Period at the top of the screen. Scroll down to see the detail for each. Each section can be filtered or exported to Excel



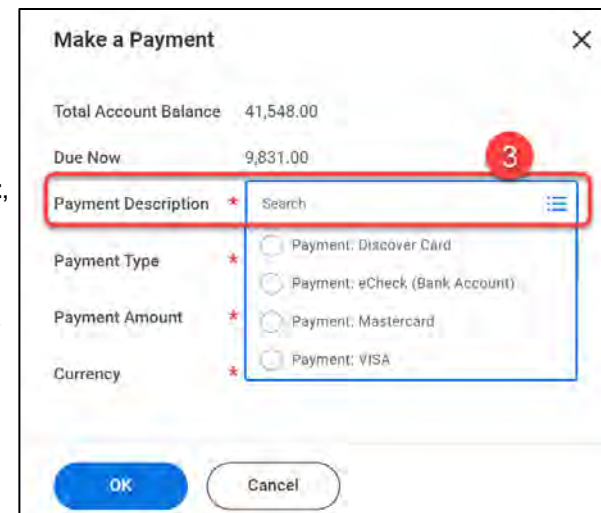
- **Charges** – show date of charges, description and the amount
  - **Applied Payments** – display the date, Payment Type, Payment Amount and Applied Amount
  - **Anticipated Payments** – include Financial Aid date, type of Financial Aid and the amount
  - **Refunds** – show any amount that have been refunded
  - **Courses** – the courses and the number of units for which charges are listed
6. From View Statement, you can **Generate a PDF**, **View a Different Statement** or **Make a Payment**

## Pay Your Bill

**Note:** To use this function, first link a bank account to your profile. Refer to *Set Up Payment & View, Edit ACH Refund Selection Quick Reference Card* or the *Quick Reference Video* of the same name for step by step instructions

You can pay your bill from View Statement or from the Finances Application on your Home page

1. Click **Finances**
2. Click **Make a Payment** under Payments
3. Click **Payment Description**
  - a. Select the payment method you wish to use.
4. The **Payment Type**, **Payment Amount**, and **Currency** will auto-fill based on **Payment Type** selected. You can change the **Payment Amount** as needed.
5. Click **OK**
6. Check the **Confirm** checkbox
7. Click **OK**
8. Click **Done**



# Completing Required Onboarding in UR Student

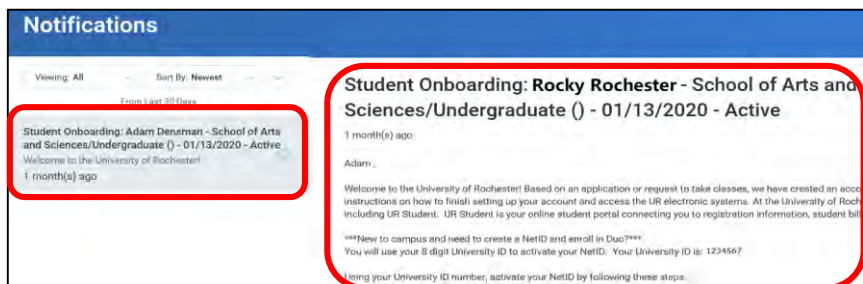
You will receive the Student Onboarding email within your personal or University account detailing steps to prepare you for logging into UR Student. As your next step, use this reference to complete all onboarding tasks required prior to registration.

## Log Into UR Student and Complete Onboarding

1. Click the **Inbox**. An indicator will show unread messages

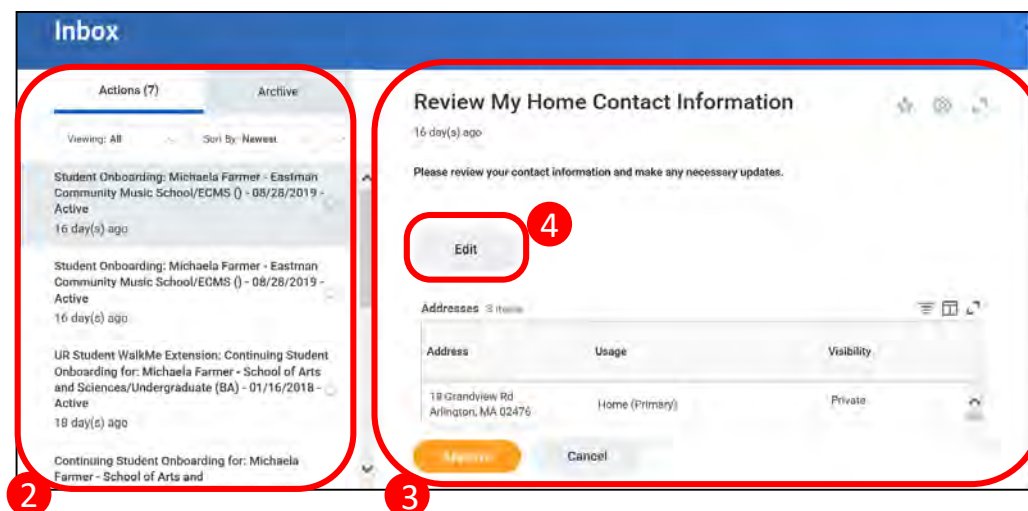


**Note:** a copy of your Student Onboarding email can be found by clicking the **Notification (Bell)** next to the **Inbox**.



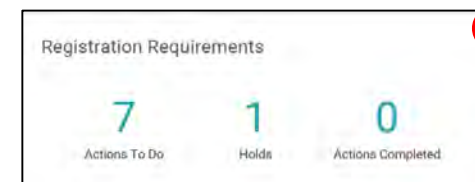
2. Click an item listed within the **Actions** pane to address
3. View and follow the specific instructions shown for that item. Each onboarding item will have different actions to take
4. Choose **Edit** to change your information, **Submit/Done** to send, **Save for Later** to save and not send, or **Cancel**
5. When done click **Approve**
6. All items listed are required to be completed prior to registering for classes. Examples of Onboarding tasks; Review My Home Contact Information, Review My Friends and Family, Student Financial Responsibility Agreement (once a year), Consent to receive 1098T electronically

**Tip:** Next, you can begin to [build a schedule](#) to use to register for classes during open registration



## Viewing your Academic Dashboard and Onboarding status

7. Click on the **University logo** to return to the home page
8. Click **Academics** to view your academic dashboard information
9. View the **Registration Requirements** to confirm completion of all Onboarding tasks and Holds. Each requires completion to register for classes



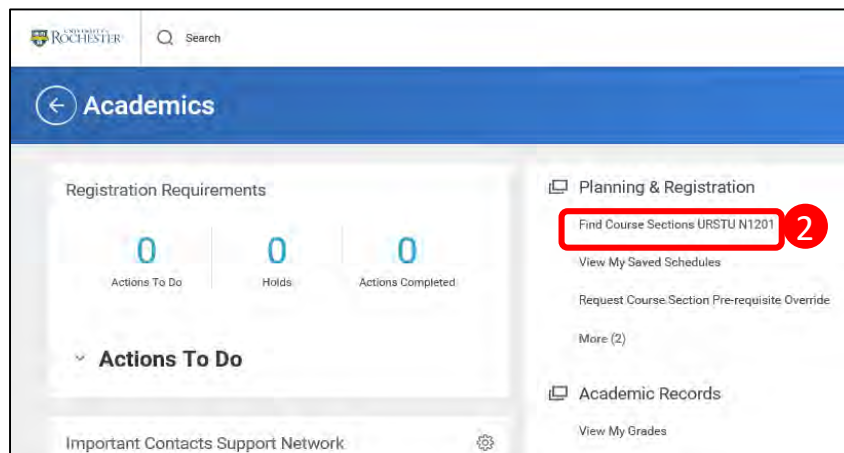
For more training quick reference videos, cards or support information, by school, visit the <https://tech.rochester.edu/ur-student-training/>

# DURING OPEN REGISTRATION: Register for a Course Section

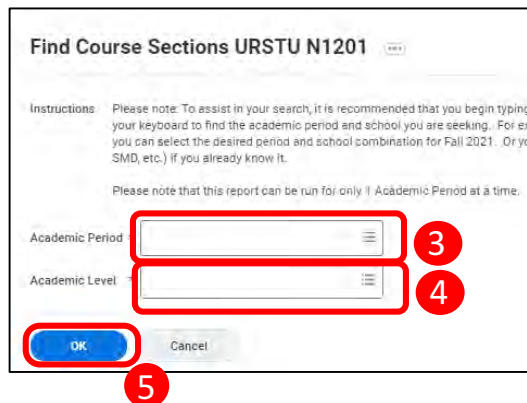
Use this reference when preparing to register for a course section **DURING** open registration. Follow these steps to find and register for a course section.

## Find Course Sections

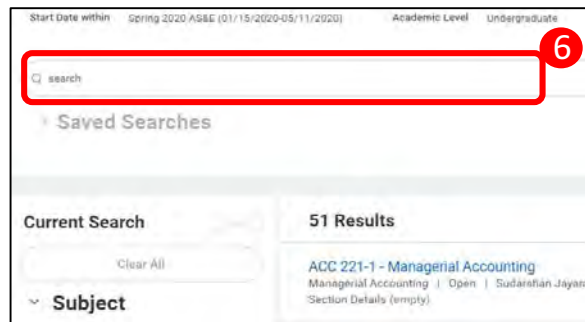
1. Click **Academics App**
2. Under Planning & Registration, click **Find Course Sections**



3. Click within the **Academic Period** field and type the term you are looking for (i.e. Fall 2020). Select the period that corresponds to the desired academic unit.
4. Select an **Academic Level**
5. Click **OK**



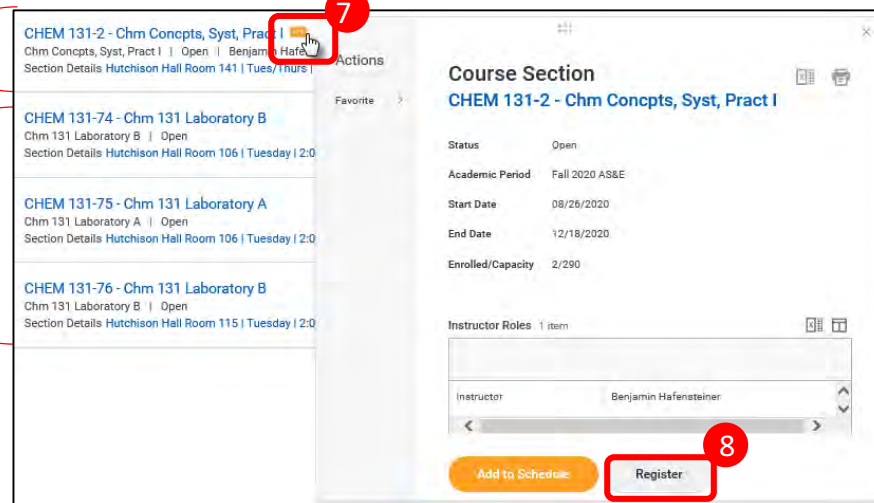
6. Enter the course section name/abbreviation in search



7. Hover over the course section name link best fitting your schedule and click the related actions button
8. From the Actions window click **Register**

Lecture  
section

Lab  
sections



9. Select Lecture, Labs and Workshops as necessary
10. Click **Grading Basis** and choose **Audit** or **Graded** as needed
11. Click **Register**
12. View the completed course section registration from the **Successfully Registered Courses** report, or Click **View Registered Courses** for the complete view of course section registrations





## Manual for PhD Students

### Formatting the Dissertation and Preparing for Final Defense

Prepared by the Office of the University Dean of Graduate Studies  
259-260 Wallis Hall  
585.275.9093  
March 2022

**Note:** This manual reflects required formatting for the PhD Dissertation. Other graduate programs requiring theses or final written projects (EdD, DMA, DNP, some master's degrees) may or may not use the format described here. Students in these graduate programs should consult program administrators.

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## Introduction

Preparation of a dissertation is one of the most important parts of your work leading to a doctoral degree. This manual is meant to help you meet the required standard of organization, appearance and format for theses at the University of Rochester. Although your PhD program is offered by a given school, it is the University that grants the PhD degree. Therefore, all final dissertations must adhere to the same criteria.

At the University of Rochester, the PhD dissertation is expected to be an original work by the student, formulated in a scholarly manner and with content of a quality consistent with respected publications in your field. Your dissertation will become a publicly available document that may serve as a reference for many years.

Many guidebooks and style manuals are available for dissertation writers. Consult with your school or department regarding preferred styles and writing guides for your field. Regardless of reference format and other stylistic differences, the basic formatting stipulations of this manual apply.

The registered version of your dissertation to be used at the defense is not a draft. Although the examining committee may require revisions after the defense, the dissertation that is uploaded to the PhD completion website for registration for the final defense should be in final form. The associate dean, University Dean or appointed oral examination chair may turn back any dissertation that is insufficiently edited or carelessly formatted, and the defense will be postponed. It is in your best interest to produce a polished, carefully edited and well-written document for evaluation by the dissertation defense committee and chair.

## The PhD Dissertation Registration Process and PhD Completion Website

PhD degrees are conferred by the Board of Trustees five times each year: August, October, December, March and May. After a successful defense, there are further steps to completion of the final requirements, and all must be completed by a date approximately a month before the degree conferral dates. There may be deadlines for registering your dissertation specific to your school. Consult with your program's graduate coordinator to ascertain those deadlines and follow them carefully in tandem with the University Graduate Studies PhD calendar.

See the rules governing the creation of your defense committee at:

<https://www.rochester.edu/GradBulletin/PDFbulletin/Regulations.pdf>. These rules also include the selection of a chair for your defense.

You are responsible for providing a copy of your dissertation, identical to the registration copy, to each member of your defense committee at least two weeks before they are asked to approve it electronically for progression to final defense. Some will accept a pdf, and others will choose a hard copy. If any of your committee members requests a paper copy of the dissertation, it may be printed either single-sided or in duplex (back-to-back). It must be printed clearly on good-quality paper and securely bound in some manner unless the committee member requests otherwise. Do not use three-ring binders because pages can easily tear out.

Once the dissertation is in the hands of the committee and your advisor indicates you may plan for a defense, your program's graduate coordinator, or both of you together will create your record in the University of

Rochester Graduate Studies PhD Completion website. This record will include your degree information, past degrees, important contact information, and attachments, including the defense version of your dissertation in pdf format, and other relevant documents provided by your graduate coordinator. The version of your dissertation attached to your online record is considered the registration version. When the PhD Completion record is finalized by the graduate coordinator, committee members will immediately receive emails to approve your dissertation to progress to defense, so be sure all members have received the dissertation at least 2 weeks before the online record is finalized.

You are also required to provide a copy of the registered version of the dissertation to the chair of your oral defense in his/her preferred format. The chair does not comment or sign off on the dissertation during the dissertation registration process but should have it at least two weeks prior to the defense.

After all committee members have given online approval, the registration moves on to the faculty director of your PhD program for their approval using the same online system. Following that, requests for review and approval will go to the graduate studies office staff of your school and then to the graduate dean of your school. Finally, it goes to the staff of the University Dean of Graduate Studies and, last, to the University Dean of Graduate Studies. You will be able to track these approvals in your online record and will receive a confirmation email when approvals are complete. When all of these officials have approved your committee and dissertation for defense, it is considered registered.

Staff in your school and in the University Graduate Studies office may make corrections to the pdf of your dissertation as it goes through the approval process. All annotated copies of the dissertation, along with the original version, will be stored in the PhD Completion website for you to refer to as you make final changes after your defense. You are not permitted to distribute updated versions to the committee prior to the defense, because faculty may have made notes on the version they received, and all members should be using exactly the same document during the defense discussion. However, you may make changes to a personal version that you do not share, including the formatting corrections requested by University Graduate Studies, to reduce the work you will need to do after the defense. The committee or chair may request additional changes, which should also be incorporated in the final version.

After the defense, if the committee has required major revisions to be approved by one or more of its members, it is your responsibility to provide the corrected final version for their approval. They will be asked to submit written confirmation of that approval on a form that is distributed by, and returned to, the University Graduate Studies office. Failure to do so could delay conferral of your degree.

The day after the defense, you will receive instructions by email for completion of all remaining PhD degree requirements. This includes uploading the final dissertation to ProQuest, the submission of the UR Research Authorization form, and completion of two on-line surveys. After the defense, it is important to incorporate all requested corrections before uploading the dissertation to ProQuest®.

To see the formatting corrections required for your dissertation, retrieve the version attached to your record on the PhD Completion website with "UGE\_ (applicant's name)" in the title. All corrections noted there must be included in the final copy, along with any additions or corrections identified by your committee.

## **Formatting your Dissertation**

The dissertation will be returned to you if you do not adhere to the following guidelines. Therefore, you are encouraged to pay close attention to what is required as you prepare your dissertation for your defense and beyond.

### **Language and General Rules of English**

Your dissertation must be written in English, except where the subject matter demands otherwise, and an exception has been approved by the school's dean for graduate studies and the University Dean of Graduate Studies.

General rules of English should be followed, including:

1. Capitalize the first and last words of the title and all nouns, pronouns, adjectives, verbs, adverbs and subordinate conjunctions therein;
2. Use lower case for articles, coordinate conjunctions and prepositions (unless they are the first or last words of the title);
3. For hyphenated words in titles, always capitalize the first element. Capitalize the second element if it is a noun or proper adjective or if it has equal force with the first element (e.g. Twentieth-Century Literature);
4. Use the simplest possible scientific words or terms that are recognizable to those in your field. The title of your dissertation will be accessed by search engines based on the words it contains. Lay persons within the University also will receive listings that include your dissertation title. Avoid abbreviations, esoteric terms and jargon;
5. Specific rules apply to capitalization of non-English words including Latin words such as genus and species. Please refer to guidelines of your specialty for proper expression.

### **Page and Document Formatting**

The narrative of the dissertation should be formatted for 8.5 x 11-inch paper in portrait format (text running across the shorter dimension of the page).

All margins must be at least 1.25" (one and one-quarter inches), including those on tables, figures, and appendices. Tables or figures may be printed in landscape layout (content running across the longer dimension of the page) if necessary. See page number section for numbering on those pages.

Page headers in the top margin may be used, but footers in the bottom margin should not be used. The header font should match the font used in the text. Headers should be short enough to accommodate page numbering.

Font size must be at least as large as 10-point Arial or 12-point Times New Roman. Fonts in figures and tables may be smaller than 11-point, but all must remain legible when reduced to 50% size. Because ProQuest®/UMI produces printed half-size bound dissertations, it is important to follow the font size as stated above. Color figures or plates may be included but should be interpretable in black and white if duplicated as such by ProQuest®/UMI.

The front matter (abstract, biographical sketch, dedication, contributors and funding sources, table of contents, etc.) and body of the text must be double-spaced.

Long quotations set apart in paragraphs, figure captions, tables, figures and lists in appendices may be single-spaced. The bibliography or reference list may be single-spaced.

### **Page Numbering**

After the title page, each page in the dissertation, including pages with tables, figures, references and appendices, must include a page number.

The front matter (all pages preceding the first page of Chapter 1), including the title page, is numbered using lower-case Roman numerals (ii, iii, iv, etc.) The title page is considered page “i” but is the only page that does not include a number on the page.

The first page of Chapter 1 is page 1. All pages that follow, including the narrative, any figures or tables, bibliography and appendices, are numbered consecutively in Arabic numerals. Do not renumber from the start of each chapter.

Page numbers must be placed in the top margin of each page, preferably at the top right. They may be placed outside of the required margins (between the required margin and the page edge) but should be at least ¾ inch from the edges of the page. Page numbers should be placed consistently and avoid being placed in an alternating pattern. Only exception being for landscaped pages, as described below.

#### *Page Numbers for Landscaped Pages*

If you are including any landscape-oriented pages, number all your pages in the upper right corner rather than centered at the top of the page, because at least half the time, the numbers will be in the correct position to appear in the upper outside corner when the dissertation is printed double-sided. When the landscape page appears on the left side (back of a page) with the top of the image to the left, the page number will be correctly located on the upper right (usual position when numbering is automatic). However, when the landscape page appears on the right side with the top of the image toward the binding, the page number will need to be at the bottom right of the landscape page in order to appear on the upper right when the document is bound. In this case, the automatically printed page number can remain, but it should be supplemented by a second page number added as a text box at the bottom right. The numbers on landscape pages may face sideways, as long as they are positioned correctly on the page.

For information on how to make these changes, or when they are applicable, please follow the link:

<https://uknowit.uwgb.edu/page.php?id=26346#:~:text=Double%2Dclick%20in%20the%20footer,the%20Page%20Number%20down%2Darrow%E2%80%A6&text=4>

### **Placement of Tables and Figures in the Text**

Each table and figure must have a unique number and title and must appear on a numbered page, either alone or on a page with text. Table and figure titles must be identical in the table of contents list and the text. If it is necessary to have the legend on a separate page, it must carry its own page number.

## The Order of Dissertation Contents

The dissertation must include the following components in the following order. Optional pages are noted. Instructions follow on format and content of several of these sections. Each heading in your front matter must be the same font/size/placement. This includes the Table of Contents, List of Tables, List of Figures, etc.

The page numbering scheme is provided as an example, but numbering should be adjusted based on the components included and the number of pages of each. Page numbers on all front matter are lower case Roman numerals. Title page is page i but is not numbered. Page numbers on dissertation content are Arabic numbers. Chapter 1 is page 1 and is numbered.

Content Order	Sample Page Numbering
<b>Title page</b> Counted as first page but not numbered Do not include in Table of Contents	i
<b>Dedication</b> (optional) Do not include in Table of Contents	ii
<b>Table of Contents</b> Include front matter listed below followed by entries for text of dissertation Do not include an entry for the Table of Contents in the Table of Contents	iii
<b>Biographical Sketch</b>	iv
<b>Acknowledgements</b> (optional)	v
<b>Abstract</b>	vi
<b>Contributors and Funding Sources</b>	
<b>Disclaimer (When Applicable)</b>	vii
<b>List of Tables</b> (when applicable)	viii
<b>List of Figures</b> (when applicable)	ix
<b>List of Schemes</b> (when applicable)	x
<b>List of Symbols</b> (when applicable)	xi
<b>Chapter 1</b> (numbered)	1
<b>Remaining Chapters</b>	2, 3, etc.
<b>Summary or Conclusion</b> (may be a section in the final chapter)	4
<b>Bibliography or References</b>	5
<b>Appendices</b> (when applicable)	6

### Title Page

The title of the dissertation is typed in upper- and lower-case letters. Do not use all upper-case letters. This is to ensure that the words (such as proper names) within the title are capitalized correctly when listed elsewhere.

Do not include degrees or credentials of your advisor(s) and do not list other members of your committee. Committee members are listed in the Contributors and Funding Sources page. Include the word 'Professor' in front of the name of each advisor on the title page.

The name of your department and school appear on the title page. If you are in an interdisciplinary program, list the program name rather than a department, followed by the school(s).

Provide the year (but not the month or day) of your expected degree conferral. The degree conferral may, or may not, be the same year as the defense. Please refer to the PhD calendar for completion dates required for each of the five conferral dates through the year.

### **Dedication (optional)**

This is a single statement on its own page following the title page indicating an individual or group whom you wish to honor by the production of this work. If you include a dedication, it will be numbered as page ii. Acknowledgments are different; see below.

### **Table of Contents**

The table of contents needs to include entries for all of the front matter except for the title page and table of contents page. Also include, as part of the front matter, entries for your List of Tables, List of Figures, etc. (if applicable). Following those entries, indicate the title and page numbers of the main divisions or chapters and the major subdivisions or subheading levels. The numbering and wording used in the Table of Contents **must match the numbering and wording of the titles and headings in the front matter and text**. See above for correct page numbering.

You need not include every level of subheading, but if you include any listings from a certain level, you must include all from that level. Levels can be indicated in the table of contents by indenting, numbering or both.

The bibliography and any appendices must be listed with their starting page numbers.

### **Biographical Sketch (not to be called Curriculum Vitae)**

In one to three paragraphs, provide some basic facts about your scholarly life and career, without including personal data such as birthdate. These include the colleges and universities attended, the major fields of study at each, and the degrees and academic honors awarded. If you have relevant professional experience such as employment in your career field, you may describe it briefly. Follow this with a description of your work at the University of Rochester, including dates of residence, graduate programs pursued, name(s) of advisor(s), and all university appointments (e.g. fellowships, scholarships, research and teaching assistantships or traineeships). Do not include a complete scientific curriculum vitae or professional resume. Do not include future plans or employment.

Follow this narrative with a reference list of all works published or in review for publication during your time at the University, including content or results from the dissertation that have been published in full or in part. This listing may include publications mentioned on the Contributors and Funding Sources page. See that section below on including previously published articles as chapters in the dissertation.

### **Acknowledgments (optional)**

Acknowledgments are a statement of appreciation from you to others such as mentors, advisors, colleagues, friends and family, for their support during your doctoral study. Recognition of colleagues' or mentors' direct contributions to this work and of awards or funding sources that provided support for the work will appear in a subsequent section on Contributors and Funding Sources.

This section does not have to have the same professional information as the biographical sketch.



## **Abstract**

The abstract should present a brief summary of the dissertation indicating the purpose, the procedures or methods used, the results or product that was produced, and the conclusions you reached. The abstract should be written very carefully and proofread by your advisor because it will be distributed worldwide by ProQuest®/UMI in the electronic database “Dissertation Abstracts International.” In print indexes, the abstract will be truncated at 350 words, so you may wish to use this as a length limit. Electronic listings will include the full abstract regardless of length.

## **Contributors and Funding Sources**

In this section, name all members of the dissertation committee. Then, any collaboration with others in carrying out your dissertation research or in publications reflecting that research must be clearly described, and your independent contributions must be made clear. The sources of financial support for your research must be listed. If you completed all the work independently without outside funding support, indicate this here as well.

You may include as chapters or sections in the dissertation your own work that has been previously published elsewhere, as long as that publisher’s copyright permits, and as long as your contribution to multi-authored work is made clear in this section. The dissertation will not be approved if any content is subject to governmental or other restrictions that limit freedom of publication

## **Disclaimer (when applicable)**

A disclaimer is required in any document or other information product containing Scientific and Technical Information (STI) that resulted from research and development or related activities funded by DOE or performed at LLNL or another DOE facility.

The Disclaimer should be worded as the following:

This document was prepared as an account of work sponsored by an agency of the United States government. Neither the United States government nor Lawrence Livermore National Security, LLC, nor any of their employees makes any warranty, expressed or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States government or Lawrence Livermore National Security, LLC. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States government or Lawrence Livermore National Security, LLC, and shall not be used for advertising or product endorsement purposes.

### List of Tables (when applicable)

If tables are included, all tables, whether on separate pages or included in pages of text, must be numbered and listed. Tables must be numbered uniquely and consecutively from beginning to end of the dissertation. Table titles listed must be identical to the titles used within the body of the work.

### List of Figures, List of Schemes and/or List of Symbols (when applicable)

If photographs, maps, diagrams, graphs or drawings are included, a list with numbers, titles, and dissertation page numbers must be included. If more than one category of illustration is used, provide an individual List of Figures, an individual List of Schemes and an individual List of Symbols, etc., each starting on a new page.

As for tables, figures must be numbered uniquely and consecutively from beginning to end of the dissertation, and **figure titles listed must be identical to those used within the body of the work.**

A List of Symbols or List of Abbreviations may be included after the List of Tables and/or List of Figures. Provide, in alphabetical order, the abbreviations and the words they represent. Page numbers are not required.

### Bibliography or Reference List

Books, articles and other materials used in the dissertation should be listed according to the accepted bibliographic practice in the field of your dissertation. A single bibliography at the end of the dissertation is preferred. If you list references or a bibliography at the end of each chapter, the first page of each should be listed in the Table of Contents. Bibliographies may be single-spaced.

Ethical scholarship requires that you show clearly the sources of the facts and concepts represented in your dissertation, whether published books and articles, unpublished historical documents or theses or personal communication with other workers in the field. The format of this documentation varies by field. Consult with your department and advisor for standard reference procedures in your discipline and apply them consistently. **Plagiarism, even if unintentional, can result in forfeit of your degree.**

### Appendices

Long or detailed tables, questionnaires, approval letters or other materials that are relevant to the dissertation but are not necessary to understanding the text, should be placed in an appendix or appendices and listed in the Table of Contents. All appendix pages must be numbered and are to be included in the Table of Contents.

### Previously Copyrighted Material

If your dissertation includes any material (your own or others) subject to prior copyright, including psychometric instruments, poetry, fiction, images or figures, you **MUST** provide evidence that you have permission from the prior publisher to include them in your dissertation. If inclusion is important, start early to secure permissions because these will be required when uploading the final dissertation to ProQuest®. If you do not have permission to use such content, eliminate it before final upload to ProQuest.

Our website has some additional guidance on copyright options and embargo guidance.  
<https://www.rochester.edu/graduate-education/academic-resources/dissertation-manual/>

### **Plan Ahead for a Smooth Defense**

When you are preparing to submit your dissertation for registration, be sure to inform your graduate coordinator or program assistant of your plans well ahead of time. You also will want to take full advantage of internal reviews of the dissertation before uploading the dissertation for defense registration, in order to minimize the number of errors in the registration version.

In some instances, when in-person attendance is not possible, a remote meeting program such as Zoom or Skype may be used to enable a committee member to participate in the defense remotely. An email request must be made to the University Dean of Graduate Studies that includes the names and email addresses of the student, committee members and defense chair with a reason for the request. Convenience is not an acceptable reason. If approved, a document outlining the conditions for the approval will be emailed to everyone. Under no circumstances will the student, advisor or defense chair be permitted to participate via Skype.

As noted earlier, pay careful attention to the five PhD degree cycle deadlines. In each degree cycle, there is a deadline for the last day to complete your degree requirements, consisting of uploading the final abstract and dissertation to ProQuest®, submitting a UR Research authorization form, and completing two required surveys. There are no exceptions to the deadlines. If a deadline is missed, your name cannot be approved by the Council on Graduate Studies and presented to the Board of Trustees until the following degree date.

### **Preparing for Dissertation Submission to ProQuest®/UMI**

The University has a contractual arrangement with ProQuest®/UMI Dissertation Publishing for the on-demand publication of PhD dissertations and the electronic and print publication of PhD abstracts in *Dissertation Abstracts International*.

NOTE: DMA, EdD and DNP students should check with their schools for requirements regarding whether ProQuest®/UMI is used to for the theses produced for those degrees. All aspects of completion of those degrees are managed within the schools and not by the University Graduate Studies office.

The day following your successful defense, you will receive an email from the University Graduate Studies office with detailed information regarding all final degree requirements. It will be a stressful time, so be sure to carefully read through all the information and follow the instructions so as not to delay your degree conferral.

All PhD students are required to complete the ProQuest Dissertation Publishing Agreement on the University of Rochester ProQuest®/UMI web site. You may set up your online account before your defense so that you can familiarize yourself with the site and be ready to complete the process after the defense. Much of the required descriptive information can be completed before the defense, but do not upload the abstract or dissertation until after the defense when all corrections have been made and the document is finalized. The uploaded version must reflect all requested corrections from the committee and the graduate studies offices, and, if stipulated at the defense, must have been approved by the advisor or committee.

\* \* \* \* \*

Best wishes in completing your PhD requirements. We look forward to seeing you at Commencement!

### Format of Title Page

Dissertation Title Typed in Upper- and Lower-Case Letters: Not all Caps or all Lower-Case Letters

by

Your Name [no degree credentials]

Submitted in Partial Fulfillment of the

Requirements for the Degree

Doctor of Philosophy

Supervised by Professor [Your Advisor(s)' first and last name-- no degree credentials]

(School Name and department or program, if applicable, centered on the page (see examples below))

Department of Chemistry  
Arts, Sciences and Engineering  
School of Arts and Sciences

OR

Department of Mechanical Engineering  
Arts, Sciences and Engineering  
Edmund A. Hajim School of Engineering and Applied Sciences

OR

Department of Music Theory  
Eastman School of Music

Health Practice Research  
School of Nursing

Education  
Warner School of Education

Business Administration  
Simon School of Business

OR

Department of Biochemistry and Biophysics  
School of Medicine and Dentistry

Program in Neuroscience  
School of Medicine and Dentistry

University of Rochester  
Rochester, New York

2022 (or year of degree conferral)

---

Notes: No page number is printed on the title page, but it is counted as page "i".

Primary advisor or co-advisors are listed, not the entire committee.

Preface the advisor(s') name(s) with the word Professor

Department name is listed if program arises from one department.

Program name is listed if different from department name or crosses departments.  
School or schools are listed.

## Example of

### Table of Contents

This will be either page ii or page iii, depending on whether or not you have a dedication page.

Include your front matter with headings and lower-case Roman numeral page numbers. Use of the word processor table of contents function or a table format (with no borders) rather than tabs is recommended.

Do not include listings for the title page, dedication page or the table of contents itself

Biographical Sketch	iii
Acknowledgments	iv
Abstract	v
Contributors and Funding Sources	vi
List of Tables	ix
Chapter 1      Introduction	1
Chapter 2      Re-adjusting Utility for Justice	52
Chapter 3      An Adequate Axiology	78
Chapter 4      World Utilitarianism and the Problem of Mediated Consequences	119
Chapter 5      Intended and Foreseeable Consequences, Acquiescence, and Moral Responsibility	156
Chapter 6      The Failure of Utilitarianism	197
Bibliography	237
Appendix A	256
Appendix B	275

**Note: Be sure the page numbers line up beneath one another. They can be either right or left justified.**

**In the pages following the Table of Contents, include the List of Tables, List of Figures, etc., if applicable, continuing the lower case roman numeral page numbering.**

Example of  
**Biographical Sketch** (do not call this Curriculum Vitae)

The author was born in [City, State, Country.] He/She/They attended [XXXX] University and graduated with a Bachelor of Arts/Science degree in [major]. Provide a similar description for any Masters degrees. Describe professional or career path prior to doctoral study, if applicable. He/She/They began doctoral studies in [field] at the University of Rochester in [year]. He/She/They was awarded a Name(s) Fellowship in 200X and 200X][if applicable]. He/She/They pursued his/her/their research in (subject area) under the direction of advisor(s) names(s).

The following publications were a result of work conducted during doctoral study: [list full bibliographic reference information in the format used elsewhere in the dissertation]

Publication A

Publication B

Etc.

**Notes:** The Biographical Sketch is written in the third person. Do not include the anticipated date of your doctoral degree nor any future plans or employment.

Example of  
**Contributors and Funding Sources**

This work was supported by a dissertation committee consisting of Professor XXXX [advisor – also note if co-advisor] and XXXX of the Department of [Home Department] and Professor(s) XXXX of the Department of [Outside Department]. The data analyzed for Chapter 3 was provided by Professor XXXX. The analyses depicted in Chapter 4 were conducted in part by Rebecca Jones of the Department of Biostatistics and were published in (year) in an article listed in the Biographical Sketch. All other work conducted for the dissertation was completed by the student independently. (If applicable) Graduate study was supported by a XXXX [name of Fellowship]. Also include any sponsoring grant information here.



Example of  
**List of Tables**

(use the same format for List of Figures, List of Schemes and List of Symbols, if applicable)

Table	Title	Page
Table 4.1	Laser operation parameters.	65
Table 4.2	Gas conditions for supersonic free jet expansion.	69
Table 5.1	Deconvolution calculation of the 5νOH spectrum of CH <sub>3</sub> OH.	83
Table 5.2	Fundamental frequencies (in cm <sup>-1</sup> ) for methanol and isotopically substituted methanols in the gas phase.	86
Table 5.3	Zero-point energies (from ref. 11) and relative populations at different temperatures for the for the different conformers of CH <sub>2</sub> DOH and CHD <sub>2</sub> OH.	100

# Workday Expenses

## Reference Guide

Adding the **Expenses App** in Workday



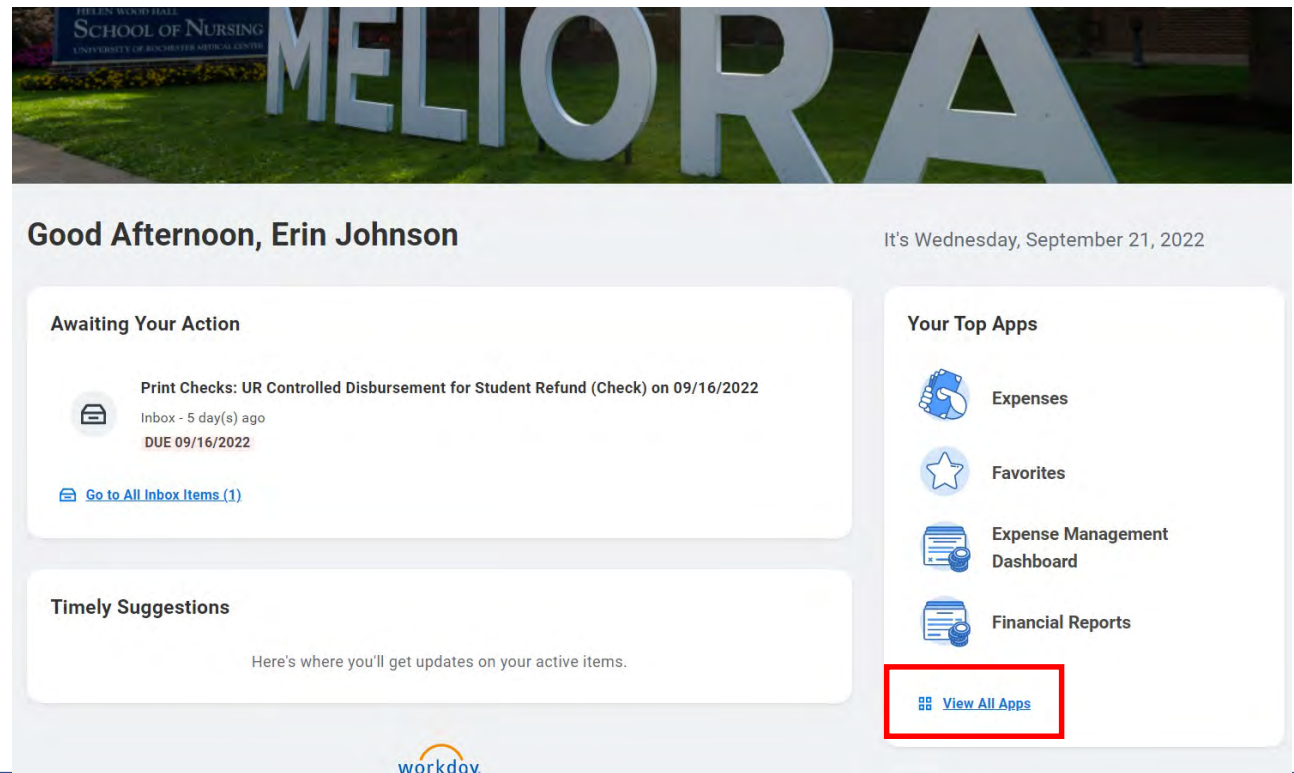
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## Adding the Expenses App in Workday

If you're not already in Workday, log into it using your UR Active Directory/NetID credentials at <https://www.rochester.edu/adminfinance/urfinancials/workday-login/>

- Select View All Apps


 [View All Apps](#)



Good Afternoon, Erin Johnson

It's Wednesday, September 21, 2022





**Awaiting Your Action**

 **Print Checks: UR Controlled Disbursement for Student Refund (Check) on 09/16/2022**  
Inbox - 5 day(s) ago  
DUE 09/16/2022  
[Go to All Inbox Items \(1\)](#)

**Timely Suggestions**

Here's where you'll get updates on your active items.

**Your Top Apps**

-  Expenses
-  Favorites
-  Expense Management Dashboard
-  Financial Reports

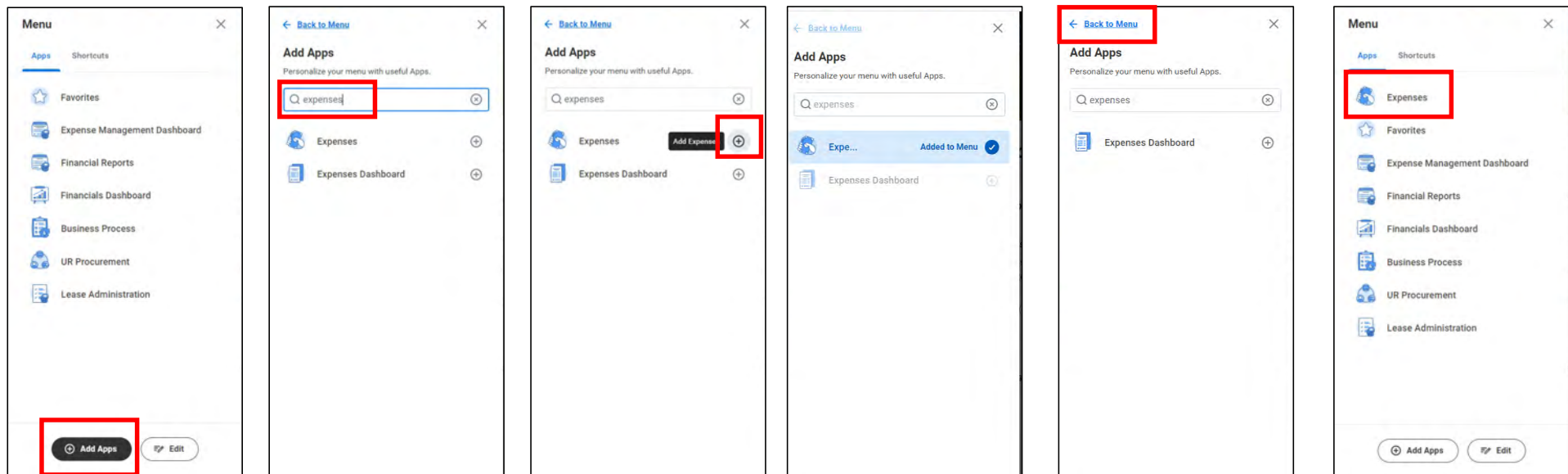
[View All Apps](#)



UNIVERSITY of ROCHESTER

## Adding the Expenses App in Workday

- Select **+ Add Apps**
- Type **Expenses** in the search box that appears on the left of your screen
- Select the **+ icon** to the right of Expenses to add it to your Apps
- Select **Back to Menu**, the Expenses icon is now saved as a favorite app



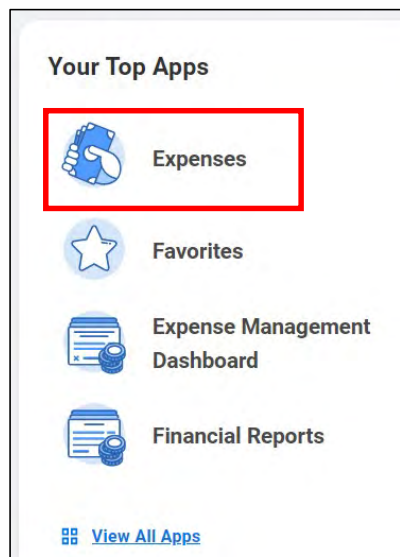
You have successfully added the Expenses App to your Workday homepage!



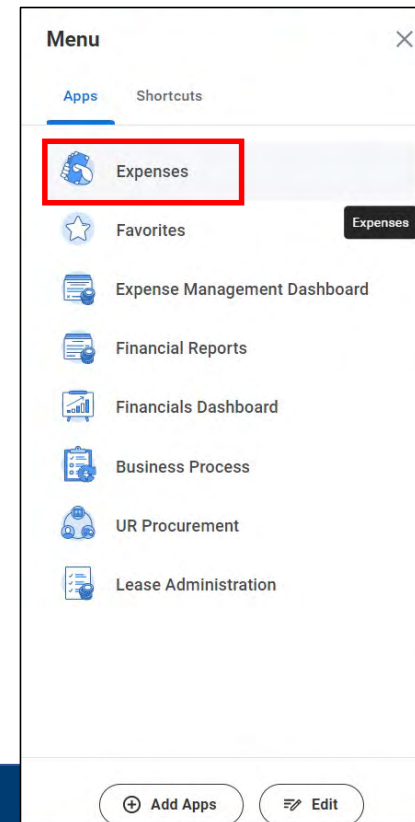
# Adding the Expenses App in Workday

## To view your Expenses dashboard:

- On your Workday homepage in **Your Top Apps** section, click on **Expenses**



- When the Expenses app is not listed, select **View All Apps**, then select **Expenses** from the Menu panel on the left side



# UR AMEX corporate card transactions integration

Your Expenses dashboard has shortcuts to frequently used actions and views related to Expenses.

## ■ Actions

- Create an Expense Report
- Create a Spend Authorization
- Edit Expense Transactions

## ■ View

- Your Expense Reports
- Your Spend Authorizations
- Your Expense Transactions
- Your Payment Elections

## ■ Recent Expense Reports

- Shows the recent expense reports and the status of the report

Actions	View
Create Expense Report	Expense Reports
Create Spend Authorization	Spend Authorizations
Edit Expense Transactions	Expense Transactions
Edit Travel Profile	Payment Elections
	Travel Profile
	Expense Outstanding Balance (0 USD)

Recent Expense Reports
Canceled - 08/08/2022 - AAP (American Academy of Pediatrics) Membership Dues
Waiting on Manager - 08/08/2022 - AAP (American Academy of Pediatrics) Membership Dues



# Workday Expenses

**Reference Guide**

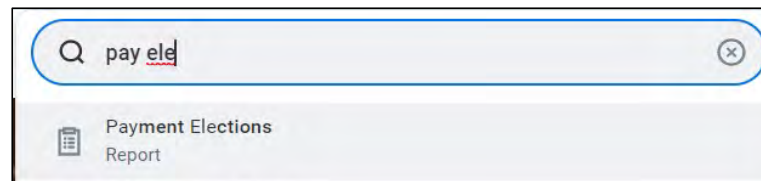
PAYMENT ELECTION



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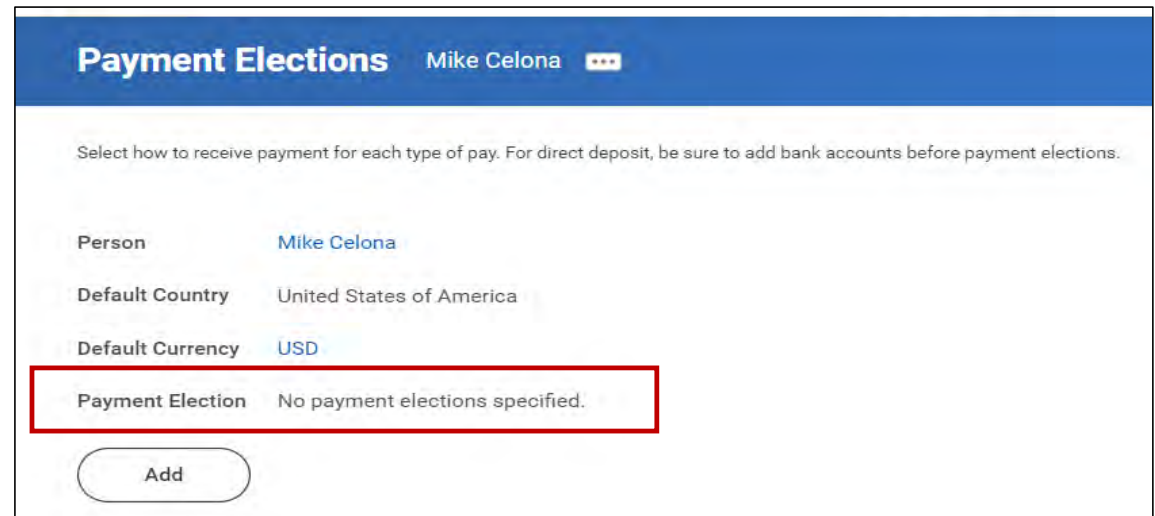
## To setup your Direct Deposit Payment Election to receive your reimbursements via Direct Deposit:

- Navigate to **Payment Elections** by typing in your Workday search bar:



A screenshot of the Workday search bar. The search text is 'pay ele'. A dropdown menu is visible below the search bar, showing the option 'Payment Elections Report' with a document icon.

- Click on the Report and it will automatically run for you.
- Read the Instructional/Help Text at the top.
- You should see that you do not have any payment elections specified:



A screenshot of the 'Payment Elections' page in Workday for user Mike Celona. The page title is 'Payment Elections Mike Celona'. Below the title, there is instructional text: 'Select how to receive payment for each type of pay. For direct deposit, be sure to add bank accounts before payment elections.' Below this, there are fields for 'Person' (Mike Celona), 'Default Country' (United States of America), and 'Default Currency' (USD). A table with one row is shown, with 'Payment Election' as the header and 'No payment elections specified.' as the value. This row is highlighted with a red border. At the bottom, there is an 'Add' button.



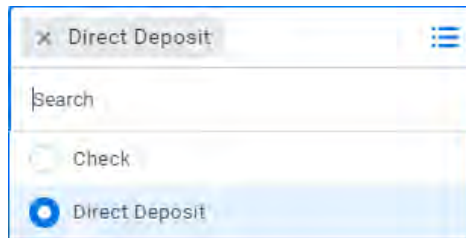


You have never submitted a Workday **Expense Report** but plan on it. You must complete your Expenses **Payment Election**, or you will not be able to submit a Workday **Expense Report**.

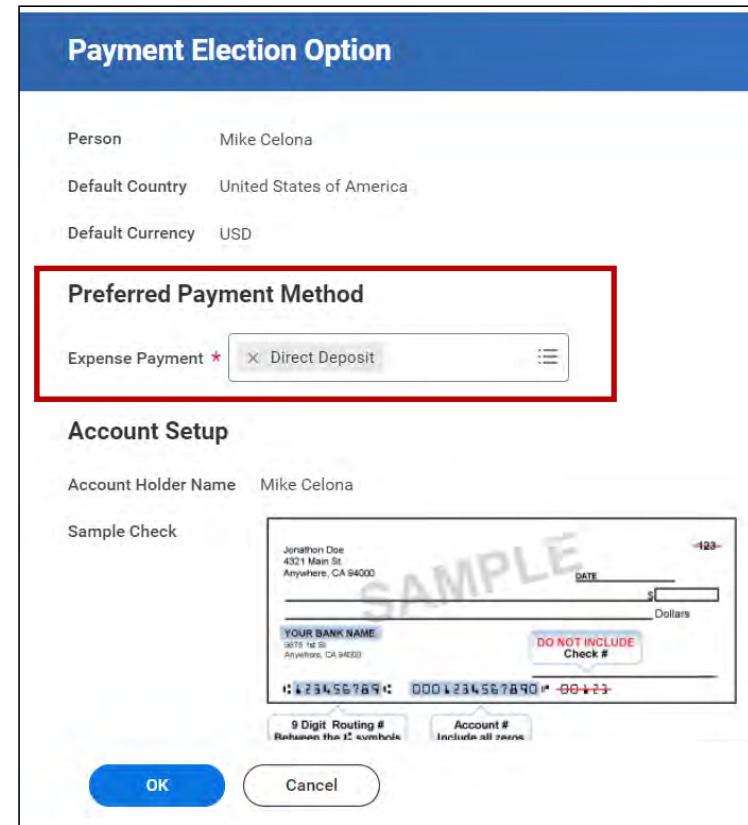
- Upon seeing that you have no **Payment Elections** designated you should click **Add**:



- For **Preferred Payment Method > Expense Payment**, select **Direct Deposit**.



*Direct Deposit is strongly preferred/recommended so that you can receive your reimbursement the quickest method possible. If you prefer a check, select **Check** then OK at the bottom.*

A screenshot of the "Payment Election Option" form. The form has a blue header. It contains fields for "Person" (Mike Celona), "Default Country" (United States of America), and "Default Currency" (USD). A red box highlights the "Preferred Payment Method" section, which shows "Expense Payment" with a dropdown menu set to "Direct Deposit". Below this is the "Account Setup" section, which includes "Account Holder Name" (Mike Celona) and a "Sample Check" area. The sample check is a visual representation of a check from "Jonathon Doe" with a "SAMPLE" watermark. It includes fields for "DATE", "Dollars", and "Check #". At the bottom of the sample check are fields for "9 Digit Routing #" and "Account #". The form ends with "OK" and "Cancel" buttons.

- Scroll down, you are then prompted to fill in your bank **Account Information**:

See the “Sample Check” to locate your Bank Name, Routing #, and Account #

**Account Nickname:** (Optional) Suggested entry: Main Checking or however you refer to the bank account you will be entering

**Routing Transit Number:** Enter the 9-digit routing number located on your check

**Bank Name:** Enter your Bank Name, ex: HSBC

**Account Type:** Select the type of account, Checking or Savings

**Account Number:** Enter your Account number located on your check, include all zeros

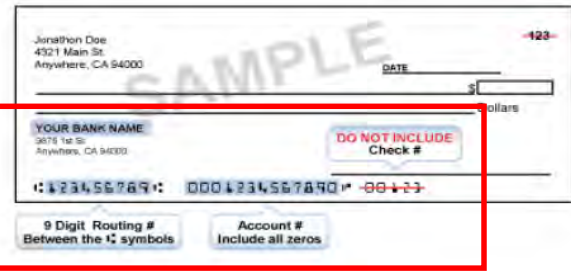
**Name on Account:** Enter your name as it exists on your bank account

Click on **OK** when complete.

### Account Setup

Account Holder Name Mike Celona

Sample Check



**YOUR BANK NAME**  
2678 1st St  
Anywhere, CA 94000

**DO NOT INCLUDE Check #**

9 Digit Routing # Between the 12 symbols Account # Include all zeros

### Account Information

Account Nickname (optional)

Routing Transit Number

Bank Name

Account Type ☒ Checking ☐ Savings

Account Number

Name On Account

**OK** Cancel



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A confirmation will briefly display for a few seconds at the top of your screen:

✓ Your changes have been saved

Your screen will update to reflect your Bank Account and all Payment Elections. Note that now your Payment Elections screen provides the ability for you to initiate changes as well.

Payment Elections

Martina Corbelli

Select how to receive payment for each type of pay. For direct deposit, be sure to add bank accounts before payment elections.

Person

Martina Corbelli

Default Country

United States of America

Default Currency

USD

Status

Successfully Completed

Last Updated

05/04/2022 09:51 AM

Accounts

1 item

Account Nickname	Country	Bank Name	Account Type	Account Number	
Main Checking	United States of America	HSEC	Checking	*****5678	<div>Edit</div> <div>Remove</div> <div>View</div>

Add


Payment Elections

1 item

Pay Type	Payment Type	Account	Account Number	Distribution	
Expense Payment	Direct Deposit	Main Checking	*****5678	Balance	<div>Edit</div>
				Yes	



## Your Bank Account information: you can edit, remove, or view the details

**Payment Elections** Mike Celona 

Select how to receive payment for each type of pay. For direct deposit, be sure to add bank accounts before payment elections.

Person

Mike Celona

Default Country

United States of America

Default Currency

USD


Status

Successfully Completed

Last Updated

07/07/2022 10:00 PM

Turn off the new tables view



Accounts

1 item

Account Nickname	Country	Bank Name	Account Type	Account Number	
HSBC *****5678	United States of America	HSBC	Checking	*****5678	<div>Edit</div> <div>Remove</div> <div>View</div>



Your Payment Elections information: shows you setup a Direct Deposit bank account for your Expense Payments (reimbursements)

Payment Elections: 1 item

Payment Elections					
Pay Type	Payment Type	Account	Account Number	Distribution	
Expense Payment	Direct Deposit	HSBC *****5678	*****5678	Balance Yes	<a href="#">Edit</a>



# Workday Reference Guide

## Delegations

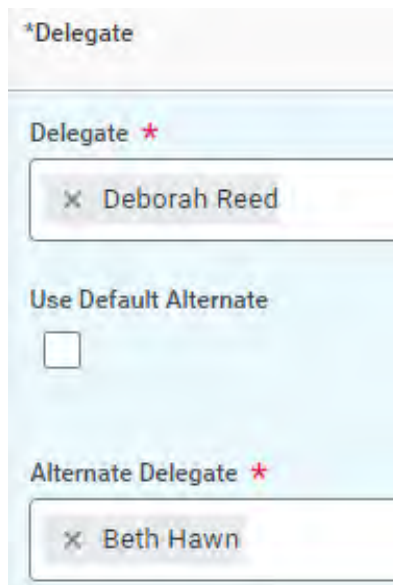
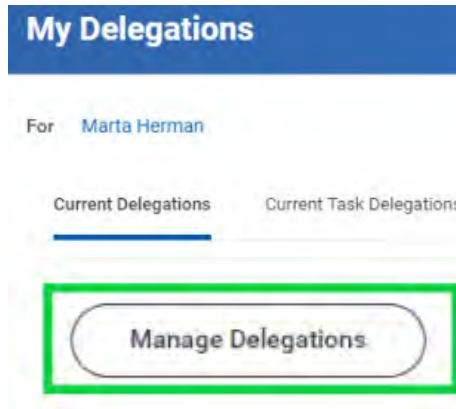
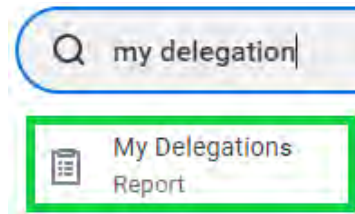
July 2022

### Guidelines

- Delegating a task does not absolve the person delegating the task of their responsibilities. They are still accountable for the delegate's actions as it related to the delegated task.
- Users that have had initiating or approval tasks delegated to them are responsible for completing the appropriate training and familiarizing themselves with the reference materials and available support.
- It is ***strongly recommended*** that individual tasks/events be thoughtfully considered for separate delegations rather than delegating all tasks/events to the same user.
- Validations ensure
  - Delegation between UR and Affiliate entities is not permitted. This includes delegating between UR/URMC and a UR Medicine Affiliate, or between different UR Medicine Affiliates.
  - Delegation length cannot exceed 365 days. Please ensure the delegation time is no more than 12 months.
- Users that may be designated as a delegate can be:
  - Peers – anyone that reports to the same manager as you
  - Superiors – your manager and their managers up in the same management chain
  - Subordinates – anyone that reports to you or anyone that reports to any of your peers
  - Anyone else in your facility's company hierarchy
- The Delegation Request will not route for approval if the designated delegate is the user's Superior, Peer, or Subordinate (including the user's Peers' Subordinates).
- The Delegation Request will route for approval if the designated delegate is not the user's Superior, Peer, or Subordinate (including the user's Peers' Subordinates). The Delegation Request routes to the user's **Manager** for approval. See FAQ > ***Who is a Workday Manager*** for more information.

## Delegation Set Up

- 1) To view current delegations or to create new delegations, search for **My Delegations** in the search box in Workday and click on the **My Delegations** report
- 2) Select the **Manage Delegations** button
- 3) Delegations require a specific date range. Enter the **Begin Date** and **End Date**.
  - a) To delegate for a single day, enter the same Begin Date and End Date.
  - b) **Delegations cannot be set for more than one year.**
- 4) Select the delegate.
  - **Alternate Delegate:** Alternate Delegates *cannot* initiate business processes on behalf of a Delegate. When delegating initiation tasks, no edit necessary.
  - Workday routes business process steps to an Alternate Delegate only when the Delegate is excluded based on routing restrictions. Most UR business process exclude a user from approving a transaction they initiated (the approval will route to the Alternate Delegate). Meaning, when delegating approval tasks to a Subordinate of yours, you must uncheck the **Use Default Alternate** checkbox and designate an alternate approver.



## 5) Start On My Behalf

- To delegate the initiation of transactions, select the task(s) you would like the Delegate to initiate on your behalf by typing in the transaction name or selecting **All** in the menu list to make your selection.
- Alert: When you delegate the creation of an item, you give the delegate access to all of your previously created items of that type.**
- Select **only** those tasks that you wish to delegate.
- Expenses transactions that can be initiated include: **Create Expense Report** and **Create Spend Authorization**
- Procurement transactions that can be initiated are limited to only **Verify Procurement Card Transactions**.

## New Delegation



- To delegate initiation of different transactions to different users, click on the plus sign to add another Delegation row

For example, in the below I have delegated initiation of my Expense Reports to Noreen whereas I have delegated my Procurement Card Verification initiation to Deb:

Begin Date	End Date	Delegate	Start On My Behalf
09/01/2022	08/31/2023	Delegate * Noreen Cherry Use Default Alternate <input checked="" type="checkbox"/> Alternate Delegate * Elizabeth Milavec	Create Expense Report
09/01/2022	09/07/2022	Delegate * Deborah Reed	Verify Procurement Card Transactions



## 6) Do Inbox Tasks On My Behalf

- Select the business process that you want to delegate by searching. It is **strongly recommended** that you do **not** select **For All Business Processes**.
- Common processes are shown below.
- Select **only** those tasks that you wish to delegate.

Accounting processes:

The screenshot shows a search interface for business processes. The search term 'journal' is entered in the top bar. Below the search bar, the results are listed under the heading 'Search Results (4)'. The first result, 'Accounting Journal Event', is highlighted with a blue background. Below it, three other results are listed: 'Accounting Journal Intercompany Event', 'Accounting Journal Unpost Intercompany Event', and 'Accounting Journal Unpost-Reverse Event'. Each result has a small square checkbox to its left.

P2P/Procurement processes:

The screenshot shows a search interface for business processes. The search term 'Requisition Event' is entered in the top bar. Below the search bar, the results are listed under the heading 'Search Results (5)'. The first result, 'Requisition Event', is highlighted with a blue background. Below it, four other results are listed: 'Change Order', 'Supplier Accounts Match Event', 'Supplier Invoice Request Event', and 'Procurement Card Transaction Verification Event'. Each result has a small square checkbox to its left.

Expenses processes:

The screenshot shows a search interface for business processes. The search term 'Spend Authorization' is entered in the top bar. Below the search bar, the results are listed under the heading 'Search Results (2)'. The first result, 'Spend Authorization', is highlighted with a blue background. Below it, one other result is listed: 'Expense Report Event'. Each result has a small square checkbox to its left.

- Select **Retain Access to Delegated Tasks in Inbox** if you want to get notifications and access the tasks from your own Inbox as usual. If you retain access, then either you or your delegate can complete each task.

The screenshot shows a checkbox labeled 'Retain Access to Delegated Tasks in Inbox'. The checkbox is checked, indicated by a blue checkmark inside the box.

- To delegate different Inbox Tasks to different users, click on the plus sign to add another Delegation row

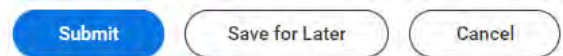
New Delegation

The screenshot shows a button labeled 'New Delegation'. The button has a green border and a plus sign icon in the center.

For example, in the below I have delegated Spend Authorization and Expense Report approvals to one user and approvals of Journals and P2P/Procurement to a different user.

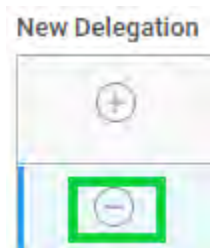
The screenshot shows the 'Do Inbox Tasks On My Behalf' configuration screen. It has two main sections. The top section is for 'Spend Authorization' and 'Expense Report Event'. It has radio buttons for 'For all Business Processes', 'For Business Process', and 'None of the above'. The 'For Business Process' option is selected. Below the radio buttons is a checkbox labeled 'Retain Access to Delegated Tasks in Inbox', which is checked. The bottom section is for 'Accounting Journal Event', 'Supplier Invoice Request Event', 'Requisition Event', 'Change Order', and 'Procurement Card Transaction Verification Event'. It also has radio buttons for 'For all Business Processes', 'For Business Process', and 'None of the above'. The 'For Business Process' option is selected. Below the radio buttons is a checkbox labeled 'Retain Access to Delegated Tasks in Inbox', which is checked.

- Press the **Submit** button to process the delegation, or press **Save for Later** in the event that you are not ready to have the delegation in effect at that time.



### **Things to know once a Delegation Request is approved**

- The Delegate will receive an email notification informing them of
  - Who has delegated
  - The duration of the delegation
  - What has been delegated, including whether those are initiating (**Start on My Behalf**) or approval (**Do Inbox Tasks On My Behalf**).
  - Directions to training resources/materials
- Both you and either the delegate or the alternate delegate receives confirmation notifications when the delegations go into effect.
- Upon approval and in conjunction with the Start Date of the delegation, initiation tasks as a delegate can begin.
- Delegates will start receiving delegated approval tasks only when *new* transactions are initiated. Any transactions *already initiated* will continue to flow to the original approver. The delegator should therefore make an effort to address all their Inbox tasks prior to their vacation or other absence from Workday approvals since the Delegate will not be able to action them.
- Delegates can also request reassignment for any delegated tasks (that were initiated but not yet reached your process step), but they cannot delegate any delegated tasks to another worker.
- For the duration of the delegation, either the delegate or the alternate delegate receives any tasks that would have been directed to you for allowed business processes, as well as any related process notifications, including alerts.
- Any delegated tasks will be recorded in the Process History with the name of the Delegate, the words "on behalf of", and followed by the name of the delegator. Example:  
[Marta Herman on behalf of Jake King](#)
- To stop a delegation, remove the row associated with the delegation from the grid by clicking the minus sign next to it and then click **Submit**.



- If you need to modify your current delegations, click **Request Delegation Change** from the **Manage Delegation Settings** page and enter the new information. The page displays your current delegations and your delegation history.

## **Next Steps as a Delegate**

Use the **View My Delegation Assignments** report to see all the business process initiation steps which others have delegated to you.

When tasks are delegated to you, you can switch accounts to perform the tasks on behalf of another user. Workday displays the **Switch Account** option in:

- The menu displayed when you click your name or photo in the application header.
- Delegated Inbox tasks in your Inbox.

Selecting **Switch Account** presents you with a list of users who have delegated Inbox tasks or Initiating Actions to you. Select the user for whom you want to act as a delegate.

Once you switch accounts, Workday displays:

- **On Behalf of**, followed by the name and photo of the delegator.
- The **Delegation Dashboard**, which includes the **Delegated Actions** worklet, and from which you can take Initiating Actions on any business processes that have been delegated to you by the user on whose behalf you are acting.
- The Inbox, which (when selected) contains only the Inbox tasks delegated to you by the user on whose behalf you are acting, and from which you can view the details and complete the tasks.

**Note:** Delegated Inbox tasks are displayed in your Inbox (for your Workday account) as well. The action item titles display **On Behalf of**, followed by the name of the delegator to indicate that they are delegated tasks. However, you cannot view the details or complete the tasks until you switch accounts. In addition, you cannot view the details of or complete delegated Tasks steps, such as those found in the Onboarding business process.

- Delegated tasks that you have completed are displayed on the **Archive** tab of the delegating user's Inbox but are not displayed in the Inbox when you are acting as a delegate for another user.

To switch back to your Workday account, select **Switch Account** again, and select your own name.

## **Reports**

Select **My Delegations** from the **Settings** menu on the **Actions** tab of your Workday Inbox. The **My Delegations** report displays completed tasks from the delegating user's point of view:

Item	Description
Current Delegations	Displays the business process delegations that you have defined for your Inbox tasks. Workday only displays delegations as long as they're active. They are removed as soon as the End Date has passed or you've explicitly stopped the delegation.
Current Task Delegations	Displays all tasks that you have delegated using the <b>Delegate Task</b> task and that the delegate has not yet completed.
Delegation History	Displays all delegation requests that you initiated. This tab contains the same delegation requests as the <b>Current Delegations</b> tab, except that here the requests are not removed once they have expired or been stopped.
Delegated Tasks	Displays all tasks that a delegate has completed on your behalf.
Business Processes allowed for Delegation	Lists all the business processes that you can delegate.

You can access these reports to view additional delegation details:

- **Business Process Transactions Awaiting Me:** Displays all business process steps that are awaiting your action.
- **View All Delegated Tasks:** Displays a list of all delegated tasks that you can perform based on the original assignment date.
- **View More Processes:** Displays a list of delegated business processes and who took action on your behalf.
- **View and Maintain Notifications:** Displays the notifications for the delegating user sent during the time that the delegation is in effect.

# Workday Expenses

Reference Guide

Create your Expense Report - NEW



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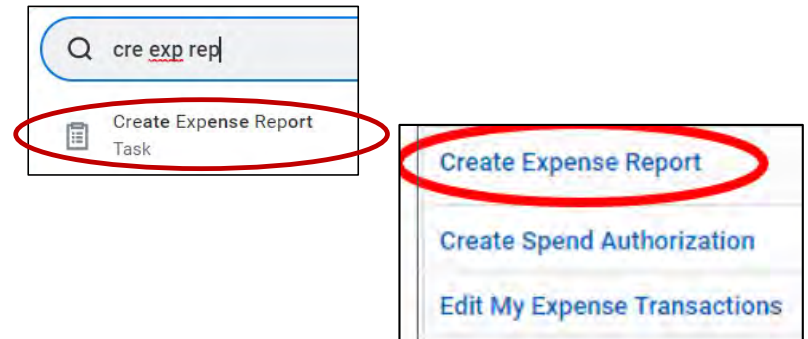
# Create Your Expense Report-New

This reference guide will show you how to Create a New Expense Report in Workday

Login to Workday using your Active Directory username and password

[UR Financials WORKDAY](#)

- type “cre exp” in the search bar, select **Create Expense Report Task**



**OR** click on the Expenses application on your homepage, then select Create Expense Report

- The default Creation Options is **Create New Expense Report**

A screenshot of the "Create Expense Report" form in Workday. The form has a title "Create Expense Report" and a section "Expense Report Information". Under this section, there are two fields: "Expense Report For" with a value of "Employee: Erin Johnson" and "Creation Options" with a value of "Create New Expense Report". The "Creation Options" field has a radio button selected next to the "Create New Expense Report" option.

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# Create Your Expense Report-New

- Enter the required Fields on the **Expense Report Header** page

- Memo
- Company
- Expense Report Date-defaults to todays date
- Business Purpose (Optional)
- [Company on Expense Line](#)
- Worktags = FAO to be charged, type in the FAO and hit **ENTER**.

The company, cost center, and fund will auto-populate.

*The Company number on the Header must match the Company number on at least one of the Expense Item Lines*

- Select OK to add **Expense Lines**

The screenshot shows the 'Expense Report Header' form. It contains the following fields and values:

- Memo**: Supplies purchased during business trip.
- Company**: 010 Central Administration
- Expense Report Date**: 07/14/2022
- Business Purpose**: Supplies
- Company on Expense Line**: 010 Central Administration
- Worktags**: A dropdown menu is open, showing the following options:
  - Company for FAO: 010
  - Cost Center: CC16001-000 Senior Vice President Advancement
  - Fund: Current Fund - Unrestricted
  - UR Operating Program: OP216104 Advancement Strategic Marketing Initiatives

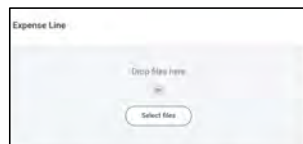
At the bottom of the form, there are two buttons: **OK** (highlighted with a red box) and **Cancel**.



# Create Your Expense Report-New

## Enter the Required Fields for the Expense Line (receipts):

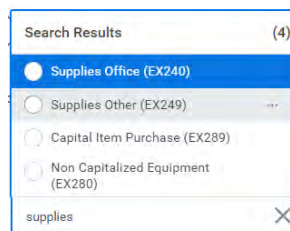
- Attach the receipt(s) for purchases of \$50 or more by Dropping the file in the gray box, or **Select files** from your computer



- Date = purchase date listed on the receipt **OR**

Expense Item	Suggested Expense Date
Conference Registration	First day of the conference
Airfare	First day of travel (departure date)
Hotel	Check-In date
Car Rental	Pick-Up date

- Expense Item- Select the appropriate Expense Item from the drop down, or type description in the field and hit enter. Select from the search results.



- Total Amount-purchase amount from the receipt, **or** the allowable reimbursement amount (ex: purchase amount is \$80, the department allows \$50 to be reimbursed, enter \$50)
- Memo-identify supplier, describe items purchased

### Expense Line

11.9-1.jpg  
✓ Successfully Uploaded!

Comment

Upload

Linked Quick Expense

Date \* 06/20/2022

Expense Item \* x Supplies Other (EX249)

Total Amount \* 50.20

Currency \* USD

Memo \* OfficeMax, legal size notepads

Company x 010 Central Administration

\*Worktags

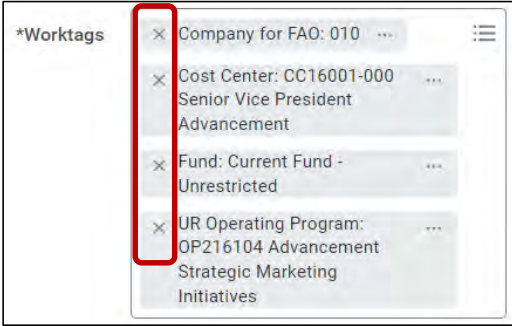
- x Company for FAO: 010
- x Cost Center: CC16001-000 Senior Vice President Advancement





## Create Your Expense Report-New

- Worktags-to change the FAO that is auto-populated, delete (x) all four lines.



\*Worktags

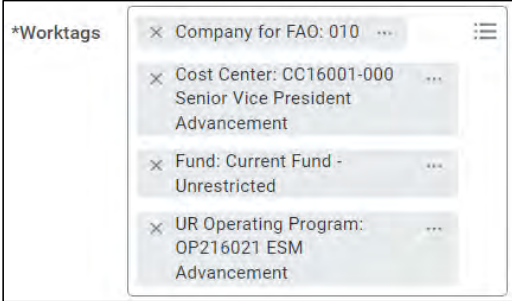
- × Company for FAO: 010 ...
- × Cost Center: CC16001-000  
Senior Vice President  
Advancement
- × Fund: Current Fund -  
Unrestricted
- × UR Operating Program:  
OP216104 Advancement  
Strategic Marketing  
Initiatives

- Then type in the FAO you want and hit enter.



\*Worktags

- The Company, Cost Center, and Fund will auto-populate



\*Worktags

- × Company for FAO: 010 ...
- × Cost Center: CC16001-000  
Senior Vice President  
Advancement
- × Fund: Current Fund -  
Unrestricted
- × UR Operating Program:  
OP216021 ESM  
Advancement



# Create Your Expense Report-New

## Enter the Item Details:

- Some Expense Items require additional information to be entered.
  - Example: Hotel-Domestic (EX120)*

When the **Item details** section shows fields marked with a red asterisk, you are required to complete the fields.

The screenshot shows the 'Expense Line' form. On the left, there is a file upload area with 'Drop files here' and 'Select files' buttons. Below this is a 'Linked Quick Expense' dropdown. The 'Date' field is set to '06/20/2022'. The 'Expense Item' field is set to 'Hotel-Domestic (EX120)'. On the right, the 'Instructions' section provides guidance on lodging and business purpose. The 'Item Details' section, outlined in red, contains three required fields: 'Arrival Date' (MM/DD/YYYY), 'Departure Date' (MM/DD/YYYY), and 'Destination'. The 'Itemization' section is also visible at the bottom right.

**Expense Line**

Drop files here  
or  
Select files

Linked Quick Expense

Date \* 06/20/2022

Expense Item \* Hotel-Domestic (EX120)

**Instructions**

Identify lodging provider. If UR's travel agents were not used, explain.

Enter a brief business purpose. Identify and explain/justify upgrades. Identify whether personal amounts were excluded from the receipt total.

**Item Details**

Arrival Date \* MM/DD/YYYY

Departure Date \* MM/DD/YYYY

Destination \*

**Itemization**



## Create Your Expense Report-New

Once you have completed the first expense line, your options are:

- **ADD** to add another expense line for additional receipts.
- **SUBMIT** to send the expense report for approval.
- **SAVE FOR LATER** saves the expense report in “Draft” status. You can edit it later and add more expense lines or submit for approval.
- **CLOSE** will close the expense report, your changes will not be saved.

The screenshot displays the 'Edit Expense Report' interface for report number EXP00000420, titled 'Supplies purchased during business trip.'. The report is in 'Draft' status. The 'Pay To' field is 'Employee: Erin Johnson'. The 'Personal' amount is 0.00 USD, 'Prior Balance Applied' is 0.00 USD, 'Cash Advance Applied' is 0.00 USD, and the 'Reimbursement' amount is 50.20 USD. The 'Expense Lines' tab is active, showing a list of items. The first item is 'Supplies Other (EX249)' for 50.20 USD, with a description 'OfficeMax, legal size notepads'. An 'Add' button is highlighted with a red box. The 'Expense Line' details show an attachment '11.9-1.jpg' uploaded by Erin Johnson, a comment field, an 'Upload' button, a 'Linked Quick Expense' field, and a date field set to '06/20/2022'. At the bottom, the 'Submit', 'Save for Later', and 'Close' buttons are highlighted with a red box.



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## Create Your Expense Report-New

- When you're ready to SUBMIT your expense report, select SUBMIT

Pay To: Employee: Erin Johnson      Status: Draft      Personal: 0.00 USD

Header      Attachments      Expense Lines

Add

1 item

Mon, Jun 20

Supplies Other (EX249)	50.20 USD
OfficeMax, legal size notepads	

Submit      Save for Later      Cancel



## Create Your Expense Report-New

- A pop up will appear notifying you that your expense report has been submitted. Selecting VIEW DETAILS shows:

- The expense report number
- The name of the individual being reimbursed
- The amount of the expense report
- Who the expense report was routed to for approval. The **Manager** is the individual who is requesting reimbursements Supervisor.

Select DONE to return to the home page

