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# **Graduate Student Handbook: Doctoral Degree**

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**2015 - 2016**

**Any exception to these policies must be approved by the School of Graduate Studies Dean.**

This handbook is published by the School of Graduate Studies of the University of North Dakota under the authority of the Dean of the School of Graduate Studies. It is considered a supplement to the UND Undergraduate and Graduate Catalog.

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## Doctoral Degree Checklist

All forms can be downloaded from the School of Graduate Studies website at: [graduateschool.und.edu](http://graduateschool.und.edu)

\_\_\_\_\_ **Advisor or Chair**

\_\_\_\_\_ **Select the Members of Your Faculty Advisory Committee**

*(Second Semester)*

\_\_\_\_\_ **Submit Your Program of Study**

*(Second Semester)*

\_\_\_\_\_ **Complete Comprehensive Exams**

*(To be taken once a substantial amount of coursework and scholarly tools have been completed)*

\_\_\_\_\_ **Submit a Topic Proposal of Your Research**

*(As soon as possible, at least six months before graduation)*

\_\_\_\_\_ **Advance to Candidacy**

*(At least one semester prior to graduation)*

\_\_\_\_\_ **Apply to Graduate**

*(You must submit this by the published deadline for the term in which you plan to graduate)*

**Graduation Requirements for Dissertation Completion** – Please check our website for any updated information. All forms must be submitted to the School of Graduate Studies by the published deadline for the term in which you plan to graduate.

\_\_\_\_\_ **Submit signed Preliminary Approval form and Notice of Defense to the School of Graduate Studies**

\_\_\_\_\_ **Format Check** - The School of Graduate Studies will provide one format check. A list of formatters/editors is also available at the School of Graduate Studies if you prefer to hire your own formatter. Submit a complete one-sided draft of your dissertation to the School of Graduate Studies so that the format review can begin. Be sure to include the [Format Checklist](#) with your document. If you have scheduled your defense in advance of the [deadline](#), you must submit the complete draft within two weeks before the defense date.

\_\_\_\_\_ **Hold your oral defense.** Forms to bring to your defense for committee signatures: (1) Approval page of dissertation and (2) Final Report on Candidate.

\_\_\_\_\_ **Submit Electronic PDF of Dissertation to UMI/ProQuest for Publishing.**

\_\_\_\_\_ **Final Report on Candidate** form will be submitted to the School of Graduate Studies by your Advisor.

\_\_\_\_\_ **Complete Survey of Earned Doctorates** (Ph.D. students only, this does not apply to Ed.D. or D.A. students. The online application can be found at <https://sed.norc.org/survey>. The School of Graduate Studies, as well as yourself, will receive a confirmation email after you have completed the survey.

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**Introduction** This handbook is intended to guide University of North Dakota graduate students through the procedures and processes of the School of Graduate Studies. The School of Graduate Studies is dedicated to serving students as they progress through their programs. One of its missions is to ensure that standards are being met. This handbook is a step-by-step guide for students who strive to meet those standards.

### **The School of Graduate Studies Staff**

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<b>Bismarck Graduate Center</b> 1309 Schaeffer St. Bismarck State College	Call the Link at: 1-800-CALL UND

## Mission of the School of Graduate Studies

### **The Mission of the School of Graduate Studies**

- \* Provides opportunities for scholarly and creative specialization through study for advanced degrees;
- \* Offers opportunities for advanced study for those pursuing professions, personal interests, and life-long learning;
- \* Ensures the standards of excellence in graduate education.

### **Mission of the University**

The University of North Dakota, as a member of the North Dakota University System, serves the state, the country and the world community through teaching, research, creative activities, and service. State assisted, the University's work depends also on federal, private, and corporate sources. With other research universities, the University shares a distinctive responsibility for the discovery, development, preservation and dissemination of knowledge. Through its sponsorship and encouragement of basic and applied research, scholarship, and creative endeavor, the University contributes to the public well-being.

The University maintains its legislatively enacted missions in liberal arts, business, education, law, medicine, engineering and mines; and has also developed special missions in nursing, fine arts, aerospace, energy, human resources and international studies. It provides a wide range of challenging academic programs for undergraduate, professional, and graduate students through the doctoral level. The University encourages students to make informed choices, to communicate effectively, to be intellectually curious and creative, to commit themselves to lifelong learning and the service of others and to share responsibility both for their own communities and for the world. The University promotes cultural diversity among its students, staff, and faculty.

In addition to its on-campus instructional and research programs, the University of North Dakota separately and cooperatively provides extensive continuing education and public service programs for all areas of the state and region.

### **Student Responsibility**

It is the responsibility of the student to become informed and to observe all regulations, procedures and deadlines required by the University, the Graduate Catalog, and the program the student is pursuing. Faculty are available for advisement, but the student must initiate all steps of the processing of documents by the published deadline. Deadlines are published in the time schedule of classes and the UND academic catalog. Ignorance of a rule does not constitute a basis for waiving that rule.



The student is responsible for ascertaining his or her academic standing and grade-point average. All graduate students must maintain a 3.00 GPA. While the School of Graduate Studies attempts to notify students regarding any problems in the student's progress toward a degree, the student alone is responsible for maintaining satisfactory academic standing and progress.

### **Listserv Information**

The School of Graduate Studies is regularly seeking to improve communication with our stakeholders. Our listservs provide a convenient way to distribute important information to graduate faculty, graduate students and administrators. In order to better manage the flow of notices, we shall be posting to our listservs on a weekly basis. We encourage all of our stakeholders to review the notifications to ensure you are aware of current activities.

## Step One: Advisor or Chair of Committee

### *Advisor/Chair*

Students are appointed an advisor when admitted to the program. If you are forming a committee or making a change to your advisor, use the form titled: **“Doctoral Degree – New Committee or Change”**. Your advisor/chair must be a member of the Graduate Faculty. The list of Graduate Faculty is available on our website:

<http://graduateschool.und.edu/faculty-and-staff/resources.cfm>

Be prepared to tell your advisor what you want to research. Although it is all right to change your mind later, you should have a clear sense of what you want to study.

### *New Committee or Change to Advisor or Committee*

Complete the form **“Doctoral Degree – New Committee or Change.”** Please have the faculty member(s) sign. \* **The graduate director of your department also needs to sign or it cannot be processed!** Then forward this form to the School of Graduate Studies. The Dean of the School of Graduate Studies has the final authority for approving your committee or change.

It is wise to put a good deal of thought into your decision, as you will be working closely with your advisor/chair for as long as it takes you to finish your degree. Questions you may want to consider when choosing your advisor/chair include the following:

### *What are the professor’s academic interests? Do they match my own?*

It is common sense to choose faculty who have similar academic interests as you. For example, if you study the Vietnam War, why would you choose someone who specializes in medieval history?

If you are not sure whether faculty have expertise in your specific topic of interest — ask. You may also want to ask for a list of his/her recent and past publications. Reading faculty’s own work is the best way to determine his/her academic interests. If your interests do not match, he/she will likely suggest someone else with whom you should work.

### *How many other graduate students does the professor advise? Will he/she have time for you?*

It is important that you find out how much time the professor has for each of his/her students. A professor who is spread too thin may be a source of frustration for you.

### *What has the experience of other students who have*

If possible, talk with other students who have worked with the professor you are considering. Keep in mind, however, that

***selected professors as their advisor/committee been?***

some personalities simply do not mix well together. You will not necessarily have the same experience with a certain professor as that of another graduate student. Do not base your decision about a faculty member on one person's opinion. Again, common sense is key here. You may find and look over past dissertations. Find out from the professor who you are considering, what his/her recent graduates are doing now. A good advisor will be able to share some success stories.

***Do I get along with this Professor?***

It is of absolute importance to have a cordial and professional relationship with your faculty advisor/chair. You will be spending far too much time with one another over the course of several years to have a contentious relationship. That having been said, do not select faculty because he/she is a nice person. Although it may be more enjoyable to work with someone who is amiable, do not choose someone on the basis of personality. You need to select a person who you can guide you along and who is the best fit for you academically and professionally.

***Will the professor speak honestly with me about my progress and ideas?***

A good advisor/chair will have clearly articulated and realistic standards. You need to select someone who will support you and your efforts, but who is also willing to offer his/her honest opinion and criticism, whether or not you want to hear it.

***Will the professor offer ideas and suggestions related to my research?***

When you visit with them are new ideas generated? Do the two of you talk about your topic with enthusiasm? Make sure you have a topic that is stimulating and an advisor/committee who is interested in it.

Although you will probably not know the answers to all of these questions, they are important issues to consider. Talk to other graduate students and, if necessary, talk to other professors who you trust. Perhaps the best way is to visit with the members of your department. Ask to set up a brief meeting with various professors, visit with them in the hall, pull them aside after class, etc. Make an informed decision.

**\* GRADUATE PROGRAM DIRECTOR - POSITION DESCRIPTION:** Each academic graduate department or program should have a faculty member who is the director or coordinator of graduate affairs for that program. This individual, with the assistance of the other graduate faculty in the department, is responsible for the administration of the graduate program(s) in the department or across departments – in the case of cross-departmental programs – and also serves as a liaison with the School of Graduate Studies. The specific duties assigned to the graduate program director position may vary somewhat from department to department, but typically such an individual often has responsibility for coordinating a variety of activities, such as academic advising of graduate students, reviewing graduate applications, admissions decisions, the allocation of fellowships and assistantships, and the appointment of faculty members to graduate student committees. This person is often the department's point of contact for prospective students. The graduate program director communicates university-wide policies about graduate programs to the departmental faculty and communicates the departmental decisions and recommendations to the School of Graduate Studies.

## **Step Two: Select the Members of Your Faculty Advisory Committee**

*Recommended Time Frame: Second Semester*

Once you have selected the chair of your committee, the two of you must decide who will make up your Faculty Advisory Committee. Before you complete Step Three in the School of Graduate Studies process (submitting your program of study), you will need to formalize your committee.

**The Dean of the School of Graduate Studies recommends that you convene your Advisory Committee at least once every six months. Discuss your progress and any potential research problems with your Advisory Committee early and often.**

**Remember, your Advisory Committee is there to help you!**

### **Doctor of Philosophy Doctor of Education**

As a Ph.D. or Ed.D. student you need to select four of the five members of your Faculty Advisory Committee. The fifth member will be appointed by the Dean of the School of Graduate Studies as one from outside of your department - a member-at-large. You may suggest the fifth member for the Dean's approval. The member-at-large serves as a representative of the School of Graduate Studies and thus has the added responsibility of ensuring that the policies and procedures of the School of Graduate Studies are being followed.

### **Teaching & Learning (Ph.D. or Ed.D.)**

If you are a Ph.D. or Ed.D. student within the Department of Teaching and Learning, you are allowed to have only four members on your committee. Three members may be from within your department. The fourth member serves as member-at-large.

### **Doctor of Arts**

As a D.A. student, you have the option of putting together a three or five member committee. On five member committees, the fifth member will be appointed by the Dean of the School of Graduate Studies as one from outside of your department - a member-at-large. You may suggest the fifth member, but the Dean does not have to accept your recommendation. The member-at-large serves as a representative of the School of Graduate Studies and thus has the added responsibility of ensuring that the policies and procedures of the School of Graduate Studies are being followed.

## Step Three: Submit Your Program of Study

*Recommended Time Frame: Second Semester*

Your Program of Study is a listing of the courses and credits you need to take in order to meet the requirements for your degree and major (your area of concentration). In addition to a major, some students elect to obtain a minor (a concentrated study in a specific supporting field) or to take courses in a cognate area (a selection of courses providing broad support to the major). The courses for your major, minor, and/or cognate are to all be included in your Program.

It is your responsibility to know what the course and credit requirements are for your department. Review the “Departmental Programs” section of the Graduate Student Catalog for detailed information regarding your requisite courses. You should also consult your advisor or the departmental Graduate Director when preparing your Program of Study.

<b>Number of credits required for UND graduate degrees:</b> (Keep in mind that credits vary with each department. Check the degree requirements for your program in the Academic Catalog)	Doctor of Philosophy - 90 semester credits beyond the Bachelor’s degree, including acceptable master’s degree work (30 credits) from an accredited North American institution, and the submission of an acceptable dissertation.  Doctor of Arts (Available only in History) - 90 semester credits beyond the Bachelor’s degree  Doctor of Education - 96 semester credits beyond the Bachelor’s degree  Doctor of Physical Therapy – <i>Please refer to the UND academic catalog for program requirements, as they differ from the other doctoral programs.</i>
<b>General Guidelines:</b>	A substantial portion of the credits for the program are often devoted to independent research, the results of which are to be incorporated in the dissertation.
<b>Major / Minor / Cognate</b>	The program will include work in one major department and should include work in one or more related departments, i.e., either a minor or cognate area, but at least one-half of the work must be in the major field.
<b>Transfer credits</b>	If you plan to include transfer credits in your program, make sure they can be applied to your degree. This is something you may want to double check with your Advisor and/or The School of Graduate Studies. Transfer courses must be listed on your program of study exactly as they appear on your transcript with the exception that quarter credits be converted into semester credits. If you have not yet completed the courses from which you will be transferring

credits, list the institution they will be taken from next to the course. For detailed information, refer to the “Transfer of Graduate Credits” section in the Graduate Catalog. An official transcript should be sent to the School of Graduate Studies.

**Scholarly Tools**

Each department has specific scholarly tools (languages, math, statistics, computer programming, etc.) required for study and research in the discipline. This requirement must be met before you are permitted to take the comprehensive examination for the degree or become a candidate for the degree.

**Non-degree credits**

You can apply nine graduate non-degree credits to your degree if they are approved on your program of study.

**Obsolete and over-age courses**

Graduate courses more than seven years old are considered obsolete and may not be included on your program of study. However, you may revalidate a UND course by submitting a revalidation plan. If you plan to revalidate any UND courses, complete the revalidation form on our website. A revalidation plan must be submitted to the Dean before the revalidation process is undertaken. Your revalidation plan must involve the professor with whom you took the course or a faculty member with similar expertise if the original professor is no longer at UND. Attach the revalidation plan to your Program of Study for approval if you want the course(s) to be applied to your degree.

Courses that were part of a completed prerequisite graduate degree program do not become overage.

**Regulatory Compliance**

If you plan to conduct research on human subjects, you must first receive approval from the Institutional Review Board (See Step 5). Research involving animals, recombinant DNA, radiation, and bio-hazardous agents also require special approval. Please consult with your advisor regarding approval of such research. You are not allowed to conduct research until you receive this approval. Forms and information are available at the Research and Program Development office (Twamley Hall, Room 101; 777-4279). Keep in mind that you must complete the appropriate training to do human subjects research. The Office of Research Development & Compliance posts a website with the necessary training module: [www.und.edu/dept/rdc](http://www.und.edu/dept/rdc).

**Organization of your program of study**

Group your courses into the appropriate sections and supply a title for each one: major, minor, cognate, foundations, etc. Leave some space between your sections to allow for any future minor revisions.

Be sure you have included the number of required credits in the total program, the major, the minor, the cognate, and the foundations areas.

Make sure to list the credit amount for each course in the appropriate column.

**The final step is to submit your program to the School of Graduate Studies for the Dean's approval.**

All the member of your Advisory Committee must sign the program of study. A copy will be sent to you and your advisor once approved.

**Changes to your program of study**

After consulting with your advisor, fill out the form "Changes to a Program of Study. After your advisor signs the form, submit it to the School of Graduate Studies for the Dean's approval. **Do not submit a new program of study, unless there are major changes.**



## **Step 4: Comprehensive Exams for Doctoral Students**

*Recommended Time Frame: To be taken once a substantial amount of coursework and scholarly tools have been completed.*

Students seeking a Doctor of Arts, Doctor of Education, or Doctor of Philosophy degree must take a written examination before they advance to candidacy. Each department has the option of giving an oral examination as well. You may take your exams once you have completed a substantial amount of your coursework (check with your department or advisor for more information). If you are a Ph.D. or Ed.D. student, you must also complete the scholarly tool requirements prior to your exams. Check with your department or advisor for more information on exam dates.

### **Content**

The content of the examination will be determined by the Graduate Faculty of your respective department. It will be extensive and will cover the field or fields in which your degree is taken. If you do not pass your comprehensive exams, you may repeat them no earlier than the next regularly scheduled offering and only with the prior approval of your advisory committee, your department, and the Dean of the School of Graduate Studies.

### **Application to take comprehensive exams**

In order to take your exams, the Department and the School of Graduate Studies needs to confirm that you are eligible. You must apply to take the exam on the form titled “Doctoral Comprehensive Examinations”. You will need to have completed a substantial amount of your coursework, you will need to be in Approved Status, your Program of Study has to be approved, and you need to have completed your scholarly tool requirements. Once the Department and the School of Graduate Studies has ensured that you have completed these steps, they will certify your eligibility and will forward the comprehensive examination form to your committee chair. Keep in mind that you may not take your exams until this certification has been provided. You may want to plan ahead, so as to ensure that the Department and the School of Graduate Studies is able to process your application by the date on which you intend to take your exams.

## Step 5: Submit a Proposal of Your Research Topic

*Recommended Time Frame: As soon as possible,  
at least six months before graduation*

**The Graduate Dean recommends that you convene your Advisory Committee as early as possible to discuss your proposed research. Their input can be invaluable and save you time and effort.**

Your proposal of dissertation, must be approved by your Faculty Advisory Committee and the Dean of the School of Graduate Studies before you can become a candidate for your degree (Step 6). You cannot graduate in the same semester or summer session in which you become a candidate. You must receive prior approval on your topic proposal. You should submit your research proposal at the beginning of your research, not the end. This requirement is in your best interest, for it is important that you do not waste time and energy by undertaking substantial work on a topic that has not yet been approved. Work with your advisor to determine what requirements your department needs to submit the topic proposal. Some departments require students to write specific chapters of the dissertation and to conduct a literature review prior to submitting a topic proposal.

The earlier you submit your proposal the better. You should expect to go through many drafts of your project. This is often frustrating for students, for it can and often does delay their planned graduation date. The sooner you know what you are researching, the sooner you can begin your project, and the sooner you can begin making revisions. When possible, plan ahead!

### **Regulatory Compliance**

Students need approval from the appropriate institutional oversight committee if the topic involves any of the below listed research. Your Topic Proposal will not be approved by the School of Graduate Studies until this approval is received.

Contact the Research Development & Compliance office at (701) 777-4279 or [www.und.edu/dept/orpd/](http://www.und.edu/dept/orpd/) for information on:

- IRB (*Institutional Review Board*) if the research involves human subjects.
- IBC (*Institutional Biosafety Committee*) if the research involves the use of recombinant DNA or biohazardous materials.

Contact the Center for Biomedical Research at (701) 777-4493 for information on:

- IACUC (*Institutional Animal Care & Use Committee*) if the research involves animal subjects.

Contact Safety & Environmental Health at (701) 777-3341 for information on:

- RSHMC (*Radiation Safety & Hazardous Materials Committee*) if the research involves the use of radiation and hazardous materials.

**You cannot initiate your research without approval.**

### **Plan your Topic Proposal**

Your topic proposal is intended not only to give you direction, but

also to aid your advisor and advisory committee in determining whether or not the problem or study is appropriate for the degree you are seeking. It is wise to consult with your advisor as you write your topic proposal. He/She should be able to advise you on the practicality and pertinence of your project. Your advisor should also be able to offer suggestions on how to conduct research on your topic and to help you think about what kind of results you might find.

**Write your Topic Proposal  
in Narrative Style**

Once you have a solid idea of what your research project will be, you need to describe it in a narrative style on the appropriate form. Your proposal should be lucid and concise - no more than one page in length. You can download a Topic Proposal form off the web at [graduateschool.und.edu](http://graduateschool.und.edu). You will be asked to provide the following items in narrative form:

- 1) A title (it can be changed at a later date)
- 2) A brief description of the nature of the problem or study
- 3) The procedure or methodology to be followed
- 4) The anticipated results

**Signatures Required**

After you have written the proposal, you need to secure the signatures of your Faculty Advisory Committee. It is necessary to have your advisor sign first. Approved copies of the proposal will be sent to you, your advisor, and the department from the School of Graduate Studies.

## **Step 6: Advancement to Candidacy**

*Recommended Time Frame: At least one semester prior to graduation*

There are a number of steps that you must fulfill before you can advance to candidacy. The Program Director, your Advisor, or the School of Graduate Studies can provide specific information about what these are. The School of Graduate Studies will send a status sheet to both you and your advisor when you become a candidate for your degree.

**Doctor of Arts,  
Doctor of Education  
Doctor of Philosophy**

**These requirements must be completed before you advance to candidacy:**

- 1) You need to have a Faculty Advisory Committee appointed by the Dean upon the written recommendation of the Graduate Director from your department.
- 2) You must be in approved status.
- 3) Your Program of Study must be approved by the School of Graduate Studies.
- 4) Your scholarly tools must be completed (prior to taking your comprehensive exams).
- 5) You must complete and pass your department's comprehensive exams.
- 6) You must complete a substantial portion of your coursework with a cumulative GPA of at least 3.00.
- 7) Your Dissertation or Research Project Proposal must be approved by the School of Graduate Studies.

**Doctor of Physical  
Therapy**

**These requirements must be completed before you advance to candidacy:**

- 1) You must successfully maintain a cumulative Graduate School GPA of >3.00 AND/OR a summer session GPA of > 3.00 in the professional Physical Therapy program.
- 2) Successfully complete Comprehensive Practical Examination I. *Students must achieve the above candidacy requirements during the first year of the professional program. Failure will result in dismissal.*

**The below listed requirements will also need to be completed before you are eligible to apply for graduation:**

- 1) You need to have a Faculty Advisor appointed.
- 2) Your Program of Study must be approved by the School of Graduate Studies.
- 3) Your Scholarly Project Proposal must be approved by the School of Graduate Studies.
- 4) Successful completion of the Comprehensive Practical Examination II.

**Doctor of Nursing Practice  
(DNP)**

**The below listed requirements need to be completed before you are eligible to apply for graduation.**

- 1) You need to have a Faculty Advisor appointed.
- 2) Your Program of Study must be approved by the School of Graduate Studies.
- 3) Your Topic Proposal (DNP Capstone Final Project) must be approved by the School of Graduate Studies.

***You must complete the above requirements at least one semester prior to the semester in which you plan to graduate!***

## **Step 7: Apply to Graduate**

*Recommended Time Frame: You must submit this by the published deadline for the term in which you plan to graduate*

This is a simple, but essential step in the School of Graduate Studies process. It is of utmost importance that you **pay close attention to deadlines** at this stage in the game. A missed deadline will put you at risk for delaying your graduation date. Starting with your “Application for a Graduate Degree,” you need to make yourself aware of what paperwork is due and when you need to turn it in. This is your responsibility!

### **Apply to Graduate – Online Application**

The on-line graduation application can be found on our website: [graduateschool.und.edu](http://graduateschool.und.edu) under the Current Student Forms. Only students that have been advanced to candidacy can apply to graduate. When you submit a graduation application, notification is sent to your Advisor, The School of Graduate Studies, and the Registrar’s Office. The deadlines to apply for graduation are published in the graduate catalog, the campus connection Dates & Deadlines, the School of Graduate Studies website at [graduateschool.und.edu](http://graduateschool.und.edu). Deadlines are also sent out on the School of Graduate Studies listserv. Please be sure you adhere to these deadlines.

### **You must be registered the term in which you graduate.**

You must also be registered the term in which you graduate. If you have taken all your coursework, you may enroll in 996 continuing enrollment. You will need to get the call number from your department. A maximum of four regular semesters’ for doctoral students is allowed for 996 enrollment (6-9 credits).

*\* If for some reason your graduation is delayed, please let the School of Graduate Studies know that you want your name removed from the graduation list. You will then need to submit a new application for the next semester.*

## **Step 8: Preliminary Approval and Notice of Defense of Your Dissertation**

*Recommended Time Frame: You must submit this form by the published deadline for the term in which you plan to graduate*

Before you can schedule your defense, you need to receive preliminary approval from your Faculty Advisory Committee. You should plan on distributing a preliminary draft of your work to your committee members at least eight weeks before your tentative defense date. You need to give each of them about a month to read and comment on your dissertation. Let them know in advance when you plan on distributing your first draft so they can schedule reading time into their calendars.

Be sure to allow yourself enough time to make the changes suggested or required by your committee. At this stage the changes may be significant, so you want to make sure you will be able to address them fully. Once you have made the appropriate corrections and your committee has approved the changes, you may request that they sign the Preliminary Approval form. Ideally, it would be helpful to you to get the committee together to discuss your draft and to sign the Preliminary Approval form. They should not sign the form until it has met their requirements.

### **The Preliminary Approval form is for your protection.**

When your committee signs this form, they are stating that they accept the content, organization, and style of your dissertation. They are stating that you will not have to make any major changes or perform a new set of experiments for the final copy. Each committee member should read your dissertation prior to signing the preliminary approval form.

### **If you miss this deadline you will be removed from the graduation list and you will have to apply for graduation again the next semester.**

The Preliminary Approval form is available on the web at [graduateschool.und.edu](http://graduateschool.und.edu). You must turn in this form by the published deadline. The form itself is fairly straightforward. Besides your name and the degree you intend to receive, you will be asked to provide the exact title of your dissertation. After supplying the required information, secure the signatures of your committee members and deposit the form in the School of Graduate Studies office.

### **Notice of Doctoral Oral Defense (submit this form to the School of Graduate Studies two weeks before the defense)**

Notice of Defense is due two weeks in advance of the defense date. All doctoral exams are published in the *University Letter* so that all interested faculty and the academic community may attend.

## Step 9: Final Defense of Your Dissertation

*Recommended Time Frame: At least two weeks before commencement*

You are required to appear before your entire advisory committee for a concluding examination or defense before you turn in the final copy of your work to the School of Graduate Studies. Be aware of the deadlines for final submission of dissertations when you schedule your defense. Academic calendars can be found in the Graduate Catalog, the dates and deadlines and online at [graduateschool.und.edu](http://graduateschool.und.edu).

### **Schedule your defense**

The first step is to have your advisor schedule your defense. Then you or your advisor must complete the “Notice of Defense” form and secure the necessary signatures. This Notice of Defense along with the Preliminary Approval (if not previously submitted) must be received at the School of Graduate Studies two weeks in advance of your defense. Talk over potential dates with your advisor and other committee members to ensure that you schedule an appropriate time for all involved. **Your entire committee must be physically present at your defense.** If a member of your committee is not able to be present at the defense, prior approval must be granted from the Dean of the School of Graduate Studies for a committee member to participate by telephone. The committee should make the request by sending a memo to the School of Graduate Studies Dean stating the circumstances. The entire committee must be in agreement by signing this memo. Once the date is set you will want to make sure that you provide the members of your committee with a final copy of your dissertation in time that they may read it before your defense.

What is included in the defense varies from department to department. Some departments have students present their dissertation research in a presentation with a question/answer period following. Your advisor should be able to help you prepare.

Your examination will be conducted by your Faculty Advisory Committee. It is also open to the other members of the Graduate Faculty and the academic community. Your examination will consist of an oral portion and possibly a written one as well. Although it will certainly cover your research, the examination is not restricted to your dissertation. Check with your advisor and department to see what is expected of you.

### **Signatures on Approval Page and Final Report form**

Your committee will indicate their endorsement of you and your work by signing the Approval Page of your dissertation. You may only repeat a failed examination with the consent of your



committee and the dean. The results of your defense must be certified by your committee on a form titled “Final Report on Candidate” by the deadline specified on the Academic Calendar.

**Pass/Fail**

You may pass your examinations with one opposing vote. The person who objects to passing you must provide the School of Graduate Studies with a written report of his/her decision. In this situation, four signatures will be accepted on the final copy of your dissertation.

**Step 10:**  
**Submit a Copy of Your Dissertation to the School of Graduate Studies  
to be Checked for Format and Style**

*Recommended Time Frame: Preliminary Approval must have been received*

Your dissertation must be prepared in accordance with the *Style and Policy Manual for Theses and Dissertations*. The manual is available online at [graduateschool.und.edu](http://graduateschool.und.edu). The manual is particularly important, for it provides you with precise information and models on how your dissertation is supposed to look. If you need help with grammar or sentence structure, please call the University's Writing Center to set up an appointment (777-2795). The School of Graduate Studies is not responsible for editing manuscripts.

**Style and Format**

**Do not look to previously approved dissertations for style and format guidance** because whoever checked the project may have omitted errors or may have exempted the author from certain policies. To ensure a properly prepared dissertation, use the *Style and Policy Manual*, which is available on our website. If you have any questions – ask. Asking someone in the School of Graduate Studies to clarify a question about margins, page numbers, etc., will save you both time and stress. **Please be sure your approval page meets the School of Graduate Studies guidelines before you have your committee sign it. You will be required to obtain all signatures again if the page does not meet formatting guidelines.** The School of Graduate Studies can also provide you with the names of typists who can format theses according to the *Style and Policy Manual*.

**Draft copy**

The School of Graduate Studies will provide one format check after receiving Preliminary Approval. A list of formatters/editors is also available at the School of Graduate Studies if you prefer to hire your own formatter.

- Submit a complete **one-sided** draft of your dissertation to the School of Graduate Studies so that the format review can begin.
- Be sure to include the [Format Checklist](#) with your document.
- If you have scheduled your defense in advance of the [deadline](#), you must submit the complete draft within two weeks before the defense date.

Please note that it is expected there will be content revisions needed after receiving feedback from your committee. However, it is also expected that the document is ready to defend, meaning that your document is in its final stage of completion.

**Do not bind or staple the copy that you bring in for a format check.**

If you are not on campus, you can either mail a one-sided copy of the dissertation to the School of Graduate Studies, or you can arrange to have UND Duplicating Services print your document. They can be reached at 701-777-5088 or [duplicating@email.und.edu](mailto:duplicating@email.und.edu)

A staff member of the School of Graduate Studies will send you the format changes by either e-mail or mail. Provide an e-mail address, telephone number, and postal address when you submit your copy.

### **Formatting Checklist**

The most current formatting checklist is available on our website.

## Step 11:

### Submit Electronic Dissertation to UMI/ProQuest Publishing

*Recommended Time Frame: You must submit your dissertation by the published deadline for the term in which you plan to graduate*

#### Electronic Submission

You will find all of the information you need on completing your dissertation on the School of Graduate Studies website, from completing paperwork, to format checking and electronically submitting your work through ProQuest.

- The [Overview of Manuscript Submission](#) page lets you know what you will need to do to prepare for your submission.
- You will upload your Dissertation in PDF format to the ProQuest ETD Administrator site. Please see the instructions on [How to Prepare your Manuscript for Submission](#).
- The [Electronic Dissertation Submission Guide for UND Graduate Students](#) will take you step by step through the ProQuest system.
- After your format has been checked by the School of Graduate Studies and you have made the required changes from your committee, you will [submit](#) the final version of your document electronically to UMI/ProQuest at [www.etsadmin.com/und](http://www.etsadmin.com/und).
- **Once you electronically submit your final copy for publishing, no changes are made to the format or content. Therefore, the burden of how the manuscript looks is entirely the responsibility of the student author.**

#### Additional Copies

Check with your advisor, program director, or committee to see how many copies for your department are required. Many students also provide the members of their advisory committee with a copy of the final version of the dissertation. Some choose to have them hard bound. Others do not. For information on binding, see the Chester Fritz Library Periodicals Department. (777-4646)

The Graduate Dean recommends that you keep at least one hard copy of your dissertation for your records in addition to the electronic files. You may want to refer to the document in the future.

## Step 12:

### **Your Committee Chair will submit the form “Final Report on Candidate” to the School of Graduate Studies**

*This form must be submitted this by the published deadline for the term in which you plan to graduate*

**Make sure you are aware of the deadline for submitting the Final Report.**

#### **Final Report on Candidate – Thesis, Dissertation, Research Report, or Professional Exhibition Option**

This form certifies completion of your oral defense and the required comprehensive exams required for the degree, and also lists the title of your dissertation. The form is available online at *graduateschool.und.edu*. Your advisor and committee members must indicate whether or not they found your performance at the examination to be satisfactory or unsatisfactory by signing their name in the appropriate column.

This form is the School of Graduate Studies’s verification from your advisor and committee that you have finished the requirements for the degree. **If this form is not received at the School of Graduate Studies by the published deadline, the School of Graduate Studies will have to remove your name from the graduation list and you will not be able to graduate that semester.** You will then need to submit a new on-line graduation application for the semester you plan to graduate.

#### ***\*Diplomas***

*Doctoral diplomas are awarded at the commencement when you are hooded if all requirements are met. If you do not attend commencement, they will be mailed out. Please be sure your have updated your home address on the Campus Connection system.*

### **Step 13: Complete Required Survey**

*This survey is for Ph.D. students only, this does not apply to Ed.D. or D.A. students.*

Ph.D. Students need to complete the Survey of Earned Doctorates (SED) online at <https://sed.norc.org/survey>.

The School of Graduate Studies, as well as yourself, will receive a confirmation email after you have completed the survey.

## APPENDIX

### Graduate Appointments

#### **GTA – GRA – GSA Assistantships**

A Graduate Assistant (GA) is both a university student and an employee. There are a variety of appointments available to students including Graduate Teaching Assistant (GTA), Graduate Research Assistant (GRA), and Graduate Service Assistant (GSA). Although GA's are typically appointed on a half-time basis, some are appointed as quarter-time assistants. You must apply within your department for graduate assistantships. Check with your advisor, graduate director, or the School of Graduate Studies office for application procedures and deadlines. See the School of Graduate Studies website *Financial Assistance for Graduate Students* for detailed information on each of these positions.

#### **Scholarships**

There are a number of scholarships available for graduate students at UND. In February The School of Graduate Studies will post the announcement for the scholarships for the following academic year on the website and listerv. Application forms will also be available on the website: [www.graduateschool.und.edu](http://www.graduateschool.und.edu)

### Petitions

Graduate School Petition forms are available at [graduateschool.und.edu](http://graduateschool.und.edu). The student must clearly state what is being petitioned. If the petition involves a specific course, the course number must be listed. Each petition form lists the signatures required for each action.

### Leave of Absence & Readmission

Effective July 1, 2007, **degree and certificate seeking graduate students** who wish to take a leave of absence from their program for Fall or Spring semester must notify their graduate program and the School of Graduate Studies by submission of a *Request for Leave of Absence from Graduate Study* in advance of their leave. **Students will be required to obtain the Graduate Director's signature from their department prior to submitting the form to the School of Graduate Studies.**

Summer semester is not counted as a break in enrollment.

Students who do not submit a leave of absence will be required to submit a *Readmission Application for Graduate School* and pay a readmission application fee of \$35.00. Applications for readmission

will be reviewed and approved by the program and the graduate dean. Student should submit a leave of absence form to avoid paying a readmission fee.

These forms can be found on our website: [www.graduateschool.und.edu](http://www.graduateschool.und.edu)



## FREQUENTLY ASKED QUESTIONS

### **What are the hours of The School of Graduate Studies?**

The School of Graduate Studies is open from 8:00 a.m. to 4:30 p.m. Monday through Friday. If you have questions, you are welcome to email us or call using UND's toll free number: 1-800-CALL-UND.

### **Can I get grades and test scores over the telephone?**

No, it is not possible for us to give out grades and test scores over the telephone. We need verification information to ensure we are giving this information out to the appropriate individual. Grades are available on CampusConnection. For all other confidential information, you will need to come in and show identification.

### **Do I need to be continually enrolled?**

No, this is not a Graduate School requirement, unless you are utilizing University services. However, some departments do require continuous enrollment so you do not lose your standing within the department. Check with your department for this requirement. You will need to be enrolled the semester you graduate.

### **Do I need to file a Leave of Absence or a Readmission application?**

You will only need to file a *Readmission or Leave of Absence* form if you are not enrolled for the fall or spring semester (summer semester does not count as a break in enrollment).

### **Can I take undergraduate courses when I'm a graduate student?**

Your main goal as a graduate student should be to complete courses pertinent to your program of study. Some programs allow students to take undergraduate courses in their cognate, and it is understood that the student will be required to do additional work, over and above that typically required of undergraduates.

### **Can I take courses for S/U grading?**

Graduate students do not have the option of electing S/U grading in either graduate or undergraduate courses, unless that is the only way they are offered.

### **What happens if I can't complete a course on time?**

If you can't complete a course on time because of something beyond your control, you may request to receive an incomplete grade. Your instructor may allow this if they feel that there is reasonable certainty that you will successfully complete the course without retaking it. There is a form called, "Report of Incomplete Grade", that will need to be completed by the instructor. Please be aware that the work needs to be completed by the specified deadline that your instructor indicates on this form.

### **I received a D or F in one of my courses—can I retake it?**

Courses taken by graduate students, for which a grad of D, F, or U was received, may be repeated once for credit, with only the second grade to count in the grade point average. This option does not apply to

students who have been dismissed. Contact The School of Graduate Studies so your transcript will be marked as a retake once the course is graded.

### **What happens if I fall below a 3.00 GPA?**

If you fall below a 3.00 GPA your record will be reviewed. Students having accumulated 12 or more credit hours will be placed on academic probation for one semester; students having accumulated fewer than 12 credit hours will be placed on academic probation until either (a) the GPA is raised to at least 3.00 (2.75 for M. Engr) or (b) 12 graduate credit hours are accumulated, whichever occurs first. If, at the end of the probationary period, the GPA is still less than 3.00 (2.75 for M. Engr.), the student will be dismissed. Students must maintain a 3.00 GPA to be eligible for assistantships.

### **How do I drop courses after the deadline?**

To drop a course after the deadline, you must complete an Administrative Procedures petition. This form can be found on The School of Graduate Studies or the Registrar's web sites. This form, with signatures and recommendations for approval or disapproval, must be brought to The School of Graduate Studies for the Graduate Dean's signature. Explain clearly why you are requesting to drop a course after the deadline. Clearly specify the course and term you are requesting to drop. The administrative procedures committee will meet on these petitions throughout the semester, and you will be notified by letter.

### **What is considered full time?**

For students without an assistantship to be considered full time the minimum credits taken in the fall and spring semesters are 9 and during the summer semester are 6. To qualify for Federal Financial Aid you must be registered in a minimum of 6 credits (half-time status).

### **What are the reasons for grad holds?**

1. Prerequisites not completed on time as stated in your admission letter.
2. Enrolled in the maximum amount of 996 continuing enrollment credits
3. Failure to complete certain admission stipulations (ex. GRE tests)
4. Dismissals
5. Special Permission to Register

### **If I have a question about my Graduate Assistantship health insurance whom do I call?**

If you have questions about your coverage, call Blue Cross/Blue Shield at 800-342-4718. Ask for the UND Graduate School representative.

### **How do I get loan deferments and enrollment verification?**

UND is using the National Student Clearinghouse for loan deferments and enrollment verification. Enrollment verifications can be printed from your CampusConnection.

### **North Dakota residency—what is it?**

For tuition purposes, please see the section entitled, “Regulations regarding non-resident fees” in the Academic Catalog for information about North Dakota residency requirements.

### **Residency requirements for dissertation.**

ND residency is not to be confused with the department residency requirement. Students writing a dissertation are required to spend a minimum period of time in residence during their course of study. A student must be registered for at least 9 credits in a semester or be a graduate teaching or research assistant. Please check with your department on your particular residency requirement, as not all departments have this requirement.

### **How do I notify The School of Graduate Studies of my advisor or committee?**

Complete the form “Advisor or Committee Appointment” and submit to the School of Graduate Studies with the proper signatures. Be sure the Graduate Director of your department also signs this form, or it will be sent back.

### **How do I change my advisor or committee?**

Complete the “Advisor or Committee Appointment” and submit to The School of Graduate Studies with the proper signatures. Be sure the Graduate Director of your department also signs this form, or it will be sent back.

### **How do I change my program of study?**

After consulting with your advisor, fill out the form “Changes to a Program of Study.” After your advisor signs the form, submit it to The School of Graduate Studies for the Dean’s approval. Do not submit a new program of study, unless there are major changes.

### **Will my credits for 999 Dissertation remain an incomplete until I am finished?**

Yes, they will remain an incomplete until your final copy is finished. A grade of “SP” Satisfactory Progress, or “UP” Unsatisfactory Progress, will be assigned. The “SP” or the “UP” grade, which usually span several semesters, will be replaced by a grade at the conclusion of the activity, usually a student’s final semester. Grades of “SP” or “UP” are not calculated into term or cumulative GPA values and will be expunged from the record upon submission of final grades.

### **What is the Topic Proposal and where do I get the form?**

The Topic Proposal is a summary of the student’s Dissertation, Thesis, Independent Study, Project Design, or Scholarly Project. The form can be found on our web site under [current students' forms](#).

### **Where do I get a policy manual for writing my dissertation?**

The Style and Policy Manual is available on our website as a PDF document . All theses and dissertations are submitted electronically by the student for publishing with ProQuest/UMI. [Please refer to our website for information regarding the electronic submission.](#)

## **What can I enroll in if I'm finishing my dissertation?**

If you have finished all your courses on your program of study, you can enroll in 996 continuing enrollment (1-9 credits) to finish your dissertation. A maximum of 6-9 credits for two semesters for master's and four semesters for doctoral is allowed. The fee is \$100 per credit. Do not enroll in more 999 dissertation credits than are on your program of study.

## **Where do I bring my dissertation for a format check?**

The School of Graduate Studies will provide one format check after you have received "Preliminary Approval" from your committee. A list of formatters/editors is also available at The School of Graduate Studies if you prefer to hire your own formatter.

If you are not on campus, you can either mail a one-sided copy of the dissertation to the School of Graduate Studies, or you can arrange to have UND Duplicating Services print your document. They can be reached at 701-777-5088 or [duplicating@email.und.edu](mailto:duplicating@email.und.edu)

A staff member of the School of Graduate Studies will send you the format changes by either e-mail or mail. Provide an e-mail address, telephone number, and postal address when you submit your copy.

- Be sure to include the [Format Checklist](#) with your document.
- If you have scheduled your defense in advance of the [deadline](#), you must submit the complete draft within two weeks before the defense date.

Please note that it is expected there will be content revisions needed after receiving feedback from your committee. However, it is also expected that the document is ready to defend, meaning that your document is in its final stage of completion.

## **How much does the electronic submission of my dissertation cost?**

There is no submission fee for submitting your document electronically through ProQuest/UMI. The publishing fee is waived when submitting in this way. The only required charge when submitting your manuscript is for a hard-bound copy to be kept at the Chester Fritz Library. Other optional fees may be charged depending on the publishing agreement you choose and if you choose to register a copyright. You may also choose to order personal bound copies of your manuscript during the submission process for an additional fee. Please refer to our website for more information on the submittal process.

## **How do I apply to graduate?**

You need to be advanced to candidacy the semester before you plan to graduate. This means you need to be in approved status (not qualified or provisional), and your program of study and topic proposal need to be approved by the School of Graduate Studies. Doctoral students also need to complete their comprehensive exams. You will receive a status sheet every time you turn in a form to the School of Graduate Studies. When all the above is turned in and approved by The School of Graduate Studies, you will automatically be advanced to candidacy. You can then go online and apply to graduate. The link to the graduation application is on our website and the registrar's office website. Please be aware of the deadlines, which are printed each semester on the [Dates & Deadlines](#) listed on The School of Graduate Studies website and the registrar's office website. Deadlines are also found in the front of the UND academic catalog.

**The online graduation application asks to list my “hometown”. Why?**

The UND commencement program lists all the students graduating and where they are from. Write down the name of the town or city that you want listed in program. This is only for the commencement program and does not change your address in CampusConnection.

**Is there a time limit on finishing my degree?**

Yes, graduate courses more than seven years old are considered obsolete and may not be counted to fulfill course requirement for an advanced degree program. Programs of study more than 7 years old also are obsolete. Obsolete UND graduate courses may be revalidated and may be counted toward an advanced degree on the recommendation of the student’s faculty advisory committee and the Dean of The School of Graduate Studies. The revalidation form is available on our web site. Graduate work from another institution, which is overage, cannot be revalidated and will not count towards a UND degree.

THESIS/DISSERTATION CHECKLIST FOR FORMATTING  
**PLEASE RETURN THIS FORM WITH YOUR FORMAT COPY**

PRINTED NAME \_\_\_\_\_ ID \_\_\_\_\_

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

As you are preparing the draft copy of your Thesis/Dissertation, please refer to the “*Style Guide*” which can be found on the School of Graduate Studies website – Guidelines and sample pages are included.

[www.graduateschool.und.edu-students](http://www.graduateschool.und.edu-students) – *current students – Handbooks & Guides – Style Guide*

**Please print a one-sided document; you do not need to print your draft copy on cotton paper.**

- The “**Title Page**” meets guidelines – the title on this page needs to match the title on your **Permission page**
  - The “**Copyright Page**” (optional) meets guidelines – if included, this would be page number “**ii**”
  - The “**Approval Page**” meets guidelines (**this page needs to be word for word**) – this would be pg. “**ii**” or “**iii**” •
- Please submit this page to the School of Graduate Studies after your committee has signed it.*
- The “**Permission Page**” meets guidelines (**this page needs to be word for word**) -
  - The “**TABLE OF CONTENTS**” matches the guide format:
    - Line spacing is correct.
    - I have listed only items that follow the Table of Contents - (chapter titles, subheadings, & page numbers)
    - I have verified page numbers, chapter numbers and chapter titles for accuracy
    - I have verified all headings & subheadings for accuracy - (they match what is in the text word for word)
    - I have verified the headings and subheadings are the correct format
  - The “**LIST OF FIGURES**” matches the format of the guide – (figure titles match figure titles in text exactly)
    - ◆ *See examples of Figures*
  - The “**LIST OF TABLES**” matches the format of the guide – (table titles match table titles in text exactly)
    - ◆ *See examples of Tables*
  - The “**ACKNOWLEDGEMENTS**” Page” (optional) – meets guidelines & is spelled the same in Table of Contents
  - The “**Dedication**” Page” (optional) – this page is **not** numbered or counted.
  - The “**ABSTRACT**” matches the format of the guide.
  - The **text** of my thesis/dissertation follows the guidelines set in the guide
    - I have **double spaced** all text (excluding titles longer than one line, these would be single spaced)
    - I have used an acceptable **font and font size** throughout (12 point is preferred)
    - I have adhered to **all margin** guidelines - (**margins are an essential part of your work**)
  - The “**APPENDICES**” adhere to all guidelines
  - The “**REFERENCES**” adhere to all guidelines
- Ph.D. Students Only** – Please complete the *Survey of Earned Doctorates (SED)* – <https://sed.norc.org/survey>

<p><b>Once you electronically submit your final copy to ProQuest/UMI for publishing, no changes are made to the format or content. Therefore, the burden of how the manuscript looks is entirely the responsibility of the student author.</b></p>
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GRADUATE  
SCHOOL  
FORMS ARE AVAILABLE ON  
OUR WEBSITE:

*graduateschool.und.edu*