

Graduate School Manual

Policies, Procedures, and Guidance for Graduate Studies

Winter 1998 Edition

The Graduate School
University of Rhode Island
204 Quinn Hall
Kingston, Rhode Island

TABLE OF CONTENTS

SECTION 1

1 Introduction

2 Graduate Study

3 Admission

3.10 General Provisions

3.20 Degree Candidates

3.30 Non-Matriculating status

4 Registration

4.10 General

4.20 Full-Time and Part-Time Registration

4.30 Leave of Absence

4.40 Continuous Enrollment

4.50 Withdrawal

4.60 Re-Enrollment

4.70 Registration for Research or Study Off Campus

4.80 Intellectual Opportunity Plan (Pass/Fail Option)

4.90 Dismissal for Scholastic Reasons

4.95 Dismissal for Other Reasons

SECTION 2

5 Residence Requirements

5.10 General

5.20 Master's Degree

5.30 Doctoral Degree

6 Fees

SECTION 3

7 Degree Requirements

- 7.10 General
- 7.20 Transfer Credit
- 7.30 Credit by Examination or Equivalent
- 7.40 Master's Degree Requirements
- 7.41 General
- 7.42 Time Limit
- 7.43 Program of Study
- 7.44 Programs with Thesis
 - 7.44.1 Minimum Credit Requirements
 - 7.44.2 Written Master's Examination (Optional)
 - 7.44.3 Thesis (Required)
 - 7.44.4 Oral Defense of Thesis (Required)
- 7.45 Programs Without Thesis
 - 7.45.1 Minimum Credit Requirements
 - 7.45.2 Written Master's Examination (Required)
 - 7.45.3 Oral Master's Examination (Optional)
- 7.50 Doctoral Degree Requirements
 - 7.50.1 Definition of Doctoral Degree Requirements
- 7.51 Time Limit
- 7.52 Program of Study
- 7.54 Minimum Credit Requirements
- 7.55 Qualifying Examination
 - 7.55.1 General
 - 7.55.2 Exemption from Qualifying Examination
- 7.57 Comprehensive Examinations (Required)
 - 7.57.1 General.
 - 7.57.1.1 Part I - Written
 - 7.57.1.2 Part II - Oral
- 7.58 Thesis
 - 7.58.1 Oral Defense of Thesis
- 7.60 Scheduling of Examinations
- 7.70 Reporting the Results of Examinations

SECTION 4

8 Advisers, Major Professors, and Committees

- 8.10 The Department Chairperson
- 8.20 The Adviser
- 8.30 The Major Professor
- 8.33 Responsibilities of Major Professor - Master's Degree Candidates
- 8.34 Responsibilities of Major Professor for Doctoral Degree Candidates
- 8.40 Graduate Student Committees

- 8.41 General
- 8.42 Committees for Master's Degree Candidates
- 8.43 Committees for Doctoral Degree Candidates
- 8.50 Changes in Committee Membership for Master's and Doctoral Candidates

9 Distribution of Courses

- 9.10 For Master's Programs
- 9.20 For Doctoral Programs
- 9.30 Approval of Programs

SECTION 5

10 Scholastic Standing

- 10.10 Acceptable Grades
- 10.20 Acceptable Average
- 10.30 S, U, and I Grades
- 10.40 Grades of Incomplete
- 10.50 Change in Record
- 10.60 Audit

11 Theses Preparation and Approval

- 11.10 Thesis Preparation
- 11.20 Thesis Approval

12 Fellowships, Assistantships, Scholarships, Loans and Veterans Benefits

- 12.10 General Conditions
- 12.20 Fellowships
- 12.21 General
- 12.22 Industrial, Endowed, and Special Fellowships
- 12.23 URI Graduate Fellowships
- 12.30 Assistantships
- 12.31 General
- 12.32 Graduate Assistantships
- 12.33 Graduate Research Assistantships
- 12.34 Graduate Assistantships/Graduate Research Assistantships:Conditions of Appointment
- 12.40 Tuition Scholarships
- 12.50 Financial Aid
- 12.60 Veterans Benefits
- 12.70 Student Exchange Among Public Institutions
- 12.80 Tuition Waiver at the Public Institutions of Higher Education
- 12.90 Patent and Copyright Policies

SECTION 6
APPENDICES

A. Graduate Student Academic Appeals System

A.10 Academic Standards and Integrity

A.11 Waiver of Requirements

A.12 Grades

A.13 Plagiarism

A.20 Boards and Officers

A.21 Graduate Council

A.22 Dean of The Graduate School

A.23 University Ombudsman

A.24 The University Judicial System

A.25 Committee on Academic Standards and Appeals

A.26 The Graduate Student Academic Appeals Board

C. Policies for the Release and Disclosure of Information from Student Records

D. Institutional Review Board Policy and Procedures Concerning the Protection of Human Subjects

E. Institutional Animal Care and Use Committee

F. Intellectual Property

G. Scientific Misconduct in Research and Scholarship Graduate School Governance

GRADUATE STUDENT MANUAL

THE UNIVERSITY OF RHODE ISLAND KINGSTON, RHODE ISLAND THE
GRADUATE SCHOOL QUINN HALL, ROOM 204 (401) 874-2262

PREFACE

The Graduate Student Manual sets forth policies and regulations as approved by the Graduate Council governing graduate students at the University of Rhode Island. All candidates for masters' and doctors' degrees and all non-matriculating students entering, admitted to, or readmitted by The Graduate School are governed by the appropriate edition of this manual.

Any member of the graduate faculty or any graduate student may petition the Graduate School concerning exceptions to the provisions of this manual. Petitions requesting exceptions to or appeals from the provisions of this manual shall be addressed to the Dean of the Graduate School, Quinn Hall.

Only the Graduate Council, or, in discretionary cases, only the Dean of the Graduate School may alter or grant exceptions to the provisions of this manual. In particular, the provisions regarding admissions to graduate study, advanced standing, transfer credit, and approval and amendment of programs of study all explicitly require the approval of the Dean of the Graduate School. No one else has the authority to commit the Graduate School in any of these or similar matters.

This manual is distributed to all URI Graduate Faculty and it is available to all graduate students.
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SECTION 1. INTRODUCTION

This manual presents the policies and regulations which govern all persons enrolled in the Graduate School and outlines procedures for them, their advisers, major professors, department chairpersons and plan committees. Information concerning the organization of the Graduate School, the Graduate Council, the Graduate Faculty, and the authorization for graduate plans and courses will be found in the University Manual. Copies of the University Manual are routinely available for use in academic department offices and are present at the University Library. Information regarding specific programs of study and specific courses will be found in the Bulletin of the University of Rhode Island. All plan requirements must be approved by Graduate Council. If a change in plan requirements occurs after a student has matriculated, the student may complete the requirements as specified for the plan when he or she matriculated, or may shift entirely to the most recently approved plan requirements, but may not utilize a combination of both.

SECTION 2. GRADUATE STUDY

Work for a post-baccalaureate or advanced degree involves notably more responsibility and independence on the part of the student than work for the bachelor's degree. The major goals of graduate study are not simply the acquisition of more general education and moderate amounts of information about particular fields or areas of study. The primary objectives of graduate study are the development of sound scholarship and a degree of specialization which will lead to advancement of knowledge and prepare the student for intellectual leadership. In pursuing graduate study, all students are expected to adhere to the accepted standards of scholarly integrity in all presentations, examinations, research, and writing of papers, theses, and dissertations. (See 11.15 and A.13) Where any form of research, development, or related activity involves human subjects, including the use of questionnaires, the policy and procedures of the Institutional Review Board must be followed (see Appendix D). Where research or teaching involves live animals, the policy and procedures of the Institutional Animal Care and Use Committee must be followed (see Appendix E). Each student is responsible for the timely completion of all requirements for the degree. This includes submission of a satisfactory program of study and thesis proposal as well as completion of courses, required examinations, and theses.

SECTION 3. ADMISSION

3.10 General Provisions

3.11. Persons holding the baccalaureate degree and wishing to take graduate level courses at the University may do so through admission to the Graduate School as degree candidates or by enrolling as non-matriculating students. General deadlines for receipt of applications and all supporting documents are no later than April 15 for Summer admission, July 15 for Fall admission and November 15 for January admission. For International applications, these deadlines are February 15 for Fall admission and July for Spring admission. As noted in the Graduate Plans section of the *Bulletin of the University of Rhode Island*, certain plans admit students only for September and/or have earlier application deadlines. Please see materials provided by individual departments and plans for information regarding deadlines for specific plans. Applications shall be submitted to the Graduate Plan Director. Appropriate departments will examine the applications and credentials and forward their recommendations concerning admission to the Dean of the Graduate School. Final decisions rest with the Dean of the Graduate School.

3.20 Degree Candidates

3.21. Persons wishing to be admitted for work towards graduate degrees must hold the baccalaureate degree from an accredited institution by the time they begin their graduate studies at URI. A self-administered application package may be obtained from the Graduate Admissions Office. The completed packet must be returned directly to the department to which admission is being sought. The following material must be included in the packet forwarded directly to the Graduate Plan Director of the plan to which admission is being sought:

- a. two copies of the completed application form;
- b. a check payable to the "University of Rhode Island" for the non-refundable application
- c. two official copies of the transcripts of all previous college and post-baccalaureate work, sealed by the Registrar in the envelopes provided;
- d. a minimum of two letters of recommendation from instructors, employers, or supervisors, sealed by the referees in the envelopes provided;
- e. for plans which require them, two official copies of the standardized test scores listed in the *Bulletin* of the University of Rhode Island under admission requirements should be sent directly to the Graduate School by the Testing Service. At the time of application or examination, the student must clearly designate the department or code to which the application is being made.

3.22. Persons who have completed a substantial amount of post-baccalaureate work before applying for admission will have this work evaluated with all other credentials submitted in support of admission. Such applicants should note particularly the requirements for Transfer Credit stated in Sec. 3.32 and 7.20 of this manual.

3.23. To be accepted as a graduate degree candidate, applicants are expected to maintain an average of B (3.00 on a 4.00 scale) in their undergraduate work and have satisfactory scores on the appropriate, designated nationally-administered test. Applicants with undergraduate averages below the B level, but not less than 2.00 may be admitted to degree candidacy upon the submission of other evidence of academic potential, i.e., satisfactory performance in post-baccalaureate work (see Sec. 3.30), relevant professional experience as evidenced by publications or letters of recommendation, and/or high scores in the standardized tests referred to above. All students are expected to maintain a cumulative average of B (3.00) or better. Students who do not maintain a cumulative B (3.00) average will have their status reviewed and may be placed on provisional status as indicated in Sec. 10.22.

3.24. Under the provisions of the New England Regional Student Program for graduate students, administered by the New England Board of Higher Education, the University charges a regional student tuition rate to residents of another New England state who are matriculated graduate students in certain plans. (The current regional student rate at the University is 150% of the Rhode Island resident rate.) The specific plan must be one which is *not available* at the student's home-state university. Normally, these plans are listed in the New England Regional Student Program Graduate Level booklet ("Apple Book"). Applicants must clearly indicate, both in their initial inquiries and on the application forms, that they are seeking admission under the terms of the New England Regional Student Program. Those seeking admission to the general subject area, e.g., History, must specify precisely the area of specialization they wish to follow. In addition, they must file a Certificate of Residence signed by the clerk of the city or town where they claim legal residence. These forms are available from the Graduate School Office. Inquiries and requests for further information may be directed to the Dean of the Graduate School at the University of Rhode Island or to the New England Board of Higher Education, 45 Temple Place, Boston, Massachusetts 02111. If a student transfers to another plan, the Regional Student status is automatically terminated. Where appropriate, the student may apply for Regional Student status in the new plan.

3.30 Non-Matriculating Status

3.31. People holding a baccalaureate degree who are not candidates for an advanced degree may take courses during the academic year or in the summer in non-matriculating status. Normally, to take courses for personal satisfaction or professional advancement, post-baccalaureate students enroll through the College of Continuing Education. Any non-matriculating student wishing to take courses on the Kingston Campus must file an application with the Office of the Registrar. If non-matriculating students later wish to be admitted to a degree plan they must complete the regular admission procedure.

3.32. Non-matriculating students do not have the privileges regularly enjoyed by degree candidates. For example, on the Kingston Campus, they cannot register until one week before classes begin, are required to make payment before accessing the telephone registration system, and their enrollment is subject to the accommodation of degree candidates wishing to take these courses. In addition there is a limit to the number of courses taken in this status that may be used as advanced standing to satisfy degree requirements. Non-matriculating students are not eligible for financial aid.

3.33. Advanced standing refers to credits taken at the University of Rhode Island by a non-matriculating student, by a matriculating student while on non-degree status, or by a student in one degree plan before acceptance to any other degree plan. Credits earned at the University of Rhode Island by a non-matriculating student may be applied as advanced standing toward degree requirements only upon the recommendation of the student's major professor and the Graduate Plan Director and with the approval of the Dean of the Graduate School. To be eligible, these credits must have been earned within a five year period before matriculating into the degree plan. The following cases apply:

a. For a Master's degree plan, advanced standing may not total more than two-fifths of the degree requirements. Transfer credit for courses taken elsewhere (see section 7.20) and credits by examination or equivalent (see section 7.30) must also fit within this two-fifths limitation .

b. For Ph.D. candidates admitted without a master's degree, advanced standing may not total more than one-fifth of the degree requirements. Credits by examination or equivalent (see section 7.30) must also fit within this one-fifth limitation.

c. Ph.D. candidates admitted with a Master's degree in the same or a closely related area are limited to a maximum of 6 or 9 advanced standing credits as described in section 7.21c-d.

SECTION 4. REGISTRATION

4.10 General

4.11. It is expected that students who are admitted to graduate study will demonstrate a seriousness of purpose by completing their work as soon as possible. An interruption in a student's plan, especially in the latter stages, also causes inconvenience and expense to the University. Graduate students are expected to remain continuously enrolled, except for summer sessions which are optional, until they have completed all requirements and received their degrees. Students who do not register and do not comply with the regulations governing

withdrawal, or leave of absence, must pay the continuous registration fee each semester if not enrolled for courses until the degree for which they have been accepted has been formally awarded. Graduate students who plan to take courses only in summer session, however, must give written notice of this intent to their departments and to the Graduate School, and must thereafter register for each consecutive summer session until they have completed all degree requirements.

4.12. Before initial registration degree candidates shall confer with their adviser to select appropriate coursework for the first semester (see 8.21).

4.13 . The following changes in registration for plan courses may be made with the approval of the candidate's adviser or major professor, and, in the case of doctoral plans, the plan committee:

a. Courses may be *added* during the first two weeks of the semester and first three days of a summer term;

b. Courses may be *changed* from audit to credit during the first two weeks of the semester and first three days of a summer term;

c. Courses may be *dropped* up to mid-semester or mid-term.

d. For a course dropped after mid-semester, the instructor is required to submit a final grade, which may be a failure. Appropriate changes in the program of study should be requested on forms available in the Graduate School Office.

4.14. Non-Matriculating students may register for courses for which they have completed the prerequisites and have received the permission of the department chairperson, subject to enrollment limitations and the accommodation of degree candidates.

4.20 Full-Time and Part-Time Registration

4.21 . Students who desire or who are required to register for full-time study during any semester or summer term must register and pay tuition and fees for full-time work. In order to qualify for full-time registration, students (except as indicated below) must register for at least 9 credits during a regular semester or 6 credits during a summer term. A normal work load is 12 credits for any semester. Maximum loads are 15 per semester and 8 per summer term. Students registering for credits in excess of these limits will be charged the appropriate part-time per credit tuition for each credit over the limit. Enrollments at Kingston and CCE locations are combined when determining these limits. Dropping overload credit at either location after the end of the add period does not reduce term bills.

4.22. All students, except graduate assistants and graduate research assistants, registered for fewer than 9 credits during the fall and spring semesters are considered part-time students. Those taking fewer than 6 credits in any term of the summer session will be considered part-time students.

4.23. Students holding appointments as graduate assistants and graduate research assistants will be considered registered for full-time work, and billed accordingly. They must take a minimum of 6 credits each semester. Such persons should not register for more than 12 credits without consulting their major professor.

4.24. Students who hold appointments as fellows or trainees are required to register for full-time work during each semester of their tenure to retain their appointments. When the appointment is for a 12-month tenure period, the candidate shall in addition register for full-time work in each of the two summer terms.

4.30 Leave of Absence

4.31. Students who must leave the University for a period of one semester or more, whether before or after they have completed the work prescribed in their program of studies, due to military service, prolonged illness, extraordinary financial hardship, or other unusual circumstances should apply for a Leave of Absence. The request should be made in writing by the student to the Dean of the Graduate School, accompanied by an Interruption of Study form, carrying the endorsement of the Graduate Plan Director. This written petition must be sufficiently specific to enable the Dean to determine whether the leave is warranted. A Leave of Absence, granted under such unusual circumstances, has the effect of suspending time limitations such as those for completion of the degree or for the removal of incomplete grades. Accordingly, a leave will be granted only for sufficient reason and only if it is to be for one year or less. It may be renewed for a maximum of one additional year if circumstances warrant. Registration materials will be sent directly to the students from the Registrar for the term in which they are scheduled to return. (See 4.52 for effects of failure to register or request leave.)

4.40 Continuous Enrollment Graduate students are expected to remain continuously enrolled until they have completed all requirements and have received their degrees. During the Summer Session, enrollment is required only for students who plan to take comprehensive examinations or to defend theses or dissertations, for those who plan to graduate, and for those who plan to take courses only in Summer Sessions (see 4.11).

4.41. Once students have completed all the coursework and research specified in their program of study, they must register each semester as indicated below or they will be considered to have voluntarily withdrawn from graduate status (see 4.52). a.If they are actively engaged in research, register for an appropriate number of credits of thesis research, non-thesis research or special problems per semester (as determined by their major professors or plan committees), for which they will receive a grade of Satisfactory or Unsatisfactory, and pay the associated fee, or b.If they have completed all requirements for the degree and do not need the privileges afforded by graduate student status, register for continuous registration (CRG 999) each semester for which no grade or credit is given, and pay the associated fees. If a student does not register in the above manner once all required coursework and research credits are completed, the provisions of 4.52 will take effect.

4.42. A student registered for CRG does not have the privileges of consulting regularly with professors on research or thesis work nor of using the laboratory, computer, and other

educational facilities of the University. Therefore, CRG is to be used by students who have completed all requirements except for making up incompletes, taking the master's comprehensive exam, or submitting the final version of a research project, thesis or dissertation. Students who are still actively engaged in research after having taken the research credits required by their program of studies must register and pay for additional research credits (as determined in consultation with their major professors or plan committees). Such additional research credits may be accumulated without limit and will appear with the associated grades on the student's transcript.

4.50 Withdrawal

4.51. Permanent withdrawal from the University is a serious matter which deserves careful consideration by the student in consultation with her/his adviser or major professor. If the student concludes that a leave of absence is not in her/his best interest, then s/he need only fill out a permanent withdrawal form at the Graduate School Office to officially terminate her/his graduate status.

4.52. A student who does not register for a term, does not comply with the regulations governing withdrawal or leave of absence, and does not pay the continuous registration fee, will be assumed to have voluntarily withdrawn from the University. The interpretation of this inaction will be that the student does not intend to return for graduate study. If he or she subsequently desires to return to the University to complete their degree requirements, he or she must follow the procedures outlined in 4.60. If after a review of the student's entire record such permission is given, t he or she will be required to pay, retroactively, the CRG fees for every semester for which t he or she has been deficient. (This would not include summer sessions except for those students who have approval to attend during summer only.)

4.60 Re-enrollment

4.61. If a student does withdraw as provided in 4.51 or 4.52 and later desires to resume graduate work, she or he will be required to re-apply to the Graduate School by completing the "Request for Permission to Re-enroll" form available in the Graduate School. It will be to the student's advantage to submit her or his request as early as possible. The student must obtain the approval of her or his Graduate Plan Director and the Dean of the Graduate School. Permission to re-enroll will be granted only after a review of the student's entire academic record and only if she or he can be accommodated within the department's course offerings and research facilities for that semester, and can be reasonably expected to complete all degree requirements within the time limits based on original admission.

4.70 Registration for Research or Study Off-Campus

4.71 Students who wish to register for credits to be counted toward a degree but to be earned through off-campus activities such as research or independent study at a national laboratory must receive prior approval from their major professors, plan committees, and the Dean of the Graduate School by having these activities listed as part of their programs of study. These students must register for an appropriate number of credits of research or directed study (also see

4.52). Credit evaluation should conform to provisions in the *University Manual* as far as practicable -- one credit for three hours per week per semester -- and may not exceed the limits of full-time registration, namely 15 credits per semester and 8 per summer term.

4.80 Intellectual opportunity Plan (Pass-Fail Option)

4.81. In order to encourage Graduate Students to explore new areas of knowledge without fear that their scholastic average will suffer from a venture into an area in which they have had no previous training, the Graduate Council has approved the following Intellectual Opportunity Plan:

a. A Master's degree candidate may choose to register for a maximum of 4 credits on a pass-fail (S or U) grade option which may be taken for credit as part of her/his Program of Studies. A Ph.D. candidate may register for a maximum of 8 credits including any taken as a Master's candidate under the same option. To be eligible for this option, the student's major professor or adviser must certify on a form provided by the Graduate School that the course or courses are outside the student's major field of study, are not entrance deficiencies, and are not specific requirements of, but are relevant to the student's plan. The exercise of the option must have the approval of the Dean of the Graduate School.

b. A student receiving a grade of S (satisfactory) will receive credit toward the fulfillment of degree requirements, but the grade of S will not be used in calculating the student's quality point average. A grade of S will be given for all courses taken under this option provided the student earns a grade of C (2.00) or better.

c. A grade of U will be given for a C-, D or F. A student receiving a grade of U (unsatisfactory) will receive no credit toward degree requirements nor will the U be included in calculating her/his quality point average, although it will appear on her/his official transcript.

4.90 Dismissal for Scholastic Reasons

A student failing to maintain good scholastic standing is subject to dismissal from a graduate plan (see 10.10 Scholastic Standing, and 10.20 Acceptable Averages). A student may be dismissed for failure to satisfy stipulations imposed upon admission to the plan. If a student has been admitted and matriculated in a graduate degree plan, is not on an approved Leave of Absence, and has not made progress in coursework or thesis/dissertation research applicable to that plan for 12 consecutive months, then the student is subject to dismissal. If a student has failed to satisfy plan requirements in timely fashion according to established policies or has exceeded the time limit set forth in Sections 7.42 and 7.51 for completing all degree requirements, then that student may be dismissed. A student who has been dismissed for scholastic reasons usually must wait at least one year before they are eligible to petition to re-enroll or re-apply to a URI graduate plan.

4.95. Dismissal for Other Reasons

A student in good scholastic standing is also subject to dismissal from a graduate plan and from the Graduate School for falsification of application materials. Satisfactory progress in a plan also involves maintaining the standards of academic and professional integrity expected in a particular discipline or plan; failure to maintain these standards may result in dismissal from the plan and the Graduate School. A graduate student may be dismissed for a serious infraction of University standards and policies, as outlined in the University of Rhode Island Student Handbook. This would include, but not be limited to, such infractions as intent to plagiarize, purposeful falsification of data or experimental results, knowingly presenting false data in journals, publications or at conferences, malicious destruction of laboratory equipment, or making false claims about credentials or progress. A student who has been dismissed for non-scholastic reasons is not eligible to re-enroll or to re-apply to the Graduate School.

SECTION 5. RESIDENCE REQUIREMENTS

5.10 General

5.11. Residence at the University means attendance on campus or in the College of Continuing Education during a regularly scheduled semester or summer term. If authorized by the Dean of the Graduate School, study carried on elsewhere under a U.R.I. adjunct professor or in a laboratory having U.R.I. affiliation may also qualify as residence study.

5.20 Master's Degree

5.21. The master's degree may be earned either through full or part-time study or by a combination of both. Normally, candidates must take at least *four-fifths* of the credits required for the degree at the University. Upon the recommendation of the student's plan committee and Graduate Plan Director, and upon the approval of the Dean of the Graduate School, the amount of work accepted in transfer may be increased. See Section 7.21.

5.30 Doctoral Degree

5.31. The minimum requirement for the doctoral degree is 72 credit hours of study beyond the bachelor's degree. Candidates must take at least 58% (42 credits in a 72 credit hour plan) of their doctoral work in residence as defined above. After satisfying qualifying exam requirements, the student must maintain residence by taking a minimum of 6 credits (specific graduate plans may require more than 6 credits) for at least two consecutive semesters. (Full-time registration for both terms of a summer session counts as one semester of residence.) See Section 7.55 for qualifying exam requirements.

SECTION 6. FEES

All tuition and fees are listed in the Fees, Expenses, and Financial Aid Section of the *Bulletin* of the University of Rhode Island and are subject to change without notice. Students should check with the Bursar or Graduate School Office if there are questions concerning changes in these rates.

SECTION 7. DEGREE REQUIREMENTS

7.10 General

Section 7 states the minimum degree requirements acceptable to the Graduate School. All exceptions to the minimum requirements require the approval of the Dean of the Graduate School. However, individual graduate plans may add additional requirements beyond those listed here.

7.11. The successful completion of an approved program of studies at the University is the primary requirement for each advanced degree. The program of studies is developed around a specified number of graduate level courses selected according to the student's goals and background, but also includes other scholarly activities appropriate to the individual and to the area or discipline in which the student is working. The program of studies is planned by the student in consultation with and subject to the approval of a major professor or of a plan committee according to policies developed by the Graduate School and defined in this manual.

7.12. In addition to formal courses at the graduate level, an approved program of studies usually includes independent study or other creative activity, research, and preparation of a thesis. For certain professional degrees, M.B.A., for example, the required plan is quite specific; in other plans, the courses are selected and other requirements planned according to the needs of the individual student. Plan credit will not include: preparation for language examinations, the teaching of courses, courses audited, courses failed, courses at the 300 level or below or courses needed to remedy deficiencies.

7.13. For information concerning the transfer of credits, time limits, and language requirements, see 7.20, 7.40, 7.50, in the following sections. It should be clearly understood and carefully noted that the requirements listed here for various advanced degrees are minimum requirements and that any department can require additional hours of work in formal courses or in other activities to remedy deficiencies or to achieve proficiency in a required area before a degree will be granted.

7.14. Each department that offers an advanced degree shall publish a policy statement covering specific departmental requirements, plan requirements and departmental options in the *Graduate School Bulletin*. A copy of detailed departmental procedures will be filed with the Dean of the Graduate School and will be given to each new student when they are admitted. Each student will be expected to comply with the procedures stated, but normally changes will not be retroactive.

7.15. Even though responsibility for a graduate student's plan, including filing the program of studies (see 7.43 and 7.52, 8.30) rests with the student and the major professor or doctoral committee, this does not preclude the establishment of general core requirements by a departmental or interdepartmental faculty committee. However, such core requirements should be held to a minimum, because the strength of a graduate student's plan lies in its adaptation to the individual's needs.

7.20 Transfer Credits

7.21. Transfer credits refer to credits earned for work taken at other accredited institutions of higher learning that the student wishes to apply toward satisfying URI degree requirements. Under usual circumstances, transfer credits may not exceed one-fifth of the total credits required in the plan. The following cases apply:

a. In a master's degree plan the total of transfer credits, advanced standing credits (see section 3.33), and credits by examination or equivalent (see section 7.30) may not exceed two-fifths of the program's total credits. Under unusual circumstances, Master's degree candidates may exceed the one-fifth rule on transfer credits; however, the total of advanced standing, transfer and credit by examination must still not exceed this two-fifths maximum.

b. Ph.D. candidates admitted to the plan without a master's degree in the same or a closely related area may transfer credits up to one-fifth of the total credits required in the plan. As noted in section 3.33, such students may also separately include advanced standing credits and credits by examination or equivalent up to an additional one-fifth of the total program.

c. Ph.D. candidates with a Master's degree in the same or a closely related area from another accredited institution may increase their request for transfer credit beyond the one-fifth maximum up to 30 credits, but only from this Master's degree. In this case, advanced standing (see section 3.33) is limited to 6 credits. With special permission of the Dean of the Graduate School, these 6 credits may include a combination of advanced standing and transfer credits.

d. Ph.D. candidates with a Master's degree in the same or a closely related area from the University of Rhode Island may apply up to 30 credits from the Master's degree toward the Ph.D. plan. In addition, a total of up to 9 credits combining transfer and advanced standing are allowed.

In all cases, transfer credit is granted only when the request is recommended by the student's major professor and the Graduate Plan Director and approved by the Dean of the Graduate School.

7.22. Only courses which are offered primarily for graduates students and are from accredited schools are eligible for transfer credit. Further, the student must have earned a grade that will satisfy the graduate degree requirements for graduate level coursework at that institution. Transfer from all international institutions, other than those specifically authorized by the Graduate Council, is limited to earned degrees equivalent to US master's degrees or better.

7.23. For credit towards master's degree requirements, the work must have been taken not more than five years prior to the date of first registration as a degree candidate ; for credit towards doctoral degree requirements, the work must have been taken not more than ten years prior to the date. In special circumstances, a waiver of these time limits may be approved by the Dean of the Graduate School if recommended by the student's major professor, plan committee, Graduate Plan Director, and U.R.I. faculty with expertise in the area.

7.24. The work must have clear and unquestioned relevance to the student's Program of Study.

7.25. A student enrolled at the University of Rhode Island may receive transfer credit for work subsequently taken at another institution under the provisions cited above only if approval is obtained in writing from the Dean of the Graduate School before the student enrolls for the course.

7.26. Any credit transferred from another institution of higher learning will be so indicated on the student's University of Rhode Island transcript. However, the grade earned at that institution will not be recorded or used in computing the student's scholastic average.

7.27. See also the section on credits earned by Non-Matriculating students (3.33) for non-matriculating students and the section on Credit By Examination or Equivalent (7.30) which relate to this matter.

7.28. A student who is simultaneously a degree candidate in two different Master's plans may request that credit for some graduate work in one plan be counted toward degree requirements in the other plan. The number of credits from one plan that may be counted toward a second may not exceed one-fifth of the credits required in the second plan. For example, consider simultaneous enrollment in two plans of 30 and 45 credits, respectively. The 30 credit plan could include 6 credits from the second plan; the 45 credit plan could include 9 credits from the first. The total savings for the student would thus be 15 credits.

A student who is simultaneously a degree candidate in two different plans, one a Master's and one a Ph.D. level, may petition that up to one-fifth of the Master's program credits be counted toward degree requirements in the Ph.D. plan.

Transfer credit, advanced standing, and credits by examination (for a master's degree plan) may be counted toward both plans as long as they satisfy the one-fifth rule above and meet all of the requirements of sections 7.20-7.27 and 3.33. Credit is granted to both plans only when the request is recommended by the student's major professor and the Graduate Plan Directors for each plan and approved by the Dean of the Graduate School.

7.30 Credit by Examination or Equivalent

7.31. In Master's plans and Ph.D. plans in which the student does not have a master's degree, a maximum of six credits may be allowed for competency based on experience outside the traditional academic setting and demonstrated by examination or equivalent. This maximum of six credits must fit within an overall maximum allowed for advanced standing and transfer credit if any. (See sections 3.33 and 7.21-7.28 of this Manual). The competency for which credit is allowed must be demonstrated by: (1) passing with a grade of B (3.00) or better, a written proficiency examination (which may be the final examination of an existing course) prepared by the instructor of an existing course most analogous or relevant to the experience, as determined by the chairperson of the department in which it is offered in consultation with the instructor. This course must be at the 500 or 600 level, or (2) where no graduate level course offered by URI is analogous to the experience, submitting a well researched paper, project or other evidence (but not just an oral examination, though an oral examination may form part of the procedure) which is certified by the chairperson of the department most closely related to the subject matter

as representing the equivalent of at least B (3.00) quality work in a 500 or 600 level course. The advanced approval of the Dean of the Graduate School is required for arrangements under this plan. Such arrangements must be made during the first semester after the student has been admitted to graduate study by the department chairperson submitting a brief memorandum outlining the proposed procedure for the approval of the Dean. Department chairpersons may ask any member(s) of their departments to assist them in this certification process, which may include an oral pre-screening where they consider it appropriate. Where the relevancy of the particular course or department area to the experience of the student is in doubt, the question will be resolved by the Dean of the Graduate School.

7.32. After the proposal is approved, the student will pay the required special examination fee to the Bursar and obtain a receipt which will be submitted to the Dean of the Graduate School along with the department chairperson's written report of the results. Where the student has succeeded, the Dean of the Graduate School will request the Registrar to enter the appropriate number of credits on the student's transcript under the Department's Special Problems course number with a brief indication of the subject matter and the designation, "credit by examination or equivalent."

7.40 Master's Degree Requirements

7.41. The University offers plans for the master's degree with and without a thesis. For specific requirements and options, a student should consult the current University Bulletin, the department chairperson, and the major professor.

7.42. *Time Limit.* The requirements listed here shall be met within five calendar years after the date when the candidate is first enrolled as a graduate student at the University. With the submission of a written request for an extension and a schedule for completion, endorsed by the major professor and the Graduate Plan Director, a specific, time limited extension may be approved by the Dean of The Graduate School.

7.43. *Program of Study.* Each student enrolled in a master's degree plan shall submit four signed copies of a program of study to the Dean of the Graduate School for approval by the end of the first semester. (See Section 9.10 for course distribution requirements.) Signatures required include those of the student, major professor, and the Graduate Plan Director. The program includes the courses that are to be taken without plan credit to remedy deficiencies, or for the student's personal satisfaction. The courses that are to be taken without plan credit must be so designated before they are taken if failing grades are not to be included in the calculation of the student's overall grade point average, except as provided in Section 9. After a program has been approved, changes can be made by a petition for approval to the Dean of the Graduate School signed by the major professor, the student and the Graduate Plan Director. Forms to be used for submitting the program of study are available in the Graduate School Office.

7.44. *Plans with Thesis.*

7.44.1. Minimum Credit Requirements: Accepted programs of study for master's degrees vary. The number of credits required for any individual student depends on previous training and the objectives of the plan. Each candidate shall successfully complete an approved program of

studies with a minimum of 30 credits. At least 18 of these will be formal course credits exclusive of thesis, special problems, and directed studies; additional courses may be required either with or without plan credit according to the needs of the student and the judgment of the major professor. The minimum required number of thesis credits allowed in the plan is six, the maximum is nine. Under special circumstances, twelve thesis credits can be taken for plan credit if approved in advance by the Graduate Council for that particular degree plan and if a written justification for the 12 thesis credits is initiated by the major professor and endorsed by the student's thesis committee and the Graduate Plan Director. The justification should clearly indicate why the thesis is sufficiently different from a regular 6-9 credit thesis to be "worth" 12 credits. Final approval of the justification will be made by the Graduate School. Moreover, graduate plans will be composed of not more than 12 credits of thesis (599 courses), special problems (e.g. 591, 592, 691, or 692 courses) and directed studies. Additional thesis credits may be taken without plan credit. For the course requirements and grade averages that must be maintained, see Sections 9 and 10.

7.44.2. Written Master's Examination(s)(Optional): In those departments that require it, each candidate for a master's degree shall pass a written examination when the formal coursework is nearly completed. The preparation and administration of the examination are the responsibilities of the department chairperson in conjunction with a departmental committee designated for this purpose or with the major professor. In either case members of a student's thesis committee from other departments should be consulted concerning preparation and grading of the examination. The time required for the examination will depend on the subject matter and the kind of examination chosen, but it should be scheduled for a minimum of four hours. The examination will be planned to explore the candidate's insight into the subject matter and ability to use this information. Both the student and the Dean of the Graduate School will be notified promptly of the results of the examination in accordance with the procedure described in 7.70. A candidate who fails the examination may be permitted one reexamination in the part or parts failed if re-examination is recommended by the examining committee and approved by the Dean of the Graduate School. The second examination may be taken only after an interval of ten weeks. (See 7.74 and 7.75.)

7.44.3. Thesis (Required): Each candidate shall prepare a thesis that will demonstrate ability to perform and report independent research in an acceptable scholarly fashion. See Section 11 for preparation of a thesis.

7.44.4. Oral Defense of Thesis (Required): The candidate shall successfully defend the thesis in an oral examination at least one and one-half hours long before a thesis defense committee. The thesis defense committee is selected and the examination is conducted according to procedures outlined in 8.40. A candidate who fails may be permitted one re-examination in the part or parts failed if recommended by the committee and approved by the Dean of the Graduate School. The second examination may be taken only after an interval of ten weeks. (See 7.74 and 7.75.)

7.45 Plans Without Thesis. 7.45.1. Minimum Credit Requirements: The number of credits required both with and without plan credit will depend on the plan and the student's previous training. The candidate shall successfully complete an approved program of studies with a minimum of 30 credits in coursework and including at least one course that requires a substantial

paper involving significant independent study. (If that study involves human subjects, the policy and procedures of the Institutional Review Board must be followed - see Appendix D. If the study involves live animals, the policy and procedures of the Institutional Animal Care and Use Committee must be followed - see Appendix E.) Additional courses above the minimum may be required with or without plan credit. The courses that are acceptable for graduate credit and the grade average that must be maintained are described in Sections 9 and 10.

7.45.2. **Written Master's Examination(s) (Required)** A student in a plan that does not require a thesis shall pass written master's examinations when the formal coursework is nearly completed. The preparation and administration of the examination(s) are responsibilities of the Graduate Plan Director in conjunction with a departmental committee designated for this purpose or with the major professor. The time required for the examination(s) will depend on the nature of the subject matter involved but it will be scheduled for a minimum of four hours. The examination(s) will be planned to explore the candidate's insight into the subject matter and ability to use this information. Both the student and the Dean of the Graduate School will be informed promptly of the results of the examination(s) in accordance with the procedure described in 7.70. A candidate who fails the examination may be permitted one re-examination in the part or parts failed if re-examination is recommended by the committee and approved by the Dean of the Graduate School. The second examination may be taken only after an interval of ten weeks. (See 7.74 and 7.75.)

7.45.3. **Oral Master's Examination(s) (Optional):** In some departments, each student may be required to pass a final oral examination in addition to the written examination. The examination is usually not more than one and one-half hours long. The nature of the examination and the examining committee are entirely the responsibility of the department. The results shall be reported promptly to the student and to the Dean of the Graduate School as specified in 7.70. In case of failure, a second examination may be allowed. (See 7.74 and 7.75.)

7.50 Doctoral Degree Requirements

7.50.1. *Definition of a Doctoral Degree.* When a doctoral degree is conferred upon a student at the University of Rhode Island, it signifies that an intensive period of study and investigation in an established field of learning has been completed with high distinction. This period of investigation has been characterized by a mastery of the materials and methods of the chosen field of advanced study that is proven through a dissertation that adds to the sum total of human knowledge. Neither the accumulation of facts, however great in amount, nor the completion of advanced courses, however numerous, can substitute for the power of independent research and the proof of its possession that culminates in the dissertation, the quintessence of the doctoral degree. Doctoral degrees that do not strictly adhere to this definition may be granted through exceptions approved by the Graduate Council.

7.51. *Time Limit.* Candidates for a doctor's; degree shall fulfill all requirements for the degree as described in the following sections of the manual within seven years of the date when the student is first enrolled as a candidate. (See Section 5 for residence requirements.)

7.52. *Program of Study.* Each candidate for a doctor's degree shall submit a program of study (tentative or final) to the Dean of the Graduate School for approval at the end of the first semester as a doctoral candidate. A student who has earned a master's degree in the same or closely related field shall submit at least six copies (three copies plus one copy for each member of the Ph.D. committee) of the final program signed by all members of the doctoral committee (see 8.43.2), the student, and the Graduate Plan Director. A student who enrolls as a doctoral candidate directly from a bachelor's degree without a master's degree shall submit at least six copies (three copies plus one copy for each member of the Ph.D. committee) of a tentative program of study signed by the adviser or major professor, the student, and the Graduate Plan Director. A student who originally submitted a tentative program of study must submit six copies of the final program signed by all members of the doctoral committee, the student and the Graduate Plan Director after 24- 30 credits have been completed and the qualifying examination has been passed. Both programs should specify the courses that are to be taken for plan credit (see Section 9.20 for course distribution requirements) and those that are to be taken without plan credit, to remedy deficiencies, or for the student's satisfaction. Any course that is to be taken without plan credit must be so designated before it is taken if a failing grade is not to be included in the calculation of the student's overall grade point average. After a program has been approved, changes can be made by a petition for approval to the Dean of the Graduate School, signed by all members of the doctoral committee, the student and the Graduate Plan Director. Forms to be used for reporting the program of study are available in the Graduate School Office.

7.54. *Minimum Credit Requirements.* The number of credits required depends on the program of studies and the preparation of the individual student. Each candidate shall complete an approved program of studies with a minimum of 72 credit hours beyond the baccalaureate degree, and at least 42 of these credits shall be taken at the University of Rhode Island. For students with a master's degree in the same or closely related area, up to 30 credits may be transferred from another accredited institution. Students who have graduate level credits from another institution but who did not have a master' s degree may be allowed to transfer 20% of the required courses if they are pertinent to the field and discipline in which the degree is to be taken. Courses taken more than ten years before registration as a doctoral candidate cannot be transferred.

7.55 *Qualifying Examination* XE "*Examinations::Qualifying (Doctoral)*"

7.55.1. A student without a master's degree who is accepted as a doctoral candidate is expected to take a qualifying examination usually after 24-30 credits have been completed. This examination is intended to assess a student's potential to perform satisfactorily at the doctoral level, and shall not consist of courses taken unless specific approval has been granted by the Graduate Council. If granted, the courses shall be listed in the URI Bulletin. The type of examination to be used, whether it is to be written or oral, or both, and the preparation and administration of the examination(s) are the responsibilities of the Graduate Plan Director in consultation with a departmental committee designed for this purpose or with the major professor. The procedure used for giving qualifying examinations shall be incorporated in the departmental procedure given to each new student and filed with the Dean of the Graduate School. Written qualifying examinations should in general be scheduled for a minimum of four hours and oral examinations a minimum of two hours. Both the student and the Dean of the Graduate School will be informed promptly of the results of the examination(s) in accordance

with the procedure described in 7.70. A candidate who fails the examination may be permitted one re-examination in the part or parts failed if re-examination is recommended by the examiners and approved by the Dean of the Graduate School. The second examination may be taken only after an interval of ten weeks. (See 7.74 and 7.75.)

7.55.2. Exemption From Qualifying Examination: A student who has earned a master's degree in the same or a closely related field before being admitted as a doctoral candidate does not usually take a qualifying examination, but may be required to do so if the department recommends it. The decision whether or not to require a qualifying examination shall be made by the department at the same time that the application for admission is processed. Both recommendations shall be transmitted simultaneously to the Dean of the Graduate School by the chairperson of the department. When a qualifying examination is required, it will be stipulated at the time of admission.

7.57. Comprehensive Examinations (Required)

7.57.1: Each doctoral candidate shall take comprehensive examinations at or near, but not later than twelve months after, completion of the formal courses stipulated in the program of study. Comprehensive examinations should be designed to assess a student's intellectual capacity and the adequacy of training or scholarly research. The comprehensive examinations that each candidate must pass shall consist of two parts as follows:

7.57.1.1. Part I Written: This is a written examination of at least eight hours duration. When the candidate has met all prior requirements, the major professor will request permission from the Dean of the Graduate School to schedule the examination on particular date(s). When the candidate's eligibility has been verified by the Graduate Office, the Dean will authorize the candidate's major professor in consultation with members of the doctoral committee including those from other departments, to have the examination prepared, administered, and evaluated. The major professor will arrange the time and the place the examination is to be given in consultation with the candidate and will notify the Graduate School Office. The doctoral committee shall review the results and shall make the final decision as to whether or not the student has passed. Unanimous approval by all members of the doctoral committee is required for passing. Both the student and the Dean of the Graduate School will be informed promptly of the results of the examination(s) in accordance with the procedure described in 7.70. Forms to be used for reporting the results of this examination are available in the Graduate School Office. After the examination has been graded, the results will be accepted in partial fulfillment for the degree for which the student is registered for up to five years from the time the examination is taken. A student who fails this examination may be allowed one re-examination in the part or parts failed if recommended by the doctoral committee and approved by the Dean of the Graduate School. The second examination may be taken only after an interval of ten weeks. (See 7.74 and 7.75.)

7.57.1.2. Part II Oral: The oral comprehensive examination shall be given only upon successful completion of, and normally within four weeks after, the written part of the examination. This examination, usually two hours long, is conducted by the oral comprehensive examination committee which consists of the doctoral committee with two additional Graduate Faculty

members appointed by the Dean of the Graduate School. One of the additional members will be from the same department or area while the other member will be usually from an outside area. The major professor is responsible for arranging the time and place of the examination in consultation with the candidate and all potential members of the oral examination committee and shall act as chairperson. The full oral examination committee must be present for the duration of the oral exam, including the discussion of the results and final vote. At the discretion of the Chair of the examining committee, an oral exam may be open to other faculty members as non-voting observers. Faculty observers can ask questions if recognized by this Chair. At any time during the exam, however, this Chair can clear the room of all faculty observers. Non-faculty may not attend an oral exam. At least 10 working days in advance, permission to conduct the examination shall be requested from the Dean of the Graduate School, who will be responsible for formally scheduling the examination and notifying the candidate and all members of the committee. The student will be notified orally of the results of the examination as soon as the committee has completed its deliberations. The major professor is responsible for notifying the Dean of the Graduate School of the results of the examination promptly on the form provided for this purpose, signed by all members of the oral examination committee and acknowledged by the Graduate Plan Director. Unanimous approval by all members of the oral examination committee is required for passing. A candidate who fails the examination may be permitted one re-examination if re-examination is recommended by the committee and approved by the Dean of the Graduate School. The second examination may be taken only after an interval of 10 weeks. (See 7.74 and 7.75.)

7.58. *Thesis.* The candidate shall submit a thesis embodying the results of original investigation and comprehensive study of a clearly defined problem and making a contribution to the literature of the field. See Section 11 for details of thesis.

7.58.1. *Oral Defense of Thesis.* The candidate shall successfully defend the thesis in an oral examination that is usually two hours long before the thesis defense committee. This is composed of the doctoral committee and two additional members appointed by the Dean of the Graduate School. See 8.43.4 and Section 11 on the committee and procedures. The full oral examination committee must be present for the duration of the oral defense of the thesis, including the discussion of the results and final vote. In general, the oral defense of the thesis is open to the university community and other interested observers. Observers may ask questions, if recognized by the Chair of the examining committee. At the discretion of this Chair, some or all of the observers may be asked to leave the examination room, if in the opinion of the Chair, the presence of the observers is detracting from the ability of the candidate to answer questions from the examination committee. A candidate who fails the examination may be permitted one re-examination if recommended by the committee and approved by the Dean of the (Graduate School. The second examination may be taken only after an interval of ten weeks. (See 7.74 and 7.75.) Passing the oral defense of the thesis does not automatically imply that the thesis is acceptable as defended. The thesis will be approved only after all the corrections stipulated by the thesis defense committee are incorporated in the thesis in final form. The chair of the thesis examining committee is responsible for certifying that all corrections have been made.

7.60 Scheduling of Examinations

7.61. Scheduling of oral and written examinations, including qualifying, comprehensive, and defense of theses will be done only at the convenience of the faculty members involved, and will be scheduled depending upon the availability of the candidate's plan committee and additional qualified examiners. Faculty cannot be required to participate in examinations during the summer months if they are not under contract. Candidates must be registered for any semester or summer term in which they take an examination.

7.70 Reporting the Results of Examinations

7.71. Results of each examination shall be reported promptly to the Dean of the Graduate School on appropriate forms. Responsibility for submitting the results of a particular examination rests with the chairperson of the examining committee, but all reports must be acknowledged by the department chairperson.

7.72. The student will normally be notified of the results of a written examination within two weeks (exclusive of vacation periods) after completing the examination. With oral examinations, the student shall be notified as soon as the examining committee completes deliberations.

7.73. Should a student fail part or all of an examination, the examining committee may recommend that one re-examination be allowed, but the final decision whether or not to permit a second examination rests with the Dean of the Graduate School. Any special conditions that the candidate will be expected to fulfill prior to the second examination must accompany the recommendations.

7.74. The second examination will be given no sooner than ten weeks but no later than one year later the first examination. However, if the second examination is not taken within a year, no additional opportunity will be given to take it.

7.75. The results of each examination shall be reported promptly to the Dean of the Graduate School. These results will be accepted in partial fulfillment of the requirements for the degree for which the student is registered for five years from the time the examination is taken.

SECTION 8. ADVISERS, MAJOR PROFESSORS AND COMMITTEES

8.10 The Department Chairperson

8.11. The department chairperson has general and overall responsibilities for graduate plans within the department, including the maintenance of overall quality of graduate education and a degree of continuity among different plans. To insure continuing quality, the department chairperson should exercise some evaluation of documents that are submitted to her/ him for acknowledgment.

8.12. The department chairperson assigns each incoming graduate student an adviser, who may coincidentally be the department chairperson. All documents relating to the status of each

graduate student are submitted to the department chairperson who will acknowledge each document prior to its submission to the Dean of the Graduate School. The department chairperson will also make recommendations to the Dean of the Graduate School concerning the appointment of a major professor for each graduate student (see duties of major professor) and will acknowledge the recommendations for appointment of members of various committees as provided for elsewhere within the Graduate Student Manual. The department chairperson should be kept informed of the progress of each student.

8.13. The department chairperson is responsible for having written and oral master's examinations prepared and administered, or for delegating this responsibility to other members of the graduate faculty in the department. In those plans where they are required by the department.

8.14. The department chairperson may appoint one of the members of the Graduate Faculty in the department to assume some or all of the duties of the department chairperson with regard to the graduate plan. Such an individual, the Director of Graduate Studies, will replace the department chairperson for such duties as the chairperson and/or department specifies.

8.15. The department chairperson is also responsible for allocating resources including personnel, facilities, and equipment to insure adequate support of the various programs of studies and thesis proposals.

8.20 The Adviser

8.21. Before taking courses, each entering degree candidate shall consult with the department head and be assigned a member of the Graduate Faculty in the department as an adviser. The adviser will assist the student in the selection of courses to be taken the first semester, and usually by the end of the first semester, in the selection of the major professor. The department chairperson will report the name of each student's adviser and/or major professor to the Graduate School Office when the choice is made initially and when any changes occur.

8.30 The Major Professor

8.31. The major professor is the most important single influence on the graduate student's education. The major professor has overall responsibility for the student's training and has primary responsibilities for insuring that programs of study, thesis proposals, and other appropriate documents are submitted by the student when required.

8.32. As soon as s/he is prepared to do so, the candidate, with the assistance of her/his adviser, will select as her/his major professor any member of the department qualified and willing to serve in that capacity. Though it is the responsibility of the adviser and department chair to assist the student in this process, it is emphasized here that initiating the process and selecting a major professor are the student's own responsibilities. Upon recommendation by the department chairperson, and appointment to the Graduate Faculty if not already a member, this individual will be appointed by the Dean of the Graduate School to carry out the duties noted in the following paragraphs.

8.33. Responsibilities of Major Professor-Master's Degree Candidates.

8.33.1: Where the department offers a choice between options with and without a thesis, the major professor will advise the student in making a choice.

8.33.2: The major professor will help the student plan a program of study, making certain that it meets all minimum core and special requirements for the option selected. Instructions and forms for the program of study are available in the Graduate School Office. By the end of the first semester that the student is registered, four copies of a program of study for each student registered for a master's degree will be submitted to the Dean of the Graduate School for approval. The program of study must be signed by the student, approved by the major professor and acknowledged by the department chairperson. Courses in the program of study that are to be taken without plan credit must be so designated before they are taken if a failing grade is not to be included in the calculation of the student's overall grade point average.

8.33.3: The major professor will supervise the student's progress in the program of study (including coursework, independent study, research, and, if applicable, thesis preparation) and arrange for the required examinations.

8.33.4: In thesis plans, the major professor will help the student select the thesis topic and other members of the thesis committee. In master's degree plans, the thesis committee must consist of at least three members of the Graduate Faculty, including the major professor who serves as chairperson of the committee. The second member shall be in the same discipline and/or department as the major professor or in a closely related one. The third member shall be from an outside area unless specifically approved by the Dean of the Graduate School. The members of the thesis committee are chosen by the major professor in consultation with the student at the time the thesis proposal is prepared. They will also serve as members of the thesis defense committee. Recommendations for members of the thesis committee shall be acknowledged by the department chairperson and approved by the Dean of the Graduate School.

8.33.5: In thesis plans, the major professor will assist the student in the preparation of her/his thesis proposal. Instructions for the preparation of this proposal are available in the Graduate School Office. The thesis proposal must be signed by the members of the thesis committee (see above) and acknowledged by the department chairperson. The thesis proposal and the members of the thesis committee must be approved by the Dean of the Graduate School. If human subjects are involved, the proposed research must satisfy University policy (see Appendix D) and the proposal must be approved by the Institutional Review Board. If the research involves live animals, the proposal must satisfy the policy and procedures of the Institutional Animal Care and Use Committee (see Appendix E).

8.33.6: In thesis plans, the major professor will arrange with the student, the thesis committee and the Graduate School for the submission of the completed thesis and the scheduling of the thesis defense (see Section 11).

8.34. Responsibility of Major Professors for Doctoral Degree Candidates.

8.34.1: The major professor shall serve as the chairperson of the candidate's doctoral committee, and in consultation with the candidate, recommend appointment of two or more additional members of the doctoral committee. The second member shall be in the same discipline and/or department as the major professor or in one closely related to it and the third member from another area unless specifically approved by the Dean of the Graduate School. The nominations for the doctoral committee shall be acknowledged by the department chairperson and approved by the Dean of the Graduate School .

8.34.2: The major professor has the responsibility for planning the candidate's program of study in consultation with the candidate and other members of the doctoral committee. making sure that it meets all departmental core and special requirements. Forms to be used for submitting a program of study can be obtained from the Graduate School Office. A program of study shall be filed for approval by the Dean of the Graduate School by each doctoral candidate by the end of the first semester in Graduate School. Candidates who enter a doctoral plan with a master's degree shall file six copies of the final program of study signed by the student and all members of the doctoral committee including the major professor and acknowledged by the department chairperson. Candidates who enter with a bachelor's degree and no master's degree shall file four copies of a tentative program of study signed by the student, the major professor or adviser, and acknowledged by the department chairperson. Students who file a tentative program of study shall file a final program of study after they have completed 24 to 30 credits of formal coursework and passed the qualifying examination. Courses that are to be taken without plan credit must be so designated before they are taken if a failing grade is not to be included in the calculation of the student's overall grade point average.

8.34.3: The major professor supervises the candidate's progress in her/his program of study, including coursework, independent study, research, other scholarly activities, preparation of the thesis proposal and the thesis itself, and examinations. Research involving human subjects must satisfy University policy (see Appendix D), as must that involving live animals (see Appendix E).

8.34.4: The major professor determines in accordance with departmental policy, the means by which the candidate shall satisfy any language or research tool requirements. (See 7.56.)

8.34.5: The major professor is, in conjunction with other members of the doctoral committee, responsible for the organization, preparation and administration of the candidate's written comprehensive examination and acts as chairperson of the candidate's written and oral comprehensive examinations.

8.34.6: After the examination has been graded, the major professor has the responsibility for notifying the student and the Dean of the Graduate School of the results via the department chairperson.

8.34.7: The major professor arranges with the candidate, the doctoral committee, and the Graduate School for submission of the completed thesis and the scheduling of the thesis defense (see Section I I), and finally assists the student in making any changes in the thesis as stipulated by the thesis defense committee.

8.34.8: If a second examination is recommended and approved, the major professor is responsible for supervising the student's completion of any additional requirements specified before the second examination is to be taken, for insuring that it is taken within the required time limits, and for arranging with the candidate, the doctoral committee and Dean of the Graduate School for scheduling of the examination.

8.40 Graduate Student Committees

8.41. The quality of a graduate student's education depends substantially upon the major professor and other members of the Graduate Faculty. They serve on the committees that monitor the various steps leading to an advanced degree. The responsibilities of the major professor are described in 8.30; those of the members of different committees, and the sequence to be followed in selecting them are described here. Members of the committees are usually appointed from a list of qualified individuals recommended by the major professor in consultation with the candidate. Appointment of the members of the various committees is made by the Dean of the Graduate School. An external committee member may be appointed specifically to serve as an additional member of the thesis or defense committee for a particular graduate student.

8.42. Committees for Master's Degree Candidates.

8.42.1. Plan Committee: There is no plan committee for students taking a master's degree. For this degree, whether with or without a thesis, the major professor has the responsibility for planning the program of study.

8.42.2. Thesis Committee Each student enrolled in a master's degree plan that requires a thesis must have a thesis committee. This committee is usually composed of at least three members of the Graduate Faculty, including the major professor who serves as chairperson. The second member of the thesis committee shall be in the same discipline and/or department as the major professor, or from a closely related department. The third member of the committee is from an outside area unless specifically approved otherwise by the Dean of the Graduate School.

Responsibilities: The thesis committee is responsible for planning and directing the work required for the thesis. This includes advising the student during preparation of the thesis proposal, insuring that it has validity and will satisfy University policy concerning the protection of human subjects (see Appendix D) or live animals (see Appendix E), and can be accomplished within the time and facilities available. The thesis committee must also verify that the student is adequately prepared to do the required work at a satisfactory level and finally supervises preparation of the thesis and certifies that the thesis is ready for the oral defense prior to scheduling the defense with the Graduate School.

8.42.3. Thesis Defense Committee for master's degree candidate's, the thesis defense committee is composed of the thesis committee and an additional fourth member appointed by the Graduate School to be chairperson of the committee and to represent the Graduate Faculty. The fourth member of the thesis defense committee is a member of the Graduate Faculty usually from a department other than that in which the candidate is registered.

Responsibilities: The thesis defense committee is responsible for conducting the oral defense of the thesis, and for determining that the candidate has demonstrated sufficient command of the subject material to pass the examination successfully. Unanimous approval of the committee is required for passing. The committee must also specify any changes in the thesis that must be made before it can be approved, and the date when those changes must be completed.

If a candidate fails the thesis defense, the committee may recommend that a second examination be given subject to the approval of the Dean of the Graduate School. After the candidate has fulfilled any stipulated requirements, the major professor requests permission from the Dean of the Graduate School to schedule the second examination. If the second examination is not given within a year of the first examination, no further opportunity to take the examination will be allowed unless exceptional circumstances justify that an extension of time be granted by the Dean of the Graduate School.

The final duty of the thesis defense committee is to sign the thesis approval sheet after making certain that all necessary changes and corrections have been made. The Chairperson of the thesis defense committee is responsible for verifying that the stipulated changes have been made.

8.43. Committees for Doctoral Candidates

8.43.1. Qualifying Examination Committee: Since the qualifying examination is the responsibility of the department, the procedure for conducting the examination is entirely within the jurisdiction of the department. The Department Chairperson, in conjunction with a departmental committee designated for this purpose, or with the major professor, has the responsibility for having the examination prepared and administered and for reporting the results to the Dean of the Graduate School. The examination procedures shall be included in the departmental procedure that is given to each new graduate student and filed with the Dean of the Graduate School.

8.43.2. Doctoral Committee: The doctoral committee supervises a doctoral candidate's program of study from the time the major professor is selected until the thesis is defended. Additional members are added for the oral comprehensive examination and for the thesis defense. but the doctoral committee has the major responsibility throughout the student's training and should be selected to provide the best possible support for the student in her/his particular area of research. The doctoral committee is composed of the major professor as chairperson and two additional members of the Graduate Faculty. The second member of the committee is usually a member of the same department, in the same discipline, or in one closely related to it. The third member is from an outside area unless specifically approved otherwise by the Dean of the Graduate School. Potential members of this committee are selected by the major professor in consultation with the candidate. and after acknowledgment by the department chairperson the recommendations are sent to the Dean of the Graduate School for approval.

Responsibilities: The doctoral committee is responsible for planning the candidate's program of study. It is also responsible for preparing and evaluating the written comprehensive examination that is administered by the major professor, for approving the thesis problem, the thesis research, and the thesis. The doctoral committee must insure that the program of study is fully discussed

with the candidate so that it represents the student's individual needs. It must also satisfy degree requirements, prepare the student for taking both the qualifying and the comprehensive examinations, and for beginning the thesis research. The doctoral committee is a major component of the larger oral comprehensive committee and takes part in the oral comprehensive examination. In addition, it provides overall guidance in selecting a thesis proposal that is well-defined and can be completed with the facilities available in a reasonable length of time and which will satisfy University policy concerning human subjects (see Appendix D) or live animals (see Appendix E). It assists in carrying out the literature search, in gathering data and other aspects of the research, and in the general procedure of writing the thesis so that it meets all requirements in content and form, and certifies that the thesis is ready for the oral defense prior to scheduling the defense with the Graduate School. In addition to being part of the oral comprehensive examination committee, the doctoral committee is also a major component of the thesis defense committee, and as such participates in the oral defense of the thesis, and in insuring that all stipulated changes are made in the final copies of the thesis. The doctoral committee shall meet with the candidate at least once each year. It shall be the responsibility of the major professor to establish the annual review and to notify the Graduate School of the doctoral committee's evaluation of the student's progress for the year.

8.43.3. Oral Comprehensive Examination Committee The written comprehensive examination is prepared and administered by the doctoral committee under the direction of the major professor, but the oral comprehensive examination is given by a larger committee composed of the doctoral committee and two additional members of the Graduate Faculty appointed by the Dean of the Graduate School. One additional member will be from the same department as the candidate, the other will be from a different department, but one that is allied to the candidate's area of study. The major professor will serve as a chairperson of the oral comprehensive examination committee. A unanimous vote of all members of the committee is required for passing.

Responsibilities: This committee is responsible for conducting the oral comprehensive examination after the candidate has passed the written comprehensive examination and the major professor has received permission from the Dean of the Graduate School to hold the examination on the date that had been previously scheduled. If a second examination is approved a new date must be scheduled, in consultation with the members of the committee and with the approval of the Dean of the Graduate School. In giving the examination, the committee has the responsibility of evaluating the candidate's insight gained as a graduate student and determining whether the student is qualified to perform the independent scholarly research required to complete the requirements for a doctoral degree.

8.43.4. Thesis Defense Committee: The thesis defense committee for doctoral candidates is the doctoral committee with two additional members appointed by the Dean of the Graduate School. The fourth member is appointed chairperson of the defense committee and to represent the Graduate Faculty. This member is from some department other than that in which the candidate is enrolled, and may be from an unrelated area. The fifth member of the committee is usually a member of the same department as the candidate. Unanimous approval of all members of the committee is required for passing the oral thesis defense.

Responsibilities: The thesis defense committee is responsible for determining that the thesis is properly written and meets all requirements specified in Section I I THESIS, PREPARATION, AND APPROVAL, that the thesis was an independent effort and that the student can explain and defend the work done. The thesis defense committee must also determine if the candidate is in command of the particular area of research required for the thesis and has adequate knowledge in closely related areas. If the candidate does not pass the first examination, the committee must decide if a second examination is justified and so recommend to the Dean of the Graduate School for approval. If any additional work is required before the second examination, this should be stipulated in the recommendation to the Dean as well as the time the second examination should be given. If the second examination is approved by the Dean of the Graduate School, the committee has the responsibility of giving the examination after the major professor has made the necessary arrangements with the Graduate School Office for scheduling it and notifying all members of the committee. The final duty of the thesis defense committee is to sign the thesis approval form after verifying that all the stipulated corrections have been made. The major professor has the responsibility of supervising the corrections made by the student, but the chairperson of the thesis defense committee has the responsibility of certifying that these changes have been made before the approval form is signed, and of obtaining all necessary signatures including the acknowledgment of the department chairperson on the form reporting the results of the defense.

8.50 Changes in Committee Membership for Master's and Doctoral Candidates

8.51. It should be clear that flexibility is provided in the plan of master's and doctoral candidates. Committee membership (even the major professor) may be changed when this is in the best interest of the candidate. A student may change her/his major professor with the approval of the department chairperson and the Dean of the Graduate School. In this event the department chairperson is responsible for notifying the original major professor of the change and where necessary to determine the circumstances requiring the change. If a candidate has a committee, a change in major professor will automatically dissolve the committee, which will be reconstituted in the manner outlined above. A change in the committee members other than the major professor shall be made with the concurrence of the student, the major professor, and the Dean of the Graduate School. Changes in committee membership shall be acknowledged by the department chairperson.

8.52. In cases in which a Major Professor becomes unable or unwilling to fulfill her/his responsibilities, the department chair will immediately notify the Dean of the Graduate School and will assist the affected graduate student in choosing a new Major Professor and re-constituting a committee in the manner outlined above. The student may also enlist the aid of the Dean of the Graduate School. However, as outlined above, it is not the department's obligation to provide a major professor, but it is the student's responsibility to select one who is qualified and willing to serve.

8.53. In the event that a new Major Professor is not found, the student has the right to proceed to non-binding deliberation with the department chair and other relevant faculty, under the auspices of the University Ombudsman or the Committee on Academic Standards and Appeals, any time after ten academic weeks have passed. It is expected that, with this and the many other

safeguards and procedures for assistance provided above, every student will successfully and expeditiously select a major professor. However, if a satisfactory match is not found, students have little alternative but to withdraw from their plan, as their subsequent lack of progress will inevitably lead to dismissal.

SECTION 9. DISTRIBUTION OF COURSES

9.10 Master's Plans

9.11. All courses taken for plan credit should be at the graduate level. At least half of the total plan course credits should be at the 500 or 600 level.

9.12. Courses taken by graduate students at or below the 300 level are automatically considered as taken for no plan credit. Where such courses are considered as entrance or background deficiencies, they may be required of graduate students and listed on the program of studies under "No Plan Credit". They cannot under any circumstances be included in that section of the program of studies which is to satisfy degree requirements, nor can they be included in calculating the cumulative average required for graduation. Required "No Plan Credit" courses must be replaced or repeated unless a grade of C (2.00) or better is received. Courses at or below the 300 level may also be freely elected by graduate students without inclusion in the program of studies and without affecting their cumulative average.

9.20 Doctoral Plans

9.21. For students who have received the master's degree in the same field of study or in a closely related field, all coursework beyond the master's degree towards the doctorate must be on the 500 or 600 level. For students who have not been awarded the master's degree by the time they enroll in Graduate School, a maximum of 15 credits within the minimum of 72 credits required for the Ph.D. may be taken at the 400 level. All other work for plan credit must be at the 500 or 600 level.

9.22. Doctoral programs of study may include additional required courses at the 400 level or below in the section of "No Plan Credit". Such courses cannot be included in calculating the cumulative average required for graduation, although the course must be repeated or replaced unless a grade of B- (2.67) or better is received.

9.30 Approval of Programs

9.31. Programs of study and program changes which are consistent with the above standards and which have been approved by the major professor and Graduate Plan Director (in master's plans), or by the plan committee and Graduate Plan Director (in doctoral plans), will be acknowledged by the Dean of the Graduate School. Programs and program changes which are not consistent with the above standards require the specific approval of the Dean of the Graduate School, which will be granted only after submission of a written justification and evaluation of each individual case.

SECTION 10. SCHOLASTIC STANDING

10.10 Acceptable Grades

10.11: Graduate work will be evaluated by letter grades, with only grades of B- (2.67) or better carrying graduate credit for courses at the 400 level. A graduate student who does not achieve this minimum grade must either retake the course and earn a B- (2.67) or better in it or take in its place a course approved by the major professor or plan committee. . In courses numbered 500 or above, grades of C (2.00) or better shall be credited toward the degree. Any such course in the program of study in which a candidate receives a grade lower than C (2.00) shall be retaken or replaced by a course approved by the major professor and the plan committee and by the Dean of the Graduate School.

10.12: If a student receives a grade of D, F, or U, that student's status will be reviewed immediately by the Dean of the Graduate School in consultation with appropriate faculty members in the department.

10.20 Acceptable Average

10.21. To qualify for continuation in degree candidate status and for graduation an average of B (3.00) in all work taken is required, except for courses specified as entrance deficiencies, approved for no plan credit prior to registration for the course, or automatically considered as taken for no plan credit under the provisions of Section 9 (300 level or below).

10.22. If a degree candidate does not maintain a B (3.00) average, the candidate's status will be reviewed immediately by the Dean of the Graduate School in consultation with the appropriate faculty members of the department. Such review may result in the student being placed on provisional status or dismissed. Students who are permitted to continue on provisional status must achieve a cumulative average of B (3.00) or better in graduate level coursework during the next semester (9 credits if part-time students). Students failing to achieve the necessary B (3.00) average will be subject to dismissal.

10.23. A course with a failing grade that has been retaken or replaced will be considered taken for no plan credit but must remain on the student's transcript and be included in calculating the quality point average. If the course is retaken and a satisfactory grade achieved, it may then be used to satisfy degree requirements. In all cases any failing grade (a grade of C- or lower for 500- 600 level, a grade of B- or lower for 400 level courses) must be included in the grade point average and appear on the transcript.

10.30 S, U, and I Grades

10.31. Certain courses do not lend themselves to precise grading (e.g., research, seminar). For these courses, only a satisfactory (S) or unsatisfactory (U) shall be given to all students enrolled. To qualify as an S/U course, the course must be approved by the Faculty Senate after recommendation by the Curricular Affairs Committee and/or the Graduate Council. S/U courses shall be so labeled in University catalogs and bulletins. An S/U course is not to be counted as a

course taken under the Intellectual Opportunity Plan. (See U.M. 8. 10.14.) Grades of S or U are not included in calculating the quality point averages.

10.40 Grades of Incomplete

10.41. For graduate students a report of "incomplete" shall be given in place of a grade when the work of the semester has been passing but has not been completed because of illness or for some other reason, which in the opinion of the instructor, justifies such a report. Instructors must accompany such reports with a written explanation to their department chairpersons and with copies sent to the student and to the Dean of the Graduate School. To remove the "incomplete" the student must make satisfactory arrangements with the instructor, or in the instructor's absence, with the instructor's department chairperson.

10.42. If an incomplete is not removed within one calendar year of receipt the student loses the right to make up the work and the "incomplete" remains on the permanent record. If circumstances warrant, the instructor may, with the knowledge of her/his department chairperson and the Dean of the Graduate School, extend the time limit, or, if the instructor is absent, the department chairperson may extend the time limit in which the incomplete work must be made up.

10.50 Change in Record

10.51. In accordance with section 8.56.10 of the University Manual, entries to a student's academic record (removal of incompletes, change of grades, etc.) shall not be changed after three years. Appropriate academic deans shall be authorized to allow exceptions for extraordinary reasons. Explanations must be provided in writing. Approval for a change in grade will not be granted solely for additional work submitted after the semester is completed.

10.60 Audit

10.61. Audited courses will under no circumstances be counted for credit toward an advanced degree ().

SECTION 11. THESES PREPARATION AND APPROVAL

11.10 Thesis Preparation

11.11. Theses that are to be submitted in partial fulfillment of the requirements for either a master's degree or a doctor's degree shall be prepared in accordance with the instructions described in the following paragraph.

11.12. Candidates will comply with the requirements listed in the most recent issue of the Graduate School's *Statement on Thesis Preparation and Instructions for Thesis Defense*, in all cases securing written approval of their proposals on forms provided by the Graduate Office before formally starting work on the thesis.

11.13. Two different formats for preparing theses are acceptable:

1. the STANDARD PLAN; and 2. the MANUSCRIPT PLAN. These two plans differ in organization but not in overall content. Details of the two plans can be found in Statement on Thesis Preparation and Instructions for Thesis Defense which may be obtained from the Graduate School Office. When preparing theses, candidates are expected to consult with the major professor and thesis committee regarding specific thesis preparation problems. Candidate's are also responsible for consulting with the Office of the Dean of the Graduate School regarding University requirements and thesis acceptance dates.

11.14. The candidate's major professor will be the principal supervisor of the work for the preparation of the thesis and will decide which of the two formats will be used.

11.15. The most recent edition of Kate L. Turabian's: *A Manual for Writers of Term Papers, Theses and Dissertations*, published by the University of Chicago Press, is the accepted guide for thesis preparation at the University of Rhode Island. However, the Graduate School Office will also accept theses which have been prepared in accordance with the accepted publication styles of the discipline in which the student is a candidate for a graduate degree. Regardless of style and format, all theses (as well as all course papers, reports, etc.) must be prepared in accordance with the accepted standards of academic integrity, including proper citation and attribution of all material which is not the original product of the writer (also see A. 13).

11.16. *Group research/theses*. In most departments, the thesis research that each graduate student performs in partial fulfillment of the requirements for an advanced degree is based on a project planned for one individual under the supervision of a major professor. This project may be a part of a much larger research effort being performed by several people under the direction of that professor, but each student's research and the thesis that results from it is an independent problem performed by that student alone. In unusual cases where the research is less easily separated into individual projects, the quality of performance of any single individual is not measured as easily. In such situations, special precautions must be taken to insure not only that no student receives credit for work performed by others, but that each student's performance is of the level required for an advanced degree. In group research involving more than one graduate student, each student shall have principal responsibility for a substantial well-defined portion or area of the research project, and shall submit an individual thesis proposal and an individual thesis in which these responsibilities are clearly defined. In both the thesis proposal and in the thesis, any work done by another individual shall be clearly identified. A separate thesis defense will be conducted for each individual participating in a group thesis. The manuscript option shall not be used for group research.

11.20 Thesis Approval

11.21. Prior to the deadline published in the Graduate School Calendar, and at least twenty calendar days before the earliest date on which it is proposed to hold the defense, the candidate shall submit to the Graduate School Office sufficient unbound copies of the thesis for members of the oral defense committee in a form acceptable for examination purposes. a receipt from the Bursar for the binding or microfilming fee. and the Request for Oral Examination in Defense of

Thesis completed and signed by the major professor. On this form the major professor lists the members of the candidate's thesis defense committee, suggests additional faculty members competent and willing to serve as members of the thesis defense committee, and suggests times and dates for the examination. A copy of the thesis shall be placed in the Reserve Book Room of the main library ten days in advance of the defense. In the case of the Graduate School of Oceanography, the Pell Marine Science Library shall receive defense copies of the thesis.

11.22. The requirement that the thesis be in a form acceptable for examination purposes means that all copies submitted must be complete, including all data, tables, charts, maps, photographs, appendices, etc., and including full references, citations, and bibliographies as required by accepted standards of academic integrity. The copies submitted for defense must represent the finished scholarly product of the candidate's research ready for the final typing, and in the format required for binding. Copies submitted for defense may contain a reasonable number of clearly legible corrections (printed rather than handwritten), may be typed on paper of lesser quality than that required for the final copies, and may contain pages with only one or two paragraphs. However, these extra paragraphs must be on full-sized sheets of paper and clearly identified and numbered (e.g., 110A, 110B, etc.), and in consecutive order with the remainder of the text. Pagination may be in pencil to allow for later revision. Each copy of the thesis must be submitted in a separate clasp envelope of suitable size, and shall have a copy of the title page attached to it. In the final copies, type size, paper quality, margins and typed pagination must all conform to the standards of the Turabian manual or other accepted style as previously indicated, and to the *Statement on Thesis Preparation and Defense of Thesis*.

11.23. Prior to submitting the Request for Oral Examination in Defense of Thesis for a thesis which is not in final form, the major professor must first ascertain that all copies are complete and acceptable for examination purposes as discussed above. The Graduate School will also check that all copies meet its general criteria in terms of appearance, legibility, clarity, etc., before the copies can be picked up for distribution to members of the examining committee. (However, if any member of the examining committee feels that the copy s/he has received is not acceptable for examination purposes, whether as to style or content, that member may request either the major professor or the Graduate School to postpone the examination until acceptable copies are available.) Before submitting this request, but no later than 30 days prior to the date of the examination, the major professor should check that the times and dates are convenient for all concerned. S/he should also inform the additional faculty member that s/he is submitting the nominations to the Dean of the Graduate School who is not restricted in the choice to the names submitted. For a master's thesis defense, the Dean will appoint one additional member, from a department other than the candidate's, to serve as chairperson of the oral defense committee as the representative of the Graduate Faculty. For a doctoral dissertation defense, the Dean will select two additional members, one of whom should come from a department other than the candidate's. This outside member will normally be designated as chairperson of the oral defense committee.

11.24. Upon receipt of the copies of the thesis, the Bursar receipt, and the request for the oral defense, the Dean of the Graduate School will be responsible for reviewing the candidate's entire record to ascertain that s/he has completed all other degree requirements, and that all copies of the thesis are in a form acceptable for examination. If the review is satisfactory, the oral

examination in defense of the thesis will be scheduled and the candidate will be instructed to proceed as in 11.25 below.

NOTE: Scheduling of oral and written examinations, including qualifying, comprehensive, and defense of theses, during the regular summer sessions will be done only at the convenience of the faculty members involved and will be scheduled depending upon the availability of the candidate's plan committee and additional qualified examiners. Examinations will not be scheduled during periods when the University is in recess. Candidates must be registered for any semester or summer term in which they take an examination.

11.25. Not less than 15 calendar days prior to the date set for their oral defense, candidates shall pick up the copies of their thesis at the Graduate School Office and distribute them to the members of their oral examining committee. Each copy will bear the official notice of the time and place of the oral examination. The chairperson of the oral examining committee will also be supplied with a copy of the candidate's thesis proposal. The members of the oral examining committee shall examine the thesis for evidence of sound scholarship and shall bring to the oral defense, on separate paper, written suggestions for changes or corrections in the manuscript.

11.26. All examinations in defense of thesis shall be open to all faculty and students of this University. In exceptional circumstances, as determined by the majority of the examining committee, any of these examinations may be closed to students.

11.27. It shall be the responsibility of the chairperson of the oral examining committee to conduct the examination and secure unanimous agreement as to successful defense of the thesis and to provide for changes and corrections to be made before the thesis is given committee approval. All members of the oral examining committee also sign the form provided for certifying the candidate's successful defense of the thesis. When a candidate's performance is unsatisfactory, one re-examination may be recommended and the conditions under which it is to be given will be stated by the committee.

11.28. Approval of each thesis shall be indicated by affixing to the thesis approval sheet the signatures of the members of the thesis committee only when its members have been assured by the chairperson of the oral examining committee (or the major professor if so decided at the defense) that the student has made the changes and corrections agreed upon by the examining committee in all copies of the document.

11.29. Final approval of all theses rests with the Dean of the Graduate School.

SECTION 12. FELLOWSHIPS, ASSISTANTSHIPS, SCHOLARSHIPS, LOANS AND VETERANS BENEFITS

12.10 General Conditions

12.11. A number of opportunities for financial assistance are available to graduate students. To be eligible for any assistance, students must in every instance first be admitted to the Graduate School as degree candidates.

12.12. The University of Rhode Island subscribes to the following Resolution Regarding Graduate Scholars, Fellows, Trainees and Assistants, which has been adopted by the Council of Graduate Schools in the United States:

Acceptance of an offer of financial aid (such as a graduate scholarship, fellowship, traineeship, or assistantship) for the next academic year by an actual or prospective graduate student completes an agreement which both student and graduate school expect to honor. In those instances in which the student accepts the offer before April 15 and subsequently desires to withdraw, 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.

12.13. Graduate Students on URI Fellowships, scholarships and on assistantships are expected to be full time students. They are not eligible for additional academic year employment without written permission of the Dean of the Graduate School.

12.20 Fellowships

12.21. Fellowships are awarded to graduate students in recognition of achievement and promise as scholars. They are intended to enable students to pursue graduate study and research full time without rendering services to the University. All fellowships are administered by the Dean or the Associate Dean of the Graduate School. Fellows are selected from lists of nominees submitted by department chairpersons.

Fellowship stipends are considered as grants or gifts rather than as compensation. Fellowship recipients are advised to check with the Internal Revenue Service for definitive information on the taxability of their grants. Fellows are required to devote their energies full time to their studies and may not engage in remunerative employment during the time of the fellowship except with the consent of the Dean of the Graduate School or the Dean of the College, as appropriate, and the sponsor of the fellowship. Stipends vary with the nature and tenure of each fellowship. In most instances, fellows have tuition and registration fees paid by the University.

12.22. Industrial, Endowed, and Special Fellowships. Various industrial firms, foundations, and private individuals donate funds to support graduate fellowships. Stipends and supplemental allowances of fellowships are not uniform. They are restricted to students in particular areas of study and research. Applicants for such fellowships are screened and selected by the department concerned, subject to approval by the dean of the appropriate college or Graduate School. Such fellowships may provide full remission of tuition and fees as well as dependency and educational allowances in addition to the basic stipend.

12.23. URI Graduate Fellowships. A limited number of URI Graduate Fellowships are awarded each year. URI Fellows receive a stipend for the academic year and have tuition and the registration fee paid from University sources for the academic year. The URI Graduate Fellowship program is designed to give preference to promising students in doctoral plans at the University. Fellows are selected by the Graduate School Committee on Fellowships and Scholarships from lists of nominees submitted by department chairpersons.

12.24. Patricia Roberts Harris Fellowships are available to U.S. citizens who are doctoral level students in selected fields, and are nominated by departments.

12.25. URI Foundation Minority Fellowships are available to students from minority and under-represented groups. Nominations are usually made by departments to the Graduate Dean.

12.26. URI Diversity Graduate Fellowships are awarded by the Graduate Dean to students from minority and under-represented groups.

12.30 Assistantships

12.31. Assistantships are awarded to degree candidates for services rendered to a department or to a particular research project. Assistants are required to work up to 20 hours per week.

12.32. Graduate Assistantships (see University Manual 7.80.10-15)

12.32.1. Departmental Graduate Assistantships are available in limited numbers to graduate students enrolled in departments offering graduate work. These graduate students must hold bachelor's degrees and must have been admitted as degree candidates by the Graduate School. Their duties consist of assisting, under supervision, with instructional and/or research activity of a department. The student may be required to devote a maximum of twenty hours a week to departmental work, not more than ten hours of which may be in classroom contact hours.

12.32.2 Graduate School Graduate Assistantships are available for entering graduate students from minority and under-represented populations. Two years in duration, these assistantships are awarded on merit and need by the Dean of the Graduate School with assignments to an appropriate department for supervision of designated activities.

12.32.3. Graduate Assistants' stipends are set annually by the University and approved by the Board of Regents. The level depends upon experience and academic qualifications. Tuition (12 credit maximum) and the registration fee are paid from University sources for the academic year. The student is responsible for the remaining fees. Stipends and tuition remissions for students on partial assistantships will be prorated for the period of the appointment. The student will be responsible for the remainder of tuition. Normally appointments to assistantships are for one academic year. Renewals may be recommended by the department.

12.32.4. To be nominated for a departmental assistantship, a student must first be admitted to the Graduate School. Requests for appointment as Graduate Assistant are initiated by the department chairperson and are forwarded to the Dean of the College and then to the Dean of the Graduate

School, who certifies that the student has been admitted as a degree candidate. From the Graduate School, request forms are forwarded to the Budget Office and then the Personnel Office. Upon appointment, the graduate assistant will receive a copy of the Personnel Action Form.

12.32.5. Only graduate students who are admitted as degree candidates and who remain in good academic standing are permitted to hold Graduate Assistantships. Students on provisional status normally may not be appointed to such positions. The Dean of the Graduate School will consider and may authorize an exception to this requirement providing that the department chairperson will certify in writing that in her/his judgment, the student has a background and training such that s/he is qualified to fulfill the responsibilities of the assistantship. (This is especially important if the student will be assigned any teaching or laboratory responsibility with undergraduates.) Further, the department chairperson is asked to certify that in her/his judgment the student will be capable of fulfilling the assistantship responsibilities without jeopardizing her/his own academic standing.

12.33 Graduate Research Assistantships (see University Manual 7.80.10 and 7.80.16-18)

12.33.1. Graduate Research Assistantships are awarded to graduate students who may be assigned to individual research projects sponsored either by the University or by outside sources. Like the Graduate Assistant, the Graduate Research Assistant is expected to devote a maximum of 20 hours per week to research duties. On supported research contracts and grants individuals are judged to be employed on a half-time basis (40 hour work week). Remuneration is normally equivalent to the stipend for a Graduate Assistant with tuition and registration fees paid from the contract or grant. Additional remuneration for the summer is usually computed on the basis of the rate for the academic year adjusted for 40 hours per week for a maximum of 16 weeks.

12.33.2. Requests for appointment as Graduate Research Assistants are initiated by the Principal Investigator of the grant involved and are forwarded to the Department Chairperson. The request forms are then forwarded to the Academic Dean and then to the Dean of the Graduate School, who certifies that the student has been admitted as a degree candidate and has remained in good academic standing. From the Graduate School, request forms are forwarded to Research and Grant Accounting, the Budget Office and the Personnel Office. Upon appointment, the Graduate Research Assistant will receive a copy of the Personnel Action Form.

12.33.3. Graduate Research Assistants employed on research on a full time basis during the summer months may be registered for and receive academic research credit during periods of such employment under the following conditions:

12.33.31. The student must be accepted to the Graduate School as a degree candidate (see last paragraph under "Graduate Assistants" above) and be in good standing at the time of her/his appointment,

12.33.32. The student must have an approved program of studies and an approved thesis proposal for the Master's or Doctor's degree on file in the Graduate Office,

12.33.33. The subject matter of the research must bear a clear relationship to the student's approved research proposal for her/his advanced degree,

12.33.34. The student must be working in a laboratory on the URI campus under the direction of her/his major professor or a member of her/his thesis committee who is her/ himself accessible to the student during the major part of the summer for consultation, instruction, and research direction,

12.33.35. Students may take no more than 14 research credit hours per summer,

12.33.36. Graduate Research Assistants employed full-time during the summer months may register for coursework and receive credit only if satisfactory arrangements are made with their supervisor for meeting their work commitments.

12.34. Graduate Assistantship and Graduate Research Assistantships: Conditions of Appointment

12.34.1. All assistantship holders must register for 6-12 credits of coursework per semester and will be billed as full time students. Although the tuition and registration fees will be paid for people on a full assistantship (20 hr/week for the semester), it will be prorated for those people who are appointed to a partial assistantship (period of appointment or hours of appointment) or who resign an assistantship prior to the official termination date. The students will be responsible for the remainder of the full-time tuition and fees. Students on assistantships are not eligible for additional academic year employment without permission of the Dean of the Graduate School. Such permission must be obtained prior to beginning the additional employment.

12.34.2. A written list of duties normally assigned graduate assistants shall be prepared by the Department or other unit and provided to each prospective graduate assistant-(as defined in Sec. 7.11.12 of the University Manual) and graduate research assistant (Sec. 7.11.13) with the initial offer of the assistantship. When assigned or reassigned to a specific position, the graduate student, the immediate supervisor, the College Dean or administrative head and the Dean of the Graduate School shall receive a written description of the duties to be performed, including how the assistant is to be supervised, the extent of responsibilities (including where applicable that for determining grades), the approximate working hours per week, etc.

12.34.3. Questions arising over the conditions of employment of graduate assistants, when not settled at the department level, shall be referred to the College Dean or administrative head and Dean of the Graduate School, who will consult with each other. If not resolved at this level, they shall be referred to the Assistant Vice President for Academic Affairs, whose decision shall be final.

12.34.4. Each department or other unit shall draft guidelines on how its graduate assistantships are apportioned and assigned, which will be made available to graduate students with the initial and each subsequent offer and upon request. Currently enrolled graduate assistants should be notified of their status for re appointment about April I of each year.

12.40 Tuition Scholarships

12.41. A limited number of tuition scholarships from funds set aside by the Board of Regents are awarded by the Dean of the Graduate School to qualified students demonstrating need of financial assistance. Selections are made by the Graduate School Committee on Fellowships and Scholarships from ranked lists of nominees submitted by department chairpersons.

12.50 Financial Aid

12.51. Enrollment Services distributes money from various sources to help students with financial need. Need is defined as the difference between what it costs to attend URI and what the student and family can contribute from their financial resources including all other sources of assistance. The student is expected to earn a portion of these resources. Only citizens, nationals or permanent residents who have been accepted and are enrolled as URI graduate students are eligible. Special students and students attending only during the summer sessions are ineligible. The FAFSA Form should be submitted on-line at: www.FAFSA.ed.gov after January 1, but prior to March 1. For further information or copies of the forms, contact Enrollment Services (401) 874-9500. Programs of interest to graduate students include loans (12.52) and part-time employment (12.53).

12.52. Loans.

12.52.1. Federal Perkins Loan. Graduate students may borrow up to \$30,000 including undergraduate loans. These loans have a simple interest rate of 5% annually. Interest does not accrue until six months after graduation or withdrawal. Minimum payments of \$30.00 per month are required and the repayment period may extend up to ten years. These loans are made to Graduate Students on a limited basis only.

12.52.2: William D. Ford Direct Loans. All students who complete the Free Application for Federal Student Aid can participate in this Loan Program. Those students who meet the financial need criteria may receive in whole or in part a subsidized loan where the federal government pays all interest until six months after graduation, withdrawal, or a drop in enrollment status to less than half time. Unsubsidized loans are available for those students who do not qualify for the need-based subsidized loan. The same terms and conditions as for subsidized Stafford loans apply, except that the borrower is responsible for the interest that accrues while in school. Eligible graduate students may borrow up to \$18,500 a year. The maximum total Federal Stafford Loan debt for graduate or professional study is \$65,000 including undergraduate loans. For new borrowers who receive loans, the interest rate is variable, with a nine percent maximum rate.

12.52.3: University Loans. Emergency loans of from \$40 to \$200 are available to full-time students. These loans are short-term in nature (14-90 days), and can be made only when there are means of repayment. Application forms are available at the Student Financial Aid Office.

12.53. Part-time Employment.

12.53.1: Federal Work Study Program (FWSP). This federally supported program provides part-time employment during the school term and full-time employment during the vacation periods. The jobs may be either with University departments, or with off-campus, non-profit, non-sectarian, non-political agencies. Other institutionally funded employment is also available. A list of these jobs is available in the Student Financial Aid Office. (Limited funding could curtail the summer employment program.)

12.53.2: Regular Student Employment (IPR). Jobs funded by the University are available to several hundred students. Jobs are listed in the Student Financial Aid Office.

12.54. Other Sources of Aid.

12.54.1: There are many additional sources of financial aid available to students who qualify: scholarships from private organizations, clubs, labor unions, fraternities, sororities and businesses; Vocational Rehabilitation financial support; Veterans Administration benefits, including survivor benefits; and Social Security benefits. Students should apply directly to the source if they believe they qualify. Graduate students have access to a national computerized database of fellowship and other financial assistance opportunities available to students pursuing advanced degrees, completing dissertation research, and seeking post-doctoral positions.

12.55. Policy on Satisfactory Academic Progress for Graduate Students Receiving Federal Financial Aid.

12.55.1: The Education Amendments of 1980, P.L. 96-374, October 3, 1980, state that "a student is eligible to receive funds from federal student financial aid programs at an institution of higher education if the student is maintaining satisfactory progress in the course of study he or she is pursuing according to the standards and practices of that institution."

To maintain satisfactory progress as a graduate student at The University of Rhode Island for federal financial aid purposes, the student must be enrolled in a degree-granting program on at least a half-time basis (i.e. five credits) for each semester aid is received. The courses must be graduate level and applicable to the student's approved program of study. Master's degree candidates have eight semesters to complete degree requirements on a full- or part-time basis. Students who are not in residence during the academic year terms and who have received special permission from the Dean of the Graduate School have 14 summer session terms in which to complete requirements. Two summer terms totaling at least five credits will be considered one part-time semester; two summer terms totaling nine credits will be considered one full-time semester. Doctoral degree candidates have 14 semesters in which to complete their degrees, regardless of whether they matriculate with an earned Master's degree.

Master's and Doctoral students who have completed all course requirements including thesis research shall be considered to be making satisfactory progress at least at the half-time rate if they are registered for at least one thesis credit. All students are required to be enrolled for consecutive semesters until graduation unless an official leave of absence has been approved. If students do not utilize the leave of absence option and fail to register, they are considered to have voluntarily withdrawn.

All graduate students holding a Graduate Assistantship or Graduate Research Assistantship are considered to be full-time students. Such students are required to register for at least six credits whether they hold a full or partial assistantship for a given term.

Satisfactory progress standards will conform to The University's academic standards, as delineated in the Graduate Student Manual. Students who are placed on academic probation will be notified of the possibility of their loss of federal financial aid eligibility. Students on academic probation who do not meet the conditions of continued matriculation within the specified time limits and students who are dismissed, or suspended, will be ineligible to receive federal financial aid. Criteria for probation and dismissal appear in the Graduate Student Manual. A student who is declared ineligible to receive aid for not maintaining satisfactory academic progress may appeal the decision to the Satisfactory Progress Appeals Committee.

Satisfactory progress will be monitored and measured each semester according to implementation procedures on file in the Student Financial Aid Office. Failure to maintain satisfactory progress for two consecutive semesters will result in the loss of federal financial aid eligibility until the student is determined by the Financial Aid Office to be, once again, making satisfactory progress.

If there are unusual circumstances which result in the student's inability to make satisfactory progress, the student should write a letter of appeal documenting the unusual circumstance(s) and submit the letter to the Satisfactory Progress Appeals Board, through the Assistant Dean of the Student Financial Aid Office.

12.60 Veterans Benefits

12.61. Information concerning Veteran's Benefits and counseling is provided by the Veterans' Affairs desk in the Registrar's Office. All certification forms are administered through the Registrar's Office.

12.70 Student Exchange Among Public Institutes of Higher Education

12.71. Any full-time student matriculated at one of the public institutions of higher education in Rhode Island may enroll for a maximum of seven (7) credit hours of her/his full-time schedule per semester for study at one of the other public institutions at no additional expense. Each institution will determine and maintain the integrity of the degree to be awarded. Students will be subject to the course selection process applicable at the receiving institution. Summer session and continuing education registrants are not covered under this program. Students interested in this arrangement should contact the Registrar's Office.

12.72. Under the provisions of the New England Regional Student Program for graduate students, a regional student tuition rate (125% of the Rhode Island resident rate) is charged to residents of another New England state who are matriculated. graduate students in certain plans. The specific plan must be one which is not available at the student's home-state university. Normally, these plans are listed in the New England Regional Student Program graduate level booklet. In cases where an apparently similar program of study is available at both institutions

involved, a resident of another New England state must obtain certification from the Dean of the Graduate School of her/his home-state university that the program of study is not available there. This certification will normally take the form of a statement by the chairperson of the relevant department endorsed by the graduate dean. Request for classification as a regional student should be directed to the Dean of the Graduate School at the University of Rhode Island.

12.80 Tuition Waiver at the Public Institutions of Higher Education

12.81. Any Rhode Island senior citizen who submits evidence of being 60 years of age, and over, and of having a household income of less than three times the federal poverty level, will be allowed to take courses at any public institution of higher education in the state with the tuition waived. However, students who qualify for waivers must apply for financial aid. Any aid received must be applied towards the amount waived. Admission into particular courses will be granted on a space-available basis and at the discretion of the receiving institution. All other costs of attendance are paid by the student.

12.82. Any individual who submits evidence of currently receiving unemployment benefits from the state of Rhode Island, of having a household income of less than three times the federal poverty level and of not being claimed as a dependent by a parent (or someone else) will be allowed to pursue course work at any public institution of higher education in Rhode Island with tuition and the registration fee waived. However, students who qualify for waivers must apply for financial aid. Any aid received must be applied towards the amount waived. Individual students will be responsible for all other costs of attendance. Admission into particular courses will be granted on a space-available basis and at the discretion of the particular institution. This waiver also applies to any Rhode Island resident who submits evidence of residency and of currently receiving unemployment benefits in another state.

12.90 Patent and Copyright Policies

12.91. The Patent Policy of the University is presented in the University Manual. The graduate student is advised to examine this policy. As a general rule, inventions relating to research programs will be retained by the University, and inventions unrelated to our research programs will be waived by the University to the Inventor. For more information please consult Sections 10.40.10, 10.41.10-16 and 10.42.10 of the University Manual.

12.92. For information on copyright protection for University publications and dissertations please consult the University Manual, Sections 10.51.10 and 10.51.11.

APPENDIX A

Graduate Student Academic Appeals System

A.10 Academic Standards and Integrity

A.11. Waiver of Requirements. Any member of the Graduate Faculty or any graduate student may petition the Graduate School concerning exceptions to the provisions of this manual. Petitions requesting exceptions to or appeals from the provisions of this manual shall be addressed to the Dean of the Graduate School. Such petitions should include the rationale for the request. It is important to note that only the Graduate Council, or in discretionary cases, only the Dean of the Graduate School may alter or grant exceptions to the provisions of this manual. In particular, the provisions regarding admission to graduate study, advanced standing, transfer credit, and approval and amendment of programs of study all explicitly require the approval of the Dean of the Graduate School. (See also A.21, A.22.)

A.12. *Grades.* Regulations concerning grades and grade point averages are presented in Section 10 of this manual.

A.12.1. Only grades of C(2.00) or better in courses numbered 500 and above and grades of B-(2.67) or better in courses numbered below 500 shall be credited toward degree requirements. If a candidate receives a grade of D, F, or U in a course, or grades of C+ (2.33) or lower in more than one course below the 500 level, or does not maintain a cumulative average of B (3.00) or better, her/his status as a graduate student will be reviewed by the Dean of the Graduate School in consultation with appropriate faculty member(s) in the Department. Such review may result in being placed on provisional status, being suspended or being dismissed. (See Section A.26.1 for appeals procedures.)

A.12.2. For continuation in graduate degree candidacy and for graduation an average of B (3.00) in all work taken is required except for courses specified as entrance deficiencies, approved for no plan credit prior to registration for the course, or automatically considered for no plan credit under the provisions of Section 9. It is the responsibility of the student's plan committee to determine a reasonable maximum of C and C+ grades in courses numbered 500 or above which may be considered acceptable in her/his total program. A student exceeding the specified number of these grades will have her/his status reviewed by the Dean of the Graduate School in consultation with appropriate faculty members in the Department. Such review may result in suspension or dismissal. (See Section A.26.1 for appeals procedures.)

A.12.3. Changes in Record. The University Manual indicates that "No grade shall be changed after it has been reported to and recorded by the Registrar except upon written request by the instructor to the Dean of the instructor's college and approval by the Dean." (See UM 8.56.10.)

A written explanation for the reason for the change in grade should accompany this request. Approval for a change in grade normally will not be granted solely for additional work submitted after the semester is completed.

A.12.4. Incomplete. According to the University Manual, a graduate student "shall receive a report of 'incomplete' instead of a grade in any course in which the coursework has been passing but has not been completed because of illness or another reason which to the opinion of the instructor justifies the report. An 'incomplete' not removed within one calendar year shall remain on his permanent record, except that the instructor with his department chairperson's knowledge

may extend the time limit, or in the instructor's absence, the department chairperson may extend the time limit by which the incomplete work must be finished. (See UM 8.53.20, GSM 10.42.)

"The instructor shall accompany a report of 'incomplete' with a written explanation and file a copy of the explanation with his department chairperson. The student receiving 'incomplete' shall make satisfactory arrangements with the instructor, or, in her/his absence, with the instructor's chairperson to remove the deficiency and the new grade shall be immediately reported to the Registrar and the department chairperson." (See UM 8.53.21.)

A.12.5. Students admitted to Teacher Certification Programs (TCP) must earn grades of C or better in all courses numbered 100 or above. If a TCP student receives a grade below C (2.00) or grades of C+ (2.33) or lower in more than one course or does not maintain a cumulative average of B (3.00) or better, his/her status will be reviewed by the Dean of the Graduate School in consultation with appropriate faculty members in the Department. Such a review may result in the student being placed on provisional status or being dismissed. (See Section A.16.1 for appeals procedures.) The provisions of Section A.12.2 shall apply for continuation and completion of certification requirements in the TCP plan.

A.13. *Plagiarism*

A.13.1. The University Manual lists the expectations of the University concerning academic integrity as follows:

A.13.2. "Students are expected to be honest in all academic work. Cheating is the claiming of credit for work not done independently without giving credit for aid received, or any unauthorized communication during examinations." (See UM 8.27.10.)

A.13.3. "A student's name on any written exercise (theme, report, notebook, paper, examination) shall be regarded as assurance that the work is the result of the student's own thought and study, stated in the student's own words and produced without assistance, except as quotation marks, references, and footnotes acknowledge the use of other sources of assistance. Occasionally, students may be authorized to work jointly, but such effort must be indicated as joint on the work submitted. Submitting the same paper for more than one course is considered a breach of academic integrity unless prior approval is given by the instructors." (See UM 8.27.11.)

A.13.4. "In preparing papers or themes, a student often needs or is required to employ sources of information or opinion. All such sources used in preparing to write or in writing a paper shall be listed in the bibliography. It is not necessary to give footnote references for specific facts which are common knowledge and have obtained general agreement. However, facts, observations and opinions which are new discoveries or are debatable shall be identified with correct footnote references even when restated in the student's own words. Material taken word for word from the written or oral statement of another person must be enclosed in quotation marks or otherwise clearly distinguished from the body of the text and the source cited. Paraphrasing or summarizing the contents of another's work usually is acceptable if the source is clearly identified but does not constitute independent work and may be rejected by the instructor." (See UM 8.27.12.)

A.13.5. "Notebooks, homework and reports of investigations or experiments shall meet the same standards as all other written work. If any work is done jointly or if any part of the experiment or analysis is made by someone other than the writer, acknowledgment of this fact shall be made in the report submitted. Obviously, it is dishonest to falsify or invent data." (See UM 8.27.13.)

A.13.6. "Written work presented as personal creation is assumed to involve no assistance other than incidental criticism from others. A student shall not knowingly employ story material, wording or dialogue taken from published work, motion pictures, radio, television, lectures or similar sources." (See UM 8.27.14.)

A.13.7. "In writing examinations, the student shall respond entirely on the basis of the student's own capacity without any assistance except that authorized by the instructor." (See UM 8.27.16.)

A.13.8. "Instructors shall have the responsibility of insuring that students prepare assignments with academic integrity. Instructors shall do all that is feasible to prevent plagiarism in term papers or other written work." (See UM 8.27.16.)

A.13.9. "Instructors shall have the explicit duty to take action in known cases of cheating or plagiarism. The instructor shall have the right to fail a student on the assignment on which the instructor has determined that a student has cheated or plagiarized. The circumstances of this failure shall be reported to the student's academic dean. The student may appeal the matter to the instructor's dean, and the decision by the dean shall be expeditious and final." (See UM 8.27.18.)

A.13.10. "If the violation warrants more severe censure, the instructor may recommend additional action to the instructor's dean. Upon this recommendation, the dean may authorize the instructor to fail the student in the course. The student or instructor may appeal the dean's decision to the Vice President for Academic Affairs whose decision on the appeal shall be final." (See UM 8.27.18.)

A.13.11. "Either the instructor or the instructor's dean or the student's dean may request judicial action (see 9.21.10) on an allegation vs. a student for cheating or plagiarism. Any of the judicial sanctions listed in sections 9.25.10-17 may be imposed after a finding of guilty. If the request comes from an instructor, it shall be accompanied by a statement of position from the instructor's dean (see 9.20.10 and 9.21.10)." (See UM 8.27.19, GSM A.24.2.7-9.)

A.20 Boards and Officers

A.21. *Graduate Council.* (See UM, 5.16.10-43.)

A.21.1. It is the responsibility of the Graduate Council to determine requirements for admission of students to graduate work, their candidacy for degrees, and awarding of degrees; to approve, subject to action by the Faculty Senate, all plans of graduate instruction and all courses carrying graduate credit; to act upon all petitions from graduate students relating to their academic work and degree requirements; to establish academic standards for all graduate work; to recommend to the Graduate Faculty those who have completed degree requirements; and to make recommen-

datations to the Faculty Senate on all matters relating to teaching and research on the graduate level. The Council is the policy setting body of the Graduate Faculty.

A.22. Dean of the Graduate School. (See UM, 3.30.11-14.)

A.22.1. It is the responsibility of the Dean to administer the policies and procedures of graduate study set down by the Graduate Council. The Dean is to administer and enforce the regulations pertaining to the conduct of graduate work and the granting of graduate degrees.

A.23. University Ombudsman. (See UM, 2.45.10-20.)

A.23.1. The primary function of the ombudsman is to maintain a known center for the handling of individual grievances and complaints and to publicize her/his availability. This availability provides the individual, whether student, faculty member, or administrative official, with the knowledge that there is one independent party always available to receive complaints, inquire into the matters involved, pass judgment, and make recommendations for suitable actions. This individual therefore, can make appeals personally to an impartial official with broad perspective who has ready access at all levels to those involved in the grievance.

A.23.2. Although the primary function of the ombudsman is to handle grievances brought directly to her/his office, s/he will not be expected to concern her/himself with the normal operations of established procedures, as outlined in the Graduate Student Manual, except where it appears, in her/his sole judgment, that they are not functioning in their intended manner.

A.23.3. The Ombudsman can be contacted through the Office of the Vice President for Academic Affairs. The student assistant Ombudsman is located in the Memorial Union.

A.24 The University Judicial System

A.24.1. The Office of Student Life administers the University Judicial System. Each student should obtain a copy of the Students' Rights and Responsibilities Handbook, available at the Office of Student Life, that provides a detailed description of policies and procedures related to the Judicial System. The University Judicial System is designed to promote student growth and to preserve the atmosphere of learning necessary to the well-being of all students. Disciplinary action may be implemented only through referral of violations to the Office of Student Life. Where infractions of University standards and policies are involved, reports of violations or complaints shall be submitted to the Office of Student Life from the campus police or local police departments, from other students, and from faculty and staff in a timely manner. In all cases, the available facts shall be gathered from the accuser (complainant or the reporting agency) and a careful evaluation of these facts, as well as the dependability and character of the person reporting them, shall be made. If corroboration of the information presented is deemed necessary, further inquiry and investigation shall be undertaken. If, at this point, in the judgment of the Office of Student Life, there is insufficient evidence of a violation, or the case lacks merit, a decision not to refer the matter to the judicial system may be made. If a case is referred to the judicial system, it must be presented by the accuser. If the situation warrants it, the Director of Student Life may appoint special judicial boards in addition to the regular boards.

A.25 Committee on Academic Standards and Appeals

A.25.1. This committee is a standing committee of the Graduate Council.

A.25.2. This committee is to hear, at the request of the Graduate Council, student appeals on academic matters directed to the Council. It hears only those matters not involved in suspension or dismissal decisions.

A.25.3. In addition, the committee functions in an advisory capacity to the Dean of the Graduate School and the Graduate Council on any matter relating to academic standards which may be referred to the committee.

A.26 The Graduate Student Academic Appeals Board

A.26.1. Procedure

A.26.1.1. The Graduate Student Academic Appeals Board was authorized by the Graduate Council. Jurisdiction of the Board is limited to hearing appeals of graduate students who are being suspended or dismissed for academic failure and to affirm or reverse the original decision.

A.26.1.2. If the decision is to suspend or dismiss, the Dean of the Graduate School shall notify the student by a letter sent by certified mail, return receipt requested. The letter shall inform the student:

- a. That the student is being suspended or dismissed, the reasons why, and when it takes effect.
- b. That the decision may be appealed, and the procedure for filing an appeal.
- c. The time limits for filing the appeal.
- d. That the student is entitled to counsel of choice at the student's own expense.

A.26.1.3. A student who wishes to appeal suspension or dismissal for academic failure shall file a formal appeal within 15 business days after the return receipt has arrived at the Dean's Office. The Appeals Board and only the Appeals Board has the authority to grant an extension of time.

A.26.1.4. The grounds on which the appeal is based must be clearly stated.

A.26.1.5. A student who has filed an appeal concerned with suspension or dismissal for academic failure, may remain enrolled in courses, may enroll while the appeal is in process, and may receive credit for courses completed while an appeal is pending, but no degree shall be granted while an appeal is pending. A student whose dismissal or suspension is affirmed by the Appeals Board during a semester when the student is enrolled in courses may choose to finish the courses for transcript credit or withdraw with full tuition refund.

A.26.1.6. The grounds for appeal and the decision of the Appeals Board are limited to the consideration of those matters preceding the date of dismissal or suspension.

A.26.1.7. The Dean of the Graduate School shall inform the Graduate Council when an appeal has been filed.

A.26.1.8. The Board shall convene as soon as possible after receiving a request for appeal, and ordinarily no later than 14 days after the request has been received by the Chairperson of the Appeals Board.

A.26.1.9. The Board shall conduct hearings in full accord with conventionally accepted principles of due process. The procedure shall be developed in consultation with University legal counsel, and shall be stipulated in writing prior to commencing operations. The Board shall be empowered to invite specialists to supply information or consultation as needed, including "outside" specialists. All reasonable costs for such services shall be borne by the Graduate School.

A.26.1.10. The hearings of the Board shall be a matter of record. Stenographic, synoptic, or taped records are required, and these and the final report shall remain on file in the Graduate School Office for ten years. The final report shall be kept in the student's file as long as the file is kept.

A.26.1.11. Routine aspects of an appeal such as scheduling meetings, notifying members of the Board and the appellant of meetings, keeping records and typing the final report are solely the responsibility of the Chairperson of the Appeals Board.

A.26.1.12. At the time of the first hearing of an appeal, the Chairperson of the Board shall inform the Graduate Council, via the Dean of the Graduate School, that the appeal process has begun.

A.26.1.13. The final report on the appeal shall be transmitted by the Chairperson of the Board to:

- a. The Dean of the Graduate School
- b. The student
- c. The student's Major Professor or Advisor, and Committee if the student has a committee
- d. The Department Chairperson
- e. The Graduate Council
- f. President

A.26.1.14. If additional announcements are required, they shall be made by the Chairperson of the Graduate Student Academic Appeals Board, and only by the Chairperson, and in strict accordance with URI policies and procedures governing news releases.

A.26.2. Composition of the Board

A.26.2.1. The Graduate Student Academic Appeals Board shall be a standing body composed of three members of the Graduate Faculty, two graduate students, and an alternate member for each position.

A.26.2.2. The Board shall elect its own chairperson. The chairperson shall serve for one year and shall be eligible for reelection.

A.26.2.3. Two of the faculty members and two faculty alternates shall be elected by the Graduate Council. The third faculty member and faculty alternate, and the two student members and alternates shall be elected by the Graduate Student Association.

A.26.3. Criteria for Membership on the Board

A.26.3.1. Any member of the Graduate Faculty who holds a full time continuing appointment, and who is not a member of the Graduate Council may serve on the Board. A member of the Board whose status changes will be replaced by an alternate or by a newly elected member.

A.26.3.2. The faculty members and alternates elected by the Graduate Faculty must have tenure. The faculty member and faculty alternate elected by the Graduate Student Association may be tenured but are not required to be.

A.26.3.3. Graduate student members and alternates must be registered as full-time degree candidates during the Spring and Fall semesters that they serve on the Board and should be available but not necessarily registered during the summer.

A.26.3.4. Of the five members and five alternates, no more than two shall be from the same department, but no two members reviewing any one appeal shall be from the same department. In case of conflict, an alternate will serve or a new member will be elected.

A.26.4. Elections

A.26.4.1. Elections for members of the Graduate Student Academic Appeals Board shall be held in October or November.

A.26.4.2. Consent of each nominee must be obtained before a nomination is made. Acceptance of a nomination implies that if elected, the member or alternate will be available most of the times when an appeal is likely to be made.

A.26.4.3. As far as possible the nominees will be selected from among individuals who will be available to serve on the Board during periods when appeals are most likely to be made. Ordinarily these are in June, August and February.

A.26.4.4. A special election may be held at any time, to fill a vacancy or to resolve a conflict of interest because of departmental affiliations.

A.26.4.5. The term of office of members and alternates shall normally begin and end on January 1, but if for any reason elections are delayed, members and alternates shall serve until their successors are elected.

A.26.4.6. A member or alternate elected at a special election to resolve a conflict of interest shall serve for the particular appeal only; but if elected to fill a vacancy, shall serve until the next regular election.

A.26.4.7. If an additional member (or members) is needed to complete the required number for an appeal during the summer, when nominations and elections cannot be carried out quickly, the Executive Committee of the Faculty Senate shall appoint a member of the Graduate Faculty or a graduate student to fill the vacancy.

A.26.4.8. The Office of the Dean of the Graduate School shall be responsible for keeping records of elections, terms of office of members and alternates, notifying the two electing bodies when elections are needed, and conducting the Graduate Council election.

A.26.5. Elections - Graduate Student Association

A.26.5.1. The Graduate Student Association shall elect two graduate student members and two student alternates from four different departments every year.

A.26.5.2. When the votes have been counted, the two nominees who have received the highest numbers of votes shall be declared members, and the next two, alternates. If there is a tie vote, the order shall be decided by lot.

A.26.5.3. The faculty member elected by the Graduate Student Association will serve one year as alternate, and as a member the following year. The alternate Graduate Faculty member will be elected every year from a slate that contains at least one nomination. If for any reason, the Graduate Faculty alternate elected the year before is unable to serve as a member, the nominating slate shall contain at least two nominees. The nominee who receives the highest number of votes shall be declared member, the next highest alternate. A tie vote shall be decided by lot.

A.26.5.4. Nomination and election of members and alternates by the Graduate Student Association shall take place in accordance with the procedures as described in the Constitution and By-Laws of the Graduate Student Association.

A.26.6. Elections - Graduate Council

A.26.6.1. The election by the Graduate Council shall generally be for two alternates; the faculty members elected as alternates shall serve as members the following year.

A.26.6.2. The slate of nominees to be elected by the Graduate Council shall be prepared by a nominating committee appointed by the Dean of the Graduate School and approved by the Graduate Council.

A.26.6.3. The nominating committee shall consist of three elected faculty members of the Graduate Council.

A.26.6.4. Members of the nominating committee shall be appointed by the first Graduate Council meeting of the academic year and shall serve a term of one year.

A.26.6.5. The nominating committee shall elect its own chairperson.

A.26.6.6. If for any reason an alternate is unable to serve as a member the following year, the nominating committee shall be informed that a member must be elected in addition to the two alternates, and the slate of nominees shall reflect this.

A.26.6.7. Prior to the second Graduate Council meeting of the academic year the Dean of the Graduate School shall inform the Graduate Faculty that nominations for the Appeals Board are being sought.

A.26.6.8. At the second Graduate Council meeting of the academic year, the nominating committee shall present a slate of candidates that will consist of at least two nominations for each vacancy.

A.26.6.9. Election by the Graduate Council shall take place at the third meeting of the year and shall be by written ballot.

A.26.6.10. Additional nominations may be submitted by any member of the Graduate Faculty 10 days prior to the meeting at which the election takes place provided the nominees satisfy the criteria specified in A.26.3.

A.26.6.11. When the votes are counted, the nominees who receive the highest number of votes shall be declared elected as members, if vacancies for members exist, and the next two nominees in order shall be alternates. Tie votes shall be decided by lot.

A.26.7. *Restrictions*

A.26.7.1. Any of the following conditions shall disqualify a Board member from participating in a hearing on a particular appeal:

a. When a Board member is enrolled in or is a faculty member of the same academic department as an appellant, or is a member of the faculty responsible for administering the student's plan.

b. When a Board member is also a member of a student appellant's advisory committee.

c. When a Board member feels that for any reason s/he cannot render a fair judgment in a particular case, s/he is required to disqualify her/himself.

d. When a Board member is directly involved in the matter under appeal.

A.26.8. *Review*

A.26.8.1. The procedures for the Graduate Student Academic Appeals Board should be reviewed every five years and changes made as needed.

APPENDIX C

Policies for the Release and Disclosure of Information From Student Records

These guidelines incorporate the requirements of the Federal Family Education Rights and Privacy Act of 1974 (Buckley Amendment). They are issues subject to revision as the law is changed or construed, and stated so that there will be the least disruption if contrary interpretations should prevail.

INTRODUCTION

The University of Rhode Island maintains student records primarily for educational purposes, although student records are maintained for other purposes such as health and employment. Procedures for the release and disclosure of student records maintained by the University are in large measure governed by State and Federal laws. It is the purpose of these guidelines to provide reasonable interpretations of the laws as presently stated and to protect the student's right to privacy. Where the law is silent, the University shall be guided by the principle that the privacy of an individual is of great weight and that all information in the student's file should be disclosed to the student upon request.

PUBLIC RECORDS

Information confirming the following items about individual students is public (the office listed is the office having the most accurate information):

- full name Registrar
- campus address Registrar
- home address Registrar
- telephone listing Campus Directory
- date and place of birth Registrar
- major field of study Registrar
- participation in officially Student Activities Office;

recognized activities and sports Sports Information Office

-weight and height of members of Sports Information Office

athletic teams

-dates of attendance Registrar

-degrees and awards received Registrar

-the most recent previous Registrar

educational institution attended

-class year Registrar

Public information may be released or published without the student's consent. Currently enrolled students may inform the appropriate office that public records should not be released or published (forms available from designated offices).

CONFIDENTIAL RECORDS

1. Nature of Confidential Records

All personally identifiable information relating to particular students used to make decisions about the student or for transmittal to others outside the institution other than public records as defined above is considered confidential information. This information includes but is not necessarily limited to:

- academic evaluation
- general counseling and advising records
- disciplinary records
- financial aid records
- letters of recommendation
- medical or health records
- clinical counseling and psychiatric records
- transcripts, test scores, and other academic records

2. Disclosure of Confidential Information to the Student

Right of Inspection and Review: A currently or previously enrolled student has the right to inspect and review official records, files, and data directly related to the student as a student. Access will be provided in the presence of a staff member. This right does not extend to applicants, those denied admission or those admitted who do not enroll. A student in one unit of the University, who applies for admission to another unit, but who never attends the other unit, has no right to inspect the records accumulated by the second unit. Where such information involves other students, the student is entitled to inspect or be informed of that portion of the information which pertains to himself or herself only. Requests under the Family Educational Rights and Privacy Act of 1974 will be accepted as of January 1975 and will be responded to within forty-five days. Only in rare situations will the response period ever approach this limit. Offices may require that requests for access be submitted in writing and may ask for but not require the reason for the request.

Right to Obtain Photocopies: The right to inspect and review official records includes a provision for copying the records upon request (except where copies are already available to students under established University procedures, or are not available due to indebtedness or obligation to the University). Students may obtain copies by asking the appropriate office (maintaining the record) to complete a "copy payment form". The student must then take the form to the Bursar's Office for payment. The Bursar will collect the payment, stamp the form "paid", and return the student to the appropriate office where copies will be made. When the collected funds reach a total of \$10 for any office, the Bursar will rebate the funds to the office's account through the Accounting Office. This section is not intended to allow pressure from third parties (see Section 4) to have students turn over their entire records.

Definition of Official Records: For purposes of this section, the term "official records, files and data" includes that material on students pertaining to their status as students held by any unit or department of the University which is intended for University use or to be available to parties outside the University. It does not include:

- Letters of recommendation or statements of reference for students obtained or prepared before January 1975 pursuant to written or documented promises of confidentiality or personally signed letters of recommendation to which students have waived their rights of access
- employment records of student as University employees
- campus law enforcement records held in the Campus Police Station
- clinical, medical, counseling, or psychiatric records (these records or copies thereof may be reviewed by a physician or other appropriate professional of the student's choice)
- financial records of the parents of the student or any information contained therein
- private records kept by individual faculty or administrators possibly used as memory aids unless intended for transmittal to others

- institutional records of students which may be maintained by the University in a computer printout or similar format (so long as this computerized information is not intended to be distributed outside the University), as long as the original source of computer information is available in the office or department having original jurisdiction for the records (see definition of official records, Section 1).

Right of Explanation: A student is entitled to an explanation of any information contained in official records directly related to the student. The student has the opportunity for a hearing:

- to challenge the content of such records to ensure that they are not inaccurate, misleading, or otherwise in violation of privacy or other rights

- to correct or delete any such inaccurate, misleading, or otherwise in violation of privacy or inappropriate data

- to insert into the records a written explanation

The substantive judgment of a faculty member about a student's work (grades or other evaluations of work assigned) is not within the scope of such hearings. A student may challenge the factual and objective elements of the content of student records but not the qualitative and subjective elements of grading.

Hearing Procedure: The procedure to be followed should a student object to items included in her/his personal record is as follows:

- the student should discuss the objection with the individual responsible for the office where the student record is maintained

- if not satisfied, the student should discuss the objection with the individual to whom that person reports

- if not satisfied, the student should discuss the objection with the appropriate vice president of her/his designed

- if not satisfied, the student should file a written request for a formal hearing with the Office of the President

Upon receipt of a written request for a formal hearing, the Hearing Board on Student Confidential Records (two members appointed by the President and the Assistant to the President as Chairperson) must hold a hearing within three calendar weeks. The Hearing Board must allow a full and fair opportunity for the presentation of evidence relevant to the reason(s) for the hearing request and must render a decision in writing to the requesting student within one week of the conclusion of the hearing. This section is not meant to require a formal hearing with rules of evidence, transcript of proceedings, presentation of sworn testimony, or cross examination of witnesses.

3. Waiver of Access

Students may be invited but not required to waive their right of access to confidential letters of recommendation for admission, honors or awards, or Career Services. Students will suffer no prejudice in admission, financial aid, or other University services by reason of not executing the waiver. If the waiver is signed, the applicant may request a list of all persons making confidential recommendations or statements.

4. Disclosure of Confidential Information to Third Parties

Definition of Third Parties: Third parties (including the URI Campus Police) do not have access to personally identifiable records or information pertaining to students as students without the written consent of the student specifying the records to be released, to whom the records are to be released, and the reasons for such release. Excepted from this restriction are:

- University officials (except Campus Police personnel) who require access on an internal need-to-know basis for legitimate educational purposes
- students in their official capacity as file clerks working in the University offices
- disclosure of appropriate academic records to officials of other educational institutions to which the student has applied and intends to enroll (on condition that the student is entitled to a copy of such records) if the student previously directed that the record be sent
- records released pursuant to judicial order (on condition that a reasonable effort be made to notify the student of the subpoena in advance of the records being released)
- records released in connection with the student's application for, or receipt of, financial aid

This policy does not preclude access to student records by authorized federal or state officials in connection with the audit and evaluation of federally supported education plans or in connection with the enforcement of federal legal requirements which relate to such plans.

Procedural Standards for Disclosure to Third Parties: Confidential information is transferred to a third party only on the condition that such party is informed that they may not permit any other party to have access to such information without the written consent of the student.

- no third party may have access to such records before signing and dating a written form indicating the legitimate educational or other interest of the third party. Such forms must be kept permanently on file and open to inspection by the student
- where third parties have requested access to records but where no access was granted, no written record of the request will be made
- the University is not required to release information to third parties upon the request of the student. This section simply permits such release under defined procedures.

- where University employees having a legitimate educational interest request access to records, no written record of the request will be made
- parents are considered third parties and are subject to the requirements of this section
- records may be released to appropriate parties in connection with an emergency if knowledge of the information is necessary to protect the health and safety of the student or others, provided the official releasing the records considers the seriousness of the threat to health and safety, the need for the information to meet the emergency, whether the third parties to whom the information is released are in a position to deal with the emergency, and the extent to which time is of the essence
- when students intend to transfer to another educational institution, the student must be notified that records have been released to another institution even though the student initiates the request for release

NOTIFICATION OF RIGHTS

Students will be informed by their rights under the Family Education Rights and Privacy Act of 1974 by publication of these University guidelines annually in the student handbook.

ASSURANCE OF COMPLIANCE

All applications made by departments or offices of the University for Federal grants, loans or contracts will include an assurance of compliance with the Family Educational Rights and Privacy Act of 1974 or a reference to a previous assurance filed with Secretary of HEW.

List of official education records maintained:

TYPE OF INDIVIDUAL

RECORD LOCATION RESPONSIBLE

- Academic records and Registrar's Office Registrar related correspondence Student's Academic Dean's Academic Dean Office
- Conduct records Office of Student Life Director
- Health records Student Health Services Director
- Counseling records and Office of Counseling and Director Career Planning records and Career Services
- Financial aid records Student Financial Aid Director
- Veteran's records Registrar's Office Registrar

- International student Dept. of International Director records Student Affairs
 - Talent Development SPTD Office Director student records
 - Tuition, fees and debts to Bursar's Office Bursar the University records
 - Athletic records Athletic Department Director
 - Meal book and dining Dining Services Office Director records
 - Residence hall records Office of Residential Life Director
-

APPENDIX D

Institutional Review Board

POLICY AND PROCEDURES CONCERNING THE PROTECTION OF HUMAN SUBJECTS

(In situations where the principal investigator is a student, the decision regarding the exempt status shall be the responsibility of the student's major advisor and/or chairperson of the department in which the student is enrolled)

Policy

Safeguarding the rights and welfare of subjects at risk in any research, development, or related activity is the responsibility of the University. In order to provide for the adequate discharge of this responsibility, it is the policy of the University that no activity involving human subjects be undertaken until those activities have been reviewed and approved according to procedures established by the University Institutional Review Board (IRB).

The process of review and approval includes the consideration of the methods to be used in the collecting of data, obtaining informed consent and in protecting the confidentiality of subjects. Since the "risks" to subjects are affected by these procedures, it is the responsibility of the principal investigator to be fully familiar with the Code of Federal Regulations (45 CFR 46, revised March 8, 1983) which govern the protection of human subjects and which form the basis for University policy. An assurance (copy attached) by the principal investigator that approved procedures will be followed in the conduct of activities involving human subjects is a requirement of the application process.

The "Multiple Project Assurance (MPA)" to be followed by the University, along with federal regulations governing the protection of human subjects can be reviewed in the Office of the Director of Research. There will be no tentative approvals. Materials not meeting the "multiple project assurance" requirements will be returned to the principal investigator with a statement of noncompliance. Materials must be submitted at least three (3) weeks prior to an IRB meeting in

order to be considered. A calendar of IRB meetings will be published and distributed prior to the beginning of each semester.

Procedures

Principal investigators and/or department chairpersons shall make a determination as to whether or not research will involve human subjects. When it is not clear whether the research involves human subjects as defined in 45 CFR 46:102 (Code of Federal Regulations, March, 1983), the investigator should seek assistance from the Coordinator of Research in making this determination. If it is determined that human subjects are involved, the principal investigator and/or department chairperson shall make a preliminary determination of whether the research involved is exempt from IRB review under the provisions of 45 CFR 46:101 (Code of Federal Regulations, March, 1983).

The proposal then shall be filed with the Coordinator of Research office. The proposal shall include copies of the proposal, informed consent, if applicable, and the rationale for the exempt status.

All proposals involving human subjects require a statement describing the process for obtaining informed consent as well as for the protection of the confidentiality of subjects.

If it is clear that there is no risk to human subjects and that University policy is being met, the principal investigator will be notified by the Coordinator of Research that he/she may proceed with the project.

If it is determined that the proposal involves potential risk to human subjects, the Coordinator of Research will require from the principal investigator one (1) completed proposal, less any appended material not necessary to an understanding of the project. In addition the principal investigator will submit fourteen (14) copies of an abstract containing:

1. Title of proposal
2. Principal investigator/association with the University/address/telephone/faculty sponsor and/or department chair,
3. Other participants (individuals or institutions/agencies) and other IRB approvals
4. Subjects to be involved (describe fully, including how they are to be obtained
5. Project summary
6. Nature of the subjects' participation and a signed assurance form (see attached)
7. Informed consent
 - a) description of information given to human subjects involved in the project

- b) description of risks and benefits to the subjects involved in the project
- c) description of the procedures to ensure against violation of the subjects' right to privacy (maintain confidentiality)
- d) provision for the subject to respond to the information
- e) procedures for consent and contact with principal investigator

Completed proposals and additional material involving risk to human subjects will be forwarded to the Chairperson of the IRB by the Director of Research. All incomplete proposals will be returned to the principal investigator with recommendations regarding compliance with University procedures. The principal investigator should retain a copy of the submitted material.

The IRB Chair will assign one principal reviewer for each proposal. A minimum of two weeks will be necessary for review. Each member of the IRB will have a proposal abstract and associated materials for review. The principal investigator could be asked to clarify relevant issues, attend the IRB meeting or submit additional materials.

At the IRB meeting following the review, the principal reviewer will present the proposal to the Board with his/her recommendations. Following a discussion of the proposal the Board will determine the disposition of the proposal. The IRB chairperson will return the proposal and materials to the Director of Research with a signed report of action form and/or letter indicating the outcome of the review. The Director of Research will notify the principal investigator of the decision. Materials and IRB decisions will be placed on file.

DIRECTOR OF RESEARCH

INSTITUTIONAL REVIEW BOARD

ASSURANCE OF PRINCIPAL INVESTIGATOR

TITLE OF PROPOSAL:

I CERTIFY as follows concerning the above research in which I am the principal investigator:

- (1) The rights and welfare of the subjects are adequately protected.
- (2) Risks or discomfort to subjects (if any) have been clearly indicated and it has been shown how they are outweighed by potential benefits to the subject or by the importance of the knowledge to be gained.
- (3) The informed consent of subjects will be obtained by appropriate methods which meet the requirements of the University's general assurance procedures.

(4) Any changes which may alter the investigational situation will be reported to the IRB.

Signature: _____

Date: _____

APPENDIX E

Institutional Animal Care and Use Committee

Policy

It is the purpose of this policy to assure the humane care, treatment and use of animals in research and education in the life science and to ensure that studies involving the use of animals have been carefully evaluated by competent reviewers and judged to be justified and in compliance with applicable laws and regulations. The University is committed to abide by, and comply with, PHS/HHS/NIH "Policy on Humane Care and Use of Laboratory Animals" (NIH Publication No. 85-23) and the provisions of the Federal "Animal Welfare Act" (P.L. 89-544), as amended, along with other applicable federal, state and local laws, regulations and policies.

It is important to recognize that research and teaching involving vertebrate animals, whether conducted by faculty or students, is subject to review and approval by the University's Institutional Animal Care and Use Committee (IACUC). It is the responsibility of researchers and instructors to read this policy statement and be familiar with URI's guidelines governing any research and teaching using vertebrate animals.

The Vice Provost for Research is responsible for publishing regulations, policies and guidelines relating to animal care and use in research and teaching.

Procedures

All proposals that include vertebrate animals in research and teaching, and any changes in existing animal research protocols, must be reviewed and approved by the IACUC, and must be sent initially by the principal investigator, course instructor or major professor to the Director of Compliance for recording and transmission to the IACUC. In addition, the Public Health Service, the National Institutes of Health and USDA require an annual report of the status of each continuing project funded by the agency with respect to animal use protocols, and the use of vertebrate animals in research and teaching. These reports are then submitted to the Provost for review.

These policies and procedures apply to vertebrate animal use both in research projects and in the teaching laboratories of academic courses. The student's major professor and/or department chairperson or graduate plan director is responsible for the submission of the necessary materials under these procedures when the principal investigation or instructor is a student. Additionally, if

the principal investigator is a student, a thesis or dissertation proposal must accompany the new protocol review form.

The Committee's review process will include consideration of the animal models to be used (number and kind), rationale for use of animals in the project, husbandry and health care of the animals, research protocols (especially animal experimental procedures), pain relief during experimentation, special animal needs and potential biohazards (the Committee will refer biohazardous and radiation issues to the appropriate University Committees if prior approval has not been obtained from them). The project director and the instructor have the responsibility to be knowledgeable of federal, state, local and University regulations governing the use of animals. Copies of these regulations are available at The Research Office, 70 Lower College Road, Kingston, RI 02881.

The IACUC will meet monthly and review all protocols submitted. Materials must be submitted to the Director of Research Office at least three weeks in advance of the desired review date. All incomplete proposals will be returned to the principal investigator, instructor or major professor with recommendations regarding compliance with University policies and copies of the complete proposal, and (12) copies of the New Protocol Review Form.

The New Protocol Review Form (available at the Office of the Vice Provost for Research and in the Graduate School Office) and other supplementary materials necessary to an understanding of the project. If additional information is needed by IACUC, the person(s) requesting approval will be contacted.

APPENDIX F

Intellectual Property

F.10 Copyrights and Patents

All members of the University community, including faculty, pre- and postdoctoral fellows, research associates, staff, and students, including graduate assistants and research assistants in any combination of study, research, and teaching, shall be subject to the University's Intellectual Property Policies. These Policies, which relate to patents, copyrights, and other forms of intellectual property, are contained in the University Manual and are subject to interpretation and implementation by the University's Intellectual Property Committee, with the approval of the President of the University.

APPENDIX G

Scientific Misconduct in Research and Scholarships

POLICIES AND PROCEDURES FOR DEALING WITH AND REPORTING POSSIBLE MISCONDUCT IN SCHOLARSHIP AND RESEARCH

G.10 Basis

The basis for establishing this policy is 42 CFR Part 50 and 45 CFR Part 689 (Code of Federal Regulations). Reports to the Federal Office of Research Integrity (ORI) or to the National Science Foundation will occur only when required by federal law or regulation or when mandated by grant or contract provisions.

G. 20 Applicable to:

All University employees involved in scholarship, research, research training or research related activities pursued at the University or under the sponsorship of the University. Also applicable to all University employees involved in science and engineering education projects sponsored by the National Science Foundation. Students who are not included in the above definitions, against whom allegations of misconduct in research and scholarship have been made, shall be subject to regular University procedure.

G.30 Responsibility

Vice Provost for Research, the Provost, and the President have primary responsibility for administration of the policy as specified below.

G. 40 Policy

It is the policy of The University of Rhode Island to foster a scholarship and research environment that discourages misconduct in all research, research training or research related activities pursued at the University or under the sponsorship of the University.

G.50 Definition of Misconduct

Misconduct in research and scholarship means: "fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the academic and scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data." Allegations of misconduct in research and scholarship must promptly be reported directly to the Vice Provost for Research. Acts of retaliation against those who, in good faith, make allegations of misconduct shall be deemed to be misconduct in research and scholarship. Allegations that are determined to have been made in bad faith shall be deemed to be misconduct in research and scholarship. In the interest of protecting the reputation and privacy of those who may be involved, it is important that allegations be treated with confidentiality. In the event of allegations of such misconduct, it is the policy of the University to initiate a preliminary inquiry into such allegations; to conduct an investigation, if warranted, and impose appropriate sanctions, if warranted; and, if appropriate, to report to the federal Office of Research Integrity (ORI), a component of the Office of the Director of the National Institutes for Health, or to the Office of the Inspector

General (OIG) of the National Science Foundation. These actions will be undertaken in accordance with 42 CFR 50, Sec. 50.101-105, and 45 CFR Part 689 with the University's procedures set forth below, and with due consideration to the rights and reputation of the accuser and accused.

It is the responsibility of all persons at the University involved in scholarship research, research training or related research activities to familiarize themselves with these policies and procedures. Copies of 42 CFR 50, Sec. 50.101-105 and 45 CFR Part 689 are available from the Office of the Vice Provost for Research upon request.

A. Immediate Steps to be Taken when Allegations of Misconduct in Research and Scholarship have been made.

1. All allegations of misconduct shall be reported promptly in writing directly to the Vice Provost for Research.
2. The Vice Provost for Research shall advise immediately the Provost and the Dean or comparable administrative officer to whom the accused reports about the allegations.
3. The Vice Provost for Research shall determine immediately whether (a) an immediate health hazard is involved, (b) there is an immediate need to protect federal funds or equipment, (c) there is an immediate need to protect the accuser or the accused, (d) it is probably that the incident will become public, or (e) there is reasonable indication of possible criminal violation. If the Vice Provost for Research determines that any of these conditions may exist, the Vice Provost for Research shall immediately inform the Provost with recommendations for appropriate action in so far as is necessary to address the identified condition. The Provost shall notify the federal office of Scientific Integrity (OSI) (if the alleged misconduct has been performed under PHS sponsorship) of the Office of the Inspector General (OIG) of the National Science Foundation (if the alleged misconduct has been performed under NSF sponsorship) within 24 hours, and report on action taken, if appropriate.

If at any state of the Inquiry or Investigation process, the Vice Provost for Research or the Provost determines that any of the above conditions exist, the Provost shall notify the OSI or the OIG within 24 hours, if appropriate.

4. The Vice Provost for Research may, within five days of the receipt of the allegations, appoint a person to serve as a mediator. The mediator's sole responsibility shall be to meet with the accuser(s) and the accused, individually or jointly, and/or other appropriate parties to the case to determine whether the matters at issue can, or should, be voluntarily resolved among the parties, and to facilitate that resolution. Bargaining unit employees are entitled to union representation at mediation sessions. Confidentiality shall be maintained by all parties throughout the mediation process. The mediator shall submit a confidential report of the results of his/her mediation efforts to the Vice Provost for Research within ten days of his/her appointment to the case; such report shall ONLY include that:

- a. the parties have settled their dispute and the charges have been withdrawn, with a written statement to that effect signed by the accuser(s); OR
- b. the mediation of the dispute was not resolved, and that the consideration of the charges should proceed to the Inquiry stage.

The mediator shall not make recommendations nor offer any commentary relative to the merits of the dispute within this confidential report. Thereafter, neither the mediator nor his/her notes or records may be used in any way whatsoever at any further stage of the "procedures" or otherwise, i.e. he/she may not give testimony or statements, nor may the mediator's notes or records be requested or demanded. Further, nothing said, done, implied or discussed within the mediation process may be heard or considered by those who may conduct an Inquire and/or Investigation in the case.

For a full description of the remaining procedures to be followed:

B. Preliminary Inquiry into the Allegations

C. Investigation of Alleged Misconduct

D. Procedures at the Investigation

E. Records

please refer to the University Manual or contact The Research Office, 70 Lower College Road, Kingston, RI 02881.

GRADUATE SCHOOL GOVERNANCE

The Dean of the Graduate School has primary responsibility for administering the policies and procedures relating to advance study at the University of Rhode Island. Graduate School policy is made by the Graduate Faculty, acting through its delegate body, the Graduate Council. (See Section 5.16.10 ff. of The University Manual for details on the jurisdiction, membership, and procedures of the Council.) The Council meets at least once a month during the academic year. Requests for agenda items may be presented to the Dean of the Graduate School or to any member of the Graduate Council. Graduate Council members include the Dean of the Graduate School, 14 faculty members (12 elected by the Graduate Faculty; two appointed by the Dean), and four student members (three elected by the Graduate Student Association, one appointed by the Dean).