Section D: Doctoral Degree

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DOCTORAL DEGREE

The Ph.D. degree is a research degree. Substantial preliminary course work in evaluation and analysis is built upon with emphasis on acquiring knowledge in a specific topic or issue. The objectives of the program are to prepare students:

1. to generate research
2. to develop a research specialization in their chosen field through which they add to the body of knowledge and develop theory
3. for careers in research and higher education

Coursework Required and Recommended

Each Ph.D. student’s program must include the following components basic to graduate education:

Major field:
- Theory/ Philosophy, 6 credits
- Evaluation and Analysis, 9 credits
- Concentration Area, 12 credits
- Thesis, 24 credits

Related field:
- Minor/Supporting Area, 12 credits

A minimum of one statistics course is required for partial fulfillment of the 9 credit requirement in Evaluation & Analysis. Additional courses to fulfill the requirement are to be determined by the student in consultation with his/her committee.

Please note that these credit amounts are the foundation level required; additional coursework may be required.

Program Policies Related to Coursework:

- Core Courses required of all Design graduate students:
  DES 8181 Research Ethics

  Select one course from the following to fulfill core + one component:
  DES 8101 Philosophical Foundations
  DES 8102 Quantitative Research Methods
  DES 8103 Qualitative & Mixed Methods Research
  DES 8112 Design Theory and Criticism
  DES 8113 Teaching and Assessment
  DES 8164 Innovation Theory and Analysis
Program Policies Related to Coursework, continued:

- No more than 6 credits of Directed Studies and 6 credits of Readings may appear on a student's program. Directed Studies and Readings courses require a contract; the student may obtain this contract from the receptionist of the department office. Once the contract has been completed and signed by the faculty adviser, the student returns to the receptionist for the magic number needed for registration.

- The number of 4xxx level credits on the official program of Design graduate students is not to exceed 30% of the program. Not all 4xxx level courses are available for graduate credit.

- Internships are not accepted as coursework in the area of concentration.

- Design graduate students may have no more than 8 credits of incompletes on the official degree program at one time. The student is expected to meet with the adviser to discuss a plan to complete the incomplete credits. If the incompletes have not been removed within one year, a hold will be placed on the student’s record.

- Effective Fall 2008, registration for Grad 999 will be limited to one time only.

Projected Time Table

All requirements for the doctoral degree must be completed and the degree awarded within five calendar years after passing the preliminary oral examination.

Selection of Adviser and Committee

Graduate students are assigned an adviser upon admission into the program; track faculty carefully determine the best fit. Adviser assignments are based on the student’s area of interest and the availability of advisers. Students may choose to change advisers once they become familiar with faculty and their expertise. With the approval of the Director of Graduate Studies, students have the option of changing advisers if the new adviser is available and willing. See "Guidelines for Change of Adviser" for the process. A minimum of two Ph.D. student advisers must be members of the graduate faculty at the Senior Member level; other committee members may be Member/Advising.
An examining committee is formed by the student in consultation with the adviser. A minimum of four committee members must be selected: three from Design (one of whom is the student’s adviser), and one from the supporting area or minor field. Students should discuss appropriate examining committee members with their advisers, then make an appointment to ask the proposed committee members if they would be willing and available to serve on the examining committee.

Students will be permitted to select another track within the umbrella program as a related field or supporting area of study, but not as a declared minor. Outside examiners must be associated with a track other than the student’s.

Some faculty may be designated for more than one track; in this case, the Director of Graduate Studies will ensure that the external committee member is solely representative of the other track when approving the Official Degree Program.

The members of a student’s examining committee are appointed by the dean of the Graduate School on recommendation of the faculty in the major field at the time the student’s official program is approved.

A degree program approved by the Graduate School must be on file before the student is permitted to schedule the preliminary oral examination.

Guidelines for Change of Adviser

1. Any member of the graduate faculty can refer students interested in changing their advisers to the DGS, or students can approach the DGS directly to discuss a change of adviser.
2. The student meets with the DGS to express interest in changing adviser.
3. The DGS contacts the new adviser to determine adviser availability and willingness to advise.
4. The DGS notifies former adviser of change.
5. The DGS notifies Graduate Program Assistant of change, who then notifies Graduate School.

Academic Progress Annual Evaluation for Graduate Students

Each academic year graduate students are evaluated in terms of their academic performance and progress toward obtaining a graduate degree. While Graduate School will notify the Director of Graduate Studies and the academic advisor if the student’s grade point average falls below the minimum required (3.0), Graduate School requires that additional feedback be given to graduate students concerning their academic performance. The purpose of the evaluation is to
provide students with timely feedback concerning their academic progress, and, in cases where the graduate students’ academic progress is unsatisfactory, to initiate a process by which students can be assisted in making progress toward obtaining their degrees.

In cases where students may need to reapply to the graduate school in order to progress on their degree work, additional coursework may be required or adjustments may need to be made to their research project to reflect the changing nature of the field. Lack of academic progress jeopardizes a student’s status in Graduate School.

Students are evaluated by their academic adviser(s). Once the student has conferred with the adviser, the evaluation form is to be completed and forwarded to the Director of Graduate Studies. Students who are informed that they are not making academic progress will meet with adviser(s) and submit an action plan for successful completion of their degrees.

Procedure:

Students will be sent the evaluation document via e-mail in early January and will make an appointment to meet with their adviser before February 1. **It is the student’s responsibility to set up this appointment.**

Once the student has met with the adviser, the form will be completed and signed. The original document will be filed in the student’s permanent department file, in 250 McNeal Hall.

All students will be notified whether they are or are not making academic progress.

Student who are notified that they are not making academic progress will:

1. Schedule an appointment within 2 weeks of the notification with their academic advisor.

2. Present a plan for making academic progress on their degree during that appointment.

The form follows.
All Evaluations must be completed and submitted to the DGS by February 1.

Academic Progress Annual Evaluation for Graduate Students
Design Graduate Program

Evaluation Criteria:

☐ Grade Point Average (3.0 in program courses)

☐ Confers regularly with academic advisor
  □ Planning: degree program
  □ Meeting degree milestones (e.g., filing degree programs, passing written exams)
  □ Goals: Setting and meeting
  □ On-going communication with academic advisors (e.g., degree progress, needs)

☐ Registering for degree program coursework
  (to accomplish degree in recommended time frame, full-time graduate students should be registered for 6-9 degree program credits per semester.)

☐ Making progress on Thesis/Dissertation while registering for credit

Other comments:

Student signature ______________________________

Advisor signature ______________________________  Date ___________
Transfer Credits for the Doctoral Degree

Course credits from other than the University of Minnesota Graduate School are transferred to the proposed degree program when the program is transmitted and approved by the Graduate School. In all cases, official transcripts of the work must be attached to the degree program form unless they have already been included in the student’s Graduate School file. Coursework from other institutions must appear on a graduate level transcript.

Some restrictions apply; see the Graduate School Catalog for more information.

Possible Minors and Related Fields

Appropriate minors and coursework in related fields should be discussed with your faculty adviser.

Filing Degree Program

By the time students have completed 20 semester credits, they must file with the Graduate School an official program for the degree. Students list all coursework, completed and proposed, that will be completed in fulfillment of degree requirements, including transfer work. Complete instructions appear on the reverse side of the Degree Program Transmittal. The members of a student’s examining committee (the thesis reviewers for Plan A) are appointed by the dean of the Graduate School on recommendation of the department’s graduate faculty at the time the student’s official degree program is approved.

Program Policy: The graduate student will develop the degree program in consultation with and in a meeting with Design members of the committee, who will then sign the Design Program Approval Form.

Students meet with their advisors and committee members to discuss their program of study prior to filing the official degree program. Four forms, all of which are obtainable from the Design Graduate Program Web site, are completed in the process of filing the official degree program:

- “Degree Program Transmittal” (GS 89a)
- “Official Degree Program” (GS 89b)
- “Program Approval Form” (signed by all Design members of the student’s committee to indicate that all Design members approve of the proposed coursework)
• A photocopy of the completed “Coursework Planning Sheet” to indicate
  which courses are being used to fulfill program components.

All committee members must be identified prior to filing the degree program.

The Program Approval Form, signed by all Design members of the student’s
committee, is submitted with the Official Degree Program when it is forwarded to
the Director of Graduate Studies for final approval.

A copy of the Official Degree Program is made for the permanent file, the
student, and the adviser. The original is then forwarded to the Graduate School
Student Services and Progress, 316 Johnston Hall, for approval.

Program Policy: A hold will be placed on a student’s record if no degree
program is filed after 20 semester credits have been completed.

Please note that a hold on the student’s record prevents the student from
registering for classes. Registration is required to maintain active status and to
hold an assistantship.

Policies Related to Research

Policies for expectations related to professional ethics and responsible research
conduct are available at the following url:
http://www.grad.umn.edu/ethics/ethics_brochure.html

For more information about research involving human subjects:
http://www.research.umn.edu/subjects

Program Copies of Dissertations

Program Policy: Department copies of doctoral dissertations are available for
students to check out.

Doctoral dissertations are also available to be checked out through the University
of Minnesota library system.
Changing Approved Program

Once approved, the degree program must be fulfilled in every detail to meet graduation requirements. Changes in the approved program must be requested by completing a Petition Form (GS 59), downloadable under the heading “Degree Progress” at the following url: http://www.grad.umn.edu/current_students/forms/doctoral.html.

Preparation of Doctoral Dissertation

To obtain instructions for the preparation of the doctoral dissertation, visit Graduate School’s website http://www.grad.umn.edu/current_students/forms/doctoral.html under the heading “Instructions/Information.”

Preliminary Written Examination

The preliminary written examination is taken the term directly following the completion of all coursework unless otherwise approved by the student’s examining committee, in which case it may be taken prior to the completion of all coursework.

Preliminary written examinations are usually scheduled weeks two through four of each semester, although with the permission of the examining committee, they may be scheduled during the summer or winter break. Students complete a formal application to take the written examination. This form is to be submitted by November 15th for Spring Semester and by April 1st for Fall Semester. The form is available on the program Web site or from the graduate program assistant.

Program Policy: Dates for Preliminary Written Examinations are scheduled during the 2nd through 4th weeks of Fall and Spring semesters. With the permission of the examining committee, the examinations may be scheduled during summer or winter break.

Students complete a formal application to take written exams, to be submitted by November 15th for Spring Semester, and by April 1st for Fall Semester.

Format of exam follows.
Program Policy (Effective Fall 1998): Each student follows the same general format for the written exam.

**Exam Organization**
The adviser and Design committee members comprise the doctoral examining committee. They write the questions for the exam and evaluate the students’ responses. The examining committee may request other faculty members to write and evaluate questions in specialized subject matter. The questions must be clustered on the content organization below.

- Evaluation and Analysis (research methods and statistics)
- Theory
- Focus on Subject Matter

Students are expected to discuss their questions with the Design members of the examining committee and other faculty who submit questions. Students may review questions from a file of prior exams. Only questions at least three years old are available to current students for review. This file is maintained by the Director of Graduate Studies (DGS) and is available from the graduate program assistant.

**Format of the Exam**
The written exam is arranged in three sessions (over a three-day to five-day period). No more than eight hours are allocated to any one session. It is a closed-book exam taken in a private space in McNeal Hall. A minimum of two questions and no more than four questions will be answered during each session. At least one additional question will be asked during each session to allow some choice for the student. The committee may provide guidelines as to how many hours each question in a session should take.

**Policies**
The exam dates are scheduled with the major adviser with the consent of the Design examining committee members.

1. All course work on the final degree program must be completed; exceptions will be made at the discretion of the adviser and the DGS.

2. Students may provide written documentation of any disabilities that may affect their ability to complete the exam as outlined so that accommodation may be made by the examining committee

(continued on next page)
Program Policy related to Preliminary Written Exam, continued:

3. A testing space is reserved for students to take the exam and a computer is provided for students. The computer and space is identified and reserved by the graduate program assistant. A list of computers and software programs will be made available to students so that they can become familiar with the equipment prior to taking the exam. They can schedule practice time with the computer and program.

4. The exam is word processed and a hard copy and disk with the exam saved to it are given to the major adviser at the end of each exam section.

5. The entire exam is photocopied by the major adviser and distributed to the other Design preliminary exam committee members. After individually evaluating the responses, the examining committee will meet to discuss whether or not the student passed. The major adviser then notifies the student.

6. Students will be notified of the outcome of the exam no later than four weeks after the final section is completed. Satisfactory performance on 90% of the exam is a pass. To qualify for rewriting the exam, a minimum of 70% of the exam must be passed the first time. The Design members of the examining committee and faculty who have submitted questions will determine whether or not students have demonstrated competency on each question.

7. If students fail one or more questions, or one or more sections, they may retake the exam once. It must be retaken within 30 days. The examining committee will determine what comprises the retake exam (e.g., new question written, or entire section of exam rewritten). The retake must be in written form.

   If a student fails all sections, there will be no opportunity for retaking the exam.

   At the discretion of the examining committee, a student who fails one or more questions or sections may retake the exam.

8. The results of the exam are reported on the Preliminary Written Examination Report form, signed by the student’s adviser and the DGS of Design. The graduate program assistant makes a photocopy for the student’s permanent file, then sends the original to Graduate School Student Services & Progress, 316 Johnston Hall.
Dissertation Completion Procedures

Graduate students must set up a schedule with the adviser for the completion of the dissertation.

Preliminary Oral Examination

Program Policy (Effective Fall 1996): The student is expected to explore possible dissertation topics while completing course work. After successful completion of the written exam, and in consultation with the major adviser, the student focuses on one research question for the dissertation and prepares for the preliminary oral examination.

The dissertation proposal is the focus of the preliminary oral exam. The proposal constitutes the first three chapters of the dissertation: a) introduction, b) review of literature, and c) methods. The data collection instrument, if applicable, should be included as an appendix. While there are usually significant revisions to these chapters between the time of the preliminary oral and the final oral, the student’s proposal is expected to be as complete and thorough as though these chapters were in the bound dissertation.

The student is responsible for scheduling the date, time, and location of the preliminary oral exam with all members of the examining committee (Design members and those from the minor or supporting area). The student must schedule the exam at least one week in advance with the Graduate School Office. The major adviser is responsible for having the Oral Preliminary Examination Report signed and a copy given to the graduate program assistant. The student is responsible for returning this report to the Graduate School office within 24 hours of completion of the exam.

Department Policy: No food is to be served at oral examinations. Coffee or water may be provided by the adviser.

Graduation Packet

After the Official Degree Program has been filed and approved by Graduate School, the student may obtain a Graduation Packet by visiting the Graduate School website: http://www.grad.umn.edu/current_students/forms/doctoral.html.
Select “Degree Completion Procedures,” then identify “Graduation Packet” in the table and follow the instructions to obtain a Graduation Packet.

The Graduation Packet contains important information such as graduation instructions, the Application for Degree form, Commencement Attendance Approval Form, the Thesis Reviewer’s Report form, and Survey of Earned Doctorates.

**Thesis/Project Proposal Transmittal: Doctoral Degree**

At the time of submission of the doctoral program, or not later than the first semester after passing the preliminary oral examination, students must file the Thesis/Project Proposal with the Graduate School, 316 Johnston Hall. The form must include the dissertation title and proposal, about 250 words in length, describing the research to be undertaken and the methods to be employed in carrying it out.

Upon recommendation of the faculty in the major field, the dissertation reviewers and other members of the examining committee are appointed by the dean of the Graduate School at the time the student’s dissertation proposal is approved.

A dissertation proposal approved by the Graduate School must be on file before the Reviewers Report form can be issued to the student.

**Thesis Title Registration**

Students must register the dissertation title with the Graduate School, 316 Johnston Hall, by submitting a copy of the title page as it will appear in the final document. Upon submission of the title, the Graduate School provides the student with the Reviewers Report form and the other forms necessary to graduate, on condition that the student has on file a proposal approved by the Graduate School and has maintained active status.

**Thesis/Dissertation Reviewers**

All members of the examining committee read the dissertation, although only those designated as reviewers sign the report form certifying that the dissertation is ready for defense.

The designated dissertation reviewers consist of the adviser, representing the major field, and at least two other members of the final oral examining committee, including at least one representative from the major field and one representative from the minor or supporting program.
Certification of the dissertation as ready for defense is a necessary step toward the final oral examination, but in no way diminishes the significance of that examination.

**Scheduling Final Oral Examination with the Graduate School**

The student must schedule the examination at least one week in advance with both the committee and the Graduate School. When the examination is scheduled, the student’s Graduate School file is checked to determine if the student can be cleared to take the examination as stipulated. If so, the report form for the final oral examination will be forwarded to the chair of the examining committee. If difficulties are apparent, the Graduate School staff will contact the adviser and the student immediately.

Note: A minimum of ten weeks must intervene between the preliminary oral and the final oral examinations. Also, the final oral should not be scheduled from the beginning of the summer term to the opening of fall semester unless the committee members can be assembled without substitution.

The chair of the final defense must be a full member of the graduate faculty and cannot be the student’s adviser. The chair presides over both the preliminary oral examination and the final examination sessions.

**Ph.D. Final Oral Examination**

The final oral examination consists of a seminar in which the candidate presents the dissertation; the scholarly community is invited. The seminar may take place only after the dissertation has been judged ready for defense. The examination is limited to the candidate’s dissertation subject and relevant areas.

Notification of the academic community, faculty, and students is posted by the graduate program assistant, who is notified well in advance by the student’s adviser. The public presentation for the final oral examination for Ph.D. will not exceed 45 minutes. A closed meeting between the candidate and the examining committee immediately follows the public presentation. The candidate is then excused, and the vote is taken on whether the candidate passed the examination.

**Program Policy:** No food is to be served at oral examinations. Coffee or water may be provided by the adviser.
Dissertation Submission

Ph.D. students are required to submit the final dissertation to the Graduate School in order to receive their degrees. To submit your dissertation electronically, go to http://www.etdadmin.com/umn.

Adviser and Program Copies of Dissertation

Two bound copies of the dissertation are provided; one copy goes to the adviser; the other copy goes to the graduate program assistant for the program archives.