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 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 degree program of Design graduate students is not to exceed 9 credits. 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 Spring 2014, registration for Grad 999 will be permitted for extenuating circumstances only.

- Doctoral students are required by Graduate School to maintain a graduate GPA of 3.0 or better. If a student’s graduate GPA falls below 3.0, the student will have one semester to bring the graduate GPA up to 3.0 or above and maintain it at that level thereafter. A registration hold will be placed on the student’s record; the student and adviser will be notified of this hold placement. If the grades for the next semester do not bring the GPA up to 3.0 or the cumulative GPA falls below 3.0 a second time, the student will not be eligible to continue in the program.

Departmental Policy: Effective Fall 1998, departmental support of pre-dissertation credits will be limited to 6 credits.

Doctoral Pre-Thesis Credits (8666) are available for doctoral students who have not yet passed their preliminary oral examination but who need to be registered to meet requirements of agencies or departments outside the University of Minnesota (e.g., loan agencies). Doctoral pre-thesis credits are not graded. Registration for doctoral pre-thesis credits cannot be used to meet any degree
requirements. Students should meet with their advisers to discuss the possibility of taking Dissertation Credits (8888) instead.

Projected Time Table

All requirements for the doctoral degree must be completed and the degree awarded within eight calendar years after admission.

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.

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.

Another track within the Design Graduate Program may be selected 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 Degree Program.

An approved degree program 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.

Change in Committee Members form is on the Design Graduate Program Forms and Links page: http://dha.design.umn.edu/programs/grad/FormsandLinks.html

**Online Submission of Committee Members**

Effective Fall 2012, students are responsible for submitting the committee information online. Internal approval processes and guidelines must be followed prior to the online submission.
http://www.grad.umn.edu/students/examiningcommitteesnew/index.html

**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. The University requires that 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 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.

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.**
Students bring the following to the meeting:
- Current Transcript
- Degree Completion Checklist

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 file.

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

Students 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)
☐ Confers regularly with academic advisor
  ☐ Degree plan filed?
    If not, file by this date: ___________________
  ☐ 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
☐ Presentations, Publications, Exhibitions:

Other comments:

Student signature ______________________________
Advisor signature ______________________________  Date ___________
Transfer Credits for the Doctoral Degree

Course credits from other than the University of Minnesota are transferred to the proposed degree program when the program is transmitted and approved. Coursework from other institutions must appear on a graduate level transcript. Thesis credits are not transferrable.

A minimum of 12 course credits must be taken at the University of Minnesota.

Possible Minors and Related Fields

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

Filing the Graduate Degree Plan

The Graduate Degree Plan is filed by the middle of the third semester. Students list all coursework, completed and proposed, that will be completed in fulfillment of degree requirements, including transfer work.

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 advisers 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:

- The completed “Coursework Planning & Clearance Sheet” to indicate which courses are being used to fulfill program components.
- “Program Approval Form” (signed by all Design members of the student’s committee to indicate that all committee members approve of the proposed coursework)
- “Graduate Degree Plan”, an interactive form: [http://policy.umn.edu/forms/otr/otr198.pdf](http://policy.umn.edu/forms/otr/otr198.pdf)

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

The Program Approval Form signed by the committee and a copy of the Coursework Planning and Clearance Sheet are submitted with the Graduate
Degree Plan to the graduate program assistant, who reviews the documents for compliance with University and program policies. The Director of Graduate Studies signs the Graduate Degree Plan, and students and their advisers are sent .pdf files of the signed documents. The graduate program assistant then forwards the documents to Graduate Student Services and Progress.

Program Policy: A hold will be placed on a student’s record if no degree program is filed by the middle of the third semester.

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

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 are requested by completing a Petition: http://policy.umn.edu/forms/otr/otr190.pdf

Preparation of Doctoral Dissertation

Instructions for the preparation of the doctoral dissertation:

Thesis Formatting and Submission
Preliminary Written Examination

The purpose of the Preliminary Written Examination is for the student to demonstrate comprehensive knowledge critical to the student’s field. The Preliminary Written Examination is to be completed by week four of the term following the completion of all coursework. Under extenuating circumstances the student’s examining committee may allow the examination it be taken prior to the completion of all coursework.

The Preliminary Written Examination Committee Composition

The examining committee for the Preliminary Written Examination is composed of the student’s adviser and the members of the student’s graduate program committee representing the Design Graduate Program. The external member may participate at the discretion of the Preliminary Written Examination Committee. If a formal minor is completed by the student, the minor's policy related to their participation in this exam is followed.

Scheduling the Preliminary Written Examination

Before scheduling the Preliminary Written Examination, the student must meet with the examining committee to clarify performance expectations. This meeting is intended to take place on campus, with all examining committee members present. The purpose of the meeting is to clarify the expectations of the examination, review the policies pertaining to the examination, discuss the order in which the session topics will be distributed, and the start date and the end date during which the examination will be scheduled. After this meeting, the adviser summarizes the expectations in a memo to the student and the committee members.

To schedule the Preliminary Written Examination the student submits a formal request to take the written examination by completing an application. This form is submitted to the graduate program assistant by November 15th to take the Preliminary Written Examination during spring semester and by April 1st for students requesting to take the examinations during the fall semester. The form is available on the program Web site or from the graduate program assistant.

Program Policy: Preliminary Written Examinations must be taken by the 4th week of the term following the completion of coursework. With the permission of the examining committee, the examinations may be scheduled during winter or summer breaks.
Program Policy (Effective Fall 1998; amended 2013):

**Examination Organization**
The examining committee writes the questions for the examination and evaluates the student’s responses. The examination is focused on three parts:

- Evaluation and Analysis (research methods and statistics)
- Theory
- Concentration

The student may review questions used on previous examinations. Only questions that are 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 Examination**
Two formats are available:

- **Closed-Book**, no access to course materials, library resources, books, journal articles, internet, and the like.
- **Open-Book**, access to course materials, notes, books, library materials, and the like.

The format of the examination is determined by the student. It is the student’s responsibility to provide written documentation of any disabilities that may affect the student’s ability to complete the examination as outlined so that accommodation may be made by the examining committee.

**Expectations for the Examination**
Students writing the exam are expected to adhere to University definitions regarding scholastic dishonesty and plagiarism. Review definitions in the University of Minnesota student conduct code [http://writing.umn.edu/tww/preventing/definitions.html](http://writing.umn.edu/tww/preventing/definitions.html)

- A minimum of two questions and no more than four questions are answered for each part of the examination. For each part of the examination, at least one question more than the minimum number of questions that the student is asked to answer is supplied. Example: If two answers are required, three questions will be supplied to the student so that the student has some choice in determining which questions he/she will answer on the examination.
- The committee may require that one specific question be answered within a part of the examination and then provide a choice among remaining questions for the student to answer.
General expectations for student performance on the written examination.

- The responses must include appropriate in text citations.
- Responses should be concise and written in a professional manner.
- Responses should demonstrate depth and breadth of knowledge across the area of specialization along with integration and syntheses of knowledge.
- The committee may provide guidelines as to how many hours each question may take a student to answer but it is ultimately the student’s decision to allocate their time.

**Closed-Book Option:** The written examination is scheduled in three sessions within a five-day period. The location of the examination is in a private space within McNeal hall. No materials may be brought to the examination. The student has a total of eight hours per session to develop and write their responses.

- The student receives the examination questions and an external storage device at the beginning of each day.
- The student turns in the storage device with the responses at the end of the day to the graduate program assistant. At the end of the final session, the graduate program assistant prints a hard copy of the examination and sends the completed examination electronically to the student and the adviser.

**Open-Book Option:** The written examination is scheduled over five consecutive days. The location where the examination will be written is determined by the student.

- The student is given all the examination questions at the beginning of the first day of the examination by the adviser.
- The student electronically submits the results of the examination to the adviser before 4:30 pm on the last examination day.
- This option requires that the student supply complete references for in text citations.
- This option requires that the student provide an extensive coverage of literature relevant to responding to questions.
- This option requires that the response be correctly formatted according to the *Publication Manual of the American Psychological Association, 6th Edition.*
- Due to the open access nature of resources for this option, expectations are that responses are extensively supported and edited.
Evaluation and Criteria

1. The major advisor distributes the completed examination to all examining committee members. Each member individually evaluates the responses. Each question is evaluated in terms of whether it is a pass or fail. The examining committee meets to discuss whether or not the student passed the examination. The major adviser notifies the student of the outcome of their examination.

2. The student is notified of the outcome of the examination no later than four weeks after the examination is completed.

3. Satisfactory performance on 90% of the examination is a pass. Satisfactory performance on less than 70% of the examination is a fail and the student is dismissed from the graduate program. If a student’s level of satisfactory performance is between 70% and 90% of the examination, the student has not passed the examination but has qualified to retake/rewrite the parts of the examination that were unsatisfactory.

4. Any rewrite or retake of the written examination must occur within 30 days of receiving notification of the outcome of a written examination. The examining committee will determine what comprises the retake examination, and, in consultation with the student, the date of the retake examination. There is one opportunity for a retake/rewrite of any part of a written examination. If the student fails the retake/rewrite examination, they have failed the written examination and will be dismissed from the graduate program.

5. The results of the examination are reported to University records via an automated online system by the graduate program assistant.
Dissertation Completion Procedures

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

Dissertation Credits: DES 8888

Graduate students are required to take 24 dissertation credits.

Program Policy (Effective Spring 2014): With the approval of the adviser, a student may register for up to 10 dissertation credits prior to passing the Preliminary Oral Examination. The approval form is on the Forms and Links page on the Design Graduate Program website: http://dha.design.umn.edu/programs/grad/FormsandLinks.html

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 via the online scheduling system. 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 Student
Services and Progress office, 160 Williamson Hall, 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.

Conducting the Preliminary Oral Examination: Information for Advisers & Students  (From Graduate Student Services & Progress GS18A)

The following information arrives with the Preliminary Oral Examination form.

Before the Examination Begins: Please ensure that all assigned committee members are present. The absence of any assigned member results in an invalid examination. If all committee members are not present, you must contact the College Coordinator immediately before the examination begins, to request any last-minute committee changes. College Coordinator contact information may be found at [https://apps.grad.umn.edu/lists/CC/](https://apps.grad.umn.edu/lists/CC/). After the exam, students must initiate a committee request at [http://www.grad.umn.edu/students/forms/doctoral/index.html](http://www.grad.umn.edu/students/forms/doctoral/index.html).

Conducting the Examination: Immediately before the preliminary oral examination, the committee chair stipulates the objectives of the examination and, in consultation with other members of the examining committee, determines how the examination is to be conducted. Immediately after the examination, the candidate is excused from the room and a written secret ballot is taken before discussing the examination. Following the discussion, a second and final vote is taken, and the participants sign in the appropriate place on the report form, which is to be returned to Student Services and Progress office, 160 Williamson Hall.

Note: If the exam result is PASS WITH RESERVATIONS, the committee is permitted one week to return the Preliminary Oral Examination Form along with a copy of the letter or e-mail outlining the steps the student must take to remove the reservations (see pass with reservation instructions below).

The outcome of the examination, with all committee members present and voting, is recorded in one of three ways: pass, pass with reservations, or fail. The voting proportions necessary for these decisions are as follows: if the committee consists of four members, a favorable verdict for passing consists of either a unanimous vote or a vote of 3-1; if the committee consists of five members, a favorable verdict for passing consists of either a unanimous vote or a vote of 4-1; if the committee consists of six members, a unanimous vote or a vote of 5-1 or 4-2 is needed; and if the committee consists of seven members, a unanimous vote or a vote of 6-1 or 5-2 is needed. Candidates who do not earn
committee votes in these proportions fail the examination. If, in order to achieve the minimum number of votes to reach a verdict of pass, any vote of pass with reservations is included, then the outcome is recorded as a pass with reservations. A vote to pass the student with reservations still constitutes a passing vote.

Pass with Reservations. If the student passes the examination with reservations, the student is informed immediately, but the committee is permitted one week in which to convey its reservations to the student in writing, informing the student of the steps that must be taken to remove them, as well as a deadline by which the committee expects the reservations to be removed. A copy of this letter must be sent to GSSP along with the Preliminary Oral Examination Form. When the student has satisfied the committee’s reservations, a second letter or e-mail informing the student and GSSP that the reservations have been removed and that the student may proceed toward the degree is also required. The committee chair should write both letters. The final oral examination may not be scheduled until GSSP has received a copy of the letter indicating that the reservations have been removed. If the committee members disagree as to whether the reservations have been satisfactorily removed, the committee chair asks for another vote, the results of which are subject to the same voting proportions as the initial vote.

A student who is unable to satisfy the committee’s reservations may be terminated from doctoral candidacy and from the graduate program.

Failure of the Preliminary Oral Examination. If the preliminary oral examination committee recesses without having determined whether a student has passed the examination, the chair of the committee must send a letter to the Dean of the Graduate School explaining the reasons for the recess and noting the date on which the examining committee will reconvene. If the recess will be longer than one week, the examination report form will be mailed to the chair of the committee before the date on which the committee will reconvene. The reconvened committee must be comprised of the same members as the original preliminary oral examining committee.

NOTE: If the candidate’s research involves human or animal subjects, radioisotopes, hazardous chemicals, or other activities subject to University of governmental regulation, the committee should discuss with the candidate whether s/he is aware of the regulatory requirements and whether they have complied with the requirements or how they plan to do so.

Graduation Packet

After the Official Degree Program has been filed and approved, the student may obtain a Graduation Packet by visiting the Graduate School website:
Select “Graduation Packet Request.”

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

**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.

**Changes in the Examining Committee**

Substitutions on the examining committee may be necessitated by such circumstances as a faculty member’s temporary absence or leave from the University. Internal approval processes and guidelines must be followed prior to the online submission. Change in Committee Members form is on the Design Graduate Program Forms and Links page: http://dha.design.umn.edu/programs/grad/FormsandLinks.html

Once approved, the student is responsible for entering the committee changes via an online system: http://www.grad.umn.edu/current-students-graduate-student-services-progress/examining-committees-new

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

The student must schedule the examination at least one week in advance via the online scheduling system: http://www.grad.umn.edu/graduate-student-services-progress/final-schedule
When the examination is scheduled, the student's 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 adviser and the student will be contacted 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 cannot be the student's adviser. The chair presides over both the preliminary oral examination and the final examination.

**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.

**Conducting the Final Oral Examination** (From Graduate Student Services & Progress GS19A)

The following information arrives with the Final Oral Examination form, which is sent to the Chair of the examination committee. The Chair is a committee member other than the adviser.
To the Chair of the Doctoral Final Oral Examination Committee  
From GSSP, 160 Williamson Hall

Thank you for your service as chairperson of this doctoral examination committee. To assist you in this role, the Graduate Student Services and Progress Office (GSSP) has prepared the following set of instructions to guide you through both the general procedures of the examination and special circumstances that may arise.

**General Procedures**

**Before the examination begins** – Please ensure that all assigned committee members are present. The absence of any assigned member results in an invalid examination. If all committee members are not present, you must contact the College Coordinator immediately before the examination begins to request any last-minute committee changes. College Coordinator contact information can be found at [https://apps.grad.umn.edu/lists/CC/](https://apps.grad.umn.edu/lists/CC/).

**Examination Protocol.**

*Step one – The Public Seminar.* The final examination begins with a seminar to which the scholarly community is invited and which includes a presentation of the dissertation by the candidate.

*Step two – The Closed Examination.* A closed meeting between the candidate and the appointed examining committee immediately follows the public seminar. The examination is limited to the candidate’s dissertation subject and relevant areas. The entire examination (i.e., public seminar and closed examination) is not to exceed three hours.

*Step three – The Vote.* At the end of the closed examination, the candidate is excused from the room. A written, secret ballot is taken before discussion of the examination begins. Following the committee’s discussion, a second and final vote is taken on whether the student passed the examination.

**Outcome of the Examination**

To be recommended for the award of the doctoral degree, candidates must receive a vote with no more than one member of the total examining committee dissenting.

**Reporting Examination Results** (clear pass or fail)

If the student clearly passed (i.e., the student received no more than one dissenting vote and no recommendations were made by the committee for revisions) or failed the examination, and all members signed the final oral
examination report form, the report form must be returned to GSSP (160 Williamson Hall) once all signatures have been obtained. For exams with committee members participating by phone or videoconference, one faxed or scanned signature is acceptable.

Reporting Examination Results (revisions recommended by committee)

If the committee recommends revisions to the dissertation, the student’s adviser is responsible for ensuring that the student includes the appropriate modifications and required revisions in the final dissertation. The final oral examination report form should not be signed and submitted to GSSP until all revisions have been made. If the form will be held for more than one week, the committee chairperson must send an e-mail to GSSP at gssp@umn.edu stating that the form is being held pending revisions.

Special Circumstances

Retakes and “Pass with Reservations”

According to the rules defined by the graduate faculty, the student either passes or fails the final doctoral examination. Retakes are not permitted, and, unlike the preliminary oral examination, there is no provision for a “pass with reservations.” The faculty examining committee has both the authority and the responsibility to fail a student whose dissertation or performance in the oral defense does not meet the standards for award of the doctoral degree.

Recessing the Examination.

Occasionally there are instances in which the final examination does not proceed well, but in which the faculty feel that the student has an acceptable dissertation that she or he is capable of adequately defending. While such instances should be rare, it is in both the student’s and the faculty’s interest to follow clearly defined procedures for recessing and reconvening the final oral examination.

Note: Suggestions for minor revisions in the dissertation are common and do not require that the faculty or the student follow the procedures outlined below. Such minor revisions need only be made in the text of the dissertation before the final copy is submitted to GSSP (see “Reporting examination results” above.).

Circumstances that might prompt a recess of the final oral examination would fall into two broad categories involving 1) primarily non-substantive matters or 2) cases in which the faculty have a serious concern about either the dissertation itself or the student’s ability to defend it, but in which they believe that the situation can be remedied if the student is given additional time to revise the dissertation or prepare for the examination.
1)  *Primarily non-substantive matters:* Cases in this category include, but are not limited to, those in which the student’s nervousness prevents him or her from adequately defending the dissertation. In such circumstances, the examining committee may decide informally to recess for up to one week. The committee and the student should select a date and time for reconvening that is agreeable to all parties. No written notice need be given to the student, although the faculty should give him or her advice and assurance, as they deem important. GSSP need not be notified of the recess until after the fact, when the final examination report form is returned. At that time, as chair of the examining committee, please attach a brief note indicating simply that the committee had recessed, and provide the date the examination was reconvened and the examination of the student was completed.

2)  *More serious concerns:* When the faculty has serious concerns about the dissertation or the student’s ability to defend it, but feels the student has the potential to improve the dissertation or his/her examination performance, the faculty should stop the examination, inform the student of their intent to recess, and discuss with the student the deficiencies that prompted the recess. As chair of the examination committee, you should send a letter or e-mail to the student clearly stating these deficiencies, outlining the steps necessary to remedy them, and indicating when the committee expects to reconvene and resume the examination. The letter or e-mail should be sent to the student within a week of the recessed examination. A copy of the letter or e-mail should be sent to GSSP (160 Williamson Hall) along with the unsigned Final Oral Examination Report form. When the student and the committee are ready to reconvene the examination, it should be scheduled in the normal way with GSSP.

**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](http://www.etdadmin.com/umn).

**Adviser and Program Copies of Dissertation**

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