UNIVERSITY OF NOTRE DAME

DEPARTMENT OF CHEMISTRY AND BIOCHEMISTRY

GUIDE TO GRADUATE STUDIES

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1. INTRODUCTION

The goal of the graduate programs in the Department of Chemistry and Biochemistry at the University of Notre Dame is to develop individuals with the capability of initiating and conducting independent research in chemistry, biochemistry, and related fields. Granting a graduate degree is formal recognition of achievement in a variety of pursuits. It acknowledges that a student has satisfactorily completed a series of advanced courses, displayed creative and original thinking in their candidacy exams, and demonstrated a mastery of scientific inquiry as expressed through the original research described in their dissertation. This document focuses on rules/procedures that are specific to the Department of Chemistry and Biochemistry, and is updated as the program evolves. General policies for the Graduate Program at the University of Notre Dame can be found in the "Bulletin of Information" and the "The Graduate School Academic Code" available at https://graduateschool.nd.edu/policies-forms/. The Bulletin of Information and Academic Code include details on the definitions of academic good standing, the Graduate School leave of absence and medical separation policies, childcare and adoption accommodations, withdrawal from the University, grounds for dismissal, and appeals.

2 DOCTOR OF PHILOSOPHY DEGREE REQUIREMENTS

The department offers separate Ph. D. degrees in Chemistry and in Biochemistry. Although the overall requirements are similar, the two degrees remain distinct. Students are admitted into either the Chemistry or the Biochemistry PhD program. Switching programs is permissible with approval of the Director of Graduate Studies or the Department Chair. The department does not admit students directly into a Master's degree program. Information about obtaining a Master's degree is described in Section 6 of this document.

2.1 Diagnostic Examinations

Entering students may be asked to take diagnostic examinations. The purpose of these exams is to help the student make informed course selection decisions.

2.2 Coursework Requirements

All graduate students are required to complete 18 credits of graded graduate coursework (standard letter grades, not satisfactory/unsatisfactory) by the end of their third semester. If a student fails to meet this requirement, they will be dismissed from the program. Exceptions to the three-semester policy will be considered only in the event of documented extenuating circumstances, as determined by the Director of Graduate Studies. All students must also enroll in Seminar in Chemistry (CHEM 93601 in the Fall, CHEM 93602 in Spring) and attend the departmental seminars, as well as seminars in their sub-discipline. Students must also take CHEM 63603: "Research Perspectives in Chemistry and Biochemistry" in their first semester.

Beyond the minimum credit requirement noted above, the Department recommends 21 – 27 credits of graduate coursework for the Ph. D. degree. A typical sequence is three courses in the first semester, three courses in the second semester, and one or two courses in

each of the following two semesters (21-27 credits). Advanced students may also audit appropriate classes. Before reaching candidacy, students typically take a minimum of three core courses in their chosen sub-discipline. Individual thesis advisors may require a student to take additional courses. English as a Second Language does not count to the credit requirement, and directed readings will qualify only with explicit approval of the Director of Graduate Studies. The Department of Chemistry and Biochemistry may accept course work completed at another accredited university toward meeting the credit requirements for either doctoral degree. The Director of Graduate Studies must approve any credit waivers, and official documentation of course completion, grades, and course content is required.

2.3 Responsible Conduct of Research and Ethics Requirement

As part of its holistic approach to graduate education, the Graduate School requires all Ph.D. students to complete training modules for the Responsible Conduct of Research and Ethics. All students supported by federal grants must be certified in accordance with national guidelines and the policies of the Office of Research. For more information, please consult the Graduate Training portion of the Graduate School website at https://graduateschool.nd.edu/graduate-training/

2.4 Research Advisors and Dissertation Committees

The initial advisor for entering students in either degree program is the Director of Graduate Studies. To find a thesis research advisor, new graduate students participate in rotations in their first semester. These are designed to expose students to the research and culture of different laboratories, and to provide an opportunity for new students to interact with senior graduate students and postdocs. Significant research progress is not expected. Laboratories for the rotations are selected by the student, and may include any teaching and research faculty that have elected to participate in graduate student recruitment. Choices are not guaranteed and will be accommodated as best as possible according to space and parity issues. Students submit their choices to the Graduate Program Coordinator prior to the end of each rotation.

At the conclusion of the rotation process (typically in November for students entering in the Fall), students list four members of the tenured and tenure track faculty who would be acceptable as a research advisor, and who are eligible to accept students. It is expected that the student will have rotated or met individually with the listed faculty. The completed forms are forwarded to the Director of Graduate Studies who, with the Department Chair, approves the assignment of students to individual faculty members. Normally it is possible to match a student with one of their initial choices for advisor. However, circumstances can arise that prevent a faculty member from accepting a student into their group. If a student cannot be assigned, the student chooses another set of potential faculty advisors who are eligible to accept students. All students are expected to be assigned to an advisor before the beginning of their second semester. In exceptional cases the Director of Graduate Studies or Department Chair may approve an extension of the advisor selection process to the second semester. If an advisor is not found by the end of the second semester, the student may be dismissed from the program.

Research advisors are chosen from the regular Teaching and Research faculty of the

Department of Chemistry and Biochemistry. There may also be a co-advisor chosen from affiliated faculty within or outside the department. In exceptional cases, a student may choose a research advisor from teaching and research faculty outside the department. Arrangements for outside advisors or co-advisors must be consistent with departmental policies and must be approved by the Director of Graduate Studies and the Department Chair.

After the student has chosen a research advisor, a dissertation committee consisting of a minimum of three faculty members, including the research advisor, is appointed for each student. This committee reflects the student's research interests, and the general area of their dissertation. The role of the committee is to monitor the student's progress during their time in the department, serve on oral examinations, read the student's dissertation, and take part in the thesis defense. The Director of Graduate Studies must approve the appointment of a committee member from outside the Teaching and Research faculty of the department, or from outside the university. In such cases a majority of the committee must be members of the Department. The appointment of committee members who are not Teaching and Research faculty must be approved by the Department Chair. It is the responsibility of the student to meet frequently with their advisor and the thesis committee, keeping them abreast of progress with research, course work and candidacy examinations.

2.5 Admission to Candidacy

Admission to candidacy is a prerequisite to receiving a doctoral degree. To qualify for admission to candidacy, a student must: (1) complete 18 credits of approved graded course work with a cumulative GPA of 3.0 or better; and (2) pass the University Oral Candidacy Exam. It is the responsibility of the student to apply for admission to candidacy by submitting the appropriate form to the Graduate School. Students must be admitted to Candidacy by the end of their eighth semester.

2.6 Residency and Degree Eligibility

The minimum residency requirement for either PhD degree is full-time status for four consecutive semesters (excluding summer sessions). The student must fulfill all doctoral requirements, including the dissertation and its defense, **within eight years** from the time of initial enrollment. The department will generally dismiss a student if they have not completed the degree requirements within 8 years. Failure to complete any of the Graduate School or departmental requirements within the prescribed period may also result in forfeiture of degree eligibility. In addition, each student, regardless of their source of financial support, must spend at least two semesters as a teaching assistant. To be in good academic standing and eligible for a degree, a cumulative GPA $\geq$ 3.0 is also required. In addition to the course work requirements described above, a combined total of 60 credits are required for the PhD degree in Chemistry or Biochemistry. This total includes instructional coursework, research credits, seminars, directed readings, etc. Students should ensure their total credit counts are on track to reach 60 by their anticipated date of graduation.

2.7 Expectations for Professional and Personal Conduct

Graduate students, faculty, and staff in the Department of Chemistry and Biochemistry

are required to adhere to the University's policies for professional and personal conduct. This includes:

(i) Not behaving in any way that adversely affects the ability of other individuals in the Department to perform research or partake in university related activities, including social events. Bullying and harassment will not be tolerated. University policies on Harassment can be found at the Office of Institutional Equity (https://equity.nd.edu).

(ii) Fabrication of data and plagiarism are considered serious lapses in research ethics, and can be grounds for dismissal from the program. Where appropriate, students are also required to follow guidelines for the ethical treatment of animals.

(iii) Students, faculty and staff must follow Department policies on laboratory safety. Note that specific safety requirements vary for different laboratories. Students are responsible for knowing and abiding by the safety requirements for their research environment. Students who do not follow designated safety practices, including wearing appropriate Personal Protective Equipment (PPE) may be placed on probation, or be dismissed from the program. https://chemistry.nd.edu/safety/

(iv) Consumption of alcohol or other intoxicants is forbidden in laboratories. Students must not be impaired while performing research, teaching assistant duties or other tasks on campus.

(v) Any allegations that laboratory equipment, reagents, chemicals, or other university property have been removed from campus without prior written permission will be referred to the proper authorities and fully investigated. Theft of University property constitutes grounds for dismissal from the program.

(vi) The Department of Chemistry and Biochemistry at the University of Notre Dame aspires to create and sustain an inclusive environment for all its citizens. Harassment in any form, including pertaining to gender identity, race, ethnicity, religion, disabilities, socioeconomic background, or sexual orientation is not acceptable. The Department will promptly address all forms of harassment.

2.8 Policy on the use of Generative Artificial Intelligence

Students must not submit course work, examination or thesis documents that contain written content, images, tables, references or data generated by artificial intelligence (AI) tools, unless such content is approved by the course instructor or the student's advisor/dissertation committee, or generative AI use is an approved accommodation under the Americans with Disabilities Act. If approved, the extent of generative AI usage should be disclosed in a statement within the relevant document (coursework papers, thesis/dissertation or examination documents). Students who violate this policy will be subject to university disciplinary procedures for academic misconduct, which can include termination of their degree program and expulsion from the university. The use of AI tools for correcting spelling, punctuation and grammar (for example, making writing style suggestions, such as shortening

long sentences, without changing the meaning of the text) is allowed.

3 UNIVERSITY ORAL CANDIDACY EXAMINATION

The University Oral Candidacy Exam (OCE) is required by the Graduate School, and all Ph. D. students in Chemistry and Biochemistry must pass the exam to continue in the Ph. D. program. The purpose of the OCE is to determine if the student is prepared for Ph. D. studies. This includes demonstration of fundamental knowledge in their field, knowledge of the goals of their research project, and progress in their research. To be eligible for the exam, the student must be in good academic standing in the Department. The exam consists of a written document and an oral defense in front of the student's committee.

3.1 Timeline

Fall admits

- The Graduate Program Coordinator will schedule OCEs and reserve rooms in September of the third semester.
- Research summary paper is due by 4 PM on September 24 of the third semester. Oral exams are scheduled in October and November.

Spring admits

- The Graduate Program Coordinator will schedule OCEs and reserve rooms in February of the third semester.
- Research summary paper is due by 4 PM on February 22 of the third semester. Oral exams are scheduled in March

If a student does not submit the research summary paper by the deadline, they will be considered to have failed the exam. Any retakes must be scheduled within 60 days of the original exam date. It is the student's responsibility to schedule the exam retake and communicate with the Graduate Program Coordinator to reserve a room.

3.2 Research Summary Paper

A paper summarizing the student's research project and research progress should be submitted via email to the Graduate Program Coordinator. This paper should be double spaced with 12-point font, 1-inch margins, and be a minimum of 8 pages in length (excluding references and title page), but no more than 10 pages. Suggested organization is as follows: (1) Introduction, (2) Goals, (3) Results, (4) Future Directions and (5) References. Approximately equal weight should be devoted to sections (1) through (3), with a minimum of one page for future directions.

3.3 Oral Exam

The student presents a 20-30 minute seminar on their research project. The presentation should contain the following elements: (1) the broad scientific context/motivation for the research, (2) preliminary results and (3) a clear plan for future work. After the seminar each committee member is allowed two rounds of questions totaling

~20 minutes that address specifics of the research project, as well as pertinent background knowledge.

After the questions have been completed, the student leaves the room and the chair of the committee (typically the student's research advisor) calls for a discussion, followed by a vote. Deliberations cover performance on the written and oral portions of the exam, in research and coursework, and as a TA. Two votes are required to pass for a committee of three, and three votes are required to pass for a committee of four. The chair sends a written report of the overall quality of the OCE and the results of the voting immediately to the Graduate School. The Graduate School officially notifies the student of the results of the exam.

3.4 Supplemental Information

The committee can consider the following supplemental information during its deliberation:

- Coursework completed and grades
- TA performance
- Any violations of the departmental safety rules
- Communications sent following the two prior semi-annual reviews of graduate students

3.5 Outcomes

The following outcomes are possible for the exam:

- Continuation in the Ph. D. program
- Movement into the Master's program
- Removal from graduate program with no degree

If removal from the graduate program is the outcome, the student must depart at the end of the third semester. If movement to the Master's program is the outcome, the Director of Graduate Studies, on the recommendation of a majority of the examiners, may authorize a retake of the examination if desired by the student. An authorization for retake must be approved by the Graduate School. A second failure results in movement into the Master's program. Situations in which a retake is called for include mixed performance on different aspects of the exam, or poor exam performance together with outstanding performance in research and/or coursework. The retake must be scheduled within 60 days of the original exam date. There is no option for a second retake.

A student who is moved into the Master's program will have the option of leaving with a non-thesis Master's at the end of the third semester or, provided the student is in good academic standing, remaining in the program as a TA for a final semester (contingent upon adequate performance as a TA). In the latter case a non-thesis Master's degree will be conferred at the end of the fourth semester (summer for spring admits). Any student leaving with a non-thesis Master's must have successfully completed all other programmatic requirements for the Master's degree (see below). At the discretion of the advisor and only with the advisor's financial support, a student who fails the exam and is moved into the Master's program may complete a thesis Master's in the advisor's laboratory.

3.6 Feedback and Expectations

Written feedback will be provided for the OCE document, and performance in the exam. Scores will be entered on the following scale: Excellent (5), Good (4), Satisfactory (3), Substantial Weakness (2), and Poor (1).

In scoring the written proposal the committee will consider:

- Organization and correct use of grammar and style
- Appropriate and adequate use of references
- Adequate introduction and motivation for the project
- Clear articulation of project objectives
- Description of techniques and methods to be used to achieve project objectives
- Description of future plans

In scoring the oral performance the committee will consider:

- Organization and clarity
- Quality of the research effort
- Appropriate interpretation of data presented
- Ability to explain the relevance and context of the work
- Ability to explain and defend the project aims and investigative approach
- Knowledge of techniques and equipment used
- Understanding of fundamental principles and concepts
- Ability to articulate clearly and defend a plan for future work

4 RESEARCH PROGRESS REPORT

The Research Progress Report must be completed by the end of the 4th year of studies. This requirement consists of a written document that describes the research performed since the OCE exam, and a plan for completing the Ph.D. The student will also give a 30-40 minute oral presentation of the completed and planned research to their committee. The purpose of the report is: (i) to provide the thesis committee with an update on the student's progress, (ii) give a clear path to graduation, and (iii) to provide practice for the thesis defense.

4.1 Scheduling and Format

When ready to schedule, the student is responsible for finding an available date and time with their committee using When2Meet. Once a date and time are determined, the student submits a brief written summary of the proposed thesis research to the Graduate Program Coordinator (15 page max, excluding references, double spaced, 1 inch margins, 12 point font). This report should include a description of the thesis problem and its significance, with a review of the relevant scientific literature, a discussion of the methods to be used in attacking the problem, a description of the research work already accomplished, and a plan for completing the project. The Graduate Program Coordinator will schedule a room for the presentation, and disseminate the Research Progress Report document to the student's committee.

5 DOCTORAL DISSERTATION

5.1 Reader Approval of Dissertation

The candidate delivers electronic copies of the finished dissertation to the Graduate Program Coordinator for distribution to the members of the dissertation committee. The dissertation should follow the guidelines in the Graduate School's Guide for Formatting and Submitting Dissertations and Theses (http://graduateschool.nd.edu). Committee members will be given no less than two weeks, and generally no more than four weeks, to read and evaluate the dissertation and decide whether it is ready to be defended. Reader approval of the dissertation for defense does not imply reader agreement or support; it is acknowledgment that the dissertation is an academically sound and defensible scholarly product. Only a dissertation which has been unanimously approved for defense by the committee may be scheduled for defense. When students are ready to defend their thesis, they should poll their committee for an available date and time using When2Meet.

5.2 Dissertation Defense

The defense of the dissertation begins with a 40-50 minute public presentation that addresses the major results of the thesis research. Immediately following the presentation, the general audience is allowed to ask questions. The examination committee then meets with the candidate in a closed session. This provides the opportunity for clarification and, if necessary, rectification of potential problems in the dissertation. After the examination is completed, the advisor calls for a discussion followed by a vote of the dissertation committee. A majority vote is required to pass a candidate. The advisor sends a written report of the result immediately to the Graduate School.

If defects in the dissertation come to light at the defense, the candidate may be asked to revise the dissertation before it is accepted by the Graduate School and the degree is conferred. In that case, it will be the responsibility of the advisor, or another faculty member appointed by the committee, to report to the Graduate School that the revisions have been completed satisfactorily.

5.3 Formal Submission of the Final Dissertation

To receive the degree at the next commencement, the doctoral student who has successfully defended their dissertation must complete the requirements for submission of their thesis, including a format check by the Graduate School. The formatting check and submission deadline for a given commencement date is published in the Graduate School Calendar (https://graduateschool.nd.edu/policies-forms/academic-year-deadlines/).

6 NON-THESIS AND THESIS MASTER'S DEGREE

The Department of Chemistry and Biochemistry does not admit students directly into a Master's program. However, the department does offer a Master's degree option for graduate students. Students may be placed into the Master's program because of performance issues related to the OCE exam as described in Section 3. Students can also be placed in the Master's program because of poor progress towards the Ph. D. degree. This decision is made by the faculty at large at a faculty meeting, or at the semi-annual review of graduate students. In either case, students will receive written notification from the Director of Graduate Studies. Students who have passed the OCE exam may elect to discontinue their work towards the Ph.D. and enter the Master's program. In this case, students will receive written confirmation of their decision. Finally, students who have completed all the requirements to be advanced to candidacy may elect to obtain a Master's degree and remain in the Ph.D. program. Students interested in this option should consult with the Director of Graduate Studies and/or the Graduate Program Coordinator.

6.1 Non-Thesis Master's

A non-thesis Master's degree is available for students who have completed 18 credits of graded coursework and have a least 30 total credits. A Master's Comprehensive Examination is also required by the Graduate School, and this is usually taken as the student's Research summary paper submitted as part of the OCE. For students who have not attempted the OCE, and wish to receive a non-thesis Master's degree, the Director of Graduate Studies will arrange a Master's Comprehensive Exam. Typically, this consists of a written document that reviews recent literature in the student's research area, and has a proposal for future experiments. This document is evaluated by the student's committee to ensure that the student has the knowledge required for an advanced degree in Chemistry or Biochemistry.

6.2 Thesis Master's

At the discretion of the advisor, students may obtain a thesis Master's degree. Students working on a thesis Master's degree are typically supported by funds from their advisor. For a thesis Master's, the student proposes a research topic for approval by their committee, and performs research and writes the thesis under the supervision of their advisor. Once the thesis is completed, the advisor signs the thesis to indicate their approval. The student then delivers signed copies of the thesis to the Graduate Studies office. These copies are distributed to the student's committee, who serve as the official readers. Unanimous approval is required to earn a degree. To receive the degree at the next commencement, the student must complete the requirements for submission of their thesis. The Graduate School will check the thesis to ensure that it conforms to all formatting guidelines.

6.3 Coursework, Time-Line and Minimum GPA Requirement

The minimum instructional coursework requirement for a Master's degree, either thesis or non-thesis, is the same as for the PhD: 18 credits over three semesters, with a

minimum cumulative GPA of 3.0. 30 total credits are required for a Master's degree, including instructional courses, research credit, seminars, directed readings, etc. The Graduate School maintains a five-year limit for Master's degree eligibility. Students past their fifth year are not eligible to enter the Master's program.

6.4 Re-Entry into the PhD Program

Following the recommendation of the student's advisor and committee, a student who has completed a Master's thesis may re-enter the PhD program, pending approval by the Director of Graduate Studies or the Department Chair.

7 ACADEMIC POLICIES

7.1 Residency and Continuous Enrollment

All degree-seeking students are expected to devote their full time to graduate study. During the academic year, students must take at least 9 credits per semester to maintain full-time status. After the completion of graded coursework this is done through enrolling in Research and Dissertation credits under their advisor. During the summer term, students must be enrolled in a zero-credit research course. Enrollment must be completed before Roll Call, which is the 6th class day of the semester. A student who fails to enroll for one or more semesters without taking an approved leave of absence will be dismissed and must apply for readmission to return. Enrolled students are required to be in residence. Requests to waive the residency requirement must be approved on a semester-by-semester basis by the DGS or Chair. Examples of approved requests include research internships and research at off-campus facilities. Requests for non-resident dissertation preparation are usually only approved for one semester. No degree student may hold a job, on or off campus, without the explicit permission of the Director of Graduate Studies and the Graduate School. A student may also not be concurrently enrolled in a professional Master's degree program without permission of the Director of Graduate Studies or the Department Chair.

7.2 Change of Research Advisor

Situations sometimes occur where a student wants to leave a research group, or an advisor wishes to dismiss a student from their research group. In cases where the student initiates the change, the student should consult with the Director of Graduate Studies to identify a new advisor as soon as possible, generally by the end of the academic semester (although the Director of Graduate Studies or the Chair can extend this timeline). The DGS or Chair can help arrange interviews/rotations with other faculty, as well as provide financial support during the transition (financial support is available from both the Department and the Graduate School). Once a new advisor has been identified, the student and advisor must notify the Graduate Program Coordinator, Director of Graduate Studies, and Department Chair via email for formal approval.

In situations where the advisor is unhappy with a student's progress and/or conduct, and is considering dismissing them from their group, the following steps should be taken: (i) The advisor supplies a letter to the student detailing the issues, and cc's the DGS and/or the

Chair. (ii) The student acknowledges the letter and meets with the DGS/Chair, the advisor and/or the thesis committee to discuss the issues. Following this meeting, the student generates an action plan to remediate the problem, or decides to leave the program or switch groups. (iii) If the student decides to stay in the group and try to remedy the problem, the advisor and student should agree on a timeline to correct the issues and evaluate progress. (iv) If the student is not able to remedy the problems to the satisfaction of the advisor at the end of the agreed time, the student will need to find another group as described above.

In all cases, students who leave groups should hand in their lab notebooks, and will be removed from access to group space. In general, work completed by the student in the laboratory they have left can be included in their thesis. However, publication of the work in a scientific journal is at the sole discretion of the advisor. Graduate students who are unable to find a new advisor at the end of a semester may be dismissed with a non-thesis Master's degree.

7.3 Academic Good Standing

Graduate students are considered in good standing if they are enrolled and making satisfactory progress in their degree. This includes having a cumulative GPA $\geq$ 3.0 and receiving "S" grades for Research. Students must also follow the designated timetables for the OCE and Research Progress Report to remain in good standing. Students must be in good standing to receive a graduate degree.

Students who are not making satisfactory progress will be placed on probation. Students on probation will be notified in writing of the concern(s), and the timeframe to address the issue(s). If the student does not correct the issue within the timeframe they will be moved to the Master's program or dismissed.

Because of the unique nature of research in Chemistry and Biochemistry, students may be placed on probation or dismissed for violations of the Department's safety code, including non-compliance with PPE requirements. Details about the Department's safety plan can be found here: https://chemistry.nd.edu/safety/. Additionally, poor performance as a teaching assistant is potential grounds for probation or dismissal.

The Departmental Faculty also meets on a semi-annual basis to discuss the progress of every graduate student. This discussion includes course work, research progress, performance as a teaching assistant and, if applicable, general professional behavior. Notable concerns are reported to the student in the form of a formal letter from the DGS or Department Chair. In cases of significant concern, the faculty may elect to place a student on probation, move them to the Master's program or dismiss them from the graduate program altogether. Students are also be placed on probation by the Graduate School for having a cumulative GPA under 3.0 for any two semesters, or for receiving a U in Research for two consecutive semesters.

Students on probation are not eligible for financial support from the Graduate School, and must correct the issues that led to probation before they can receive a degree. A student may also be dismissed from the graduate program in Chemistry and Biochemistry if their GPA in any one semester is below 2.5, if their cumulative GPA is below 3.0 for two consecutive semesters, or if they receive three consecutive "unsatisfactory" grades for Research. See the Graduate School Bulletin of Information for details (https://graduateschool.nd.edu/policies-forms/).

7.4 Coursework External to the Program

Students may enroll, on a limited basis, in courses external to the Ph.D. program in Chemistry and Biochemistry. Courses external to the program are those which would generally not satisfy the 18-credit coursework requirement. To qualify for external coursework a student must (1) have completed the 18-credit coursework requirement and (2) have successfully passed the OCE exam. In addition, the student must also obtain written permission from his/her thesis advisor and the Director of Graduate Studies to participate in external coursework. External coursework is generally limited to 3 credits per academic semester. The Department will not be responsible for any tuition costs associated with external coursework.

8 STUDENT GRIEVANCE AND APPEAL PROCESS

8.1 Department Grievance & Appeal Policy

Students often deal with complex personal and/or professional issues during their studies and it is important to have a support structure in place for advice. Graduate students should seek to develop strong professional relationships with their peers, with faculty in the department and, most importantly, with their thesis advisor. If a conflict arises between a student and their advisor, the student is encouraged to seek the advice of their committee or a faculty member with whom they feel comfortable. Formal grievances or appeals should be made through the Director of Graduate Studies (DGS), the Department Chair, or the Departmental Ombudsperson. If the student feels their concerns have not been adequately addressed by the department, they should follow the appeals procedure below.

8.2 Departmental Resolution Process

To address appeals the Department Chair convenes an ad hoc committee of at least three faculty and one graduate student not directly involved in the case. The student's advisor and committee members are excluded from the committee, although their input may be solicited. If the Department Chair is involved in the case, the Associate Dean for Research and Graduate & Postdoctoral Studies in the College of Science will appoint the committee and designate a person to serve as its chair.

For appeals involving a decision impacting the student's progress towards degree or status in the program, the student must provide a written description of their appeal within **14** days from the time when they were informed of the decision. The description should give the reasons for the appeal, any relevant background information, and the relief requested. The student may request to present their case in person, although the committee is not required to honor this request. The committee will promptly investigate the appeal to determine whether it is warranted, which may include interviews with other students, faculty or staff members.

In most situations, the appeals committee will complete their investigation within 30 business days. In cases where the process cannot be completed within 30 business days, the chair of the committee will tell the student when the committee anticipates completing the investigation. The decision of the committee is determined by voting. The student member of the committee does not vote and may not be present for the vote. The Department Chair will

notify the student in writing of the decision. If the chair is involved in the case, the designated chair of the committee will communicate with the student.

8.3 Formal Appeal Procedure to the Dean of the Graduate School

Students may also appeal to the Dean of the Graduate School. The Graduate Student Appeal Procedure can be found in the Graduate School Bulletin of Information (https://graduateschool.nd.edu/policies-forms/), as well as at https://graduateschool.nd.edu/assets/283214/grad_appeal_procedure.pdf. The purpose of this procedure is to afford graduate students the opportunity to resolve complaints dealing with academic issues such as dismissal from the graduate program, placement on probationary status, denial of readmission to the program (if the student was previously in good standing), and other decisions that terminate or impede progress toward the degree. This procedure is not to be used to address issues of sexual or discriminatory harassment (see reporting procedure available through the Office of Institutional Equity; https://equity.nd.edu/get-help/make-a-report/), academic fraud (see the 'Academic Integrity' section of the Graduate School Bulletin of Information), or disability-related grievances (see grievance procedure available through the Sara Bea Accessibility Services; https://supportandcare.nd.edu/for-students/current-students/accessibility-support/policies-and-procedures/student-grievance-procedure/).

9 ACADEMIC INTEGRITY

Integrity in scholarship and research is essential for the operation of any University. A commitment to honesty is expected in all academic endeavors by students, research assistants, faculty and staff members. Information about academic integrity is available in the 'Academic Integrity' section of the Graduate School Bulletin of Information (https://graduateschool.nd.edu/policies-forms/). Violations of academic integrity may occur in classroom work or in research/scholarship endeavors. Classroom misconduct includes the use of information obtained from others during an examination, plagiarism, submission of work written by someone else, etc. Violation of integrity in research/scholarship include data fabrication, falsification or plagiarism in performing or reporting research, or other deliberate misrepresentation in conducting/reporting research. Misconduct does not include errors of judgment, errors in recording or analysis of data, or differences in opinions on interpretation.

If an individual suspects that a violation of academic integrity has occurred, they should discuss the matter confidentially with the Chair or the Director of Graduate Studies. If there is a reasonable basis for further inquiry, the chair will select an impartial panel consisting of three members, one of whom may be a graduate student, to investigate. The chair will inform the accused of the charges. The panel will initially determine whether to proceed directly to a hearing, to further investigate, or to dismiss the charges. If the panel decides to proceed to a hearing, the hearing will be held within 10 days of the original notification. If the panel decides that further investigation is necessary, it shall immediately notify the chair. If a hearing is not warranted, all information gathered will be destroyed, and care will be taken to minimize negative consequences to the accused.

The accused party will be given the opportunity to respond to the allegations. The panel will make a judgment, recommend appropriate action, and report to the chair in writing. The

report will include all of the pertinent documentation and will be presented within 30 days after the hearing. Copies of the report will be made available to the accused, the Chair, and the Dean of the Graduate School. Violation of academic integrity may be grounds for dismissal from the University. Research/scholarship violations may also be reported to the sponsor of the research effort (e.g., NSF, NIH, Lilly Foundation, etc.). If the accused student chooses to appeal, he/she must submit the appeal in writing to the Dean of the Graduate School (see above). The student has the right to appear before the Dean or their delegate. The Dean may decide to appoint an ad hoc committee to handle this appeal, if deemed necessary.

10 POLICIES ON HARASSMENT AND OTHER ASPECTS OF STUDENT LIFE

Sexual and discriminatory harassment are prohibited by the University. Definitions and policies regarding sexual harassment, discriminatory harassment and other aspects of student life are described in du Lac (https://dulac.nd.edu). Students in the Graduate School must abide by the standards described in du Lac. The University's policy on Sexual or Discriminatory Harassment is also available at:

https://equity.nd.edu/polices-and-procedures/

Issues of harassment can be reported to the Director of Graduate Studies, the Graduate Program Coordinator, the Chair or Assistant Chair of the Department, the Graduate School Ombudsperson, or through the following websites:

https://equity.nd.edu/get-help/make-a-report/

https://speakup.nd.edu