

**Department of Early Childhood,
Special Education,
and Counselor Education**

**Doctoral Program
Ph.D.**

**Policy and Procedures Manual
for
Interdisciplinary Early Childhood Education &
Special Education**

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General Overview of Requirements and Campus-Related Supports

It is important that you read the most recent [Graduate School Catalog](#) and this handbook to ensure that you meet all university and program requirements. Make sure you attend to the Requirements for Doctoral Degrees found in the bulletin. **It is your responsibility to ensure that you meet all program and university deadlines for whichever of these areas concern you. Failure to meet deadlines may result in a delay in completing your program of study.** The Graduate School and university information is available at the university web site at www.uky.edu.

Student Candidate Responsibilities

Candidates should also review the [Student Rights and Responsibilities](#) information found on the website. This document contains information regarding expected standards of student behavior and performance.

Electronic Housekeeping

At the beginning of your first semester, verify that you can access your linkblue account, University of KY email, Canvas, and Zoom.

Accessing Email, Advising, and Registering for Classes

After you have been accepted into the program, you will receive an email from University of KY Graduate Admissions regarding a decision notification with a link to view your application status page. You will be directed to complete a Decision Reply form. Upon receiving that form, UK Graduate Admissions will send you an email welcoming you and providing you with your student ID number, your linkblue user ID number, and a link to visit the Information Technology Services to set up your UK email and linkblue account. Please note international students may have additional steps that need to be completed prior to arrival on campus which can be reviewed [here](#). If you need assistance with your email, contact ITS Customer Services at 859-218-HELP (4357). All communication coming from the University of KY and your professors will be sent to your UK email address, so it is important you check this email account frequently or have your UK email forwarded to an account of your choosing.

The Director of Graduate Studies will assist you in selecting and enrolling in coursework during your first semester. Thereafter you will be assigned a faculty advisor who will assist you with enrolling in courses. The email that comes from the Graduate School also will contain information on how to register for classes. This is done on the [Registrar's webpage](#) during your scheduled registration window.

Accessing your Courses via Canvas

The majority of professors will use the online learning platform, Canvas, to communicate with you and deliver course materials. To access your course:

- **Log into Canvas** using your linkblue credentials.

- **Under the “Courses” tab, you will find the number and name of your course.** This is the live blueprint for your course. Make sure to check the course page often, as course material will be added at the beginning of and throughout the semester.
- If you need help with Canvas, check out the Canvas Student Guide for some in-depth FAQs, and the Getting Started with Canvas video guide for a quick setup.

Distance Candidates Accessing Zoom

Many of our classes are taught in a hybrid format, with some students attending in person and others from a distance on Zoom. Candidates who live 45 minutes or more from campus will register for the distance education section of the course (usually noted by a “2” at the beginning of the section number [e.g., 201]). Candidates less than 45 minutes from campus will register for the campus section of the course (usually noted with a “0” at the beginning of the section number [e.g., 001]).

Classrooms, Libraries, and Parking

What follows is a brief introduction to your surroundings at the University of Kentucky campus. We have included some helpful links to detailed campus maps for your convenience.

Classrooms

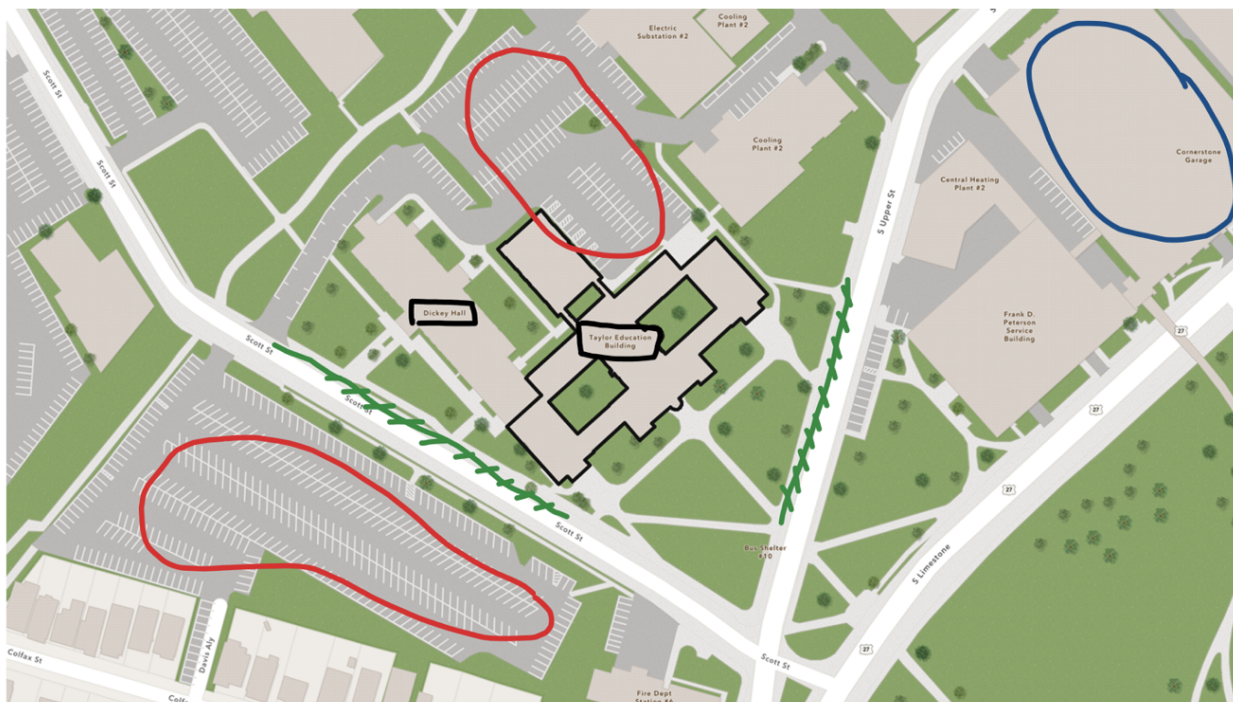
Most classes will be held on campus at either Dickey Hall (DH) or the Taylor Education Building (TEB). The physical address for TEB is 597 S. Upper Street, Lexington, KY. Although TEB is on Upper Street and DH is on Scott Street, the buildings are connected by a breezeway and the parking options are identical. To locate directions to any building on campus visit the link: <http://www.uky.edu/CampusGuide/>.

Libraries

The University has a host of libraries across campus. The one most relevant to you is the Education Library which is located on the second floor of Dickey Hall, Room 227. You may contact the library via email at EducationLib@uky.edu or by phone at (859) 257-9692.

Parking

Parking is available behind TEB and in a Scott Street lot (marked in red on the map), however, you will need to obtain an evening parking permit from Transportation Services to park there. There is also city parking along Scott Street and Upper Street in which you pay a parking meter (marked in green on the map). Finally, the Cornerstone Garage is close to TEB (marked in blue on the map), where you can park for an hourly fee. To view detailed maps, review the [UKY Parking Maps](#).



DEPARTMENT OF EARLY CHILDHOOD, SPECIAL EDUCATION, and COUNSELOR EDUCATION

DOCTORAL PROGRAM POLICY AND PROCEDURES MANUAL

Introduction

This manual is designed to familiarize you with the program requirements for the Early Childhood, Special Education, and Counselor Education Doctor of Philosophy (Ph.D.) degree. It contains information about program policy, procedures, and guidelines for those students seeking a Ph.D. in Special Education. This degree program has the option for a variety of specializations, including specializations such as applied behavior analysis, interdisciplinary early childhood education (birth-5 years of age), and supporting teachers and school-age children (K-12). Although we have multiple options, the final degree will be a Ph.D. in Special Education. To ensure appropriate and timely progress toward graduation, a specific sequence must be followed.

About the Department

The University of Kentucky Department of Early Childhood, Special Education, and Counselor Education prepares educators, rehabilitation counselors, and other service providers to conduct research, develop best practices, and participate in professional activities that positively impact individuals in Kentucky and around the globe. The department offers degree programs at the undergraduate, master's, specialist, and doctoral levels.

Our department is active in service-learning, practicum, and fieldwork experiences. We pride ourselves on having nationally recognized programs, and funding through numerous state and federal grants, including funding from the Institute for Educational Sciences, Offices of Special Education and Rehabilitation Services, Rehabilitation Services Administration, and the U.S. Department of Education. The Department of Early Childhood, Special Education, and Counselor Education is committed to continuing a tradition of excellence and looks forward to facilitating your continued success throughout your pursuit of a doctoral degree.

FACULTY INVOLVEMENT

Director of Graduate Studies

Once a student has been admitted to the Ph.D. Program of Early Childhood, Special Education, and Counselor Education, the Director of Graduate Studies (DGS) monitors the student's status and serves as the primary point of contact for all matters involving the Graduate School. In the absence of a designated Major Professor to provide academic advising, the DGS will serve as the entering doctoral student's academic advisor. The current DGS for students pursuing degrees or certification in applied behavior analysis, interdisciplinary early childhood education, and special education is Dr. Channon Horn (channon.horn@uky.edu, 859-257-0590).

Academic Advisor, Major Professor, and Mentor

It is expected that the student will identify a faculty person to serve as his or her Major Professor and Advisory Committee Chairperson within the first 9 to 18 credit hours of coursework. A committee must be established no later than the completion of 18 credit hours of coursework. A minimum of four faculty constitutes a Ph.D. committee. One faculty member must be from outside the student's graduate program (i.e., department). You can work with your Major Professor to identify potential committee members, including a member who works in a different department, college, or university.

All members of the Advisory Committee must be members of the Graduate Faculty and three, including the major professor, must have Full Graduate Faculty Status. The Major Professor must be willing to serve as both the student's academic advisor and chair or co-chair of the student's doctoral Advisory Committee. If a co-chair approach to the Advisory Committee is used, at least one of the co-chairs must hold full Graduate Faculty status with the Graduate School.

The co-chairperson may hold associate graduate faculty status with the Graduate School. Regarding academic advising with co-chairpersons, it is expected that the co-chairs will designate areas of advising responsibility (e.g., one manages technology coursework and studies, and one advises on research design).

The department DGS will be notified in writing of all Advisory Committee decisions by the designated Major Professor or Advisory Committee chair(s). The student is responsible for communicating Advisory Committee composition, decisions, and program decisions to the Graduate School. Any Advisory Committee changes should be communicated to the Graduate School and discussed with the DGS. A list of the Departmental faculty who hold both Full and Associate status can be found at this linked [site](#).

In addition to the doctoral student's Major Professor and committee chair(s), the student is encouraged to identify a department faculty person to serve in the capacity of mentor. In most instances, the mentor will be the designated Major Professor and Advisory Committee chair or co-chair.

Mentoring is conceptualized by the department as an informal process of advising that goes beyond academic advising and deals with other aspects of the student's professional development. Additionally, mentors may be selected for a variety of facets of professional development and therefore may change as students' progress through their respective programs of study. Several faculty or departmental staff may serve as a student's mentor as the student progresses through coursework and dissertation research and completion.

Over the span of a doctoral program, it is reasonable to expect that a student may have several mentors either sequentially or simultaneously. For example, a student may have a specific need for advice concerning research interests and needs with the faculty member. Simultaneously, the student may be interested in developing additional competencies (e.g., a particular software package) and identifying a faculty or staff member who has expertise within specific areas.

The student may solicit advice and assistance from the faculty or staff and do this as an aspect of the department's mentoring program. Mentoring is not a part of formal coursework, nor is it a formal feature of the doctoral student's program of study. It is, rather, a process of facilitation that the Department offers and encourages its doctoral candidates to use, as they perceive the need, and therefore no paperwork needs to be filed.

Advisory Committee

The purpose of the Advisory Committee is to guide the student's program of study. The committee will guarantee that the course of study pursued by the student meets the breadth and depth of both the department's and the Graduate School's expectations and is responsive to the student's career goals. The committee also provides the student with a "safety net" in that it

distributes responsibility for monitoring and facilitating the student across more than one or two individuals.

The responsibilities of the Advisory Committee include (a) facilitating the development and approval of the student's program plan, (b) reporting the student's progress in the doctoral program to the Graduate Admissions and Standards Committee (GASC), (c) administering the written and oral qualifying exams, (d) facilitating the development of approval of the dissertation proposal, and (e) administering the final doctoral examination in a meeting with the Advisory Committee and an outside faculty representative designated by the Graduate School.

Membership. The Ph.D. Advisory Committee must consist of at least four faculty members including the Major Professor, of which a minimum of three must be full members of the graduate faculty. The other member(s) may be associate member(s) of the graduate faculty. This group of four faculty members is known as the core of the advisory committee.

One member must be from outside the student's academic department (i.e., Early Childhood, Special Education, and Counselor Education). The outside member may be from any other department in the College of Education or from another college in the University. It is strongly recommended that the student begin to explore the possibilities for the "outside" committee member as early as possible (i.e., within the first 9 credit hours of coursework). If approved by the Graduate School as a member of the Graduate Faculty, one member of the committee may be from outside the University.

The "outside" committee member should not be confused with the "outside" faculty person assigned by the Graduate School in the final dissertation defense. The latter person is not selected until the dissertation has been completed and the student is ready to sit for the final oral dissertation defense.

The core advisory committee must remain unchanged during the graduate career of the student. There are exceptions to this recommendation. Situations such as a faculty member leaving the university, changing positions within the university, being unavailable to serve on the committee due to personal or professional reasons, or mutually agreeing that the faculty member should be replaced by another faculty member on the committee. Advisory Committee changes must be submitted to the Graduate School and approved by the student's Major Professor and the department's DGS using the Doctoral Advisory Committee Request form. Forms for selecting and changing an advisory committee can be accessed at the Graduate School's **Student Forms** [page](#).

PROGRAM PLANNING

Requirements for the doctorate are typically completed in 4 years of full-time graduate work or the equivalent in combined full-time and part-time program of study; however, more time may be required. This time period includes completing all coursework, the qualifying examination and oral defense, and implementing and defending a dissertation study or project.

Students must complete a minimum of 36 credit hours of graduate coursework to be eligible to take the qualifying examination. An awarded master's degree from the University of Kentucky or from another accredited school may satisfy up to 18 of the 36-hour pre-qualifying requirement. To request master's credit the DGS can send an e-mail to the Graduate School Dean. Credit for a prior master's degree cannot be combined with transfer of credit.

The student designs the Ph.D. program of study with guidance from the Advisory Committee in accordance with the coursework required in the departmental core, departmental area of emphasis, thematic support, and research tools (see **Appendix A**). Meetings of the Advisory Committee are called by the doctoral student in consultation with the Major Professor and the Committee members, and as required by the Graduate School.

The DGS should be notified of qualifying exam and dissertation defense dates and provided with written summaries of any committee decisions that impact the student's program of study. The DGS is responsible for reporting such changes to the Graduate School. The doctoral student's program plan should include projected dates for completion of the degree.

An example of a doctoral program plan and a planning template is found in **Appendix A**. A critical feature of planning a doctoral program of study is awareness on the part of both the Advisory Committee and the doctoral student of critical timelines that are predicated on Graduate School requirements. **Appendix B** provides a general schematic for the critical events in a doctoral program from entrance to exit and graduation. **Appendix C** is a check sheet that provides information and links to track events that will occur during the doctoral program. This form can be accessed electronically at <https://gradschool.uky.edu/studentforms>.

Annual Program Progress Review

The Department of Early Childhood, Special Education, and Counselor Education Graduate Admission Standards Committee (GASC) reviews the progress of each doctoral student annually. Members of the graduate faculty consider information from academic performance, professional activities, and faculty observations of the student during the academic year. The GASC review is reported to the student in a letter, with a copy sent to the student's Major Professor, at the conclusion of the Spring semester. The review is partially based on the student's submission of the portfolio checklist (see **Appendix D**).

The annual DGS review focuses on the student being in compliance with both Graduate School and Early Childhood, Special Education, and Counselor Education departmental guidelines with regard to grade point average (i.e., minimum of 3.5), incomplete or "I" grades (i.e., an I grade must be removed within 1 year of the date it is assigned), formation of an Advisory Committee (within 18 credit hours), and determination of the student's perspective regarding individual progress and needs. The format for the annual review is a scheduled meeting with the GASC, presided over by the DGS.

Program Termination Policies

The Early Childhood, Special Education, and Counselor Education Department has developed a set of program termination and appeals policies regarding doctoral students (see **Appendix E**). The review and student appeals processes are outlined in **Appendices E and F** and should be read by all entering doctoral candidates. **Appendix G** outlines the plagiarism policies upheld by both the Early Childhood, Special Education, and Counselor Education Department and the Graduate School. Students are strongly encouraged to become familiar with the policies covering both program termination and plagiarism. During the first 30 days of coursework, students will be required to sign **Appendix G** to indicate they have been informed about plagiarism policies, which will be kept in the student's file. It is the student's responsibility to send an electronic copy of the signed appendix to the DGS.

University Ombud

Complaints and or disputes should first be addressed to the person with whom the student has the issue. However, if that is not desirable or feasible, the individual should confer with the Academic Advisor or the Department Chair. If a satisfactory resolution of the matter is not achieved, the student should contact the Dean of the Graduate School.

The student can consult with the University Ombud. The Ombud does not resolve complaints and grievances but attempts to mediate such disputes. Ultimately, disputes can be brought before the University Appeals Board for resolution. The role of the appeals Board is addressed in **Appendix F**.

Leave of Absence

Enrolled graduate students at the University of Kentucky who sit out for one or more semesters will need to complete a new application and pay the application fee to be considered for readmission. In many instances this requirement can be avoided by requesting a "leave of absence." In addition to avoiding the application process, this status will allow the student to priority register in preparation for their return to UK. Procedurally, students should contact their DGS for approval for the leave before the start of the semester in question. If approved, the DGS and the student should contact their Graduate School admissions officer by email. Once the student has dropped all courses for the semester in question, the admissions officer will apply a leave of absence. No more than two consecutive and four total semesters in leave of absence status may be requested. International students considering a leave of absence are strongly encouraged to discuss their plans with the International Center and Department of Immigration Services prior to making a formal request.

REQUIRED EXAMINATIONS

Qualifying Examination

The doctoral program Qualifying Examination should be completed satisfactorily at the end of the student's planned program of coursework and after the student has met the Graduate School's Residency requirements for the Qualifying Examination. Typically, the Qualifying Examination is scheduled after the equivalent of four semesters of full-time coursework (i.e., 36 credit hours). However, it may not be taken before the final semester of coursework (excluding the semester of initial registration for dissertation residency credits, EDS 767). The following is a synopsis of the most recent Graduate School time limits for completion of doctoral degrees.

Students must take the qualifying exam within 5 years of entry into the program. Extensions up to an additional 3 years may be requested but must be approved by the Dean of the Graduate School upon request from the DGS. Requests for extensions longer than 12 months must be considered by the Graduate Council. If the qualifying exam has not been passed at the end of 5 years, or at the end of the approved extensions, the student will be dismissed by the program.

All degree requirements for the doctorate must be completed within 5 years following the semester or summer session in which the student successfully passes the qualifying exam. Extensions up to an additional 5 years may be requested. An extension for up to 1 year can be initiated by the DGS and may be approved by the Dean of the Graduate School. Extensions of longer than 1 year must be considered by the Graduate Council and may require a retake of the entire Qualifying Examination process (both written and oral) before the DGS may recommend an extension of time to the Graduate Council.

The qualifying reexamination is based on current Qualifying Examination processes, not on those that were in place at the time of the candidate's original successful Qualifying Examination. All qualifying reexaminations must be scheduled with the Graduate School. The qualifying reexamination may occur only once. If the candidate is not successful, a second reexamination is not permitted. Failure of the reexamination constitutes termination of the candidacy.

Persons who do not receive an extension of time before the initial 5-year time limit has elapsed will be dropped from continuing enrollment in EDS 767. Should they subsequently petition to be reexamined, they must be re-admitted to the program through standard admissions policies and procedures.

Qualifying Examination Residency Requirements

A complete description of residency requirements can be found in the current *Graduate School Catalog* (<http://catalogs.uky.edu/index.php>). Due to individual differences with regard to previous or prerequisite coursework, variation in total number of credit hours will be found across most doctoral program plans. Prior to scheduling the Qualifying Examination, the Graduate School requires that the student meet the residency requirements. The Department of Early Childhood, Special Education, and Counselor Education has two models by which students can complete residency: (a) two consecutive semesters as a full-time student [*minimum of 9*

credits per semester, total of 18 credits] or (b) three consecutive semesters with at least 6 credits per semester.

The two-consecutive full-time semester model may include consecutive Fall and Spring semesters, or the Summer session in conjunction with one of the preceding or following academic year semesters. If the Summer session is used for part of the residency requirement, the student must complete a minimum of 9 credit hours to receive credit for one full-time session. With permission from the student's advisory committee, students who must attend part-time during the academic year may fulfill the residency requirements through three consecutive part-time semesters of at least 6 credits each semester.

Scheduling the Qualifying Examination

Typically, the semester following completion of all coursework prescribed by the student's Advisory Committee (i.e., the student's program plan), the student will complete the Qualifying Examination. Per Graduate School policy, the committee must be formed at least 1 year prior to scheduling the Qualifying Exam and the request to schedule the exam must be submitted at least 2 weeks in advance (see the Graduate School website for submitting the required forms).

Furthermore, students must enroll in EDS 767 from the time that they complete their Qualifying Examination until they complete and defend their dissertation (not including summer coursework). Each Fall and Spring semester, a student should enroll in EDS 767 for two credit hours.

Qualifying Exam Components

There is both a written and an oral component for the Qualifying Examination. Once the student has completed their program plan of coursework they may complete the written component of the Qualifying Exam. It is typically early during the semester following completion of coursework. That semester can be counted towards residency if the Qualifying Examination is passed. The written exam is scheduled by the student and the Advisory Committee to occur at a time most convenient for all parties, and the DGS is notified of this date in writing.

The written component consists of a project and/or written test devised by each member of the student's Advisory Committee. Each committee member determines the amount of time required to complete the written examination. The student should meet with each committee member to set up a timeline or with the committee jointly to discuss the contents of the student's written examination. The committee should consider if the student will be given all exam questions at once or if each question will be assigned individually. If questions are assigned individually the committee must establish submission timelines for each question provided. Once the student receives the content of the written examination, the student will be given a predetermined timeline to ask clarifying questions, and a total of 8 weeks to complete the written

portion of the exam (unless the committee and student agree on a written test that will be completed in one sit-down session). By the end of the 8 weeks, the student must submit all written products to the committee members. The oral defense must then be held no more than 1 month after the committee has received the written products from the student unless an alternative schedule is agreed upon by the student and the committee.

The oral examination is scheduled once the written examinations have been completed and the Graduate School has been notified in writing by the DGS. The Graduate School will not permit scheduling of the oral component of the Qualifying Examination if their review of transcripts indicates any “I” grades, library fines, or other student fees.

The student is responsible for scheduling the oral component of the Qualifying Exam with the Advisory Committee and the Graduate School by submitting the form electronically ([Student Forms](#)). The Graduate School must approve the examination at least 2 weeks before the scheduled date. In addition to the contents of the written exam, the oral exam may cover any other content deemed appropriate by the Advisory Committee. A notification to schedule must be made to the Graduate School at least 2 weeks prior to the oral examination.

Qualifying Examination Results

Successful completion (i.e., a “pass”) of the Qualifying Examination is determined by a simple majority of members of the student’s Advisory Committee. A tie vote constitutes a failure. The exam results, pass or failure, must be reported to the Graduate School within 10 days of the exam date.

In the event of a passing decision, the student is admitted to *Degree Candidacy* and is eligible to formally initiate and receive post-qualifying exam residency credit (i.e., EDS 767) and may begin work on the dissertation. The student may be referred to as a doctoral candidate at this point in his or her program.

In the event of a “no-pass or “failure” decision on the part of the Advisory Committee, the student will be immediately informed of required remedial actions prior to rescheduling a second Qualifying Exam. The minimum time between examinations is 4 months. The second examination must be taken within 1 year after the first examination. A third examination is not permitted, and, per Graduate School guidelines, the student is terminated from the program if the second examination is failed.

DISSERTATION AND GRADUATION REQUIREMENTS

The Early Childhood, Special Education, and Counselor Education Department requires the completion of a dissertation based on the implementation of a research proposal designed by candidate and approved by the student’s committee. The “dissertation phase” of the doctoral program has six (6) essential components: Dissertation Residency, Proposal Preparation and

Approval, Dissertation Writing, Dissertation Defense, Dissertation Submission to the Graduate School, and Application for Degree. Each component is discussed in the following section.

Residence Credit for the Doctor's Degree

Two (2) credits of “dissertation residency” (EDS 767) across two consecutive semesters (4 credits total) are required by the Graduate School.

The purpose of the dissertation residency requirement is to ensure that the final stage of a candidate's graduate education includes the important component of full contact with the academic and research community of the university. The following is a synopsis of the residency requirements as outlined by the Graduate School. Doctoral students are urged to review the current Bulletin to verify these requirements:

- Each student must earn two (2) consecutive sessions (Fall and Spring) of residence (EDS 767 credits) at the University of Kentucky to complete the dissertation residency requirement. EDS 767 must be taken each semester (except summer semester) between their qualifying examinations and their dissertation defense.
- It should be understood that the above residence requirements are the minimum requirements of the Graduate School.

Proposal Preparation and Approval

The candidate is expected to prepare a research proposal detailing the student's dissertation topic. The Major Professor and the Advisory Committee will monitor the process of preparing the proposal. All candidates will have completed doctoral seminars and coursework that specifically deals with proposal preparation. Approval of the dissertation proposal must take place as a part of a formal Advisory Committee meeting.

The Advisory Committee must reach a consensus that the proposal properly meets the standards expected for doctoral-level research. The candidate may be advised to re-draft part of or the entire proposal and re-schedule another meeting of the Advisory Committee prior to initiating data collection.

In accordance with federal and institutional regulations, either the Medical or Non-Medical Institutional Review Board (IRB) must review any undertaking in which University faculty, staff, or student investigates and/or collects data on human subjects for research purposes. It is the responsibility of each investigator to seek a review of any study involving human subjects prior to the initiation of the project. The Medical and Non-medical IRBs are charged with the institutional responsibility for the assurance of protection of human subjects involved in research or related activities.

The Medical IRB reviews research emanating from the Medical Center and the affiliated Veterans Administration Medical Center. The Non-medical IRB reviews research originating from the Lexington campus and the Bluegrass Community and Technical College system. The boards have the authority to review, approve, disapprove, or require changes in research activities involving human subjects. The above process is under the supervision of the Major Advisor/Committee Chair(s).

An application for human subjects research may be submitted online at the [IRB office website](#).

Dissertation Writing

With regard to writing style, citations, and other bibliographic matters, the Department of Early Childhood, Special Education, and Counselor Education requires adherence to the current version of the *Publication Manual of the American Psychological Association* (as of 9/26/23, the current version is the 7th edition). Students also should refer to the thesis and dissertation preparation guidelines provided by the Graduate School ([Preparation Guidelines](#)).

Dissertation Defense (Final Exam)

The final doctoral examination is scheduled after the student has completed the dissertation research and written the dissertation. Working with the Major Professor, the doctoral student will complete any required revisions to their dissertation. The student confirms with the Major Professor their readiness to schedule the final examination. During this process, the written product is shared with the committee members. The student must submit a revised dissertation to all committee members at least 2 weeks prior to the scheduled final examination. The student must complete the “Notification of Intent to Schedule a Final Exam” form online ([see Student Forms](#)) at least 8 weeks prior to the proposed scheduling of the Final Exam. This time frame enables the Graduate School to secure a suitable outside examiner.

Outside Examiner for the Final Examination

The Graduate School appoints the Outside Examiner for the Final Examination Committee. Care will be taken to appoint outside examiners who have some understanding of and interest in the topic of the dissertation.

The outside examiner is the Graduate School’s official representative on the examining team. Their role as the outside examiner on the Final Examination Committee includes (a) assurance that only qualified candidates receive degrees and insurance against inadequate program standards, and (b) assurance that the examination is administered in a fair and impartial manner. The outside examiner is a member of the committee, asks questions, and casts a vote at the end of the exam.

The student must deliver to the Outside Examiner a complete copy of the revised dissertation 2 weeks in advance of the final examination.

Following the appointment of the Outside Examiner, the final examination date may be set. The candidate files a “Request for Final Doctoral Examination” form with the Graduate School at least 2 weeks prior to the proposed exam. The form to file with the Graduate School for the final Exam is located on the Graduate School web page under Forms for Students in Doctoral Programs ([Student Forms](#)).

The final examination must take place no later than 8 days prior to the end of the last day of classes for the semester in which the student wishes to graduate. Students are encouraged to check the Calendar found on the Graduate School website for deadlines (link to [calendar](#)). The indication on the Final Exam Card of “pass” or “fail” along with individual signatures must be delivered to the Graduate School by the DGS.

An Examination may be canceled prior to its official start for reasons deemed by the committee as substantive. These may include a missing committee member, a personal circumstance of the candidate, a late opinion of a committee member, or the committee’s opinion that the dissertation is not ready to be defended. Canceling the examination prior to its start will not result in the candidate failing the examination because it was never officially begun. The candidate does have the right to cancel an examination. If the examination is cancelled, it must be formally re-scheduled with the Graduate school with a minimum of 2 weeks required for rescheduling. Once an examination begins, it must be carried through to completion.

All decisions by the Advisory Committee are based on a simple majority vote of the Graduate Faculty members. If the decision is to pass the student, the Final Examination Card is signed and sent to the Graduate School. If the decision is to fail the candidate, the Advisory Committee will notify the Graduate Dean of the decision and will provide specific instructions to the candidate regarding the remediation needed.

The candidate may re-apply for another final defense of the dissertation after completing the Advisory Committee’s requests for remediation. Application procedures for the second final examination are the same as for the first regarding timelines and communication. In the event the candidate fails the second final examination, a third examination is not permitted.

Application for Degree

Having successfully met all of the dissertation requirements noted above, the candidate is eligible to apply for graduation and conferring of the Ph.D. degree. The candidate must file an application in the Graduate School within 30 days after the beginning of the semester (15 days if during the Summer session) in which they expect to complete dissertation work. The Application for Degree cards is valid for one semester.

Dissertation Submission to the Graduate School

The final copy of the dissertation must be approved by the Graduate School **within 60 days** of the Final Examination or on the last day to present a dissertation for a graduating

candidate, if a specific graduation date is desired. Failure to present the dissertation within 60 days may result in the student having to be re-examined. Requests for exceptions to the 60-day policy should be sent by the DGS or the student's advisor to the [Graduate School Dean](#).

The dissertation must be submitted electronically to the Graduate School. Procedures for submitting the dissertation electronically are located on the Graduate School web page ([link to submission site](#)). An ETD approval form also must be submitted with the dissertation ([link to ETD approval form](#)).

TIME LIMIT FOR DOCTORAL DEGREES

From the end of the semester in which the qualifying examination is passed, students have five years to complete all requirements for the doctoral degree. Extensions up to an additional 5 years can be requested for a total of 10 years. All requests should be initiated by the DGS and accompanied by a letter of support from the student's advisor. Extensions up to one year may be approved by the Dean of the Graduate School or their delegate. Requests for extensions longer than one year must be considered by the Graduate Council. All requests should be sent by the DGS to the [Graduate School Dean](#) and must include a recommendation on whether or not a retake of the qualifying examination is a requirement of the extension. If requested, failure to pass the re-examination will result in the termination of degree candidacy. Failure to complete all degree requirements within 10 years of initially taking the qualifying examination will also result in the termination of degree candidacy.

GRADES

Original GPA

GPA less than 3.00, they are placed on scholastic probation. Students will have one full-time semester or the equivalent (9 hours) to remove the scholastic probation by attaining a 3.00 (overall) average. If probation is not removed, the student may be subject to dismissal from the Graduate School. In this situation, the Dean of the Graduate School or designee will consult with the DGS prior to undertaking the dismissal action. Dismissed students may apply for readmission after two semesters. Readmission is contingent upon the approval of the student's program. Exceptions to this policy are made only by the Dean of the Graduate School or designee upon the recommendation of the DGS. Students on academic probation are not eligible to sit for the doctoral qualifying exam, or master's or doctoral final examinations.

Repeat Option

A graduate student may elect to repeat a graduate course and count only the second grade as part of the graduate grade point average. This action is not retroactive to a time prior to Fall 1981. A graduate student may exercise the Repeat Option only once in a degree program. The student must file a Repeat Option Form using the [Request for Repeat Option form](#). The Repeat

Option Form is held in the Graduate School and the change of grade is recorded when the course has been completed for the second time. The original grade does not figure in to the GGPA. A request to exercise the repeat option must be submitted prior to graduation from the program. The repeat option cannot be used to remove an “E” grade assigned as the result of an academic offense, such as cheating or plagiarism.

Any student concerned about a grade received should first contact the course instructor. If the concern is not resolved, then the student may make an appeal. See the departmental appeals procedures in **Appendix F**, “Termination and Appeal Policies”.

Incomplete Grades - “I”

An “I” (incomplete) grade may be given to a student when the course requirements have not been completed by the end of the semester. An “I” grade can only be issued if the student is passing the course or has the potential to pass the course at the time the “I” is assigned. Students receiving an “incomplete” must negotiate and sign a contract with the respective professor.

This contract specifies the requirements needed to complete the course and the date by which these “I” grades must be removed (i.e., within 1 year of the date that the “I” grade was issued). Failure to remove an “I” grade within one semester will result in the student being placed on Departmental Academic Probation or possible immediate termination from the doctoral program. All “I” grades not completed within 1 year will convert automatically to a grade of an “E” in accordance with UK Graduate School policy.

RESEARCH RESOURCES

Database Searches

To access databases and full text articles, visit the UK Libraries website: <http://www.uky.edu/Libraries/>. There is no charge for searching these databases.

Libraries

There are three main libraries on campus that you are most likely to visit: the Education Library, the Medical Library, and W.T. Young Library (the main campus library).

The Education Library is located in Dickey Hall. It houses educational and psychological abstracts and major education and rehabilitation counseling journals. The Medical Library is in the Medical Center. It contains medical, psychiatric and physiological journals. W.T. Young Library is located on the main campus, and it houses the greatest number of journals and books on campus.

Additional Resources

Additional resources for graduate students can be found [here](#).

Appendix A

Sample Doctoral Planning Sheet and Program Plan

Worksheet for EDSCE Ph.D. Program Plan

Student: _____

Committee Membership: A minimum of 4 members is required. Three members must hold Graduate status [including the chair] and one must be from outside of the department).

Member (Chair)

Department

Member (Co-Chair [optional])

Department

Member

Department

Member

Department

Member

Department

Coursework

Required Doctoral Core (23 credits):

Course	Credit hrs	Semester
EDS 601: Applied Behavior Analysis (except RC students) ⁽⁶⁰¹⁾	3	_____
EDS 701: Seminar in EDS Leadership Personnel	1	_____
EDS 701: Seminar in EDS Leadership Personnel	1	_____
EDS 701: Seminar in EDS Leadership Personnel	1	_____
EDS 701: Seminar in EDS Leadership Personnel	1	_____
EDS 712: Seminar in EDS Professional Services	3	_____
EDS 720: Seminar in EDS Personnel Preparation	3	_____
EDS 721: Practicum in EDS Personnel Preparation	3-9	_____
EDS 710: Seminar in Mild Disabilities, <u>OR</u>		_____
EDS 711: Seminar in Moderate & Severe Disabilities, <u>OR</u>		_____
IEC 709: Seminar in Interdisciplinary Early Childhood,		_____
*EDS 767: Dissertation Residency Credit	2	_____
*EDS 767: Dissertation Residency Credit	2	_____

*Note: *EDS 767 is taken for a minimum of two credit hours per semester for two semesters after the qualifying examination, excluding summers.*

Program Area of Emphasis (a minimum of 15 credit hours):

Select advanced courses in one of the following areas: Applied Behavior Analysis (ABA), Interdisciplinary Early Childhood Education (IECE), Learning and Behavior Disorders (LBD), or Moderate and Severe Disabilities (MSD).

Course	Credits	Semester

Thematic Support Area (a minimum of 15 credit hours):

Select advanced courses outside the Program Area of Emphasis. This area may be interdisciplinary but must result in a cohesive set of competencies that complement the Area of Emphasis and student's professional goals. For example, the Graduate Certificate in Distance Education, Autism Graduate Certificate, Visual Impairments, and Developmental Disabilities Certificate can be used to satisfy this area. Please check with a faculty member in the above area to determine the most appropriate courses to take in the area.

Course	Credit Hours	Semester

Research Tools (a minimum of 21 credits):

These hours must include EDS 633. Included must be a three-course sequence in quantitative methods and one to two additional research courses (e.g., survey, program evaluation, etc.). In addition, a three to six credit hours research internship(s) (EDS 789). At least one three to six credit hour internship is required.

Course	Credit Hours	Semester
EDS 633: Single Subject Research Designs	3	_____
Quantitative Course	_____	_____
Quantitative Course	_____	_____
Quantitative Course	_____	_____
Other Research Methodology	_____	_____
Other Research Methodology	_____	_____
EDS 789: Independent Study in EDS/Research Internship	_____	_____

Note: The doctoral program requires that over 50% of courses must be at 600 and 700 levels.

Academic year: _____

Fall	Spring	Summer

Academic year: _____

Fall	Spring	Summer

Academic year: _____

Fall	Spring	Summer

Academic year: _____

Fall	Spring	Summer

Appendix B

Events and Timelines

Doctoral Events and Timelines

- Consult with your mentor and/or the DGS to identify any “deficiencies” (e.g., EDS 630) and/or “previously satisfied” (e.g., EDS 601, EDS 633) courses that should be included or excluded from your program of study.
 - Enroll in the first of four required EDS 701 sections.
 - Consider your “thematic support area” and how it aligns with your “departmental area of emphasis”.
 - Identify relevant research courses within the College to satisfy the research core.
- } Program entry &
1st semester
- Identify an Advisory Committee and “Major Professor”/Chair within 9 – 18 hours.
 - Complete the program plan in consultation with the Advisory Committee and Chair (prior to progressing beyond 18 hours). Upon approval, this plan constitutes your “curriculum contract” with the department and Graduate School.
 - In consultation with your Chair and committee, identify faculty with whom you may satisfy the required “research internship” credits (EDS 789). A comprehensive list of faculty research interests and their on-going projects will be made available to you during your first semester of study and will be updated and redistributed yearly.
 - Consult with your Chair and committee to identify how you may satisfy the EDS 721 (Practicum in Personnel Preparation) during the course of your study. This will entail, for example, serving as the instructor or co-teacher in various forms of course delivery within our department (e.g., face-to-face instruction, distance learning, and field supervision). You should have these discussions with your Chair prior to submitting your program plan for committee approval.
 - In preparation for the satisfaction of the Qualifying Exam (leading to the designation of “doctoral candidate”), consider how you will satisfy the “Residency Requirement” described within this manual.
 - In the process of developing your *program plan*, you will identify the semester in which you anticipate taking the Qualifying Exam (QE). This will occur during or subsequent to your final semester of required coursework. *Note that the Graduate School guidelines specify that your committee must be formed at least 1 year prior to scheduling the QE. Thus, it is critical that you follow the guidelines and recommendations contained herein in order to meet deadlines. *Also note that the Graduate School requires that you schedule the QE at least 2 weeks in advance. Although it is permissible to enroll in dissertation residency credits (EDS 767) during the semester in which the QE is taken, it is generally not advisable to do so. Because EDS 767 may not be taken prior to passing the QE, a student who does not “pass” the initial QE attempt must retroactively withdraw from 767 if it is taken during the same semester.

- The presentation of the dissertation proposal for committee approval may occur following the successful completion of the QE. This may occur during or subsequent to the semester in which the QE is completed. You should consult with you Chair for guidance on the development and structure of the formal dissertation research proposal.

Appendix C

Checklist of Major Doctoral Events with Graduate School Links

One year prior to qualifying exam:

Formation of advisory committee: _____ (Date Submitted)

https://ris.uky.edu/cfdocs/gs/DoctoralCommittee/Selection_Screen.cfm

The advisory committee has a core of four members. This core must include a minimum of two faculty members from the graduate program (with one being the major professor as chair or co-chair), and one representative from outside the graduate program. All members of the core must be members of the Graduate Faculty of the University of Kentucky and three (including the major professor) must possess full Graduate Faculty status.

A minimum of two weeks prior to qualifying exam date:

Qualifying Examination Request: _____ (Date Submitted)

https://ris.uky.edu/cfdocs/gs/DoctoralCommittee/Selection_Screen.cfm

Conduct a review of your transcript to ensure the following:

- You have completed the equivalent of 2 years of residency (36 hours for most programs, but some programs require more than 36 hours).
- You do not have any missing or “I” grades.
- Your GPA is 3.5 or higher.

After passing the qualifying exam, students must maintain continuous enrollment in the 767 course until their dissertation is successfully defended.

The semester you intend to graduate:

Application for Degree: _____ (Date Submitted)

<http://myuk.uky.edu/> Click on Student Services / myRecords / Apply for Degree

Due the semester in which you intend to graduate:

- May degree – March 20
- August degree – July 1
- December degree – November 1

If you submitted a degree application for a previous semester but did not graduate, you must complete a new degree application for the current semester.

A minimum of 8 weeks prior to the anticipated defense date (but encouraged to submit sooner):

Notification of Intent: _____ (Date Submitted)

https://ris.uky.edu/cfdocs/gs/DoctoralCommittee/Selection_Screen.cfm

The graduate school will appoint an outside examiner. In order to provide sufficient time for the graduate school to identify an outside examiner, you must submit the notification a

minimum of 8 weeks prior to the anticipated defense date. Assigning the outside examiner typically takes 4-5 weeks. You will receive an email notification once an outside examiner has been assigned.

A minimum of 2 weeks prior to examination:

Request for Final Doctoral Examination: _____ (Date Submitted)

https://ris.uky.edu/cfdocs/gs/DoctoralCommittee/Selection_Screen.cfm

The final examination must take place no later than 8 days prior to the last day of classes of the semester in which you expect to graduate. Final examinations may not be scheduled during the period between semesters. Check the Graduate School Calendar

<http://gradschool.uky.edu/key-dates> for semester deadlines for the scheduling of final examinations.

Dissertation:

You have up to 60 days following the date of your defense OR by the end of the semester in which you plan to graduate (whichever comes first) to submit your dissertation to the Graduate School via UKnowledge. Check <http://gradschool.uky.edu/key-dates> for semester deadlines. Within 2-3 days of submission, the Graduate School will review your dissertation and check the format to ensure that it meets all requirements. Note, the last few weeks of the semester are peak periods for dissertation submission, so it is best to submit your dissertation as soon as possible so that the final version can be accepted by the semester deadline.

Dissertations must be prepared in conformity with the instructions published by the Graduate School. Specific formatting instructions and sample pages can be found at <http://gradschool.uky.edu/thesis-dissertation-preparation>.

Appendix D

Doctoral Student Portfolio Checklist

Doctoral Student Portfolio Checklist

As discussed in the doctoral manual, you are required to develop and maintain a portfolio of your work throughout your program. Your portfolio will be assessed each semester, and a written letter evaluating your performance and the contents of your portfolio will be sent to you each year. Below is a checklist for you to use for the development of your portfolio. It is recommended that for each item marked, you place the necessary information in the space provided and enclose the requested document in your portfolio. Note that many of the items within “Products and Activities” should contain multiple entries by the time that you conclude your program of study.

Instructions for Doctoral Student:

Please describe your progress in each of the following areas over the past academic year using this form. Submit your completed report to your advisor and schedule an appointment with him/her *before the first week of April* to review your report together. Please be specific. Then submit the completed form to the Director of Graduate Studies. This review will be used to ensure that you are proceeding toward your academic and professional goals in the Program and will be used by the Department as part of the annual Departmental review of doctoral students. ***Complete only the grayed areas. The remainder of the form will be completed by the faculty regarding your progress.***

Name of Student _____

Date _____

Student ID _____

Doctoral Program _____

Date of Initial Enrollment _____

Doctoral Committee Major Advisor:

 Doctoral Committee Members:

1. Progress and performance in relation to program plan/academic coursework:

- a. Have you identified your Major Advisor and Advisory Committee? If yes, date of completion?
- b. Have you developed your Program Plan and had it approved by your Committee? Have you made any changes to the Program Plan and if so, have these been approved? If yes, date of completion?
- c. Have you planned to complete/completed your doctoral clinical practicum in teaching? (EDS 721) Specify. (distance course taught, supervision course taught, face-to-face course taught, planned courses).

- d. Have you planned to complete/completed your doctoral research internship? (EDS 789) Specify activities and products.
- e. Do you have any questions about your program plan/academic coursework?
- f. Have you completed your coursework? Specify date.

2. Progress and performance in relation to post-coursework activities?

- a. Have you scheduled/completed your qualifying exam? Specify.
- b. Have you scheduled/completed your dissertation proposal meeting? Specify.
- c. Have you scheduled/completed your dissertation data collection? Specify.
- d. Have you scheduled/completed your final doctoral examination? Specify.

3. Development of teaching and clinical supervisory skills:

Describe any teaching and clinical supervision experiences completed to date, including

- a. Relevant coursework
- b. Completion or planned completion of teaching internships (EDS 721)
- c. Any questions about teaching and clinical supervision experiences?

4. Development of research skills:

Describe any research skill experiences completed to date, including

- a. Relevant coursework related to Research Tools component of Program Plan, or any extracurricular research activities or coursework
- b. Completion or planned completion of Research internships (EDS 789)
- c. Any questions about research experiences?

5. Other professional accomplishments or activities which complement the formal degree program:

Describe accomplishments or completed or planned activities related to professional writing, research, presentations, service, advocacy, and administration as indicated below.

- a. Guest Reviewer for Journal Article- date, journal, supervisor
- b. Research Study Conducted- date, topic, supervisor

- c. Writing Submitted- type of writing (e.g., literature review, position paper, research study, book review, book chapter) date, journal
- d. Publications- citations, type of submission (e.g., literature review, position paper, research study, book review, book chapter)
- e. External Funding Proposal Written/Funded- type of submission, date, funding source
- f. Consultation Provided- date, location, agency
- g. In-service Provided- date, location, topic
- h. Conference Presentation- date, organization, topic
- i. Other Products/Activities

6. Identify academic and professional goals for the coming year and any areas for future growth.

THE FOLLOWING IS TO BE COMPLETED BY THE EDSCE GRADUATE FACULTY

Program Evaluation

Criterion	Excellent (4 points)	Good (3 points)	Need Improvement (2 points)	Unacceptable (1 point)
Coursework GPA	3.75-4.0 <input type="checkbox"/>	3.25-3.75 <input type="checkbox"/>	3-3.25 <input type="checkbox"/>	Below 3 <input type="checkbox"/>
Qualifying Examination Date:	Unqualified pass <input type="checkbox"/>	Pass with conditions <input type="checkbox"/>	Failure with rec. for retake <input type="checkbox"/>	Failure of two attempts at the qualifying examination <input type="checkbox"/>
Dissertation Proposal Date:	Proposal accepted <input type="checkbox"/>	Proposal accepted with minor revisions <input type="checkbox"/>	Proposal accepted with major revisions <input type="checkbox"/>	Proposal rejected by advisory committee <input type="checkbox"/>

Publications	Published Manuscript in Peer reviewed journal <input type="checkbox"/>	Multiple manuscripts submitted to peer reviewed journal <input type="checkbox"/>	Only one manuscript submitted to peer reviewed journal <input type="checkbox"/>	No publications submitted <input type="checkbox"/>
Presentations	Presentation at International or National Meetings (peer-reviewed) <input type="checkbox"/>	Presentations at State or Regional Meetings(peer reviewed) <input type="checkbox"/>	Only local, non-peer reviewed presentations <input type="checkbox"/>	No presentations <input type="checkbox"/>
Dissertation Defense Date:	Dissertation Defense-unqualified pass <input type="checkbox"/>	Pass-minor content revisions <input type="checkbox"/>	Pass-major rewrite <input type="checkbox"/>	Failure <input type="checkbox"/>

Student Dispositions. Please describe issues related to professional ethics, mindset, professional engagement and commitment, values, attitude, continual progress toward goal, etc.:

Strengths:

Areas for Growth:

Concerns:

Completed by and date of completion:

(Director of Graduate Studies)

(Date)

Student Response (use additional pages as necessary):

Signed and dated by the Student:

Signature _____

Date _____

Appendix E

Termination Policies

**DEPARTMENT OF EARLY CHILDHOOD, SPECIAL EDUCATION
AND COUNSELOR EDUCATION**

DOCTORAL STUDENT TERMINATION POLICIES

Doctoral programs in the Department of Early Childhood, Special Education, and Counselor Education are designed to prepare personnel to assume leadership positions. In addition to maintaining a high level of competence in academic work, it is expected that doctoral students exhibit other qualities that are frequently neither evident nor evaluated as part of formal coursework. These include the following:

1. Commitment to the field of Early Childhood, Special Education, or Counselor Education.
2. A work ethic that is characterized by consistent and sustained effort.
3. Ability to communicate effectively with other professionals.
4. Flexibility and responsiveness to educational change.
5. A high level of professional behavior.

The Graduate Faculty in the department believe that students should exhibit high levels of professional and ethical behavior during the doctoral program. In so doing, the probability of advancing the field through the contribution of doctoral graduates will be maximized. The faculty have a professional responsibility to do everything possible to ensure students are diligent in their pursuit of excellence. This includes the termination of students who are unwilling or unable to meet these expectations.

Students may be terminated from the program for the following reasons:

1. Violations of the student code that can result in termination from any program. The student code of conduct can be found at [this link](#).
2. Unprofessional behavior.
3. Failure to remove incomplete grades as specified on the incomplete contract.
4. Failure to take qualifying examinations within one semester following the completion of coursework.
5. Failure on the qualifying examination for a second time (automatic termination).
6. Failure to present a dissertation proposal within 1 year following the completion of the qualifying examination.
7. Failure to adhere to guidelines established by the Advisory Committee, (e.g., failure to submit IRB application by specified due date, failure to initiate data collection by specified date) once the dissertation proposal has been approved.
8. Violation of any of the rules of the Graduate School can result in termination from the program.

In implementing this policy, the following procedures will be employed. During the annual doctoral evaluation, the DGS will solicit feedback from all graduate faculty regarding all currently enrolled doctoral students. These reactions will focus upon faculty perceptions of progress and performance relative to the variables listed above. The DGS will then review

all available evidence and formulate a statement that will be conveyed to each student in writing.

This statement will summarize the faculty perceptions against criteria outlined in the evaluation form of the student's progress toward completion of the degree. If there are areas that are in need of improvement, these will be noted, along with a statement relative to the expected behaviors, the evidence that should be submitted to document that such change has occurred, and the date by which such documentation should be submitted.

In cases that appear to be warranted, the DGS may recommend that the student be placed on probation. This recommendation will be reviewed by the Departmental Committee on Graduate Admissions and Standards, and with appropriate modification and approval, be forwarded to the student. In such instances, the student will be given one semester to improve performance. At the end of this period, a decision will be made to either remove the student from probation or to terminate the student.

In extreme cases (e.g., ethical violation or conviction of a crime), the DGS may recommend immediate termination from the program. In most cases, however, this would not occur until a student has been on probation and has been given an opportunity to rectify deficiencies. Exceptions would be for extreme violations such as plagiarism, cheating, or other similar items as specified in the Student Code. In all cases involving termination, the Committee on Graduate Admissions and Standards and the entire Graduate Faculty of the department must review this recommendation.

If the vote of the Graduate Faculty is to recommend to the Dean of the Graduate School that a student be terminated, the student will receive written notice of the decision, stating clearly the reasons for the termination and providing the student with an opportunity to meet with the Graduate Faculty of the Program. In all cases regarding probation or termination, the student will have the right to appeal the decision to the Dean of the Graduate School, University Ombud, and through the University Appeals Board.

Students also are expected to be aware of the following Graduate School policy related to termination:

TERMINATION

The Dean of the Graduate School may terminate enrollment in a particular program for the following reasons:

- Scholastic probation for three enrolled semesters

In cases where the student's Advisory Committee recommends termination after the qualifying examination has been passed, the Graduate Faculty in that program will meet to vote on the recommendation. When the Graduate Faculty of that program concurs and the student dissents, the student will have an opportunity to meet with the Graduate Faculty of the program, after which a second vote will be taken, and a final recommendation will be

made to the Dean of the Graduate School. Each program sets specific requirements and standards of performance, evaluative procedures and criteria, and procedures for terminations of all students. The DGS of the program should inform the student of these criteria at the time of enrollment.

Appendix F

Appeal Process

RESPONSIBILITY OF THE UNIVERSITY APPEALS BOARD

The Hearing Officer of the University Appeals Board shall schedule a hearing in any case of cheating, plagiarism, or falsification or misuse of academic records reported by the Ombud, the hearing to be held within 20 working days of the receipt by the Hearing Officer of the Ombud's report, unless the student consents to an extension of time for the hearing. The student may withdraw the appeal at any time. Notices to the student will be sent by certified mail to the address on file with the Ombud. Failure of a student to apprise the Ombud of a change of address shall be cause for dismissal of the appeal.

In cases of academic offenses where the student contests guilt, the University Appeals Board shall sit as a fact-finding body and determine whether or not the student cheated, plagiarized, or falsified or misused academic records from such evidence as is brought before the board (including testimony under oath, written statements, exhibits, and a view of the classroom where the cheating occurred, if this is an issue). The board may call witnesses on its own initiative and may continue the hearing for this purpose. Unless the board believes, by majority vote of those present and by a preponderance of the evidence, that the student cheated, plagiarized, or falsified or misused academic records, it shall acquit the student.

In cases where the only issue is the severity of the sanction, the board shall sit as an appeals board and shall concur in the recommended sanction unless it believes, by a majority vote of those present and by a preponderance of the evidence, that the sanction is too severe. The Board may hear witnesses and consider written statements and exhibits in reaching its decision concerning the severity of the sanction. The Board may impose the minimum penalty of an E in the course or may recommend to the appropriate chancellor the imposition of a penalty of suspension or dismissal less severe than that recommended by the dean of the student's college.

Within 5 days of the decision of the University Appeals Board, the Hearing Officer of the board shall notify the student, instructor, department chair, dean of the student's college, and the appropriate chancellor of the action of the board. In addition, if the decision of the board is to impose a penalty of E in the course, the Hearing Officer shall notify the Registrar of that act.

In all cases involving academic offenses, the student shall have the rights set out in Section 2.3 of the Code of Student Conduct (Student Rights and Responsibilities, Part 1). (See also Rule VI-6.6.5.2.)

The requirement that the Hearing Officer shall schedule a hearing within 20 working days does not mean that the Appeals Board must reach a decision within that time. If the hearing is held near the end of the 20-day period, and if difficult issues are raised that require more time, the Appeals Board may find it necessary to hold additional meetings, stretching the hearings process beyond the 20-day limit. However, the Appeals Board should seek to render a decision as soon as is reasonably possible so that the student may plan his or her further academic work. (RC: 5/6/86)

Penalties for Academic Offenses

The minimum penalty for an academic offense is an E in the course in which the offense took place. The repeat option may not be used to remove an E given for an academic offense. If a prior academic offense has been recorded in the Registrar's Office, the minimum penalty shall be suspension for one semester (or a minimum of four months in those colleges in the Medical Center where the semester system is not in use). Penalties more severe than the minimum may be imposed where warranted by circumstances.

1. **Suspension**: Forced withdrawal from the university for a specified period of time, including exclusion from classes, termination of student status and all related privileges and activities. If a student while on suspension violates any of the terms set forth in the nature of suspension he or she shall be subject to further discipline in the form of dismissal. The penalty of suspension shall normally apply to semesters (or other academic terms as appropriate) following imposition of the penalty by the appropriate chancellor. With the consent of the student and the dean of the college in which the offense occurred, the appropriate chancellor may fix an earlier date for suspension. In any case in which the suspension is imposed by the last day to drop a course with no record, it shall apply to that semester. In the case of any student who is graduating, the suspension shall apply to the final semester before scheduled graduation. Suspension for an academic record and shall appear on all transcripts for a period of three years beyond the conclusion of the suspension. (US: 3/7/88).
2. **Dismissal**: Termination of student status subject to the student's readmission. The conditions for readmission will be specified at the time of dismissal. The student may be readmitted to the university only with the specified approval of the appropriate chancellor upon recommendation of the Appeals Board. Dismissal for an academic offense shall be noted in the student's permanent academic record and shall appear on all transcripts for a period of three years from the student's readmission to the university. (US: 3/7/88)
3. **Expulsion**: permanent termination of student status, without possibility of readmission except upon showing that the findings of fact, which formed the basis of action, were clearly erroneous. (To be invoked only in unusual circumstances and when the offense committed is of such serious nature as to raise the question of the student's fitness to remain a member of the academic community.) Expulsion for an academic offense shall be noted in the student's permanent academic record and shall appear on all transcripts permanently. (US: 3/7/88)

See Student Code of Conduct:

<http://www.uky.edu/studentconduct/code-student-conduct>

Appendix G

Plagiarism

PLAGIARISM

All academic work, written or otherwise, submitted by students to their instructors or other academic supervisors, is expected to be the result of their own thought, research, or self-expression. In cases where students feel unsure about a question of plagiarism involving their work, they are obliged to consult their instructors on the matter before submission.

When students submit work purporting to be their own, but which in any way borrows ideas, organization, wording or anything else from another source without appropriate acknowledgment of the fact, the students are guilty of plagiarism. Plagiarism includes reproducing someone else's work, whether it be published article, chapter of a book, a paper from a friend or some file, or whatever.

Plagiarism also includes the practice of employing or allowing another person to alter or revise the work which a student submits as his/her own, whoever that other person may be. Students may discuss assignments among themselves or with an instructor or tutor, but when the actual work is done, it must be done by the student, and the student alone.

When a student's assignment involves research in outside sources or information, the student must carefully acknowledge exactly what, where and how the student has employed them. If the words of someone else are used, the student must put quotation marks around the passage in question and add an appropriate indication of its origin. Making simple changes while leaving the organization, content and phraseology intact is plagiaristic. However, nothing in these Rules shall apply to those ideas which are so generally and freely circulated as to be a part of the public domain.

Cheating: Cheating is defined by its general usage. It includes, but is not limited to, the wrongfully giving, taking, or presenting any information or material by a student with the intent of aiding himself/herself or another on any academic work which is considered in any way in the determination of the final grade. The fact that a student could not have benefited from an action is not by itself proof that the action does not constitute cheating. Any question of definition shall be referred to the University Appeals Board.

Falsification or Misuse of Academic Records (US: 3/20/89; US 4/10/00): Maintaining the integrity, accuracy, and appropriate privacy of student academic records is an essential administrative function of the University and a basic protection of all students. Accordingly,, the actual or attempted falsification, theft, misrepresentation or other alteration or misuse of any official academic record of the University, specifically including knowingly having unauthorized access to such records or the unauthorized disclosure of information contained in such records, is a serious academic offense.

As used in this context, "academic record" includes all paper and electronic versions of the partial or complete permanent academic record, all official and unofficial academic transcripts, application documents and admission credentials, and all academic record transaction documents. The minimum sanction for falsification, including the omission of

information, or attempted falsification or other misuse of academic records as described in this section is suspension for one semester.

Disposition of Cases of Academic Offenses (US: 3/10/86; US: 3/7/88): These rules govern the prosecution of academic offenses defined in Section 6.3. The rules in this section 6.4 are binding upon all persons and groups mentioned in these rules. Instructors who impose penalties for academic offenses without following these rules are violating the due process rights of students. Instructors, administrators, and the Appeals Board do not have the authority to impose penalties less than the minimum prescribed by these rules. Deadlines may be extended by mutual agreement of the parties involved. Information regarding plagiarism is provided by Academic Ombud Services ([link to site](#)).

By signing below, I agree I have read the information in the Plagiarism Appendix.

Student Name (printed and signed)

Date