Student Handbook of Policies and Guidelines for the PhD in Occupational Science

Last updated: August 13, 2023

Program Policies and Guidelines

Table of Contents

The PhD in Occupational Science educates students to engage in the scientific study of human occupation, the purposeful activities that constitute life experiences. This evolving science is chiefly concerned with the unique capacity of humans to develop and orchestrate occupations and enact adaptive behaviors to enhance engagement and participation in daily life. Occupational scientists examine the function, structure, and interrelationships among a complex array of personal, social, community, behavioral, developmental, sociocultural, and environmental factors that influence how we engage in life's activities (i.e., occupations), as well as how our participation in those activities shapes health, identity, sense of purpose, and fulfilment.

The focus on occupation distinguishes this program from closely related disciplines such as psychology, sociology, and anthropology. The program emphasizes the development of research skills, encouraging students to organize and synthesize knowledge that contributes to occupational science theory and furthers the interdisciplinary understandings of occupation, health, and social participation. At its inception, the USC PhD program in occupational science was the first of its kind in the world, and throughout the more than 30 years since, this emergent discipline has remained at the vanguard of translational research. Students in USC's Occupational Science PhD degree program work on cutting-edge research teams, receive individual mentorship from a member of our research faculty, and join a cohort of first-rate doctoral students with similar scholarly interests and aspirations.

At the USC Chan Division, we see occupational science as a discipline in the service of societal needs. Rooted in the practice profession and continuing to inform therapeutic approaches, our Division is committed to socially responsive research that yields measurable differences in people's health and quality of life. We expect our students to generate research that positively improves society through innovations and discoveries that translate into feasible, cost-effective interventions which also enhance educational curricula and are disseminated to broad audiences.

Immersion in Research
Because becoming a career scientist requires conducting research alongside experienced mentors, the signature element of our PhD program is student immersion in an interdisciplinary, externally-funded research group. Throughout the program, students spend a minimum of 20 hours per week (for which a stipend or course credit is awarded) participating as a member of a research team. In the immersion experience, students are involved in the following:

- Formatting important research questions
- Applying for and managing extramural funding
- Collecting, analyzing, and interpreting data
- Disseminating results in peer-reviewed journals
- Attending conferences and giving presentations
- Participating in research lab management
- Other activities that comprise the standard work of a scientist

Research Funding
The Chan Division has one of the finest track records among departments and divisions of occupational therapy and occupational science worldwide. The Chan Division faculty has obtained more than $50 million in research grant funding. Our extramural funding portfolio has included other grants from the NIH, CDC, NIDRR, U.S. Department of Education, American Occupational Therapy Foundation, and numerous other sources.
Interdisciplinary Partnerships

The Chan Division has forged numerous interdisciplinary partnerships that are leveraged to strengthen a PhD student's program of study. Our PhD students have participated in activities at USC's world-class Brain and Creativity Institute and the Dana and David Dornsife Cognitive Neuroscience Imaging Center (directed by Antonio and Hanna Damasio), the cutting-edge Laboratory of Neuro Imaging (directed by Arthur Toga), the Institute for Creative Technologies (directed by Albert "Skip" Rizzo), the Davis School of Gerontology, the Childhood Obesity Research Center, the Institute of Preventive Medicine, and the USC Viterbi School of Engineering. Students also collaborate in research with extramural interdisciplinary teams at other sites, including Children's Hospital Los Angeles, Rancho Los Amigos National Rehabilitation Center, and many other local, regional, and national partners.

In addition to direct research experiences, the Division has access to a vast infrastructure that supports scientific enterprise at the university. For example, through our interdisciplinary partnerships, students are able to perform studies using cutting-edge MRI and attend university seminars offered on topics related to career trajectories or teaching excellence. Students can take cognate courses in any of the university's Schools and Divisions, including, among others, anthropology, education, gerontology, health promotion, neuroscience, public policy, rehabilitation science and sociology.

General Curriculum Requirements
The USC PhD in Occupational Science degree requires 60 units of coursework beyond the baccalaureate degree. All students must complete the core occupational sciences coursework and successfully defend an independent dissertation. Students who have earned a masters and/or doctoral degree may apply for Advanced Standing during their first semester of enrollment. Advanced standing reduces the total number of course units required for the degree from 60 units to 40 units, which includes a reduction in elective coursework beyond the primary occupational science requirements. This opportunity to provides additional time to be dedicated to development of independent research ideas during the pre-candidacy phase of training for advanced students who possess knowledge and skills in research methods and data analysis or who have construct-specific expertise through previous graduate-level training. The program is full-time, and students are expected to complete all coursework, pass a qualifying examination, and finish an independent research dissertation within 5 years.

Students should refer to the University Catalogue (http://catalogue.usc.edu/) for full curriculum details and the associated policy (i.e., *Program Requirements*) for specific details regarding the curriculum.

PhD in Occupational Science
Program Administration and Associated Staff

Administration

Sook-Lei Liew, PhD, OTR/L PhD Program Director, Associate Professor	E: sliew@chan.usc.edu P: (323) 865-1755	Oversight and guidance for the PhD program; enforces program policies; reports to Division, School, Graduate Program and University administration; monitors and supports academic progress; serves as a point of contact for PhD students
Grace Baranek, PhD, OTR/L, FAOTA Associate Dean, Division Chair, Professor	E: chair@chan.usc.edu P: (323) 442-2875	Leadership of the Division; guidance of all faculty, staff, and students to support the Division's vision and mission
Mary Lawlor, ScD, OTR/L, FAOTA Associate Chair of Research, Professor	E: lawlor@chan.usc.edu P: (323) 442-2820	Guidance of research across the Division; oversight of research ethics; support for grant development; promotion of scholarship through external funding, collaborations, and dissemination
Julie McLaughlin Gray, PhD, OTR/L, FAOTA Associate Chair of Curriculum & Faculty, Professor of Clinical Occupational Therapy	E: jmgray@chan.usc.edu P: (323) 442-2877	Direction of core curriculum; oversight of faculty and students; promotion of diversity, inclusion and access across the Division; liaison for student grievances and academic misconduct

Associated Staff

Paul Bailey Webmaster	E: paul.bailey@chan.usc.edu P: N/A	Website profile, publication updates, web requests
Stephanie Lee Budget/Business Technician	E: stephanie.lee@chan.usc.edu P: (323) 442-1460	Travel requests, end of semester reports
Joseph Gonzales IT Manager	E: joseph.gonzales@chan.usc.edu P: (323) 442-4278	Technology queries
Quan Vu Contracts and Grants Coordinator	E: quan.vu@chan.usc.edu P: (323) 442-2032	Grant development and submission
David Xie IT Support	E: it@chan.usc.edu https://help.osot.usc.edu/portal	Computer, network, and user account support
Kimberly Kho, MBA Director of Marketing and Student Recruitment	E: kimkho@chan.usc.edu P: (323) 442-2859	Marketing and recruitment
Amber Bennett, OTD, OTR/L Director of Admissions	E: admissions@chan.usc.edu P: (323) 442-2460	Program admissions and orientation
Jackie Mardirossian, MA, COTA/L, ROH Director of Continuing Education	E: jmardiro@chan.usc.edu P: (323) 442-2811	Building maintenance, keys, and identification
Ryan Pineda Student Services Advisor	E: ryan.pineda@chan.usc.edu P: (323) 442-1865	Course registration, academic progress/review, fellowships
Bianca Ojeda Special Events Program Coordinator	E: bojeda@chan.usc.edu P: (323) 442-1571	Event planning and catering
Sonia De Mesa Department Business Manager	E: Sonia.de.mesa@chan.usc.edu P: (323) 442-2486	RA contracts, financial aid, human resources support
Ann Cassar / Peter Wittrock Administrative Assistantance	E: info@chan.usc.edu P: (323) 442-2850	Classroom scheduling, general administrative support

Policy Name: **PhD Program Faculty Roster**
Approval Date: August 13, 2023
Previous Version: August 15, 2022

GENERAL PURPOSE OF POLICY

The PhD Program Faculty provide guidance and oversight of the PhD Program in Occupational Science. As such, this committee provides input regarding philosophical direction of the program, academic curriculum, program requirements, and other issues related to programmatic administration. In addition, the committee supports decisions related to student recruitment, new student admissions, review of student progress, and other issues related to students in the program.

PROCEDURES / GUIDELINES

Membership on this faculty roster is currently open to individuals who meet requirements for serving as a committee chair for PhD students enrolled in the program. Any faculty wishing to be added to this roster should submit a request, in writing, to the PhD Program Director. All requests will be reviewed by the current members of the program faculty and a recommendation will be made. Final decisions for inclusion on this roster are at the discretion of the Associate Dean and Chair of the Chan Division.

When a quorum* exists, the faculty listed below may provide official recommendations for changes to program guidelines or new/updated policies, as well as make decisions related to students and provide other input on administrative direction of the program. Any recommendations or decisions made by the committee will be documented by the PhD Program Director, to be reviewed by the appropriate administration as needed: Grace Baranek, Associate Dean and Division Chair; Mahvash Navazesh, Associate Dean for Academic, Faculty and Student Affairs; and/or Avishai Sadan, Dean.

	Name	Title	E-mail
1	Agner, Joy	Assistant Professor	joy.agner@chan.usc.edu
2	Angell, Amber	Assistant Professor	amber.angell@chan.usc.edu
3	Aziz-Zadeh, Lisa	Associate Professor	lazizzad@chan.usc.edu
4	Baranek, Grace	Associate Dean, Chair, Professor	baranek@chan.usc.edu
5	Cermak, Sharon	Professor	cermak@chan.usc.edu
6	Cogan, Alison	Assistant Professor	alison.cogan@chan.usc.edu
7	Duker, Leah	Assistant Professor	lstein@chan.usc.edu
8	Lawlor, Mary	Associate Chair, Professor	lawlor@chan.usc.edu
9	Liew, Sook-Lei	Associate Professor	sliew@chan.usc.edu
10	Pineda, Bobbi	Assistant Professor	bobbi.pineda@chan.usc.edu
11	Pyatak, Beth	Associate Professor	beth.pyatak@chan.usc.edu
12	Roll, Shawn	Program Director, Associate Professor	sroll@chan.usc.edu

*6 members will constitute a quorum for meetings and discussions.

This roster will be reviewed on an annual basis by the PhD Program Director and Associate Dean/Chair.

Policy Name: **Program Requirements**
Approval Date: August 15, 2022
Previous Version: November 21, 2016

GENERAL PURPOSE OF POLICY

The primary objective of the PhD in Occupational Science program is to prepare students to become career scientists engaged in the study of human occupation — the purposeful activities that constitute our life experiences. A career scientist conducts independent and or collaborative scientific discovery as part of an identifiable and distinct program of research, engages in effective knowledge mobilization, and is often supported by extramural funding. Within the discipline of occupational science, career scientists engage in these activities across a variety of academic, clinical, community, and industry contexts, and often serve as content experts within collaborative research teams. A rigorous curriculum has been developed to ensure that students graduating from the program have a clear understanding of the core areas of inquiry within the study of occupation and are adequately prepared to be competitive in scientific endeavors. The curriculum utilizes a streamlined and integrative approach to research theory, design, and structure to ensure students achieve a rich conceptualization of the discipline and its core constructs as soon as possible so that they may begin developing their independent research. Along with this curriculum, it is vital to have a rigorous set of guidelines to ensure that students have a rich experience, while being able to complete their training in a timely manner.

PROCEDURES / GUIDELINES

USC Catalogue
Students are responsible for fulfilling all program requirements as described in the USC Catalogue for the academic year they were admitted to the program. It is recommended that each student review the program requirements published in the catalogue at the start of each academic year to determine if there are any relevant, positive updates. With exception of minor grammatical editing or updated program descriptions, the PhD Program Director will notify all continuing students of major changes or updates to the curriculum that could impact progress. At any time, students may elect to update their status to follow requirements of a more recent catalogue year than when they were admitted. Students who wish to update their status, should notify the PhD Program Director and Student Services Advisor in writing of their desired catalogue year. Once a student elects to update their catalogue year, they may not revert back to previous requirements. The current and recent archives of the USC Catalogue can be located on the web at: http://catalogue.usc.edu/

Curriculum Requirements
The current PhD program requires the completed of 60 units including the following:

- Core Courses: OT 640 (4), OT 641 (4), OT 648 (4), OT 649 (4), OT 661 (2), and OT 660 (4 for a total of 8 units)
- Elective Cognate Courses: Minimum total of 26 units
- Dissertation: Minimum of 2 units per semester for at least two semesters (4 units)
- Additional Courses: 4 additional units in an elective cognate or dissertation, either pre- or post-candidacy

Note: Students with an earned masters and/or doctoral degree may apply for Advanced Standing during their first semester in the program. For more details, refer to the associated policy: *Advanced Standing.*

Academic Requirements

- <u>Minimum GPA and Course Grades</u>: Students are required to maintain a minimum grade point average (GPA) of 3.0. Additionally, a minimum grade of C is required for the units of a course to be applied toward the degree requirements.

Registration Requirements
Students are expected to meet the following guidelines regarding course registration and grades:

- <u>Full-Time Status</u>: Students are admitted to the PhD in Occupational Science program as full-time students only, and all students are expected to maintain full-time status throughout their program. PhD students are considered full-time when registered for at least 6 units of 500 level or above course work, or when enrolled in 794 a, b, c, d, or z (Doctoral Dissertation) or GRSC 800 (preparing for the qualifying examination). Students are also considered full-time if they are a Teaching Assistant and are enrolled for the minimum units required for the position.

- Continuous Enrollment: Once a student is admitted to the program, the student must register for at least one course every fall and spring semester until the student completes, defends, makes any post-defense revisions, and submits the dissertation. Students are not required to enroll in a course during the summer; these students should contact the Student Services Advisor for clearance to register for GRSC 801/802.

- Readmission: If a student fails to register for a fall or spring semester and is not on a leave of absence, the student must apply for readmission to the Division, subject to review by the Graduate School.

- On-Site Residency: The PhD in Occupational Science program is an on-site, in-person degree program. Students are required to complete an on-site immersion within a research lab and all courses are expected to be completed in-person. Exceptions may be granted for remote participation in courses and immersion experiences on a limited basis (e.g., during travel for research/training), or if a course has been specifically designed as an online course.

- Waivers/Substitutions/Transfer Units: A maximum of 25 percent (13 units) of the stated degree course requirements (exclusive of 794 Doctoral Dissertation) may be approved for waiver or substitution by other USC course work, directed research, or transfer course work. Substitutions and the use of transfer units must be approved by the Committee Chair. The Chair must complete a substitution form and submit to the Division's Degree Progress Coordinator, for the units to be applied appropriately to the student's degree. The substitution form is available from the Division's Degree Progress Coordinator.

- Early Submission Option for Dissertation: Students are exempted from the requirement to register for OT 794 in a given semester if the Approval to Submit form has been signed by all Dissertation Committee members and the student uploads the approved manuscript to the Graduate School by the add/drop deadline in that semester. It is recommended that students submit all forms and obtain committee signatures on the electronic approval form at least one week before the add/drop deadline to allow time to upload the final manuscript.

Degree Progress
Students are expected to make regular progress toward degree completion, such that all requirements are completed in a timely manner. Students and advisors should keep the following in mind to ensure satisfactory progress occurs:

- Time to Completion of Coursework: Students are expected to complete all required course work and be preparing for their comprehensive qualifying exam within 2 years of starting the program (i.e., six semesters, including summers). To achieve this goal, students should take 10-14 units of course work each fall and spring, as well as 2-4 units each summer. Students who have advanced standing may be able to achieve completion of coursework in two years with slightly reduced unit counts.

- Time to Degree Completion: The PhD in Occupational Science program aims to support degree completion within 4 to 5 years. To expedite this process, students are encouraged to have early and on-going discussions with their advisor/mentor regarding their course plan and formulation of a research topic. Students who have completed a Master's degree within 5 years of starting their PhD program have 6 years from the date of completion of the first course to complete their degree. All other students have 8 years to complete the degree.

- Dissertation Submission and Graduation: As students approach the completion of their degree requirements, they should be aware of deadlines and other timelines. Students should contact the Student Services Advisor at the start of the semester they intend to complete all degree requirements to identify the specific dates and deadlines to ensure they will complete on time. These deadlines include applying for graduation, submitting the committee approval form (i.e., passing the dissertation defense), and submitting the approved written dissertation for review. Students should plan as much extra time into their timeline as possible, as it can take approximately three weeks for the thesis editor to complete a review of the submitted work. Once students receive email notification of the required changes from the editor, and students have five days to submit corrections. If there are additional changes required, the student is again notified by email and has three days to make any final changes. For more details, refer to the associated policy: *Submission of the Dissertation.*

Forms
All forms, unless otherwise noted in a specific policy, should be submitted to the Division's Student Services Advisor. Two key forms are required: Appointment of Qualifying Committee and Appointment of Dissertation Committee. Students are responsible for completing all necessary information on the form and obtaining signatures from their Chair and committee members. Official signatures from the Associate Dean/Program Director and Dean will be obtained by the Student Services Advisor. Forms can be downloaded from the Graduate School's website at
http://graduateschool.usc.edu/current-students/guidelines-forms-requests/

SECTION II: PROGRAM PROCESSES*

*Policies are organized in chronological order as the processes occur in the timeline of a student's program.

Policy Name: *Course Plan and Academic Progress Contracts*
Approval Date: August 15, 2018
Previous Version: November 21, 2016

GENERAL PURPOSE OF POLICY

USC and the Chan Division wish to ensure that each student acquires an appropriate breadth and depth of knowledge within the realm of Occupational Science, research design and methods, and specific cognate focus areas. In addition, it is imperative that students receive adequate opportunity to develop skill in the development and completion of research through immersion experiences and individually directed projects. It is vital that each student develop a plan for completing appropriate courses and training, along with annual goal setting to promote efficiency and support progress toward a suitable time to degree completion.

PROCEDURES / GUIDELINES

Establishing a Corse Plan
New students are encouraged to meet with their advisor, at the latest, the week prior to the start of classes for their first semester in the program. At this time, the advisor and student should review the program curriculum and establish an initial course plan that meets the minimum course, unit, and milestone requirements as specified by the curriculum. This course plan should include the following:

- *Required Core Courses*: Each of the five required classes (i.e., 640, 641, 648, 649, 661) and the four sections of research immersion (i.e., 660) should be located in the relevant semesters for the first two years.

- *Elective Units*: Elective units should be distributed through the course plan to ensure the minimum number of units are achieved prior to qualification exam (i.e., 26 for full standing, 10 for advanced standing). The student and advisor should work collaboratively to identify appropriate electives. It is important to place specific elective courses on the course plan as soon as possible to ensure that the course plan will accommodate courses that are only offered in specific semesters and for timely completion of classes that may be pre-requisites for other electives. In addition, the student and advisor should be aware of the total unit count for any given semester to ensure to that the student can be successful in managing the course-load along with other requirements (e.g., RA duties, immersion requirements).

- *Dissertation Units*: A minimum of two semesters at 2-units each of dissertation (i.e., 794a-b) must be planned. Up to four semesters for a total of 8-units can be added (i.e., 794a-d), after which the dissertation can be completed, but no additional units can be accumulated (i.e., 794z)

- *Milestones*: The course plan should estimate the semester in which the qualifying exam will be completed, as well as when the dissertation proposal and final defense will occur. Establishing these goals at the outset of the program will help to provide targets for the student.

Annual Academic Progress Contract
Each student should meet with his/her advisor at the start of every academic year to review progress toward program milestones and develop goals for the upcoming academic year. At this time, the course plan can be updated and the annual academic progress contract should be completed. Any specific needs or supports necessary to assist the student in attaining goals should be clearly described in the contract, including but not limited to alterations in research assistantship assignments or work hours.

- *First-year students* should complete and review this academic progress contract with their advisor by the end of the first semester, submitting a copy of this contract to the Degree Progress Coordinator no later than December 1 of the first year in the program.

- *Continuing students* and advisors should review the MOU and previous year's contract, complete an updated contract below, and submit a copy of the signed contract to the Degree Progress Coordinator by October 1 at the start of each academic year.

The mentoring memorandum of understanding (MOU, see related policy) should be reviewed and updated in conjunction with the development of the annual academic contract. Revision of the MOU is especially important in cases where poor academic progress is identified by the PhD program faculty or advisor, mentor or mentee issues have arisen, or alterations to previously agreed-upon research assistantship work-loads or work-hours will be enacted during the upcoming year.

A copy of the academic progress contract is appended. An editable version of the document is available in the PhD student resources folder on the Division's shared drive.

PhD Program in Occupational Science
Annual Academic Progress Contract

Student Name: _____ Academic Year: _____

First-year students should complete and review this academic progress contract with their advisor by the end of the first semester, submitting a copy of this contract and the mentoring memorandum of understanding (MOU) to the degree progress coordinator no later than <u>December 1</u> of the first-year in the program. **Continuing students** and advisors should review the MOU and previous year's contract, complete an updated contract below, and submit a copy of the signed contract to the degree progress coordinator by <u>October 1</u> at the start of each academic year.

Academic Progress: Update the status of your progress toward meeting the program milestones on the second page of this report. In the space below, note your plans for this academic year related to these milestones, and be sure to comment on any challenges you've faced in achieving the targets

Goals and Achievements: List specific, measurable goals for the upcoming academic year related to your development as a career scientist and completion of your PhD training. Goals often involve completion of elective coursework, attainment of specialized training, submission and/or publication of papers, completion of professional presentations, as well as other individualized outcomes. Setting general or specific target dates for completion may be useful.

Goal	Target Date

Support: Note any specific activities or supports that will be needed or used to facilitate progress toward milestones or goals attainment in this academic year (e.g., meetings with advisor, writing supports, student's reduced work hours).

Student Signature: _____ Date: _____

Faculty Advisor Signature: _____ Date: _____

USC Mrs. T. H. Chan Division of Occupational Science and Occupational Therapy

Milestones: The following guidelines are provided for purposes of monitoring progress toward achievement of the doctoral degree. Required and target timeframes are provided as a guiding template for the advisor and student to project completion dates and evaluate progress. This form should be used to assist the advisor and student in establishing annual goals and identifying mentoring, training, or other needs. In addition, this plan will be used by the PhD program faculty to conduct their annual evaluation of student progress in the spring of each academic year.

Note: 'Consecutive semesters' means continuous enrollment in 3 semesters each calendar year (i.e., fall, spring, summer)

	Milestone	**Date Anticipated**	**Date Completed**
1	**Appoint Committee Chair**	*At Admission*	*At Admission*
2	**Develop Course Plan and Mentoring MOU** Required**:** End of 1st semester (Dec. 1); must be reviewed and revised at the beginning of each academic year or as needed		
3	**Complete First-Year Screening** Required**:** End of 2nd semester; no later than completion of 24-units of coursework (Spring, Year 1)		
4	**Complete Core Courses** Target**:** End of 6 consecutive semesters (Summer, Year 2)		
5	**Complete Elective Courses** Target**:** End of 6 consecutive semesters with advanced standing (Summer, Year 2); 7 semesters for all other students (Fall, Year 3)		
6	**Appoint Advisory/Qualification Committee** Target**:** End of 6 consecutive semesters (Summer, Year 2); no later than one semester prior to scheduling the qualification exam		
7	**Pass Qualification Examination** Target**:** End of 7 consecutive semesters with advanced standing (Fall, Year 3); 8 consecutive semesters for all other students (Spring, Year 3)		
8	**Appoint Dissertation Committee** Target**:** As soon as possible after completion of qualification exam, typically by the end of the following semester		
9	**Dissertation Proposal Approval** Target**:** End of 8 consecutive semesters with advanced standing (Spring, Year 3); 9 consecutive semesters for all other students (Summer, Year 3)		
9	**IRB Approval and Commence Data Collection** Target**:** Prior to Fall of Year 4		
10	**Present Dissertation and Pass Oral Examination** Target**:** Spring or Summer of Year 4 with advanced standing; Fall or Spring of Year 5 for all other students		
11	**Submit and Obtain Acceptance of Written Dissertation** Target**:** Summer of Year 4 with advanced standing; Spring of Year 5 for all other students		

Policy Name: **Advanced Standing in the PhD Program in Occupational Science**
Approval Date: August 13, 2023
Previous Version: May 12, 2022

GENERAL PURPOSE OF POLICY

Given our strong focus on developing career scientists, we strive to recruit and enroll highly-qualified and talented students. Many of these students have completed extensive master's and/or doctoral level training and are well-prepared to engage in advanced learning and immersive experiences. To ensure that these students do not have a heavy pre-candidacy course load and we have established an Advanced Standing track that will allow students to achieve a more intensive focus on applied research experiences during their program.

PROCEDURES / GUIDELINES

Impact on Program Requirements:

Advanced Standing reduces the required total number of units for graduation from 60 to 40. Students on this track will complete all required core courses and research practica but are only required to complete 10 units of elective cognate courses instead of the 26 units typically required. The reduced pre-candidacy cognate course load will provide students with the opportunity to dedicate more time and energy to their core courses and applied research experiences. Students with Advanced Standing must still complete all other program requirements, including passing a qualifying exam and successful completion of an independent dissertation.

Eligibility:

● Students in the PhD program who have an earned masters or doctorate degree.

Application for Advanced Standing:

Students wishing to be considered for Advanced Standing should discuss this option with their committee chair. The student and his/her committee chair should submit a request, in writing, to the PhD Program Director for consideration of approval of advanced standing. At a minimum, this request should include:

● A description of the student's previous graduate coursework and training, indicating the relative strength of the student's previous academic program, especially in cases where the program/institution is not widely known.

● A summary of how the student's previous graduate coursework and/or other experiences have adequately prepared the student to succeed in both the PhD program and completion of a dissertation project given a reduced requirement for the completion of only 10-units of cognate coursework.

● A statement from the student's committee chair (i.e., primary advisor) verifying support of the request and any additional information necessary for the Program Faculty to adequately consider the request. Students may submit requests without support of their committee chair, but are strongly encouraged to contact the PhD Program Director to discuss this process.

Deadlines:

All requests for Advanced Standing should be submitted to the PhD Program Director **no later than November 1 of the student's first semester** in the program. In general, requests will be considered by the PhD Program Faculty during a regular meeting during the student's first semester in the program. However, requests for Advanced Standing may be submitted at any time, including by applicants during the admissions process. Such requests should include the same information as required by students fully admitted to the program. Requests received prior to a student's participation in the research lab or core courses may be deferred by the Program Faculty for later decision. **Decisions on Advanced Standing status should be made by the end of the student's first semester**. Students who do not have a graduate degree conferred at the time of decision may receive contingent approval or may be further deferred by the committee.

Policy Name: ***Review of Academic Progress***
Approval Date: August 15, 2018
Previous Version: November 21, 2016

GENERAL PURPOSE OF POLICY

Academic progress reviews are routinely conducted for all PhD students to ensure students are meeting requirements and making adequate progress. The purpose of this regular review process is to evaluate a student's academic standing, timely progress toward completion of program requirements, professional behaviors, and overall fit between the student and the PhD program in Occupational Science. Ultimately, the goal of this review process is to ensure that all students will be successful in their program and future careers as occupational scientists.

PROCEDURES / GUIDELINES

Types and Timeframes of Review

Academic progress is reviewed through a variety of on-going informal methods and two primary formal processes.

Informal Reviews
- Mentoring Meetings (quarterly): It is expected that the student and advisor will meet at least quarterly to discuss academic standing, progress toward degree completion, and overall performance in other activities (e.g., immersion participation, manuscripts). Any concerns regarding satisfactory progress should be documented, with development of a clear action plan for improvement. Additional considerations and expectations for mentoring are included in the associated policy, *Advising Plan and Memorandum of Understanding*.

- Degree Audit (each semester): The Division's Student Services Advisor and the PhD Program Director will conduct a review of completed courses, course grades, and overall GPAs for all PhD students at the conclusion of each semester. The advisor/mentor for any student who has failed to meet minimum requirements for any individual course (i.e, C) or approaching the minimum GPA (i.e., 3.0) threshold will be notified. Any student who fails to meet minimum requirements in a core course or falls below the minimum GPA (i.e., 3.0) will be provided with a written warning, indicating the necessary steps to ensure they are not dismissed from the program.

Formal Reviews
- First-Year Screening (spring semester): All PhD students are required to complete a first-year screening process, which must be conducted prior to the student having completed 24 units of coursework. This screening process is used to make recommendations to the student and his/her advisor regarding the continuation and future direction of the student's academic plan, including any supports, coursework, mentoring or other considerations as needed to ensure success. Details regarding this screening process are provided in the associated policy, *First-Year Screening.*

- Continuing Student Review (spring semester): Academic progress and overall performance of each PhD student in the program is reviewed annually by the PhD Program Faculty. This review typically occurs at the final program meeting or curriculum review meeting occurring at the end of spring semester. During this meeting, the PhD Program Director summarizes the student's course/academic standing, the student's mentor/advisor informs the committee of the student's current progress relative to coursework or dissertation plans, and other faculty who have interacted with the student during the academic year (e.g., courses, committees) provide additional feedback. Achievements (e.g., awards, publications) and other success are reported, as well as concerns, challenges, or any other probationary warnings are discussed.

Additional Reviews of Academic Progress
- In addition to the review mechanisms noted above, all students are required to pass a comprehensive, qualifying exam and successfully defend their dissertation, both of which serve as formal reviews of academic progress. Please refer to individual policies on each of these events for more information.

Outcomes of Academic Progress Reviews

Following the completion of the first-year screening committee meeting and annual student review process each spring, the PhD Program Director will provide each PhD student with an official letter summarizing the results of his/her review. This letter will reflect one of three findings of the committee:

A. **Continuation in Good Standing**: Students considered to be in good standing will have meet all minimum requirements of the program (e.g., GPA, completion of required course units) and have demonstrated potential to successfully complete the PhD in Occupational Science. Recommendations for the student's course plan, dissertation, mentoring, or other areas for improvement will be provided within the student's letter. Research assistantships and any other contractual arrangements will be re-issued for the upcoming academic year.

B. **Continuation with Improvement Plan**: Students who are not making satisfactory progress, have struggled to meet minimum requirements of the program, or exhibit other behaviors of concern to the committee will continue in the program in a probationary period. The committee will recommend an improvement action plan, which will be appended to the student's review letter. The improvement plan will indicate: (1) the specific deficiencies and concerns that led to the committee's decision, (2) corrections that need to be made by the student, (3) a timeframe for the student to improve his/her performance, (4) the process through which the student will be re-reviewed, and (5) potential outcomes of the re-review process (i.e., removal of probation, continuation of probation with an updated improvement plan, or dismissal). Research assistantships and any other contractual arrangements will be re-issued for the duration of the probationary period, with a stipulation for continuation for the full upcoming academic year based on a satisfactory finding during re-review.

C. **Dismissal**: Students who have not met the minimum requirements; have exhibited a pattern poor or unprofessional behaviors; and/or appear to lack commitment to or understanding of core concepts, theories, and requirements of a career scientist in occupational science will be dismissed from the program. Unless a student is being dismissed for failure to meet minimum requirements for course completion, no student should be dismissed without documentation of previous attempts to improve a student's standing. Documentation may include items, such as, electronic communications from faculty/peers, notes from mentoring meetings, or student-signed improvement plans.

Dispute of Academic Progress Evaluation

Student's wishing to dispute or appeal any results of an academic progress review should refer to the appropriate University's Policy (i.e., SCampus Part C: https://policy.usc.edu/scampus-part-c/). Appeal of program dismissal should be made to the PhD Program Director and Associate Dean within 30-days of the date of dismissal. If the student is dissatisfied with the outcome of the appeal, then, within 30 days of the date of the Division's decision, he/she may appeal in writing to the dean of the school. If the second appeal is unsuccessful, then the student may appeal in writing to the Vice Provost for Graduate Programs. Such an appeal must be received within 6 months after the student has received notice of the outcome of the school's decision.

Policy Name: **First-Year Screening**
Approval Date: August 13, 2023
Previous Version: November 21, 2016

GENERAL PURPOSE OF POLICY

Screenings are routinely conducted with all students to ensure that our PhD students are meeting requirements and making adequate progress. Completing an in-depth screening at the end of a student's first-year is a Graduate School requirement. The purpose of this process is not only to evaluate a student's progress toward meeting academic expectations of the program, but to ensure that there is a fit between the student and the PhD program in Occupational Science. Ultimately, the goal of this process is to ensure that all students are able to be successful. This screening process is used to make recommendations to the student and his/her advisor regarding the continuation and future direction of the student's academic plan, including any supports, coursework, mentoring or other considerations as needed to ensure success.

PROCEDURES / GUIDELINES

Timing of Screening

All PhD students are required to complete the first-year screening process, which must be conducted prior to the student having completed 24 units of coursework. Given the curriculum design, students should be prepared to submit all required materials **by April 15 of their first year** in the program (except for a clean copy of their final paper for their spring course, which can be submitted at the completion of the course), so that materials can be reviewed within the parameters set forth by the Graduate School.

Required Materials

Students are required to submit three items for consideration:

1. A personal statement, limited to two single-spaced pages, that demonstrates and addresses:
    a. An understanding of occupational science theory and concepts;
    b. The current direction of research/career interests in relation to occupational science;
    c. A description of a course plan and indication of how the plan supports research/career interests; and
    d. A current conceptualization of the planned direction for dissertation work, including any thoughts regarding mentorship needs and potential members of the advisory and dissertation committees.

2. A clean copy of papers written for required and/or elective courses, which best represent writing and scholarship. Submitted papers should represent the student's own individual writing, without editing contributions from an advisor or any other individuals.

3. A current curriculum vita.

Screening Process

A committee of PhD Program Faculty will be convened annually at the end of Spring Semester to complete the screening process. The first-year screening committee will be chaired by the PhD Program Director and should consist of a minimum of three members, which must include the primary mentor(s)/advisor(s) of any student being reviewed. PhD Program Faculty members who provided instruction in core courses during the current academic year may choose to participate in the screening meeting or may submit written comments regarding the students being reviewed; other Division faculty members who have provided instruction may also submit written comments.

The committee should dedicate adequate time to a discussion and review of each student, to ensure a fair and equitable process is conducted. Each individual review should begin with an introduction and overview provided by the student's faculty mentor/advisor, followed by a discussion of the student's submitted materials and any other information provided to or by the committee. The discussion will focus on status of completed coursework, future course plans, involvement in the research immersion and other research activities, and general progress toward becoming a career scientist in occupational science. The PhD Program Director will provide each student with summary of the results of the review as described in the associated policy, *Review of Academic Progress.*

Policy Name: ***Teaching Experiential Component***
Approval Date: August 13, 2023
Previous Version: May 11, 2021

GENERAL PURPOSE OF POLICY

To prepare students for anticipated roles as faculty members, a teaching component is incorporated into the program.

PROCEDURES / GUIDELINES

Teaching Development Plan
After passing the first-year screening, students will meet with the Associate Chair for Curriculum and Faculty to discuss their career trajectory and determine what type of teaching experiences will support future success. Based on future goals and past experiences, a Teaching Development Plan will be created. Students will choose from the list of progressively more advanced competencies provided below to develop an individualized teaching development plan. *At a minimum, each student is required to provide instruction for at least one OS minor class (1 class/day) by the end of their second year.* At a minimum, each student is required to deliver guest lectures or assist in lab instruction at least four times in total. The student will work with their immersion advisor to plan and schedule the mentored teaching experiences in a manner that ensures the timing complements research lab participation and progression of dissertation plans.

Teaching Opportunities
- Guest lecture or lab instruction (e.g., individual presentations)
- Structured mentoring experience (e.g., independent study with BS or MA student)
- Unit or module instructor (e.g., 2-4 class sessions)
- Course TA or lab assistant (e.g., engaging in various course or lab aspects with a faculty mentor)
- Course co-instructor (e.g., working alongside faculty assigned a course section)
- Section lead instructor (e.g., managing all aspects of a course section in parallel with faculty in other sections)

Competencies
Classroom Instruction:
- Deliver a lecture on an educational topic / providing laboratory demonstration and instruction
- Provide on-line educational material in synchronous or asynchronous styles
- Facilitate group discussions or learning activities
- Provide 1:1 mentoring and instruction to support achievement of a student's professional and scholarly goals
- Deliver content and lead activities across multiple sessions that meet a set of learning goals for a course module
- Collaborate with a co-instructor to provide content in a manner that supports student learning
- Provide content while independently managing the classroom environment

Course and Instructional Development:
- Develop learning objectives and relevant course materials
- Set up course materials, activities, communications using a learning management system (Blackboard)
- Develop materials for asynchronous learning using on-line or remote education models
- Participate in aspects of curriculum design and/or accreditation processes and reports

Assessment of Learning and Student Assessment of Instruction:
- Develop multiple choice/short answer exams and grading guidelines
- Develop written assignment(s) and rubric for grading
- Design, implement, and analyze mid-semester course evaluations
- Perform item analysis and finalize grades for multiple choice or other quantitatively scored exams
- Grade short answer exams and/or written assignments and provide student feedback
- Analyze overall course grades across all students and assign final grades

Examples of Other Competencies:
- Synthesize student questions and comments to provide constructive feedback to support learning and growth
- Manage classroom conversations, discussions, and reflections to maintain decorum and for time-keeping
- Hold office hours and manage individual student meetings to support student performance
- Mentor students to identify individualized learning goals and provide supportive scaffolding and guidance

Policy Name:	*Qualifying Examination*
Approval Date:	September 9, 2022
Previous Version:	May 12, 2020

GENERAL PURPOSE OF POLICY

The Qualifying Exam is required for all PhD students. Per graduate school guidelines the exam consists of both a written and oral section as follows:

"The examination qualifying a student for candidacy for the PhD degree is comprehensive in nature, partly written and partly oral, designed, at least in part, to test the student's fitness to undertake independent research." Furthermore, "The fact that a student has done well on the written examination is not to be construed to mean that the oral examination is to be a pro forma exercise. The oral examination is a serious and integral part of the qualifying procedure and is administered on campus."

PROCEDURES / GUIDELINES

Exam Committee
An exam committee of five faculty must be established and approved at least four weeks prior to initiation of the written portion of the qualifying exam. For details on the required members and the process for establishing this committee, see the associated policy: *Committees for the Qualifying Exam and Dissertation*

Exam Preparation
At least 4 weeks prior to beginning the Qualifying Exam, the student must submit to the Chair an overview of the dissertation proposal. The overview should be a minimum of three pages in length and must include a background of the study, primary goals and aims, and a description of the study design. At the time this plan is submitted, the Chair and student should meet to discuss core content areas for the exam. At least 2 weeks prior to the Exam, the Chair will share four documents with the exam committee: (1) a dissertation overview, (2) the student's CV, (3) a list of completed elective coursework, and (4) proposed content areas. The chair will convene a committee meeting prior to the start of the exam. to ensure that all committee members understand the exam process, especially those from outside the Division or external to the University. The committee should review the proposed core content areas and come to a consensus regarding the final content to be examined across four questions. One committee member should be assigned to each area as the primary question writer and reviewer of the student's written response. The fifth committee member will review all four questions and written responses to ensure that question depth and breadth are similar across questions and that each response has been graded equitably by the individual committee members. The student should not attend the planning meeting but will be informed of the final core areas selected for the exam. To prepare for the exam and gain insight into the type of questions that will be asked, the student should draft at least two questions, one each related to occupational science and research methods. The Chair shall provide feedback and engage in an iterative process of editing until the question achieves the depth and breadth appropriate for a qualifying examination. The student may choose to submit as many questions across the four content areas as desired.

Written Exam
The written portion of the exam, which must be completed first, consists of responses to four questions. At least one question must focus on core concepts of Occupational Science, one question must be related to research methods and design, and one question must ask about the content within the student's area of focus. Questions should examine the breadth and depth of the student's knowledge in each content area, avoiding a singular focus on content within the proposed research plan. Questions drafted by the student should be considered, but the final questions should be agreed to by the Chair and the individual committee member assigned to review each area. The Chair should consult with the fifth committee member to ensure that the final questions are of similar rigor and do not substantially overlap.

The format for executing the written portion of the exam is at the discretion of the Chair and the Exam Committee; however, to ensure parity among students, the structure must fall within the following guidelines:

- Students should be given at least 2 days and a maximum of 5 days to respond to each question
- The total time for the written exam process should last no longer than 4 weeks
- Questions may be provided individually or grouped together for response by the student
- Written responses should be concise, well-referenced, and demonstrate an appropriate depth of knowledge in no more than 10 single-spaced pages per question

Each committee member has 2 weeks to grade his/her assigned question and inform the Chair of the "Pass/Fail" grade for that question. Receiving a passing grade on at least 3 out of 4 questions is required for eligibility to take the oral exam; however, the student may be asked to rewrite the failed question before moving on to the oral exam. Per the Graduate School: "*If the committee concludes that the written portion of the exam is so weak that the oral portion cannot counterbalance the poor performance, the student does not proceed to the oral and the exam is failed. The committee may provide the option of a retake but is not required to do so. If the committee decides that a retake is not warranted, the student is dismissed from the program*." A student <u>may</u> be provided with feedback on the strengths and areas for improvement on any question that is graded as "Pass," and a student <u>must</u> be given feedback regarding areas of weakness for questions graded as "Fail." Prior to the oral exam, each committee member is expected to read responses to all questions and may ask questions about any of the submitted responses during the oral exam.

Oral Exam
The oral exam is primarily based on the questions from the written exam but can include additional questions from the committee related to the student's cognate area and dissertation plans. The oral section does not need to occur in the same semester as the written portion, but it must occur with 60 days following submission of the written exam. A 2-hour limit is set for the oral exam. This exam is not open to the public.

Outcomes of Qualification Exam
In accordance with graduate school requirements, there are three possible results of the qualifying exam process:
- ***Pass*** and proceed to candidacy based on a positive vote by members of the committee.
- ***Fail with the option to retake*** either specific sections of the exam or the whole exam, at the discretion of the committee. The student may not be required to repeat parts of the qualifying examination that were passed on the first administration; thus, if the student passes all 4 questions on the written portion of the exam but fails the oral portion, only the oral portion must be repeated. The retaking of any portion of a qualifying examination must take place between one and six months from the date of the first examination.
- ***Fail with the result of dismissal*** from the program**.**

A student who fails the qualifying exam a second time is automatically dismissed from the program.

Additional Procedures
Enrollment: Generally, the qualifying exam should be completed no later than the second semester after the completion of all required coursework. If not enrolled in other credits during the semester(s) they are taking the exam or repeating any portion of the exam, students must register for GRSC 800 (Studies for the Qualifying Exam). GRSC 800 is a zero-unit course, but it fulfills the requirement for continuous enrollment and allows all RA stipends or fellowship payments to continue while a student completes the qualifying exam process. Enrollment is limited to two consecutive semesters of preparation for the qualifying examination for Occupational Science students. After two semesters, the student will receive an academic warning letter that provides requirements to finish the exam within one additional semester.

Scheduling: Students must reserve a room for their oral exam and inform the Division's Student Services Advisor of their oral exam date, who will facilitate completion of the required forms. The "*Report on the Qualifying Exam*" form will be provided to the Chair of the committee several days before the exam. The Chair is responsible for returning the completed form to the Student Services Advisor no later than 48-hours after the exam. The student is not allowed to deliver the form and the form should not be delivered directly to the Graduate School.

Exam Record: Following completion of the exam, pass or fail, the Chair should submit the digital documents containing the four questions and the student's final written responses to the Degree Progress Coordinator for filing in the student's electronic record along with a copy of the "Report on the Qualifying Exam."

Academic Integrity: The qualification process is considered an examination that is subject to academic integrity policies of the University and Chan Division. Students, advisors, and committee members shall not share questions, written responses, or details of any closed oral exam with other students. This does not limit candidates or faculty from providing general advice, mentorship, or review of questions written by the student who is preparing for the exam.

Policy Name: ***Dissertation Proposal***
Approval Date: September 10, 2021
Previous Version: November 21, 2016

GENERAL PURPOSE OF POLICY

The first step of any research is the development of a protocol that lays out the problem to be address or gap in knowledge to be filled, a theory or framework under which this problem may be approached, and a detailed description of the methods to be used in carrying out the research. Students in a PhD program must be able to complete this step prior to undertaking their own independent research. To ensure that a student has the requisite skills in designing a research study, the student will develop a proposal for the research to be completed as part of the dissertation that will be reviewed and approved by the student's dissertation committee.

PROCEDURES / GUIDELINES

Proposal Requirements
A dissertation proposal must be developed in consultation with the Dissertation Committee Chair to meet the following guidelines:

- Consist of at least 30 double-spaced pages.

- Include a rationale for the dissertation, a concise and incisive synthesis of literature, a methods section, any preliminary data gathered, and publication plans for work that emanates from the dissertation.

- Additional specific formatting requested by the student's committee chair or committee members. Students may be encouraged to develop their proposal in a format like the opening chapter(s) of the final dissertation. When appropriate, the proposal may be written in the form of a grant application, with addenda/appendices that address any of the requirements listed above that would not otherwise be included in the grant application.

Committee Review and Approval
The student is required to obtain approval of their dissertation proposal from the Dissertation Committee through a proposal meeting. Scheduling and organization of the meeting is at the discretion of the Chair and Committee, but should be completed with the following considerations in mind:

- The proposal meeting must occur, and the project must be approved by all members of the Dissertation Committee, prior to the initiation of any data collection for the dissertation. If preliminary data have been obtained prior to the proposal approval, the student must describe the independent contribution and gain approval from their committee to include this work as part of their dissertation.

- The Dissertation Committee members should have each signed the *Appointment of Committee Form* prior to conducting the proposal meeting. In accordance with sustainability policies, the proposal should be provided to these committee members electronically (e.g., e-mail, file-sharing).

- If the student submits a full proposal prior to the qualifying exam, the proposal meeting may occur immediately following the successful passing of the oral qualifying exam. However, this proposal meeting should be a distinctly different activity. The proposal should not be discussed during the oral exam, and the quality of the proposal should not be considered by the committee when determining the results of the student's qualifying exam.

- If the proposal is developed after passing the qualifying exam, the proposal draft should be submitted to the committee a minimum of 4 weeks prior to the dissertation proposal meeting.

- No official approval form is required. Instead, verbal assent from each committee member in support of the proposed dissertation is required for a student to begin their dissertation work. The committee may approve the entire dissertation or selected portions, in which case approval can occur at a follow-up meeting or be deferred to individual committee members. If none of the proposal is approved a second full committee meeting is required.

- Substantial adaptations or changes to the dissertation after approval of the proposal should be presented to and vetted by all members of the student's committee in a manner deemed appropriate by the committee.

Policy Name: **Dissertation Format**
Approval Date: November 21, 2016
Previous Version: September 9, 2015

GENERAL PURPOSE OF POLICY

The PhD dissertation represents independent scholarly work that makes an original contribution to knowledge. It is a demonstration that the PhD candidate has achieved sufficient mastery in the field to pursue independent research and scholarship. Completing this final requirement in the PhD in Occupational Science indicates that the student achieved success in the mechanics of completing an independent research project from conceptualization through interpretation. It is important to ensure that the results of this process are systematically and fully documented in the written dissertation.

PROCEDURES / GUIDELINES

Approved Dissertation Models
Two dissertation models are approved for use by students completing a PhD in Occupational Science, including a *traditional* format and an *article-based* format. Decision of the dissertation model should be made in consultation with the Chair and Committee. Descriptions of these two models follow

Traditional Format
The traditional dissertation format is an appropriate option for students conducting work that may not be easily or readily divided into discrete publishable units. The traditional dissertation model includes a minimum of four chapters, including: **Introduction/Background**, **Methods**, **Results/Findings**, and **Discussion/Conclusions**. In most cases, students will find it necessary to create multiple sub-sections, especially within the background and findings chapters of the document. In some cases, it may be appropriate for these sections to be divided into multiple chapters. Students should work directly with their Chair and Committee to determine the most appropriate organization based on their work.

Article-Based Format
The article-based format is the preferred style for the majority of students in the PhD in Occupational Science program. When utilized appropriately, this format promotes the completion of publication ready manuscripts. The article-based dissertation model should include a minimum of five chapters, including: **Introduction**, **3 Journal-Ready Articles**, and **Discussion/Conclusions**. Additional considerations for this format follow:

- The **introduction** should include an overview of the current state of knowledge and provide a clear statement of purpose for the articles that follow.

- The need for a separate **methods** chapter is negotiated with the chair. This chapter may be necessary should the scope of the methods sections in each article be inadequate to explain overarching or highly specific methods used to complete the dissertation research.

- The **three articles** that comprise the results of the dissertation should be independently written by the candidate in journal-ready format (including the abstract). These **three articles** may be from a set of related studies or several distinct findings from one study. If including a set of related studies, the overarching themes linking the studies must be clearly delineated in the introduction chapter of the dissertation and fully integrated in the discussion/conclusions chapter.

- At least **two of the three articles** should be based on research data collected and/or analyzed by the student as part of the independent dissertation process. If the third article is conceptual, theoretical, or metaanalysis/systematic review, it should be clearly related to the student's original research reported in the other two articles. In addition, the content of this third article should not overlap significantly with the introduction or conclusion chapters of the dissertation.

- The **discussion/conclusion** chapter should synthesize the findings of the three articles and provide a thorough discussion of how the findings relate to, advance, or inform current evidence. This chapter should suggest future directions for advancing knowledge and/or practice in the content area.

Graduate School Formatting Requirements

The Graduate School requires that the following elements be included as part of the final dissertation:

- Title Page:

<div align="center">

(Dissertation Title)
(Author)
Mrs. T.H. Chan Division of Occupational Science and Occupational Therapy
Doctor of Philosophy in Occupational Science
University of Southern California
(Degree Date)

</div>

- Table of Contents

- Main Text

- References/Bibliography

- Additional elements, such as data tables/graphs, a dedication page, a signature page, formal acknowledgements, and appended information may be included at the discretion of the student.

Submitting Manuscripts from the Dissertation for Publication

While students should be encouraged to submit manuscript for publication, multiple guidelines should be followed when submitting work from the dissertation for consideration of publication:

- Discussion of authorship for eventual publication of articles from the dissertation should begin at the time of dissertation proposal.

- The timing for submitting articles from the dissertation for publication is negotiated with the Chair and Committee. Students should not submit any manuscript that is part of their dissertation without approval of their Committee.

- Submission of manuscripts may occur prior to completion of the full dissertation. If articles are submitted prior to final defense and approval of the dissertation, the chapter being submitted must be approved by the committee as quality independent work. Unanimous agreement that an article meets the necessary quality requirements for independent final dissertation work should be obtained prior to the committee contributing any edits.

- Only original, independently written manuscripts should be included as chapters in the final dissertation. Small copy edits and other changes made by the student based on committee feedback are appropriate; however, major edits completed by any committee for purposes of publication should not be included as part of the dissertation.

Policy Name: ***Dissertation Defense: Process, Scheduling, and Announcements***
Approval Date: August 15, 2021
Previous Version: March 23, 2018

GENERAL PURPOSE OF POLICY

The final defense of the dissertation is the penultimate event leading to graduation for every PhD student. Given the ramifications of this event, it is vital that it meets the requirements set forth by the University to ensure that the student has in fact completed their independent dissertation work at a level commensurate with the prestige of the degree to be conferred. At the same time, it is important to publicly recognize the significant amount of time and effort each student puts into the process, and to ensure that the student's work is shared in an effective way with the scholarly community. As such, in addition to the official, private defense of the dissertation, it is important that the process involves notification of the scheduled defense and public presentation of the work.

PROCEDURES / GUIDELINES

Approval to Schedule the Dissertation Defense

The student should seek approval from his or her committee chair prior to scheduling the defense. In general, the student should have completed all data collection, be nearly, if not completely, finished analyzing all data, and have an initial draft of the majority of the written document completed prior to scheduling the defense. The deadline for submitting the final written draft of the dissertation is at the discretion of the student's individual committee members; however, to ensure the committee feels the student is adequately prepared to move to the defense, the document should be provided to the committee **no fewer than two weeks** prior to the scheduled defense.

Scheduling of the Dissertation Defense

Once the chair has given approval, the student should confirm a final date with his or her dissertation committee. Once identified, the student should notify the Division's Student Services Advisor of the scheduled date as soon as possible, but **no later than four weeks** prior to the agreed-upon date. The student should work with the Degree Progress Coordinator to reserve room(s) for the defense as follows:

> (1) <u>Public Presentation</u>: A room with presentation capabilities, large enough to accommodate the committee, PhD-program faculty, PhD-student peers, and other public guests (e.g., at least 15 people) should be reserved. If the topic is of significant public interest that a large number of students or faculty guests are anticipated, or the student wishes to invite numerous outside guests, a larger room may be needed. The room for the public defense should be scheduled for the first hour.

> (2) <u>Private Oral Defense</u>: A room to accommodate the student and committee members (e.g., 4-6 people) should also be reserved. To ensure adequate time, this room should be scheduled for up to 2 additional hours following the public presentation.

> *The private oral defense may be held in the same room as the public presentation, provided that the student and committee are able to expedite clearing the room following the public presentation, the room is not too large to be conducive to a small group discussion, the room is sufficiently private to ensure confidentiality, and arrangements are made to accommodate any outside guests who wish to remain nearby during the private defense.

Once scheduled, the student should notify the PhD Program Director and the Division's Event Coordinator with the date, time, and location of the public presentation. The Event Coordinator will prepare a draft announcement and schedule an order for light refreshments.

Announcement of the Dissertation Defense

Once the student has submitted the final draft document to his or her committee and receives approval to proceed from the committee chair, the student should notify the PhD Program Director and confirm the event details with the Division's

Event Coordinator. The PhD Program Director will send the public announcement and invitation to attend the public presentation to the Chan faculty, PhD students, and other relevant parities. The student, chair, or other members of the committee may share this announcement with any other individuals they wish to have in attendance. This public announcement should be made **no later than one week** prior to the scheduled defense.

Procedure for the Dissertation Defense

1. Pre-Defense Activities
   - The student must activate a profile in the online Thesis Center and complete the new manuscript submission profile.
   - A PDF of the signed *Appointment of Committee* form must be uploaded to the checklist page in the online Thesis Center.
   - The student must complete the Survey of Earned Doctorates and upload a PDF of the completion certificate to the checklist page of the online Thesis Center.
   - <u>On the day of the defense and prior to the start time</u>, the student should generate the *Approval to Submit* form in the online Thesis Center. This action will generate an e-mail to each committee member with a unique link to register their decision regarding the student's dissertation.
   - Additional information can be found in the associated guideline: *Dissertation Submission*

2. Presentation
   - Limited to 40 minutes of presentation time
   - Funding sources should be recognized as part of the presentation.
   - Public guests (e.g., university faculty, staff, family, friends) are welcome and encouraged to attend

2. Audience Questions
   - No questions should be asked during the presentation; however, up to 15 minutes of time should be allotted for questions from the public audience at the conclusion of the presentation.
   - Committee members should not ask any questions during the formal presentation time
   - The committee chair should closely monitor time and is responsible for supporting the student to successfully manage the audience during the presentation.

3. Private Oral Defense
   - At the end of the public question period, the committee will convene with the student for the private oral defense. If the private defense is to be held in the same room, all public guests will be asked to leave the room in an expeditious manner. Public guests who wish to stay should find a location to wait that is not immediately outside of the room to ensure that there are no noise disturbances.
   - At the direction of the committee chair, the student may be asked to provide additional information for the benefit of the committee to start this private session. For example, the chair may ask that the student provide an overview of any major changes, challenges, or other updates to the dissertation process that were not originally planned at the time of the dissertation defense.
   - The committee will engage in a discussion regarding the student's work, asking questions of the student for clarification, further interpretation, or other purposes. The questions and discussion should broadly cover the entire dissertation that is presented in the written work, not just the information provided during the presentation.
   - Organization and facilitation of this session is at the direction of the committee chair.
   - The session may be as brief as deemed necessary but should not last longer than 2-hours. In general, it is anticipated that this private defense will last approximately 1 hour.

4. Committee Deliberation and Decision
   - Once the chair ends the private defense, the student will be asked to leave the room.
   - The committee will privately deliberate the outcome of the defense process.
   - When the committee has made a final decision, they will sign the appropriate form and invite the student back into the room.
   - The chair will announce the results to the student and the committee will provide any immediate feedback deemed necessary.

5. Post-Defense Activities
   - In the case of a successful defense, the student's chair should either send a public notice to the PhD faculty and student listservs or notify the PhD Program Director who will send the announcement.

- Each committee member should provide feedback, recommendations, and other edits for improving and finalizing the written document. The student and his/her chair should work with each committee member to determine how involved the member would like to be in reviewing future edits of the document.
- Each committee member must register their final decision regarding the dissertation on the electronic *Approval to Submit Form* using the weblink that was sent by the graduate school via e-mail prior to the dissertation event (refer to 'pre-defense activities' above).
- The student is responsible for finalizing the written document, following-up with individual committee members to obtain their signature on the electronic *Approval to Submit Form,* and meeting all deadlines for the initial and final submission of that document to the University.

Reception

The Division will not host a reception following an individual defense; however, the student or the student's chair/advisor may host a reception at any time following a successful defense should he or she wish to do so. Upon request, the Division will consider hosting a reception for all PhD students who have successfully completed their defense near graduation-time each Spring.

Policy Name: **Dissertation Submission**
Approval Date: August 13, 2023
Previous Version: July 10, 2018

GENERAL PURPOSE OF POLICY

The final requirement of the PhD in Occupational Science is the successful completion of a research project and approval of a final written dissertation. Completion of the dissertation process is the hallmark of any PhD program, as it serves as the indicator that the student has been deemed by the program and University to have achieved success in the mechanics of completing an independent research project from conceptualization through interpretation. To ensure that this process is rigorous and that all students adhere to the highest standards of scholarship, a multi-stage review process is required.

PROCEDURES / GUIDELINES

Thesis Center Guidelines for Dissertation Submission
https://graduateschool.usc.edu/current-students/thesis-dissertation-submission/

Link to all forms: https://graduateschool.usc.edu/current-students/guidelines-and-forms/

Note that guidance from the USC Graduate School supercedes the instructions written below, as things may have changed.

Step 1 - Before You Defend

Finalize your committee
- Download the Appointment/Change of Committee form
- Complete this form well in advance of your defense date, as it requires the signature of the school dean, department chair, and committee members. At the time of submission to Thesis Center, all applicable fields on the form must be complete and current
- Save a PDF of your <u>completed</u> Appointment/Change of Committee form

Create a profile in Thesis Center
- Click the Login button below to create a Thesis Center profile: **LOGIN >>>**
- After clicking "Register", a verification email will be sent. Click the link to verify the registration. This will activate your Thesis Center profile.
- Click 'Create a new profile'
- Fill out the "New Manuscript Submission Profile" in Thesis Center with your information. Refer to your Appointment/Change of Committee form to complete the Committee Information section. They <u>must</u> match.
- Click "Create"
- Upload a PDF of the Appointment/Change of Committee form to the Checklist page in Thesis Center

Complete the Survey of Earned Doctorates (SED)
You are only required to complete the first section. Save a PDF of the completion certificate. Upload the PDF to the Checklist page. The survey is available here: https://sed-ncses.org

Step 2 - Generate the Approval to Submit Form

The morning of your defense, you may go to the Checklist page in Thesis Center to generate the electronic *Approval to Submit* form. Your action will prompt Thesis Center to send an email containing a link to the form to all of your committee members. Your committee members must indicate their approval by the Checklist Submission Deadline.

Step 3 - Defend Your Dissertation or Thesis
- Defend your dissertation or thesis, and make any changes to your manuscript that your committee requires

- Monitor the progress of the electronic *Approval to Submit* form through the Checklist page of your Thesis Center profile

Step 4 - Complete the Checklist

In order for you to submit your thesis or dissertation, the following items must be complete on the Checklist page in Thesis Center by the Checklist Submission Deadline:

- A PDF of the completed Appointment/Change of Committee form
- All committee members must have indicated their approval on the *Approval to Submit* form
- PhD students only: a PDF of the completion certificate from the Survey of Earned Doctorates (SED)

Once the expected term of degree conferral has commenced, the Thesis Coordinator will verify the Checklist. Normally, this takes 2-3 business days.

After verification, you will receive an email confirmation that the manuscript may be uploaded. The subject will read: "Upload Thesis/Dissertation to Thesis Center".

NOTE: submissions made past the deadline will not be processed until the beginning of the following semester.

Step 5 - Submit Your Manuscript
- In the Submissions page of the Thesis Center profile, upload a single PDF file of the manuscript that was approved by your committee. Be sure to upload by the Upload Deadline. This deadline pertains to the initial upload of the manuscript
- Confirmation of your submission will be sent to the email address you've entered in Thesis Center. The subject will read: "Manuscript Received"
- At this time, the manuscript processing fee will be applied to your student fee bill. The fee is $115 for doctoral students and $105 for master's students
- The Thesis Coordinator will review the manuscript for format and presentation and, should any changes be required, send a notification email. Normally this takes place within 3 weeks during peak submission times and sooner during off-peak times. The subject of the notification email will read: "Formatting Changes Available"

NOTE: submissions made past the deadline will not be processed until the beginning of the following semester.

Step 6 - Make Formatting Changes
- If you receive an email with the subject "Formatting Changes Available", follow the instructions in the email and return to the Submissions page in Thesis Center to view the corrections listed there
- Address the corrections, and upload the revised manuscript to the Submissions Page as a single PDF
- The Thesis Coordinator will review the manuscript for format and presentation and send a notification email, should any additional changes be required
- After all corrections have been addressed, an email confirmation will be sent

Step 7 - Finalize Publishing Information

Monitor your email for a message from the USC Digital Library. You will confirm the thesis or dissertation publishing information with the USC Digital Library. At this point, you will be able to upload any necessary supplemental media files to accompany the PDF thesis or dissertation manuscript. You must respond to the email to finalize publishing information with the USC Digital Library. The deadline for finalizing publishing information is the degree conferral date of the given term. This is the final step required for degree conferral.

The degree will normally be officially posted within one month.

Additional Considerations

- Students should follow all guidelines for proper formatting of the dissertation detailed in the associated policy, *Dissertation Formatting.*
- Registration in dissertation coursework (i.e., OT 794) is required for at least two semesters before the dissertation can be submitted and continuous enrollment is necessary until the dissertation has been submitted to the

Graduate School. After completing OT 794a-d, students may enroll in OT 794z to maintain continuous enrollment status until the dissertation is completed.

- Degrees will be awarded for the term in which all requirements have been met, including approval of the final version of the thesis or dissertation and submission of supporting documents bearing authorized signatures. Students and advisors should be arear of the posted deadlines for each semester: http://graduateschool.usc.edu/current-students/thesis-dissertation-submission/submission-deadlines/
- The thesis center processes documents and manuscripts in the order received.

SECTION III: MENTORING AND GUIDANCE

Policy Name:	***Advising Plan and Memorandum of Understanding***
Approval Date:	August 15, 2018
Previous Version:	November 21, 2016

GENERAL PURPOSE OF POLICY

In academics, a *mentor* is often used synonymously with *faculty adviser*; however, there is a fundamental difference between mentoring and advising. While advising involves providing guidance, mentoring involves developing personal and professional relationship meant to support growth of the mentee. A mentoring relationship develops over an extended period, during which a student's needs and the nature of the relationship tend to change. A mentor should try to be aware of these changes and vary the degree and type of attention, help, advice, information, and encouragement that he or she provides. In general, an effective mentoring relationship is characterized by mutual respect, trust, understanding, and empathy. Guidelines for developing strong mentoring relationships through an advising plan and memorandum of understanding are provided as a means to promote effective mentoring of PhD students in Occupational Science.

PROCEDURES / GUIDELINES

Assignment of Mentor/Advisor

When a student is admitted to the program, he/she is assigned to a faculty mentor based on the student's research interests and the availability of a faculty member to add a new student to their laboratory. Identifying a one-to-one, student-to-mentor match is a key consideration in the admissions process, with the expectation that the student will become fully immersed in the research of the faculty mentor immediately upon entering the program and remain associated with that mentor throughout the entirety of the program. Thus, it is anticipated that this mentor will become the Chair of the student's Qualifying and Dissertation Committees.

Students in the PhD in Occupational Science can be mentored by any member of the PhD Program Faculty, typically individuals with primary appointments in the Chan Division who are either tenured or on tenure-track (see associated policy: *PhD Program Faculty Roster*). On occasion, and assuming there is academic justification, a student may be co-mentored by two faculty members. This may occur when a student's primary immersion experience is in the research lab of a junior faculty member (i.e., Assistant Professor), or when a student is assigned to work with a Research Faculty member who is the principal investigator of a funded project that requires the support of a PhD student research assistant. In other cases, co-mentors may be approved when a student has blended interests between two faculty members, when two faculty are collaborating on a joint research project, or in other circumstances where mixed expertise is required.

Change of Mentor/Advisor

In most cases, a student will remain with the same mentor/advisor throughout the entirety of the PhD program; however, certain circumstances may require a change in advisor. These cases may include a significant shift in availability of funding or other supports within a given mentor's research lab, the departure of a mentor from the university, or arrival of a new faculty member to the institution, or significant unreconcilable differences between the mentor and mentee. In the rare case that circumstances arise requiring reassignment, the Division will take the student's academic needs and trajectory into account to arrange a reasonable accommodation. Requests for changes in a mentor can be initiated by either the student or the faculty advisor. Such requests should be submitted to the PhD Program Director in writing, along with a brief explanation for the reason of the request. Each request will be reviewed and processed in a manner appropriate to the individual situation.

Developing an Advising Plan and Memorandum of Understanding (MOU)

An advising plan and memorandum of understanding should be developed through a collaborative effort between the student and his/her mentor. This document must cover the following:

- The mentee's short- and long-term career goals
- Activities the mentee will undertake and how each contributes to his/her career development goals

- Educational objectives to be accomplished in the immersion experience
- Mentor's expectations of the mentees conduct
- Mentees expectations regarding interactions with the mentor
- Resolution of concerns, issues, or breaches of trust

A sample MOU is appended to this policy that can be used as a template. Each individual MOU may vary from this template, but every MOU must include the final section on resolution of concerns, issues or breaches of trust. The MOU *may not* circumvent any University or Program policy (e.g., GRA Work Hours Policy). The MOU should be signed by the student and mentor, and a copy of the signed document should be provided to the PhD Program Director and Degree Progress Coordinator no later than the end of the student's first semester in the program. The MOU should be reviewed and updated at least annually; only major updates to this MOU need to be submitted to the program administrators.

On-Going Advising
Students should have regular meetings with their faculty advisor/mentor, and it is expected that the student and advisor will meet at least quarterly with the express purpose of discussing academic standing, progress toward degree completion, and overall performance in other activities (e.g., immersion participation, manuscripts). Any concerns regarding satisfactory progress should be discussed and documented, with development of a clear action plan for improvement.

SAMPLE PhD STUDENT-MENTOR MOU

The Division of Occupational Science and Occupational Therapy at the University of Southern California is committed to developing career scientists who can confidently make a valued contribution to knowledge generation. As such, PhD students are immersed in the culture and community of scholarship within a research laboratory. The intensive immersion is intended to provide a learner-centered research apprenticeship that will provide experiential training in interdisciplinary research and grantsmanship including publications, data collection, data analysis, and theory building. As part of this learner-centered approach, the following MOU has been built collaboratively between the PhD mentee and the primary mentor in *(INSERT LAB NAME)*. This MOU is intended to hold each party accountable and assure a mutually successful outcome of the immersion experience and both parties will review and update the terms of this MOU annually.

A. Mentee's Career Goals and Mentor Support
- *Insert statement of mentee's research interests.*
- *Identify long-term career goal(s). This may be general (e.g., career scientist) or specific (e.g., tenure-track academic researcher) and will likely shift as the mentee progresses through the program.*
- *Identify any activities, supports, training, or specific education undertaken by the mentee and supported by the mentor related to the research interests and setting a foundation for achieve long-term goals. This list should include any items that are specifically tailored to the mentee, which go beyond the general educational objectives of the PhD program and immersion experience listed below.*

B. Educational Objectives for Immersion Experience
- Experience socialization in a community of research and occupational science, to include:
    - Understanding appropriate conduct in academic, scholarly, and professional interactions
    - Becoming comfortable and confident with experiencing and entering into discourse within scholarly discussions
    - Gaining skill in successfully completing knowledge transactions with scholarly colleagues and peers, as well as mentorship and guidance of more junior individuals in the laboratory

- Gain knowledge in the design and conduct of research, to include:
    - Appreciating research method design that crosses all aspects of occupational science research (e.g., qualitative inquiry, quantitative methods, mixed and multi-modal methods)
    - Understanding and participating in the responsible conduct of research and being proficient at completing and maintaining internal review board materials
    - Evaluating appropriate outcome measurement tools, developing data collection instruments, managing research data, and analyzing data using the most appropriate techniques

- Develop skill in granstmanship, to include:
    - Understanding various levels of funding agencies and types of funding opportunities
    - Evaluating research priorities, language of funding organization, and proposal announcement to ensure proposals are responsive and appropriately targeted
    - Learning steps of the process in grant development, submission, review, funding, and management

- Become proficient in the presentation and dissemination of scholarly work, to include:
    - Gaining confidence in providing professional and scholarly presentations to colleagues, both locally, regionally, and nationally

- Learning the process of identifying appropriate target audiences for scholarly dissemination, evaluating appropriate publishable units of work, developing and submitting scholarly publications.
- Evaluating to the quality of evidence provided in presentation or published works both in person and through peer-review activities for scholarly journals
- Gain foundational skills in academic teaching, to include:
  - Developing confidence in providing didactic and/or laboratory-based content to students
  - Understanding foundational aspects of course planning, presentation development, and evaluation of student learning

C. Mentor's Expectations of Mentee Conduct in Immersion

(List expectations of the mentee in the lab immersion, being sure to include any specific or unique obligations, such as expectations for working during academic breaks due to grant requirements. Note that expectations here may not circumvent any policies of the University or the Program. Examples provided)

- Be present in the research lab during required work hours, to ensure immersion in the community of research practice
- Be punctual for meetings and other activities as scheduled
- Be dressed appropriately on a regular basis
- *Actively* participate in lab research, meetings, and other activities
- Provide guidance and mentorship to volunteers, undergraduate students, and master-level professional students
- Seek out the mentor and ask for guidance on a regular basis
- Continually communicate needs, goals, and any concerns or questions to the mentor
- Be open to reasonable feedback and constructive criticism when these are appropriate

D. Mentee's Expectations of the Mentor

(List mentee's expectations of the mentor. Examples provided)

- Provide reasonable assigned duties in the lab on a weekly basis that do not exceed the agreed upon weekly hours for the immersion experience.
- Be available and open to discussion promoting the mentee's educational and professional goals at the agreed upon times.
- Be up front about any concerns that the mentor has regarding the mentee's fulfillment of lab duties or conduct within the department.
- Maximally support the mentee's autonomy within reasonable and practical constraints as concerned with the mentee's educational and professional development.
- Provide assignments within the immersion experience that are appropriately graded to not exceed the mentee's current abilities.

D. Resolution of Concerns, Issues, or Breaches of Trust

It is our hope in signing this document to provide an agreement between mentor and mentee that problems will be resolved in a timely and appropriate fashion if and when they arise. The first recourse to resolve concerns, issues, or breaches of trust will always be open discussion during formal or informal mentoring times. Should the mentee not feel comfortable discussing concerns directly with the mentor, or have concerns that are unresolved following discussion, the mentee should seek out guidance from the PhD Program Director.

_____ _____

(INSERT MENTEE NAME), Mentee   Date

_____ _____

(INSERT MENTOR NAME), Mentor   Date

Policy Name: **Committees for the Qualifying Exam and Dissertation**
Approval Date: August 15, 2020
Previous Version: October 3, 2017

GENERAL PURPOSE OF POLICY

The purpose of a PhD program is to develop individual scholars who have both the requisite knowledge within a core, theoretical area and the aptitude for conducting independent research. Students in the PhD program in Occupational Science demonstrate that they have achieved these goals through a comprehensive, qualifying exam and defense of an independent dissertation. To ensure each student receives the necessary mentoring and to provide broad oversight in the evaluation of the student at each step of the process, a committee of faculty experts must be developed.

PROCEDURES / GUIDELINES

Graduate School Committee Requirements
Because the goal of USC PhD programs is to create scholars who will shape their fields in a wide range of settings, the University encourages PhD students to take advantage of the full array of faculty expertise available at USC. This includes the expertise of tenured, tenure-track, research, teaching, practitioner, and clinical faculty. The committee may include up to one faculty member from an institution other than USC, called an "**external member**." This is not the same as an "**outside member**," which is a USC faculty member from outside the student's home program.

Any faculty member – external, outside, or from the student's home program – who serves on a PhD committee must have a professional profile the demonstrates academic impact on the field in significant, measurable ways. The judgement about these qualifications will be made on the basis of hard evidence. For example, peer-reviewed publications in major journals, grant funding, and exceptionally influential practice in a given field, taking into account the person's total career, current stage of career, and any change in performance in a more recent period. Faculty evaluated on the basis of other criteria will not normally be considered appropriate, except by explicit permission of the Vice Provost for Graduate Programs acting on advice of the Dean of the Ostrow School of Dentistry.

For **faculty within the home program** and **external members**, qualification to serve will be judged by the Dean of the Ostrow School of Dentistry. The CV of an **external member** must be uploaded along with the appointment of committee form and will become part of the official record. For **outside members**, the judgement of qualification to serve will be made by the Dean of the School of the member's primary appointment.

PhD in Occupational Science Committee Requirements (See Related Policy: *Committee-Eligible Faculty*)

Qualifying Exam Committee
The Qualifying Exam Committee provides guidance to the pre-candidacy student and oversees the Qualifying Exam. An Appointment of Qualifying Exam Committee form must be submitted to the Program Director for Division and School approval at least one semester prior to completing the qualifying exam. The committee is composed of five faculty members determined in consultation between the student and his/her Chair.
- Three members must be regular faculty from the Division.
- At least one of the Division faculty must be Tenured.
- At least one member must be faculty from outside or external to the Division. This member can have no more than a 50% financial appointment with the OS/OT Division.
- The fifth member can be faculty from within the Division (for a maximum of four Division faculty) or represent the student's cognate area from outside the division.

Dissertation Committee
Following successful completion of the Qualifying Exam, the Appointment of Dissertation Committee form must be submitted to the Division's Degree Progress Coordinator as soon as possible. The Dissertation Committee must have at least three members and no more than five.
- The chair and the majority of the committee members must be from the Division.
- At least one of the Division faculty must be Tenured.
- At least two members must be Tenured or Tenure-Track faculty at the university.
- Members of the Qualifying Committee can serve on the Dissertation Committee, though it is not required.

Change of Committee
If the Committee Chair and/or student wishes to make a change to her/his qualifying exam or dissertation committee, the change must occur at least 30 days before the exam or final defense occurs. A Change of Committee Form should be downloaded from the Graduate School's website, completed, and submitted to the Degree Progress Coordinator in a timely manner to ensure approvals occur prior to closing of the 30-day window.

Exceptions
Under extenuating circumstances, exceptions to these committee requirements may be possible. Potential reasons for exceptions include continuation of a member or allowance of multiple external members due to relocation of a key committee member to another institution, waiver of requirement due to limited availability of qualified faculty members, and other extenuating circumstances. Any requests for an exception to the guidelines noted for a committee should be made in writing to the PhD Program Coordinator. Requests for exceptions will be reviewed by the PhD Program Director and the Associate Dean/Chair of the Division. If in support of the request, it will be routed to the Dean of the Ostrow School of Dentistry and/or the Vice Provost for Graduate Programs as necessary.

Forms
Students can download all forms from the graduate school website: https://graduateschool.usc.edu/current-students/guidelines-and-forms/

Policy Name: ***Guidance/Dissertation Committee-Eligible Faculty***
Approval Date: August 13, 2023
Previous Version: August 15, 2022

GENERAL PURPOSE OF POLICY

Any faculty member who serves on PhD dissertation and qualifying exam committees must have a professional profile that demonstrates academic impact in significant, measurable ways based on hard evidence: for example, peer-reviewed publications in major journals, grant funding, and exceptionally influential practice, considering the person's total career, current stage of career and any changes in performance in a more recent period. Faculty who are evaluated based on criteria other than those noted above will not normally be considered appropriate members of PhD and qualifying exam committees, except by explicit permission of the Vice Provost for Academic Programs acting on the advice of the dean of the school. As such, the Chan Division has established a roster of faculty who are eligible to serve on PhD guidance and dissertation committees. This roster is meant to ensure that our PhD students are well-supported by individuals with the necessary expertise to positively advance training toward becoming successful, independent career scientists.

PROCEDURES / GUIDELINES

Considerations for Membership on the PhD Committee-Eligible Faculty Roster:

- Faculty on this roster are required to demonstrate active involvement in research, evidenced by authorship of research publications within the previous three years or other documented effort on active research projects.

- Any faculty in good standing within the university may be considered for this roster; based on their established professional records, tenured and tenure-track faculty are automatically eligible to serve on PhD committees.

- The roster will be reviewed by the Associate Chair and PhD Program Director on an annual basis to add new individuals meeting the criteria and remove those with little or no recent demonstration of research productivity.

- Faculty wishing to join this roster should submit their CV to the PhD Program Director. Students wishing to add faculty to their committee who are not on this roster, should submit the faculty member's CV and a written request describing how the individual meets the University's requirements for inclusion on a PhD committee. Decisions on petitions to be added will be made by the Associate Chair and PhD Program Director.

- Any faculty removed from the roster or denied addition to a committee through the petition process may appeal the decision to the PhD Program Faculty. Final determination will occur by majority vote of the Program Faculty.

Considerations for Serving as a Committee Chair:

- No member of this roster is automatically qualified to serve as a committee chair or primary mentor.

- The committee chair must provide a research environment that supports the competencies intended as an outcome for the immersion component of the PhD curriculum, including: doing scientific work, understanding research as a social practice, developing a career scientist trajectory, and becoming a domain-specific expert.

- Committee chairs must have an earned research doctoral degree (e.g., PhD, ScD, EdD) that included a dissertation component, have an active independent research program, be producing empirical scholarly work as demonstrated by current peer-reviewed journal publications, and have obtained funding for scholarly work.

- Faculty with active independent research programs and evidence of scholarly productivity who do not have active funding or a recent history of sustained funding that wish to serve as a committee chair must provide a detailed description of how immersion requirements would be fulfilled to ensure the student receives high-quality training. The PhD program faculty will review the request as part of the admissions process to make recommendations regarding appropriateness and methods of supporting the faculty member and student (e.g., co-mentoring).

- Final determination of all committee chair assignments will be made jointly by the Associate Dean and PHD Program Director to ensure every student has opportunity to be immersed in a rich research environment and that all required financial support (i.e., stipend, insurance) will be available for a period of five-years.

Committee-Eligible Internal Faculty from Chan Division:
The roster below lists all committee-eligible faculty in the Chan Division, indicating eligibility to either Chair (C) or serve as a member (M). Every committee *must* include at least two internal members, one of whom *must* be tenured (T).

Name	Title	E-mail	Eligibility
Agner, Joy	Assistant Professor	joy.agner@chan.usc.edu	C
Aldrich, Rebecca	Associate Professor of Clinical OT	rebecca.aldrich@chan.usc.edu	M
Angell, Amber	Assistant Professor	amber.angell@chan.usc.edu	C
Aziz-Zadeh, Lisa	Associate Professor	lazizzad@chan.usc.edu	C, T
Baranek, Grace	Associate Dean, Chair, Professor	baranek@chan.usc.edu	C, T
Blanche, Erna	Professor of Clinical OT	blanche@chan.usc.edu	M
Carlson, Mike	Professor of Research	mcarlson@chan.usc.edu	M
Cermak, Sharon	Professor	cermak@chan.usc.edu	C, T
Cogan, Alison	Assistant Professor	alison.cogan@chan.usc.edu	C
Duker, Leah Stein	Assistant Professor	lstein@chan.usc.edu	C
Gray, Julie McLaughlin	Professor of Clinical OT	jmgray@chan.usc.edu	M
Joiner, Raquael	Assistant Professor of Research	raquael.joiner@chan.usc.edu	M
Lawlor, Mary	Associate Chair, Professor	lawlor@chan.usc.edu	C, T
Liew, Sook-Lei	Associate Professor	sliew@chan.usc.edu	C, T
Niemiec, Stacey Schepens	Associate Professor of Research	schepens@chan.usc.edu	M
Pineda, Bobbi	Assistant Professor	bobbi.pineda@chan.usc.edu	C
Pyatak, Beth	Associate Professor	beth.pyatak@chan.usc.edu	C, T
Roll, Shawn	Program Director, Associate Professor	sroll@chan.usc.edu	C, T
Sideris, John	Professor of Research	sideris@chan.usc.edu	M

Committee-Eligible USC Faculty Outside to the Chan Division:
At least one individual from outside the Division is *required* on Guidance Committees; outside members *may* be included on the Dissertation Committee. All current USC faculty (T/TT and RTCP) in good standing with the University may be considered. Outside members should have profile that demonstrates academic impact and have specific expertise relative to the student's project. Below is a list of USC faculty who have previously served, as an example. Students wishing to add faculty to their committee should submit a request to the PhD Program Director that includes a current CV and a brief rationale for the expertise that will be provided by this faculty member.

Name	Title	E-mail
Baezconde, Lourdes	Professor (Preventive Medicine)	baezcond@usc.edu
Barrio, Concepcion	Associate Professor (Social Work)	cbarrio@usc.edu
Damasio, Antonio	Professor (Neuroscience)	damasio@usc.edu
Henwood, Benjamin	Assistant Professor (Social Work)	bhenwood@usc.edu
Mattingly, Cheryl	Professor (Anthropology)	mattingl@usc.edu
Mack, Wendy	Professor (Population and Public Health Sciences)	wmack@usc.edu
Ortiz, Elizabeth	Assistant Professor of Clinical Medicine (Keck)	elizabeth.ortiz@med.usc.edu
Unger, Jennifer	Professor (Population and Public Health Sciences)	unger@usc.edu
Valente, Thomas	Professor (Population and Public Health Sciences)	tvalente@usc.edu

Committee-Eligible Members External to the University:
Up to one committee member external to USC *may* be added to any committee. To be considered, an external member should (1) have a faculty appointment at a research university or a research scientist position at a non-academic institution and (2) demonstrate academic impact in a given area related to the student's project. A current CV must be submitted to the PhD Program Director along with a brief rationale for the expertise that will be provided by this external member. This CV will be included with the committee appointment form to be approved by the Dean and Provost's office.

Policy Name: ***Remote Participation in Qualifying Exam or Dissertation Defense***
Approval Date: August 15, 2022
Previous Version: April 1, 2020

GENERAL PURPOSE OF POLICY

Many of the faculty members serving on PhD qualifying and dissertation committees for students in the PhD in Occupational Science program are considered leading experts. As such, these individuals tend to have exceptionally busy schedules, including off-site travel, creating challenges in scheduling oral exams and final dissertation defense meetings. Moreover, as the global community of scholars in occupational science and related academic fields continues to expand, students may now include an external member on their committee. Given advances in the quality of conferencing technology, it is considered appropriate and acceptable for remote participation of committee members.

PROCEDURES / GUIDELINES

Graduate School Requirements
Committee members for the PhD Qualifying Examination may participate remotely. For the PhD dissertation defense, some members may participate remotely, but the committee chair and the student must be present unless the Dean of the Ostrow School of Dentistry and the Vice Provost for Graduate Programs provide express written permission for remote participation. A student should contact the PhD Program Director and Student Services Advisor to process such a petition. Members who participate remotely will be noted on the dissertation Approval to Submit forms.

Technical Support
Any student who will have a committee member participating remotely in an oral exam or dissertation defense should ensure that all technical details are satisfactorily arranged in advance of the meeting date. Once scheduled, the student should contact the Chan IT team (it@chan.usc.edu) to review the technology needs for the meeting. When possible, video conferencing is preferred over audio-only conferencing. In addition to supporting video, the use of a web-based conferencing platform (e.g., Zoom, GoToMeeting) is likely most appropriate for these events, such that any presentation or other electronic documents shared by the student during the meeting can also be concurrently viewed by remote participant. The student will work with Chan IT team to identify the most appropriate technology for the meeting, which may include conferencing technology installed within the meeting room or use of mobile technologies.

When preparing for a remote participant, the student should be aware of the following considerations:

- Ensure the reserved room allows for adequate audio communication. That is, members within the room should be able to easily hear a remote participant, and adequate microphones are available such that the remote participant can hear all of the discussion in the room.

- Ensure the room has necessary video capture and projection capability. It is preferred that the remote participant can the room and should be able to see the student at a minimum. At the same time, projection should be available for members within the room to see any presentation documents, as well as the remote participant.

- Ensure that the remote participant will have access to stable connection using the chosen platform. If using a phone-based connection, the participant should likely call from either a land-line or ensure that the call is placed from a location with a strong cellular signal; additionally, the remote participant may wish to consider using a headset to improve quality of the audio signal. Similarly, when using a web-based video conferencing, the remote participant should connect from a computer with a strong, stable internet connection.

- To eliminate background noise, improve audio, and ensure privacy during an oral exam or committee defense meeting, the remote participant should call from a private location, avoiding participation in the meeting from a public setting that may be noisy or expose the student to risk of a less than confidential process.

- The student may wish to test the chosen methods with the remote participant from the planned locations prior to the meeting to ensure the connection is stable, such that the meeting will move forward in an efficient manner.

- The student should be mindful of the requirements for public presentation of their dissertation that should be considered when scheduling the location for the dissertation defense that includes a remote participant. (See associated policy: *Dissertation Defense*)

SECTION IV: GENERAL POLICIES

Policy Name: **PhD-Student Graduate Research Assistant Work Hours and Time-Off**
Approval Date: September 15, 2017
Previous Version: N/A

GENERAL PURPOSE OF POLICY

To promote a productive and engaging environment that is supportive of the academic performance, professional growth, and psychological health of our PhD students, it is important to provide guidelines for appropriate work hours and time-off for PhD-Student Research Assistants in the Chan Division. All PhD Students and their Faculty Mentors should review the information contained below to ensure that there is a shared understanding and to establish expectations for work hours and time-off within their respective research lab. Students and faculty should engage in on-going conversations regarding these expectations and should, at a minimum, review their shared expectations on an annual basis each fall.

PROCEDURES / GUIDELINES

Policies from the Grad School Handbook for RAs:

https://graduateschool.usc.edu/wp-content/themes/fictional-university-theme/assets/doc/TA_RA_AL_Handbook.pdf

The first responsibility of a graduate student is his/her own research and studies, satisfactory academic progress, and timely progress to the degree. For this reason, except for summer session, awards **cannot exceed 20 hours per week for a 50% assignment or 10 hours per week for a 25% assignment, averaged over a semester.** Requests for up to an additional 5 hours per week for a temporary, short-term assignment or a one-time opportunity during the fall or spring semester are subject to approval by the Vice Provost for Graduate Programs. Students should see the staff advisor in their home program for help with the request process. **The nature of some research projects may require that the RA be available during holiday periods or semester break.** Students and their faculty supervisors should discuss expectations and time off before the appointment is accepted.

Policy Interpretation from Grad School Representative (sent to Dr. Clark 12/10/10):

Graduate assistants and teaching assistants (RA's and TA's) **are not expected to perform duties during winter and spring recess** as they are categorized as students rather than staff. That said, should a graduate student elect to spend their discretionary time doing such functions, he or she may be permitted to do so with the approval of his or her graduate mentor. Additional compensation would not be provided as such involvement would be voluntary. Regardless of whether or not a student opts to be in the research lab or office during the breaks, he or she is compensated the full monetary stipend stipulated in his or her award letter.

Chan Division Guidelines for PhD-Student Research Assistant Work Hours and Time-Off:

- Students are expected to devote the number of work hours required by their individual contract and to fulfill any such responsibilities whenever university courses are in session.

- Students should not be asked to **consistently** work more than 20-hrs/week. When research duties require additional time in a given week, students and advisors should discuss reducing time in other weeks such that the **average** amount of time across the semester is not more than 20-hrs/week.

- Students **should not be required** to work during official university breaks. Should a research project necessitate that a student work during breaks, this should be agreed to at the start of the academic year (or **as soon as possible** upon discovering the necessity). With prior agreement between the student and advisor, time-off during the academic session may be fulfilled by work during university breaks. Outside of any formal agreement and with no coercion from the advisor, students should consider any time worked during a university break to be voluntary.

- All Chan PhD-Student RAs should be given **6 weeks of time-off** from duties across the year. (See example summation of official university breaks below)

Circumstances that Require Close and On-Going Discussion Between the RA and Advisor:

- Faculty and students are encouraged to discuss and negotiate when time-off is taken, whether coincident with breaks or otherwise, such that the summative time-off meets the minimum requirement of 6 weeks and is the least disruptive to any research projects.

- Delineations should be drawn between time spent doing "work" for the research lab and "academic" endeavors that are specific to a class or dissertation experience of the student. Many items fall within a gray-area between these two categorized (e.g., finalizing manuscripts that were started for a class, but utilize lab data; participant recruitment and data collection for a research project from which parts of the data will be used for a dissertation). Such items should be discussed and agreed upon as to how the time will be categorized.

- Attendance at professional conferences is expected for all of our PhD students; however, time away from the lab to attend conferences should not automatically be counted as either work-time or time-off, but should be individually negotiated between the advisor and student to determine whether it is considered "work," "academic," or "personal" time as it relates to the purpose of the travel and relevance to the lab and/or dissertation.

Example Summation of Time Granted During Official University Breaks (i.e., 2017-18 Academic Year):

Winter Recess	December 15 – January 8	3 Weeks
Spring Recess	March 12 – March 19	1 Week
Summer Recess 1	May 13 – May 16	0.5 Week
Summer Recess 2	August 9 – August 19	1.5 Weeks
	Total	**6 Weeks**

Policy Name: *Leave of Absence*
Approval Date: January 24, 2018
Previous Version: November 21, 2016

GENERAL PURPOSE OF POLICY

USC recognizes that personal and health needs may on occasion interfere with a student's ability to remain in his/her academic program. The university's goal in these circumstances is to support students so they are able to address their needs and return to complete their program.

PROCEDURES / GUIDELINES

Leave of Absence Request

The Division can grant a leave of absence for one semester at a time, up to four semesters, without Graduate School approval. General leaves of absence may be requested in any circumstance under which a student feels unable to meet requirements of the program for the given semester (e.g., class attendance, work requirements). The student must submit a request in writing to her/his advisor/mentor and copy PhD Program Director and Degree Progress Coordinator. All requests must be submitted prior to the add/drop registration deadline for that semester, and a new request must be submitted for each subsequent spring or fall term for which the student wishes to extend the leave. In addition to this process, international students should contact the Office of International Services (https://ois.usc.edu/) to identify other considerations for a leave of absence and obtain approval.

Health Leave

The University provides two types of health leaves, a Voluntary Health Leave of Absence and a Mandated Health Leave of Absence. Both types of health leaves, and the process for returning from leave, are described in the full university policy: https://campussupport.usc.edu/students/health-and-wellness/health-leave-of-absence/. Unlike a standard leave of absence which is handled by the Division, a health leave requires approval and coordination by a University Health Leave Coordinator. Both medical and academic planning are essential for making the leave function as it should. The PhD Program Director and Degree Progress Coordinator will work directly with the University's Health Leave Coordinator to be sure that the academic demands of the PhD in Occupational Science programs are clear to all concerned in the leave.

Policy Name: **PhD Student Conference Travel Requests/Reimbursement**
Approval Date: August 15, 2019
Previous Version: May 24, 2018

GENERAL PURPOSE OF POLICY

Professional conferences provide opportunities for pre-doctoral trainees to gain exposure to emerging areas of science, network with experts and scholars in a given field, and develop skill in the provision of scholarly presentations. Moreover, attending conferences within our discipline (i.e., SSO:USA, AOTA, OT Summit, WFOT, AOTA Specialty Conferences) promotes engagement with other OS/OT scholars and the advancement of OS/OT research. To ensure we support these important activities, both within and outside the OS/OT scholar community that are vital to the growth of career scientists, we have established the following guidelines for PhD students to request and use travel funds from the Division.

PROCEDURES / GUIDELINES

Annual* Reimbursement Allowances:

Year 1: $1,000 maximum, $500 of which may only be used for an OS/OT conference
(i.e., limit $500 for non-OS/OT conferences)

Years 2-3: $2,000 maximum, $1,000 of which may only be used for an OS/OT conference
(i.e., limit $1,000 for non-OS/OT conferences)

Years 4-5: $2,500 maximum, $1,000 of which may only be used for an OS/OT conference
(i.e., limit $1,500 for non-OS/OT conferences)

Year 6+: Division-funded travel reimbursement considered on a case-by-case basis

*Annual allowances follow the Division budget cycle from July 1 through June 30.

Reimbursable Expenses:

- Registration and poster printing costs; airfare, parking, mileage, and/or taxi/train; and lodging.
- Meals are not reimbursable and per diem will not be provided.

Qualifications:

- An accepted, first-author presentation (e.g., poster, paper) at the conference is required.
- If not first-author, the active role as a co-presenter at the conference must be explained.

Exceptions:

- Students in Year 1 are not required to have a presentation to receive reimbursement.
- Reimbursement without an accepted presentation or above the maximum may be approved with a compelling rationale as to why attendance is vital (e.g., specialized training, vital networking opportunity, conference only occurs once every few years).

Process for Making Requests:

- Requests must be made using the PhD Student Travel Request form.
- All requests must be vetted and signed off by the student's Advisor and submitted to the Division Budget Technician prior to the start of the semester in which travel will occur.
- All requests will be reviewed by the Associate Dean and/or PhD Program Director.
- Once approved, travel expense forms along with receipts indicating type of payment must be submitted to the Division Budget Technician within 30-days of the completion of travel.

Additional Considerations:

- Funds may be split across as many conferences as deemed appropriate by the student's Advisor.

- Travel should not substantially impact the student's ability to attend classes, fulfill research assistant duties, or make adequate progress toward program requirements.

- Any remaining funds not allocated at the end of the annual period (i.e., June 30), cannot be carried-over or applied to the following academic year.

- There is no limit to obtaining other travel support from outside the Division; thus, students are strongly encouraged to identify and apply for funding from other sources:

   o Students should have a discussion with their Advisor to determine if any grant funds are available and appropriate to be used prior to making requests to the Division.

   o Travel awards are often provided by professional organizations and foundations.

   o The USC Graduate Student Government Conference Travel Program provides annual reimbursement for travel to and presentation at professional conferences up to $500 ($1000 international): http://gsg.usc.edu/student-funding/conference-travel-grants/

- Annual implementation of these guidelines is dependent upon the availability of funds. The Associate Dean has full discretion over the all travel request and reimbursement decisions.

Reimbursement:

You must set up your account within the University's Travel and Reimbursement Portal, **Concur**. Once you have logged into the Concur system and completed your profile, you will need to provide Delegate Expense access to the Division's Budget Technician. In addition to using the online portal, you can download the Concur App in order to upload receipts while you are on your trip: https://procurement.usc.edu/travel/plan-book/mobile-apps

Once you have your concur account activated, all reimbursement requests will be processed in this manner. Following approval of your request, the Division's Budget Technician will establish an expense report within the Concur Travel and Reimbursement Portal noting the approved amount for the trip. Upon returning from the trip you can directly enter your expenses within the portal or submit the reimbursement form with your receipts to the Budget Technician who will work with you to prepare the report. If you enter expenses directly, please be sure to contact the Budget Technician via e-mail to have her review the report prior to clicking "submit" on the report.

Please note that reimbursements submitted later than 30 days following a trip must include a justification as to why the expense reimbursement could not be submitted within 30 days. Furthermore, according to university policy, any request that is submitted later than 60 days following a trip will be considered taxable income to the employee per IRS regulations. Further, the submission date, is the date that your reimbursement request is submitted by you or your delegate in the Concur portal. Be sure to allow plenty of time for your delegates and for the possible back and forth that may occur while seeking clarification on expenses.

Review the appended documents for more information on submitting expenses for reimbursement.

PhD Student Conference Travel Request

Requester Name: Click here to enter text.   **Year in Program**: (Select Option)
Destination: Click here to enter text.   **Dates of Travel**: Click here to enter text.
Conference Name: Click here to enter text.
Conference Type (mark one): ☐ OS/OT Conference   ☐ Non-OS/OT Conference
Indicate Attendee Type: (Select Option)
Select Abstract Status: (Select Option)

Transportation		
Type	**Company, Mileage Info, Etc.**	**Estimated Amount**
Airfare		$ 0.00
Car Rental		$ 0.00
Local Mileage	_____ Miles x $0.535/Mile	$ 0.00
Taxi, Shared Ride, Shuttle, Etc.		$ 0.00
	Subtotal Transportation	**$ 0.00**

Lodging			
Name of Lodging	**# Nights**	**Rate/Night Inc. Tax/Fee Estimate**	**Estimated Amount**
		$ 0.00	$ 0.00
		$ 0.00	$ 0.00
		Subtotal Lodging	**$ 0.00**

Other Approved Expenses	
Conference Registration	$ 0.00
Poster Printing	$ 0.00
Subtotal Other Expenses	**$ 0.00**

	Total Estimated Expenses	**$ 0.00**

Additional Information (e.g., explanation of co-author role, rationale for exceeding annual allowance)

Signature of Faculty Advisor (Required for Processing)	Date

Submit this form with faculty advisor signature to: Sonia De Mesa at sonia.de.mesa@chan.usc.edu.
Requests must be made prior to the start of the semester in which travel will occur.
Once approved, travel expense reports must be submitted within 30-days of the completion of travel.
Receipts showing the cost and method of payment must be submitted for reimbursement request.

USC Mrs. T. H. Chan Division of Occupational Science and Occupational Therapy

Policy Name:	***Requirements to Walk in Spring Commencement***
Approval Date:	March 23, 2018
Previous Version:	N/A

GENERAL PURPOSE OF POLICY

Commencement is a time to publicly acknowledge and celebrate the completion of degree requirements. This opportunity is especially relevant to our PhD students who have spent more than 4-years working on their degree and participate in a hooding ceremony to welcome them to the community of scholars. Although students in our PhD program may successfully defend their dissertations and qualify for posting of their degree in any term, USC only hosts commencement once per year at the end of Spring Semester. Given the potential mismatch between completion of the degree requirements and timing of graduation, there can be confusion as to which Spring Commencement a student is able to walk. This policy provides guidelines to ensure that all students are aware of the deadlines that determine participation in a given Spring Commencement ceremony.

PROCEDURES / GUIDELINES

Graduate School Deadlines

In general, any student may walk in commencement who has successfully defended his or her dissertation work, submits the written manuscript, and has all documents accepted by the University during the academic year for which the commencement is conducted. Students should review the deadlines for each semester posted by the graduate school.

Please refer to: http://graduateschool.usc.edu/current-students/thesis-dissertation-submission/submission-deadlines/

Any student who has not met either the Fall or Spring deadlines, will only be permitted to walk in commencement if there is a *high probability* for successful defense and final acceptance of the written dissertation by the published deadline for the upcoming Summer term, such that the degree would be posted to the student's record in August. Any student who is unable to meet requirements for posting of the degree in the Summer term, will be required to participate in the commencement ceremony that corresponds to the academic year in which the degree is conferred.

Internal Deadlines

- February 15: Students wishing to participate should notify the PhD Program Director and Division's Degree Progress Coordinator in writing (e.g., e-mail) of their intention to walk at the upcoming spring commencement. This message should include the **title of the dissertation and a description of plans** to successfully meet all graduate school deadlines, which includes the following information:
  - o The status of written dissertation work (e.g., percentage of completion), and, if not already completed, the anticipated date a final draft will be provided to the student's committee for review.
  - o The date of the completed or upcoming dissertation defense.
  - o Any other information that clearly supports the plans for the student to meet the required deadlines.

- April 15: The advisor of any student planning to walk who *has not met* the deadlines for Spring posting of their degree, must notify the PhD Program Director in writing (e.g., e-mail) of the plans that will ensure the student successfully meets all deadlines for the upcoming Summer term. Specifically, the advisor should verify that the student is making satisfactory progress on the written document and confirm the exact date that the dissertation defense is scheduled. Any other information that clearly supports the student's plans to successfully meet the deadlines for Summer term should be included. Any student who will not meet the Summer deadlines but will complete the work prior to the start of Fall semester may petition the PhD program committee for approval to participate in the Division's satellite ceremony; however, the student should be aware that his or her name will not appear in the University commencement program until the following academic year.

Early Submission Option

Students are exempted from the requirement to register in 794 in a given semester if they have met the continuous enrollment requirement, complete the Checklist, and upload the manuscript to the Graduate School by the add/drop deadline for that semester. It is recommended that students submit the documents and have a complete *Approval to Submit* form at least a week before the add/drop deadline in order to allow time to upload the manuscript.

SECTION V: POLICIES AND GUIDELINES IN DEVELOPMENT

Intellectual Property and Data Transfer
Document in Preparation

Grant Applications by PhD Students
Document in Preparation

Pre-Doctoral Fellowship Applications (NRSA-F31)
Document in Preparation