

# **GRADUATE STUDENT HANDBOOK**

**Department of Psychology**

**College of Arts and Sciences**

**The University of Alabama**

**August, 2017**

## Introduction

This handbook contains information about the organization, curriculum, and policies of the University of Alabama's graduate program in Psychology. Changes from the previous edition are marked in highlight. The handbook should be used along with other primary reference sources such as the Graduate Catalog, the Clinical Training Manual, and the Experimental Program Manual. To obtain copies of these documents, please look on the departmental website (<http://psychology.ua.edu/graduatestudies/current-students>).

The Graduate Catalog (<http://graduate.ua.edu/catalog>) has information that applies to all University of Alabama graduate programs, as well as specific information related to the psychology program. Psychology graduate students must adhere to Graduate School guidelines.

The Graduate Student Handbook (the present document) contains information that applies to all clinical and experimental concentrations within the psychology graduate program. In some instances, the standards or guidelines of the psychology program are more rigorous than those of the Graduate School. In such instances, psychology graduate students must follow the psychology program guidelines. *The present document supersedes all previously dated versions.*

The Clinical Training Manual contains information that applies to all clinical areas within the psychology program. There is a substantial amount of information in the Clinical Training Manual that is not included in the Graduate Student Handbook. Please also see the Clinical Training Manual Appendices. Links to both of these documents can be found on the following web page: <http://psychology.ua.edu/graduate-studies/current-students/resources-for-current-students>.

The Experimental Program Manual contains information that applies to the experimental concentrations within the psychology program. There is a substantial amount of information in the Experimental Program Manual that is not included in the Graduate Student Handbook. A link to this document may be found on the following web page: <http://psychology.ua.edu/graduate-studies/current-students/resourcesfor-current-students>.

The Graduate School Website (<http://graduate.ua.edu>) has a great deal of information for graduate students, including Graduate Community News, Events and Activities for graduate students, a multitude of essential Web Forms, and the following important documents:

Graduate Assistant Guide (<http://services.graduate.ua.edu/publications/ga/>) contains information on terms, benefits, and responsibilities of graduate assistants.

A Student Guide to Preparing Electronic Theses and Dissertations (<http://graduate.ua.edu/etd/manual/index.html>) contains Graduate School guidelines for theses and dissertations, including preparing documents for electronic submission.

Financial Assistance Handbook (<http://graduate.ua.edu/publications/finhandbook/>). The psychology department finds funding for most funding-eligible students, but this document lists additional funding sources including some grants and scholarships for which students may apply.

University of Alabama Student Handbook (<http://www.studenthandbook.ua.edu/>). Contains information about UA student government, students' rights and responsibilities, and sexual harassment and academic misconduct policies.

The University of Alabama Faculty Handbook (<http://facultyhandbook.ua.edu/>) also contains information about academic misconduct policies.

The International Student Handbook no longer appears available. It has been superseded by a website with a number of links to information sources that are especially helpful to international students:  
<http://is.ua.edu>.

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## Departmental Structure

### Background

The Department of Psychology was established in 1937 with the transfer of one faculty member and several undergraduate courses from the College of Education to the College of Arts and Sciences. In 1946, with the initiation of a master's program, Psychology became one of the early graduate departments at The University of Alabama. In 1956, planning began for a doctoral program. The first four students were admitted in 1958 and accreditation from the American Psychological Association was obtained in 1959. The first Ph.D. degree was granted in 1961. Since that time, more than 500 Ph.D. degrees have been awarded and tens of thousands of undergraduate students have received instruction in psychology.

### Administrative Organization

The Psychology Department's faculty support two graduate programs and an undergraduate program. The Clinical program has four concentrations—Clinical Child, Clinical Health, Clinical Geropsychology, and Psychology & Law; and the Experimental program has three concentrations—Cognitive Psychology, Developmental Science, and Social Psychology.

<b>Department Chair</b> .....	Dr. Frances Connors
<b>Director of Graduate Studies</b> .....	Dr. Ed Merrill
<b>Director of Clinical Psychology</b> .....	Dr. Matt Jarrett
Coordinator, Clinical Child concentration.....	Dr. Randy Salekin
Coordinator, Clinical Health concentration.....	Dr. Jim Hamilton
Coordinator, Clinical Geropsychology concentration.....	Dr. Rebecca Allen
Coordinator, Psychology & Law concentration.....	Dr. Karen Salekin
<b>Director of Experimental Psychology</b> .....	Dr. Philip Gable
Coordinator, Cognitive Psychology concentration.....	Dr. Beverly Roskos
Coordinators, Developmental Science concentration.....	Dr. Ansley Gilpin
Coordinator, Social Psychology concentration.....	Dr. Will Hart
<b>Director of the Undergraduate Program</b> .....	Dr. Kristina McDonald
Director, Undergraduate Honors Program.....	Dr. Kristina McDonald

### **Psychology Department Staff**

Graduate Program Assistant/Admissions Assistant.....	Ms. Mary Beth Hubbard
Departmental Administrative Assistant.....	Ms. Michelle Lee
Administrative Specialist.....	Ms. Julie Davis
Departmental Accounting Assistant.....	Ms. Inge Archer
Office Associate Sr. (Main Office).....	Ms. Robin Bonner
Grant Specialist.....	Ms. Kim Olin

### **Psychology Clinic**

Director .....	Dr. Clayton Shealy
Office Manager.....	Ms. Wendy Belcher



# **Graduate Program Policies and Information**

## **Graduate Admissions Procedures**

Admissions to the University of Alabama's graduate program in Psychology are managed by the Director of Graduate Studies and subcommittees representing the clinical and experimental programs. The committees first establish, each year, the number of admissions openings based upon a consideration of stipend opportunities and grant commitments within concentrations, the future employment picture, and maintenance of an approved student-faculty ratio.

In evaluating applications, the subcommittees respond to the following criteria: Overall grade point average, Graduate Record Examination scores, letters of recommendation, research experience, and profession-related experience. We also strongly consider how well the applicants' research and professional interests match those of a potential faculty mentor. Psychology applicants typically have both a higher grade point average and higher Graduate Record Examination scores than the minimums required by the Graduate School.

### **Changing Graduate Programs**

Inasmuch as acceptance into the graduate programs in psychology reflect a decision by each separate program (i.e., clinical and experimental), any change of program by a current student will require a formal application to the new program. The student will be expected to submit an up-to-date application with new transcripts, new references, and a new personal statement prior to the standard application deadline for the year in which they intend to start in the new program. Other supporting materials may also be included (e.g., CV). GRE's and previously submitted transcripts will be available from the Graduate School. Unless otherwise specified, if accepted into the new program all department/program deadlines and funding priorities will apply to the date that the student initially began their graduate work in the department.

### **Respecialization Training**

Because of limited training resources, the Department of Psychology has restricted consideration of respecialization training in clinical psychology to Ph.D.'s who have graduated from this department.

### **Readmission of Former Students**

Former students who left the program in good standing prior to receiving a Ph.D. degree must submit a letter to the Director of Graduate Studies requesting readmission. The Director of Graduate Studies and the appropriate subcommittee will evaluate the request provisionally. If readmission appears a possibility, the candidate will be considered for fall admission in competition with other applicants.

## **Graduate Program Requirements**

### **Requirements for the Doctor of Philosophy Degree**

All graduate students complete the General Psychology Core, the Research Skills Core, a master's thesis and a doctoral dissertation. In addition, clinical students complete the Clinical Core and a year-long clinical internship. Students in each of the seven clinical and experimental concentrations also complete advanced

coursework in their concentration. Students should consult the Clinical Training Manual and the Experimental Program Manual for details on advanced coursework requirements (also see the departmental website, <http://psychology.ua.edu/graduate-studies>). Students are encouraged to complete the Ph.D. in 5 years; however, completion time may vary based on students' progress on thesis and dissertation research. Beginning in the fifth year of study, students have lower priority for departmental funding.

#### General Psychology Core:

- PY650 Cognition and Learning
- PY651 Physiological Psychology or PY629 Neuroscience
- Two of: PY670 Perception, PY652 Life-Span Developmental Psychology, PY672 Advanced Social Psychology (some concentrations require a specific course from this set or allow substitutes)
- PY671 History and Systems (clinical students only)

#### Research Skills Core:

- PY607 Research Methods in Psychology
- PY602 Advanced Statistics I
- PY603 Advanced Statistics II
- A third statistics course, as listed in the section "The Statistics Requirement and the Statistics Minor"

Advanced Coursework as applicable (please see the Clinical Training Manual, the Experimental Program Manual or the departmental website for specific courses):

- Clinical Core
- Teaching of Psychology
- Advanced Coursework in:
  - Clinical Child
  - Clinical Health
  - Clinical Geropsychology
  - Psychology and Law
  - Cognitive Psychology
  - Developmental Science
  - Social Psychology

#### Thesis and Dissertation Hours:

- PY599 Thesis research (6 hours)
- PY699 Dissertation research (24 hours)

### **Doctoral Plan of Study**

The Doctoral Plan of Study must be filed with the Graduate School no later than the semester during which the student will complete 30 semester hours of UA and/or transfer credit toward the doctoral degree. If it is not filed, a hold will be placed on the student's registration for the following semester. Completion of this form will be initiated by the Graduate Program Assistant, who will contact students about it. Students should not complete this form on their own.

## Requirements for the Master of Arts Degree

Students who are enrolled in the Ph.D. program earn the Master of Arts degree en route to the Ph.D. There is no terminal masters program. Twenty-four credit hours of coursework in the student's degree program, 6 hours of thesis research, plus a completed and approved thesis are required to earn the Master of Arts degree in Psychology. The 24 hours of coursework must include PY607 and PY602.

Each clinical graduate student must take an acceptable course in History and Systems in Psychology during graduate study.

## The Statistics Requirement and the Statistics Minor

The doctoral program requires three statistics courses (PY602, PY603, and one approved advanced statistics course). Statistics courses approved to satisfy the third course are PY604/BER641, PY 614, PY659/BER558, PY693 (Structural Equation Modeling; Dyadic Data Analysis, Hierarchical Linear Modeling,, Multi-level Modeling), BER646, and BER658. In pairs of courses separated by a slash (/), one can count towards the third course requirement but not both. Any other third course will be considered if a syllabus and other relevant material are submitted to the Statistics Committee chair. If the committee feels that the course extends adequately beyond PY602 and PY603 and satisfies the spirit of the degree requirement, it will give permission and send documentation to that effect back to the Director of Graduate Studies. The documentation will go in the student's file for the record.

The statistics minor creates an opportunity for students to acquire advanced skills that may enhance future research efforts and expand job opportunities for the student. The minor is based on a 5 +1 model. The 5 refers to 5 statistics courses (or 15 credits if some are less than 3 credits). The +1 can be satisfied by one of several routes:

- A sixth course which may be statistics or methods (other than the 1 required methods course we now have). Methods courses that have been approved are BER631, SW623, and PY693 (Observational Measurement of Behavior in Psychological Research).
- Teaching or co-teaching undergraduate statistics, PY211.
- Serving as a TA for a graduate statistics course.
- Graduate Statistics Readings course, PY 681 (with syllabus approved by a supervising faculty member and statistics committee)

The 5 statistics courses include required courses PY602 and 603. The same courses approved for the third statistics course are approved for the advanced courses in the minor.

Other considerations for the minor:

- At least two courses for the minor, beyond PY602 and PY603, must have PY designations.
- A minimum grade of B is required in all courses for the minor. If a student gets a C in any course, another course must be taken.
- The Statistics Committee will receive applications, consisting of a syllabus or comparable information, for approving additional courses for the minor. Approval will be conferred by a majority vote of the committee.

- The University does not formally recognize graduate minors. Students completing the minor will receive a letter from the Director of Graduate Studies attesting to this accomplishment.

Once a student decides to complete the minor, s/he should notify the Graduate Program Assistant to add this to the student's Plan of Study.

### Course Load Requirements

- 1. Usual course load.** Normally, students must enroll in 9-12 credit hours of coursework each fall and spring semester. A student may register for up to 15 hours in a semester; however, the decision to do so should be made carefully along with the student's research supervisor and taking into consideration the student's other responsibilities for research, teaching, etc. Students who have completed all course work with the exception of the dissertation, or who can, with a reduced load, complete all course work in the current year, may take less than the customary 9-12 hours. However, certain restrictions may apply due to the nature of the student's financial assistance (see below).
- 2. Dissertation hours.** Once a student has begun to enroll in dissertation hours (PY699) and/or has met the requirements for admission to candidacy, s/he must be enrolled continuously, for 3 credit hours or more each fall and spring semester, until the final dissertation is submitted to the Graduate School. Registration during the summer term (3-hour minimum) is expected if the student is using university and/or faculty resources. If the final dissertation is submitted to the Graduate School in the same semester in which it is defended, no further dissertation hours are necessary, including the semester in which the student graduates. However, if the dissertation is submitted to the Graduate School after the semester ends, the student must register for either 1 or 3 additional dissertation hours in the following semester, depending on when the document is submitted. This include registering for summer term if graduation will be in August. For questions about this, please see the Graduate Program Assistant.
- 3. Thesis hours.** Students may enroll in 1 or more thesis hours during the semesters in which they are working on their thesis (a total of 6 thesis hours is required). They must enroll in at least 1 thesis hour in the semester in which their thesis is defended.
- 4. Course load and university employment.** The usual level of university employment (e.g., graduate teaching or research assistantship, clinical placement) is .50 FTE (20 hours/week), with 9-12 credit hours of coursework. For students who are university-employed, employment outside the university is discouraged.

### Graduate Minor in Psychology for Students in Other Departments

Doctoral students in other departments may complete a graduate minor in psychology. A graduate minor in psychology shall consist of 12 graduate hours, at least 6 of which are to be selected from the following:

- PY650 Cognition and Learning
- PY651 Physiological Psychology or PY629 Neuroscience
- PY652 Life-Span Developmental Psychology
- PY670 Perception
- PY672 Advanced Social Psychology

Other courses available to minors and offered on a regular basis are: PY693 Advanced Seminar in Psychology, PY591 Seminar in Psychology, and statistics courses PY602, PY603, PY604, and PY659. Occasionally other courses will be offered that will count towards the minor. All courses require the permission of the Director of Graduate Studies and the course instructor.

Students seeking a graduate minor in psychology must be in good standing and at the second year or beyond in residency in a University of Alabama doctoral program. Students must achieve a 3.00 GPA in the minor, with only one grade of "C." No grade below "C" will count toward the minor. No more than 6 hours may be transferred from a department of psychology in another institution. The Director of Graduate Studies shall determine who is accepted for a minor program of study and shall determine the appropriate courses to be taken in a timely manner. In addition, the Director of Graduate Studies shall certify a completed minor to the Graduate School and to the home department. However, at this time, the Graduate School neither requires nor recognizes graduate minors formally.

### **Other Considerations**

- 1. Transfer of graduate credits from other institutions.** Students who wish to transfer previous graduate coursework from another institution must meet briefly with the Graduate Program Assistant to initiate the approval process. Coursework to be transferred must have an equivalent in the psychology department. The student must submit syllabi of previous coursework for review by the department faculty members who currently teach the equivalent departmental courses. This process should be completed by the end of the first year of study. For the Ph.D. degree, the Graduate School allows up to 50% of the required coursework (exclusive of dissertation hours) to be transferred from another institution. Only coursework completed within a six-year period prior to beginning the UA psychology graduate program will be considered for transfer under this mechanism. In addition, Graduate School policy allows transfer of credits taken concurrently with enrollment in our department, subject to the same 50% requirement, if approved for the student's Plan of Study. The courses must be from accredited institutions and be taught by their graduate faculty.
- 2. Approval of a thesis or dissertation completed elsewhere.** The Ph.D. program in psychology requires completion of a master's thesis. If a student has completed a master's thesis or dissertation within the last six years at another institution, s/he may submit it for approval and satisfaction of the thesis requirement. A committee of three faculty members will review the document for content and rigor to determine whether it is similar to what is expected in our program. This committee shall include the student's program director (clinical or experimental), the Director of Graduate Studies, and one other faculty member to be chosen by the first two. Students coming in from another field other than psychology may submit their thesis or dissertation (when applicable) for review; however, for approval, the content must be viewed as within the expected range of psychology theses or dissertations. If a student's document is approved, the thesis requirement for the Ph.D. degree is satisfied. However, the student will not receive thesis credits and will not earn a master's degree in psychology at UA.
- 3. Graduate students enrolled in undergraduate courses.** Graduate students taking courses that also enroll undergraduates (400 level) should register for the 500 level version of the class. Graduate students must be required to do extra work (i.e., assignments beyond those required of the undergraduates). Typically this takes the form of a term paper or outside reading

**4. Graduate research and readings courses.** Graduate Research (PY598, PY698) and Readings in Psychology (PY581, PY681) are independent study courses. Students must present a plan and secure the approval of the supervising faculty member prior to registration. The plan will be for 1-3 credit hours, corresponding with the student's anticipated effort that semester. For *Graduate Research*, the plan must involve research activities. The research supervisor may submit interim progress statements to the faculty member who administers the course, and a final written product, such as a summary, may be required of the student. Graduate Research courses cannot be viewed as thesis or dissertation preparation. The latter are credited through PY599 (thesis) and PY699 (dissertation). Grading is on the P-F system. For *Readings in Psychology*, the plan must involve directed readings of articles, books, or other materials. The supervising faculty member must meet with the student on a regular basis to review progress, test, etc. Grading is on the A, B, C, D, F, system.

**5. Teaching of Psychology course.** Teaching of Psychology (PY695) is required for both clinical students and experimental students. Students enrolled in this class attend a weekly 2-hour seminar and either teach or co-teach a small section of PY101 Introduction to Psychology. The student's teaching is closely supervised and guided. Students receive guidance with syllabus development, website construction, grading procedures, test construction, etc. They are observed teaching, they are videotaped, and they receive constructive feedback. Once a student has passed PY695 s/he is qualified to teach courses in the department. For many advanced students, teaching is a source of funding.

**6. Taking Classes across Graduate Programs.** Generally speaking, it is uncommon for students to take classes across programs (i.e., Clinical and Experimental) in psychology. The process for requesting permission to take classes outside of the student's current psychology program requires two steps prior to registration for the course. First, the student must get permission from their mentor indicating that it has the potential to benefit the student's long term goals. Second, the student must receive permission from the course instructor. Failure to follow these policies will result in administrative withdrawal from the course.

### Dismissal from the Graduate Program

#### Academic Failure

In addition to the policies of the Graduate School regarding grade point average requirements (see Graduate Catalog, <http://graduate.ua.edu/catalog>), the Department of Psychology further requires that graduate students in psychology maintain sufficient academic performance within the UA psychology curriculum (e.g., psychology courses and other specifically designated courses taken as part of a student's psychology program). Students shall be dismissed if, in the course of such a program, they:

- (a) accumulate three C's (in courses at any level)
- or
- (b) fall below a 3.0 average, except that a probation policy equivalent to that of the Graduate School shall be observed.

Coursework taken prior to enrollment in the Department of Psychology will not be used in calculating a student's performance with respect to these standards.

## Academic Misconduct

The Department of Psychology will not tolerate academic misconduct. Procedures for reporting and resolving such cases are described in The University of Alabama Faculty Handbook (<http://facultyhandbook.ua.edu/>) and the University of Alabama Student Handbook (<http://www.studenthandbook.ua.edu/>). Also, they are reproduced in **Appendix A** of the present document. Should the Dean or Academic Affairs Officer find the student guilty of academic misconduct, the faculty may review the student's record. If they deem appropriate, the faculty may dismiss the student from his/her program of study in the Department of Psychology.

## Academic Grievance Procedures

Procedures for filing a student complaint regarding an academic action taken by instructional or administrative personnel are detailed in the Faculty Handbook (Appendix D) at <http://facultyhandbook.ua.edu/>.

## Non-Academic Failure

Definition of Non-academic Failure: Non-academic failure occurs when a student is dismissed from the program for reasons to do with his or her ethical or professional conduct rather than academic performance. Examples include (but are not limited to) plagiarism, falsifying data, lying or cheating, acting maliciously against others, developing personal relationships with clients, and in general violating the APA Ethical Principles of Psychologists and Code of Conduct. <http://www.apa.org/ethics/code/index.aspx>

At the end of each year of graduate study, all students are evaluated by the program faculty (Experimental or Clinical). In addition, a student may be evaluated at any time of year if a problem is perceived by the faculty. At the time of the evaluation, both academic and nonacademic factors are considered. One of six possible preliminary recommendations may result from this evaluation:

- (a) Continue - the student is encouraged to continue in the program for another year.
- (b) Continue with Warning - the student is encouraged to continue in the program for another year, but is appraised, in writing, of problems perceived by the faculty and advised concerning their remediation.
- (c) Continue with Remediation Plan (without Probation) - the student is permitted to continue in the program pursuant to his or her successfully completing a specific written plan of remediation prescribed by the faculty.
- (d) Continue with Remediation Plan (with Probation) - the student is permitted to continue in the program pursuant to his or her successfully completing a specific written plan of remediation prescribed by the faculty. The situation is serious enough to warrant probation status, which will necessitate self-identification on clinical internship applications.
- (e) Dismissal due to Failed Remediation Plan - the student is dismissed from the program because the remediation plan noted in (c) or (d) has not been successfully completed (see text below).

- (f) Dismissal without Remediation Plan - the student is dismissed from the program without a remediation plan for pronounced violations of ethical and professional conduct standards or for persistent patterns of conduct that are judged to be resistant to remediation.

If the outcome of the evaluation is other than (a) Continue, the following steps will be taken:

**1. Communication of the problem to the student.** The director of the student's program (Clinical or Experimental) will, with input from the program faculty, compose a committee to gather information and document the problem. This committee may be composed of 3 persons, 2 program faculty and 1 person from outside the program. However, the composition of the committee is at the discretion of the program director. Faculty (or staff) members providing significant information relevant to the student's evaluation will provide such information as completely as possible, specifying the sources of the information. During the information gathering phase, the student shall be afforded an opportunity to consult with the faculty member(s) involved and to provide information to the committee. Once the committee has gathered information and documented the problem, it will present its recommendation to the program faculty at a meeting in which a quorum of program faculty is present. At that meeting, a majority vote by the program faculty will indicate approval of the committee's recommendation. Then, the committee will present a statement to the student in writing that will include the exact recommendation (Recommendation b, c, d, e, or f) and supporting information.

If the recommendation involves a remediation plan (Recommendations c or d), the details of the remediation plan will also be presented to the student in written form at this time. Remediation plans will be explicit with stated criteria for judging their success or failure as well as a timeline. Criticisms and remediation plans will be signed by the student (if he or she agrees), the student's program director (Clinical or Experimental), the Director of Graduate Studies, and the student's advisor. Then they will be placed in the student's file.

**2. Appeal of problem statement and/or remediation plan.** If the student does not agree with the criticisms or the plan for remediation, he or she will be given a maximum of four weeks to prepare a request for reconsideration. The student may select any consenting representative (including another student) to appear with or instead of her or him at a reconsideration hearing before the program faculty who will subsequently vote to affirm or modify the documents in question. If the majority vote is to affirm the documents in question, this will be documented and one copy will be given to the student and one copy will be placed in the student's file. If the majority vote is to modify the documents in question, the modifications will be documented and presented to the student in writing. The modified criticisms and/or remediation plan will be signed by the student (if he or she agrees), the student's program director (Clinical or Experimental), the Director of Graduate Studies, and the student's advisor, then placed in the student's file.

**3. Evaluation of the remediation plan.** If a remediation plan was put into place, the student's progress toward meeting the specified criteria will be reviewed according to the timeline described in the remediation plan. The initial review will be done by the committee that was originally chosen by the program director to document the problem and write the remediation plan. The review will require gathering of information from the student, faculty, and any other persons involved in the remediation plan. This committee will present a recommendation to the program faculty (Clinical or Experimental) at a meeting in which a quorum of program faculty is present. At that meeting, a majority vote by the program faculty will indicate approval of the committee's recommendation. The Department Chair will not vote. This final decision shall take place within

one month of the period specified for remediation. The decision will be documented with supporting details and a copy will be given to the student and a copy will be placed in the student's file.

**4. Appeal of a dismissal decision.** If a decision was made to dismiss the student from the program, the student may make a formal appeal. This should be done according to the University of Alabama's University-wide Academic Grievance Procedures, described in the faculty handbook and available online at <http://facultyhandbook.ua.edu/>.

*Important note:* This revised policy for non-academic Failure, effective October 1, 2008, supercedes all previous policies for non-academic failure printed in the Graduate Student Handbook and the Clinical Training Manual.

### **Time Limits for Completion of the Ph.D.**

Each fall, students who are nearing their time limit for completion of the Ph.D. will be notified of this in writing. One copy of this notification is placed in the student's file and another is sent to the Graduate School. Students who are nearing their time limit are encouraged to discuss their plans with the Director of Graduate Studies.

**1. Entering without a master's degree: Eight year limit.** The time limit for completion of a doctoral degree in the Department of Psychology is 8 years after entry for students who enter without a master's degree. This is a Graduate School time limit and includes the internship year for clinical students. After 8 years, the Graduate School automatically drops the student from the program. If this happens, the student may reapply for the program and, if admitted, will have another 8-year period in which to complete the PhD. However, only coursework that was completed within the 6 years before reentry will be counted toward the PhD. Thus, coursework from the first two years of study must be retaken. Further, the student must adhere to the program requirements that are in effect at the time of reentry. Finally, students should be advised that there is no guarantee of being readmitted, and in fact, readmission may be unlikely.

In unusual and compelling cases that are beyond the student's control, the Graduate School allows a student to request a one-time, one-semester extension beyond the 8-year limit. If approved, revalidating of outdated UA or transfer coursework is not required as long as this coursework has been approved previously in the student's Plan of Study (though the Dean of the college can request that a student repeat an outdated course that is especially integral to the student's course of study). If a student who has been granted a one-semester extension does not complete the degree in that semester, s/he will be automatically dropped from the program and must reapply for admission. For more information on Graduate School policy, see the [Graduate Catalog](#) (section 4.11.3) and the policy statement <http://graduate.ua.edu/admin/policy/doctimelimits.html>.

To apply for a one-time, one-semester extension, the student should prepare a written request including (a) a description of the compelling circumstances that caused the delay in degree progress, (b) a description of the current status of the dissertation, and (c) a timeline showing each important remaining step in the completion of the dissertation. This request is submitted to the student's program director (clinical or experimental) for consideration by the program faculty. The program director forwards the program faculty's recommendation to the Director of Graduate Studies, who forwards it to the Dean of the College of Arts and Sciences, who forwards it to the Dean of the Graduate School. The request should be made during the second semester of the 8<sup>th</sup> year of study. If the one-semester extension is granted, the student must meet deadlines for graduation in the

extension semester. For example, if the extension is for fall semester, the student must meet deadlines for December graduation. The last step and date in the timeline should reflect this.

**2. Entering with a master's degree: Six year limit.** The time limit for completion of a doctoral degree in the Department of Psychology is 6 years after entry for students who enter with a master's degree *in psychology in which a thesis was completed*. This is a Department of Psychology time limit and includes the internship year for clinical students. In unusual circumstances in which the student's progress toward the doctoral degree has been delayed because of illness, financial considerations, or other demands, the Department of Psychology will consider a petition from the student for a one-semester extension of the 6-year limit. To request a one-semester extension, the student submits a written request detailing (a) the unusual circumstances that have delayed his or her progress, (b) the current status of the dissertation, and (c) a timeline for completing the dissertation. This request is submitted to the student's program director (clinical or experimental) for consideration by the program faculty. The program director forwards the program faculty's recommendation to the Director of Graduate Studies, who provides final approval and documents the extension. The request should be made during the second semester of the 6<sup>th</sup> year of study. If the student fails to complete the Ph.D. in a one-semester extension, further enrollment requires the student request another one-semester extension, under the same conditions and procedures described above.

**3. Other considerations.** Students should be aware that (a) according to Graduate School policy, the time limit for completion of the Master of Arts degree is 6 years, and (b) time spent during an authorized leave of absence or during an internship program counts toward the time limit (i.e., the clock does not stop).

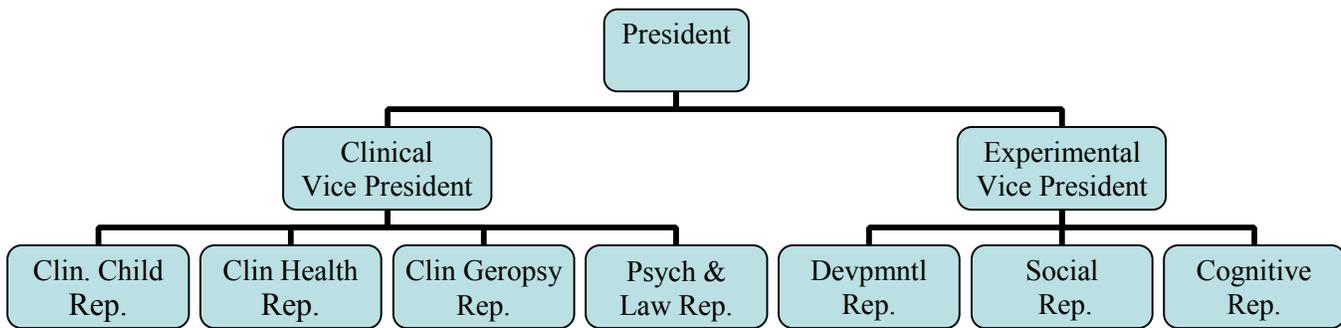
### **Program-specific Time Limits**

In addition to the Graduate School and departmental time limits for completion of the doctoral degree, each program (clinical and experimental) has specific milestone-related time limits. For clinical program time limits, please see the Clinical Training Manual (link at <http://psychology.ua.edu/graduate-studies/currentstudents/resources-for-current-students>). The experimental program has two important time limits. First, students must defend their thesis by the end of the spring semester final exam period of the third year of study. If they fail to do so, they will be allowed an additional year to complete the master's degree (including the thesis), but then will be terminated from the doctoral program. Second, students must pass their preliminary oral exam by the end of the of the spring semester final exam period of their fifth year of study. If they fail to do so, they will be terminated from the doctoral program at that time.

## **Graduate Student Involvement and Recognition**

### **Psychology Graduate Student Association (PGSA)**

**1. Leadership.** The PGSA will be organized around a central President with representatives for each of the department's major programs and concentrations. These PGSA representatives will be elected during the spring of each academic year. Elections will be the sole responsibility of the current elected representatives.



The Clinical V.P. and Experimental V.P. will each have one (1) vote during department meetings on all topics except for those related to faculty tenure, faculty promotion, and graduate student evaluation. If a voting representative must be absent, the PGSA President or one of the elected concentration representatives may stand in proxy. In the absence of appointed representatives, elected representatives will fulfill committee responsibilities until such time as an appointment can be made.

In addition, the approximately 19 existing departmental committees will have student representatives appointed by the PGSA elected representatives. These appointments will take place no later than four weeks after PGSA elections. The PGSA President, Clinical V.P, and Experimental V.P. will automatically serve as the student representatives to the Chair's Advisory Committee. Appointed committee representatives will have one (1) vote for committee matters.

In its appointment of committee representatives, the PGSA recognizes that some committees have specific requirements for their student members. For example, Faculty Search Committees prefer advanced students. Committee Chairs will be given deference in selection when applicable. The PGSA President, along with Experimental and Clinical V.P.s, will hold simple majority elections in the event that two or more students wish to fill one committee position.

## 2. Responsibilities

*Elections.* The PGSA will be responsible for its own perpetuation. See section 1.

*Representation of student voice.* Elected and Appointed PGSA representatives will

- a. Gather and represent the constituent group's opinions on relevant departmental and committee policies
- b. Raise questions within committee and departmental meetings regarding such opinions, and vote accordingly
- c. Report back to their constituent groups regarding committee and departmental decisions
- d. Provide an arena for anonymous discussion, debate, and consensus gathering of student issues before presenting them to the department as a whole

*Additional source of funds for student activities.*

- a. Departmental money set aside for entertaining prospective students as well as student-run first-year social activities shall be utilized by the PGSA's elected representatives in conjunction with a departmental liaison.

- b. The PGSA will be allocated \$400.00 per academic year for its General Operating Budget (GOB). For example, these funds will be used to make necessary copies, purchase office supplies, and host PGSA gatherings in an effort to increase the potential of the PGSA in Recruitment and Retention of outstanding graduate students.
- c. The PGSA will facilitate student applications to the University GSA's research and travel fund.

## Graduate Student Awards

**1. University-level awards.** Each year the Graduate School gives awards in Excellence in Teaching by a Doctoral Student, Excellence in Research by a Master's Student, Excellence in Research by a Doctoral Student, Outstanding Service by a Graduate Student, Outstanding Thesis, and Outstanding Dissertation. Nominations originate within the department (see Departmental Awards, below) and are evaluated at the college level. College-level winners then compete at the university level.

**2. Departmental awards.** The psychology department makes five awards to graduate students. The winner of each departmental award is also the department's nominee for the parallel A&S and/or university award.

Each fall, the Director of Graduate Studies issues a call for nominations to faculty and graduate students. Nominations of graduate students may be initiated by faculty members or by the students themselves. Nomination materials are evaluated by special faculty committees, which select the awardees.

*Oliver Lacey/Norman Ellis Research Award.* This award is given annually to a graduate student who has demonstrated research excellence and productivity. Ordinarily, the winner of this award becomes the departmental nominee for the college/university Award for Excellence in Research by a Doctoral Student.

*Paul Siegel/Steve Prentice-Dunn Teaching Award.* This annual award recognizes outstanding classroom teaching by a graduate student. Ordinarily, the winner of this award is nominated for the college/university Award for Excellence in Teaching by a Doctoral Student.

*Henry C. Rickard Clinical Service Award.* This annual award recognizes outstanding clinical service by a graduate student. The winner of this award may become the nominee for the university's Award for Outstanding Service by a Graduate Student; however, Experimental students will also be considered for this nomination.

*Outstanding Psychology Dissertation Award.* This award is given annually to the graduate student with the most outstanding dissertation. The awardee is typically nominated for the college/university Outstanding Dissertation Award.

*Outstanding Psychology Thesis Award.* This award is given annually to the graduate student with the most outstanding thesis. The awardee is typically nominated for the college/university Outstanding Thesis Award.

## 3. Other graduate student competitions and opportunities

*Research and travel funds.*

The psychology department awards research and travel funds to students 3 times per year. These funds are to help defray the cost of students' own research (thesis, dissertation, or other) or conference travel. The timing of

the awards corresponds to the timing of Research and Travel funds awarded by the Graduate School. Currently all students who meet criteria receive an award from the department and are nominated for Graduate School Research and Travel Awards, which may range up to \$500 for Travel and \$300 for Research. Because the Psychology Department (with assistance from A&S) attempts to match the Graduate School award, it is possible to obtain up to \$1000 in funding (\$500 from the Psychology Department/A&S and \$500 from the Graduate School). Specific amounts awarded from the department may vary from year to year. They are determined at the beginning of each year based on available money from departmental research overhead and the expected number of applications requesting funding. In 2017-18, the departmental award is likely to be \$200 and the student's mentor and A&S can provide additional funds to enable the department to request maximum matching funds from the graduate school. Exact amounts for each round can vary as a function of the availability of funds. The call for applications occurs in August, January, and April, along with guidelines for preparing applications for that round.

*Graduate Council Research Fellowships.* Each year, the psychology department nominates students for Graduate Council Research Fellowships in the Thesis, Dissertation, or Research categories. These competitive fellowships are awarded by the Graduate School and cover tuition and an attractive 9-month stipend. The call for applications occurs in December or January. The departmental nominees are selected by a special faculty committee.

*APA awards for research and travel.* The American Psychological Association has several categories of awards for graduate student research and travel. The psychology department nominates students for the awards, and nominees are selected by a special committee of faculty members. The call for applications occurs in early fall, early spring, and/or late spring. If you plan to apply, please contact the Director of Graduate Studies to determine if a selection process is necessary. The number of nominations that can be made by the department is limited.

*First-year conference travel.* First-year graduate students are encouraged to attend research conferences in their specialty area. The department will provide \$300 for each first-year student to attend one conference when accompanied by their research supervisor. Students wishing to receive these funds should complete the Beginning Graduate Student Travel Support form some time during the first year of study, before the conference travel is to take place (which must also be during the student's first year, i.e., between August 16 of the year of first enrollment at The University of Alabama and August 15 of the following year, assuming continued good standing). The form is available from the Graduate Programs Assistant (Mary Beth Hubbard) and on the departmental website. This form includes a brief description of the link between the proposed conference and student career goals, a signature of support from the student's research advisor, and a budget. The Research Overhead Subcommittee will review this request. A first-year student may also apply for travel money from the Graduate Student Research and Travel fund if they qualify, for the same conference, in hopes of obtaining matching funds from the Graduate School. However, the department contribution will remain limited to \$300. When questions arise about whether travel requests are appropriate for this funding mechanism, the full Committee on Research will discuss the request before a decision is made.

## Other Graduate Program Policies

### **Switching Advisors**

It is the general expectation that students will remain with their initial research faculty advisor for at least the first year and probably through the completion of their master's thesis. However, there are some circumstances in which the student may want to change advisors during an academic year or before the end of the master's thesis. When any potential switch is considered during the year, it will be necessary to consider the source of the student's funding and how such a switch would impact the student as well as the faculty member. For example, if the student is funded on a faculty member's grant, it will be important to work out a plan that does not entail a sudden abandonment of the student's job responsibilities. It is not always the case that an alternative source of financial aid can be offered to the student at mid-year. Students are encouraged to discuss any concerns with their advisor, to be specific, and to ask directly for what they want and need. If a student is considering options for switching to another research advisor, it is acceptable to talk with other potential faculty mentors. However, once a student has made a decision to switch advisors, it is preferable to inform the faculty advisor about it first. If the student is uncomfortable, or unclear about how to do this, meeting with the student's program director (clinical or experimental), the Director of Graduate Studies, or the Department Chair for planning purposes can be helpful.

### **Procedure for Requesting a Leave of Absence**

If a temporary health-related or personal circumstance poses a significant barrier to a student's progress, the student may request a leave of absence for a designated period of time. To request a leave of absence, the student should write a letter to the program director (clinical or experimental) requesting the leave of absence. The letter should be signed and dated and should provide a detailed explanation of the circumstances and why they will pose a barrier to his/her degree progress. It should also specify the beginning and ending dates of the requested leave period. The program faculty (clinical or experimental) will then meet to consider the leave and will make a recommendation. The program director will forward this recommendation to the Director of Graduate Studies in the form of a memo, along with a copy of the student's letter. The Director of Graduate Studies will then forward the recommendation to the Graduate School for final approval. *If the student cannot return at the end of the time period designated in the leave of absence request, s/he must request another leave of absence. If the student does not return and does not request another leave of absence, s/he will be dropped from the program.* The time a student spends on leave still counts toward the student's degree time limit (i.e., the clock does not stop). To be given full consideration for funding following their return to the program, students on leave are required to notify the department of their decision to return at least one semester prior to re-enrollment in coursework.

### **Procedures for Medical Withdrawal**

Students seeking medical withdrawal must follow guidelines as detailed in the Graduate Catalog.

### **Departmental Policy on Consensual Relationships between Students and Faculty**

The University of Alabama Faculty Handbook (2004; appendices I and J) describes the policy regarding sexual harassment and consensual sexual relations. University policy regarding consensual relationships between

faculty and students is less detailed than the departmental policy. The purpose of the departmental policy is to specifically apply the Ethical Standards of Psychologists (2010 Revision) to the area of consensual relationships between students and faculty. The particular principles and standards of the Ethical Standards of Psychologists (2010 Revision) that pertain to this departmental policy are listed immediately below:

**1. Principle A: Beneficence and Nonmaleficence.** Psychologists strive to benefit those with whom they work and take care to do no harm. In their professional actions, psychologists seek to safeguard the welfare and rights of those with whom they interact professionally and other affected persons, and the welfare of animal subjects of research. When conflicts occur among psychologists' obligations or concerns, they attempt to resolve these conflicts in a responsible fashion that avoids or minimizes harm. Because psychologists' scientific and professional judgments and actions may affect the lives of others, they are alert to and guard against personal, financial, social, organizational, or political factors that might lead to misuse of their influence. Psychologists strive to be aware of the possible effect of their own physical and mental health on their ability to help those with whom they work.

**2. Standard 3.05: Multiple Relationships.** Parts a, b, and c of Standard 3.05, detailed below, are relevant.

a. A multiple relationship occurs when a psychologist is in a professional role with a person and (1) at the same time is in another role with the same person, (2) at the same time is in a relationship with a person closely associated with or related to the person with whom the psychologist has had the professional relationship, or (3) promises to enter into another relationship in the future with the person or a person closely associated with or related to the person. A psychologist refrains from entering into a multiple relationship if the multiple relationship could reasonably be expected to impair the psychologist's objectivity, competence, or effectiveness in performing his or her functions as a psychologist, or otherwise risks exploitation or harm to the person with whom the professional relationship exists. Multiple relationships that would not reasonably be expected to cause impairment or risk exploitation or harm are not unethical.

b. If a psychologist finds that, due to unforeseen factors, a potentially harmful multiple relationship has arisen, the psychologist takes reasonable steps to resolve it with due regard for the best interests of the affected person and maximal compliance with the Ethics Code.

c. When psychologists are required by law, institutional policy, or extraordinary circumstances to serve in more than one role in judicial or administrative proceedings, at the outset they clarify role expectations and the extent of confidentiality and thereafter as changes occur. (See also Standards 3.04, Avoiding Harm, and 3.07, Third Party Requests for Services.)

**3. Standard 3.08: Exploitive Relationships.** Psychologists do not exploit persons over whom they have supervisory, evaluative, or other authority such as clients/patients, students, supervisees, research participants, and employees. (See also Standards 3.05, Multiple Relationships; 6.04, Fees and Financial Arrangements; 6.05, Barter with Clients/Patients; 7.07, Sexual Relationships with Students and Supervisees; 10.05, Sexual Intimacies with Current Therapy Clients/Patients; 10.06, Sexual Intimacies with Relatives or Significant Others of Current Therapy Clients/Patients; 10.07, Therapy with Former Sexual Partners; and 10.08, Sexual Intimacies with Former Therapy Clients/Patients.)

**4. Rationale.** The University's educational mission is promoted by professionalism in faculty-student relationships. Professionalism is fostered by an atmosphere of mutual trust and respect. Actions of faculty members and students that harm this atmosphere undermine professionalism and hinder fulfillment of the University's educational mission. Trust and respect are diminished when those in positions of authority abuse, or appear to abuse, their power.

Faculty members exercise power over students, whether in giving them praise or criticism, evaluating them, making recommendations for their further studies or their future employment, or conferring any other benefits on them. Amorous relationships between faculty members and students are inappropriate when the faculty member has professional responsibility for the student. Voluntary consent by the student in such a relationship is questionable, given the fundamentally asymmetric nature of the relationship. The faculty member involved in the amorous relationship may be in a position to favor or advance one student's interest at the expense of others. Moreover, the judgment of other faculty members in respect to that student may be affected. In addition, relationships among students may be adversely altered.

**5. Consensual amorous relationships in the instructional context.** Therefore, the department will view it as unethical if faculty members, graduate assistants, or any other instructional personnel engage in amorous relations with students enrolled in their graduate or undergraduate classes, or otherwise subject to their influence, even when parties appear to have consented to the relationship. Spheres of influence include but are not limited to the supervision of teaching, research, practica, and student activities. No faculty member shall have an amorous relationship with any graduate student currently enrolled in the department, because such a student would be at least indirectly subject to the influence of the faculty member.

**6. Other consensual relationships.** Any relationship between instructional personnel and students not covered in the above section, which might be construed as a conflict of interest, is to be avoided.

## Teaching Policies and Information

### Teaching Qualifications for Graduate Students

Graduate students at any experience level may be assigned to assist in courses as Graduate Teaching Assistants (GTAs). While these are normally paid assignments, students may also volunteer as an unpaid GTA for a course with approval of their advisor and the course instructor, if they simultaneously enroll for one credit of PY693 reflecting their GTA experience. With 18 hours of graduate coursework in psychology, a student is eligible to teach PY356 Research Laboratory. However, to teach PY101 or any other undergraduate psychology course, a student must have a master's degree or the equivalent in coursework and be enrolled in or have completed PY695 Teaching of Psychology. Exceptions may be made to this policy in very unusual situations, at the discretion of the Chair of the Department of Psychology. When students take Teaching of Psychology, they may take the seminar and teach a small section of PY101, or they may take the seminar and co-teach a small section of PY101. Either of these satisfies the PY695 requirement for teaching an undergraduate course in the department. Once qualified, students will be paid as GTAs to teach 100-, 200-, and 300-level courses (e.g., Introductory Psychology, Behavioral Statistical Methods, Developmental Psychology, Abnormal Psychology, Social Psychology, General Experimental Psychology, Psychology and Law, Psychology of Aging, Psychology of Gender). Students generally are not allowed to teach courses numbered 400 and above. The Graduate School requires all first-time GTAs to attend the 2-day Graduate School GTA Workshop in August the week before classes begin. The College of Arts and Sciences now requires all GTAs, GRAs, and others classified as employees of the University to attend a GTA workshop every other year.

Foreign students should be aware that there are Graduate School language requirements for teaching. If you do not come from a native English speaking country as listed by the Graduate School, you may need to take an International Teaching Assistant Program (ITAP) course and proficiency exam. In general the rules are:

1. A GTA assignment that does not involve direct instruction does not require an ITAP course and exam. A GTA assignment that requires face-to-face instruction in a classroom does require these, with one exception: if your native country is not on the Graduate School list as an English speaking country, you may still be able to document that English is your first language with a TOEFL score. In that case you may not have to take the ITAP course and exam. However, it is up to the Graduate School to make that determination.
2. If you do not qualify under (1), you will need to undergo the ITAP course and exam. There are five possible outcomes of the exam: No pass, Trial conditional pass, Conditional pass, Trial full pass, and Full pass. The definitions appear at [https://gradsystem.aa.ua.edu/itap/help\\_eval.aspx](https://gradsystem.aa.ua.edu/itap/help_eval.aspx).
3. Direct, face-to-face instruction on a one-to-one basis (e.g., in a tutorial setting), or in a classroom with a senior instructor present, requires at least a Trial conditional pass.
4. Direct, face-to-face instruction involving lecturing, without a senior instructor present, requires at least a Trial full pass.

To help students achieve Full pass status, the Graduate School offers ITAP courses both spring and fall semesters. Students who anticipate full teaching responsibilities are advised to seek such instruction as early as

possible while at the university, because multiple proficiency exams are often required before Full pass status is achieved. Please see the Graduate Program Assistant if you are considering taking an ITAP course.

Further information on ITAP appears at <http://www.eli.ua.edu/static/home/international-teaching-assistant-program/>.

## Course Syllabus Elements

### University Requirements

A syllabus is required for each undergraduate and graduate course. Copies must be filed with the Chair and the Committee on Instruction. Guidelines for developing a course syllabus are described in the University of Alabama Faculty Handbook (Chapter 5, Section IV). For more information see **Appendix C**. Below is a checklist of syllabus elements that are required by UA. Students who are teaching courses should also carefully read Appendix C for more details. Note that all course syllabi are required to be posted online in UAOPS using the Online Syllabus Creation Tool available when you log on to myBama.ua.edu.

1. Prerequisites
2. Course description
3. Objectives<sup>a</sup>
4. Outline of topics covered during the semester
5. Attendance policy
6. Planned number and timing of major exams and assignments<sup>b</sup>
7. Grading policy<sup>c</sup>
8. Policy for making up missed coursework (including exams)
9. Required texts and other course material

<sup>a</sup>The SACS Principles of Accreditation suggest that objectives are best stated in the form of “student learning outcomes,” i.e., what students should be able to know and do at the end of the course. It is helpful to begin the Student Learning Outcomes section of a syllabus with a statement such as, “At the conclusion of the course, students will be able to...”

<sup>b</sup>Note that a “final evaluation” is required for all students enrolled in undergraduate courses. It must be administered in accordance with the official, published final examination schedule. Of course, these evaluations may take many forms depending on the goals and purposes of the course. The policy does not state that the evaluation must be an examination or that it must be cumulative. Nevertheless, some type of final evaluation is required in all undergraduate courses in the University.

<sup>c</sup>Note that any special considerations (e.g. extra credit opportunities) offered to one student should be offered to all students in the class.

### Additional Course Syllabus Elements

1. When completing syllabi on UAOPS, the following sections are automatically populated according to information submitted to another system or UA policy: Prerequisites, Required Text, Disability Statement, Policy on Academic Misconduct, Severe Weather Protocol.

**2. Plagiarism detection statement.** If you will be using Turnitin.com for plagiarism detection, you are encouraged to include the following statement in your syllabus: “The University of Alabama is committed to helping students to uphold the ethical standards of academic integrity in all areas of study. Students agree that their enrollment in this course allows the instructor the right to use electronic devices to help prevent plagiarism. All course materials are subject to submission to Turnitin.com for the purpose of detecting textual similarities. Turnitin.com will be used as a source document to help students avoid plagiarism in written documents.”

**3. Other statements.** See **Appendix C** for sample statements on grade requirements, cultural diversity, and class decorum.

### Teaching Resources and Printer/Photocopier Policy

The College of Arts and Sciences’ eTech office (<http://www.as.ua.edu/etech/>) provides instructional resources including workshops and assistance with educational technology (e.g., e-learning, Tegrity, eInstruction CPS clickers, Turnitin, Blackboard). The Faculty Resource Center (<http://frc.ua.edu/>) also runs workshops, provides tutorials, and assists with educational technology. Their website also contains information about copyright issues related to course materials and contains an image library.

1. There is a printer in room 251B (Graduate lounge) for use by all students. The department will provide toner for the printer in room 251B. Students must provide their own paper.
2. We ask that multiple copies *never* be made using the printer. The copier in room 376 should be used for this and charged to the appropriate copy code.
3. Copies for GTA/teaching responsibilities should *always* be made in the main department using the instructional code for the copier in room 376. OR, you may bring the material to the main office on a flash drive, and using the extra computer there, send it to one of the copiers in the main office. If you are unsure of the procedure, ask Robin Bonner.
4. Printing for your mentor's research should be done with his/her approval in his/her research lab. If you need paper, please tell Robin what it is for so it can be charged to the professor's PRB (with his/her knowledge). The same goes for toner for lab computers. Copies can be made in room 376 using your mentor's copy code.
5. Students are responsible for copying/printing for assignments and personal research. Single copies may be printed on the printer in room 251A, and multiple copies made in room 376, using your personal copy code. You will receive a monthly bill for copy costs; please pay Robin.
6. There are computers and printers in the GP computer lab (room 152) where you may print for .05 per black and white copy, and .10 per color copy. This can be paid for with Bama Cash which you have to put on your Action card.
7. Please do not remove paper from the 3rd floor copy room (376). The paper is there for the convenience of those making copies in that room.

## **Course and Instructor Evaluations**

Teacher/Course Evaluations (TCEs) are conducted online for all courses. Instructors should encourage students to find the Students Opinion of Instruction (SOI) site on myBama and complete the TCEs. The online system includes narrative responses. Often instructors find it useful to administer informal evaluations mid-semester to acquire feedback from students. For this, instructors design their own forms. Instructors and students are notified by email toward the end of each semester as to when the SOI site will be open to students.

## **Handling Academic Misconduct**

Instructors are responsible to take measures to reduce academic misconduct, and to report it appropriately when it occurs. Graduate student instructors should do the following to reduce academic misconduct:

**1. Proctor exams carefully.** All graduate student instructors of sections of 50 or more students must have at least one additional proctor present during course exams. Instructors should make arrangements well in advance of test dates with teaching assistants, on-call proctors, or other graduate students.

Before the exam, instructors should (a) require students to put away books and cell phones and clear their desks, (b) count exams and students and confirm that each student has only one exam, and (c) require students to put their name and student number on both the test and the answer sheet, and hand both in at the end. Instructors should also (d) walk up and down the aisles during the exam looking at students as they take the test, and (e) verify that all exams and answer sheets are accounted for before leaving the room after an exam.

**2. Teach about plagiarism.** For courses with writing assignments, instructors should teach students about plagiarism. The University has plagiarism detection software called Turnitin, which you can register to use. For more information see [www.as.ua.edu/etech](http://www.as.ua.edu/etech) or <http://frc.ua.edu>. There is a training video for instructors who wish to use Turnitin.com. There is also a tutorial with examples of plagiarism and how to avoid plagiarizing, which is informative for instructors and can be used for teaching about plagiarism. If you use Turnitin, you should include a statement about it in your syllabus (see above).

**3. Report academic misconduct according to procedure.** If there is evidence of a student cheating, plagiarizing, or otherwise engaging in academic misconduct the University's procedures for academic misconduct must be followed. These policies are described in Appendix C of The UA Faculty Handbook (see <http://facultyhandbook.ua.edu/>), and they are also reproduced in **Appendix A** of the present document. The procedures require talking to the A&S Dean's office immediately, before talking with the student or handing back the student's exam or paper. *However*, graduate student instructors should first talk with their designated GTA supervisor for assistance (or course instructor in the case of PY695). In any event, instructors should not talk to the suspected student until a course of action is determined by the Dean's office.

## **Thesis and Dissertation Policies**

### **Institutional Review Board**

All research must be conducted according to the ethical guidelines of the American Psychological Association. Thus, approval for all research projects must be obtained from the University of Alabama's Institutional Review Board (IRB). Specific information about IRB policy, procedures, and forms can be found at <http://osp.ua.edu/site/irb.html>. It is the responsibility of the researcher to obtain IRB approval prior to collecting any data. Graduate students should work closely with their research supervisors to prepare the IRB application. IRB approval must be renewed on a yearly basis if the research is still active. If revisions are needed for a project that is already IRB-approved, the researcher must submit a revision application before making the change. This can be done any time during the year. The time needed for IRB review can range from 2 weeks to 6 months, with those requiring full board review taking longest. Students should plan accordingly.

### **PY101 Research Participant Pool**

The Psychology Department maintains a research participant pool in connection with PY101 courses. Researchers post their studies on the research pool website and PY101 students log on to the website to sign up for studies. Also, researchers record the students' research participation credits on this website. The research pool website is located at <http://researchpool.psych.ua.edu/>. The use of the research pool is normally restricted to faculty and students in the Department of Psychology. Each year a graduate student is assigned to the role of Research Participant Pool Coordinator and is supervised by a faculty member. At the beginning of the academic year, the Research Participant Pool Coordinator provides faculty, graduate students, and PY101 instructors with a list of rules and procedures for using the research pool. Researchers are required to register their studies with the Research Participant Pool Coordinator and obtain a password for gaining access to the website. IRB approval must be documented before a researcher may post a study on the website.

The use of a PY101 research participant pool must be sanctioned by the IRB and must be in accordance with federal and state regulations. Researchers who fail to comply with the research pool policy will be penalized. A researcher who receives one warning will lose his/her research pool privileges for the semester if a second violation of policies occurs. It is the primary researcher's responsibility that all rules are followed by all personnel involved in the study. Because the research pool is subject to IRB authority as well as ethical and practical considerations related to research and teaching, the nature and existence of a Psychology Department research participant pool may change from time to time.

### **Master's Thesis**

All doctoral students must complete a Master's thesis. A Master's thesis previously completed at another institution may be substituted if approved by a faculty committee. To be approved, the thesis must adhere to the standards for content and rigor that are applied to theses completed in the department (for more detail see section on Approval of a Thesis Completed at Another Institution).

## Forming the Thesis Committee

The thesis committee will be composed of at least three members. The student shall select the thesis director (chair); at least one committee member from the Psychology Department; and one committee member from outside the Psychology Department. Associate members and Temporary members of the graduate faculty may co-chair a thesis along with a full member. At least two committee members must be from the Psychology Department. The outside committee member is usually a full, associate, or temporary graduate faculty member in a department at the university. However, the student may choose someone from inside or outside the university who is not currently a graduate faculty member, under two conditions. First, that person must have a terminal degree in his/her field. Second, they must be appointed to the temporary graduate faculty before the thesis proposal meeting. Temporary graduate faculty appointments are made only two times a year, in October and March, so plan accordingly. The student can expand his or her committee by adding faculty and/or postdoctoral fellows. To avoid potential conflict of interest, faculty who are married should not be members of the same thesis committee. However, it is acceptable for married faculty to be part of and even co-chair a thesis committee if they are engaging in collaborative research related to the thesis topic. In this case, there must be at least one other committee member from the Psychology Department on the committee. The thesis committee must be submitted to the Director of Graduate Studies for approval (not the Department Chair). This is best done well before the thesis proposal meeting.

## Thesis Proposal

1. **Thesis proposal document.** Following formation of the committee, the student shall prepare a written thesis proposal of no more than 20 pages written in APA editorial style (most recent edition). References are not considered part of the 20 page limit. Appendices are neither required nor expected, but if they are included, they must be included within the 20 page limit. The student shall distribute this proposal in electronic form to the committee *at least five working days* prior to meeting with them (working days are days on which UA offices are open). In addition, students must provide a paper copy to committee members who specifically request it.
2. **Thesis proposal meeting.** One or more 1-hour committee meetings will be held to discuss the feasibility of the project and to make suggestions for improvement. It is the responsibility of the student to schedule the 1 hour meeting(s) at a time that is suitable to all committee members. This meeting may be scheduled during fall, spring, or summer semester. However, it is the prerogative of faculty members to decline to meet during the summer and thus, students are encouraged to schedule the meeting during the fall or spring semester. Thesis proposal meetings should be collaborative in spirit rather than evaluative. The student will give an informal 510 minute presentation of his/her proposal followed by open discussion. The number of these meetings is based on the student's and committee's perceived need for them. Providing food/drinks at thesis meetings is prohibited. At the time of the thesis proposal meeting, the student should fill out the Appointment/Change of Master's Thesis Committee Form and submit one copy to the Departmental Administrative Assistant and another to the Director of Graduate Studies. This form can be found on the departmental website. More information about paperwork needed for thesis and dissertation meetings is included in **Appendix B** and on the department website.

## Thesis Examination

1. **Thesis document.** The copy of the completed thesis presented by the student to committee members should be in final form and submitted electronically. In addition, students must provide a paper copy to

members who specifically request it. Students should consult the Graduate School website for information on required sections, style, and formatting (<http://graduate.ua.edu/etd/manual/index.html>). Projects written in journal article format are encouraged and are acceptable to the Graduate School as theses. The student distributes this proposal in print form to the committee *at least ten working days* prior to meeting with them (working days are days on which UA offices are open). Also at 10 working days prior to the meeting, the student should give a spiral bound copy of the thesis to the Departmental Administrative Assistant. The committee members' names and the date, time, and place of the meeting should be written on the cover of the thesis. Also, at this time, a *computer disk with raw data and variable labels* should be provided with the copy given to the Departmental Administrative Assistant.

**2. Thesis examination meeting.** Once the thesis is completed, the student should arrange a 1½ hour meeting of his/her thesis committee. The meeting may be scheduled during fall, spring, or summer semester. However, it is the prerogative of faculty members to decline to meet during the summer and thus students are encouraged to schedule the meeting during the fall or spring semester. It is the responsibility of the student to find a 1½ hour meeting time that is suitable to all committee members. It is advisable to begin scheduling several weeks in advance of the desired meeting date. The student should obtain paperwork for the thesis examination in advance of the meeting, complete appropriate parts, and give them to the thesis chair at the meeting. This paperwork includes the Reminder to Thesis/Dissertation Chair (available on the department website), the Committee Acceptance Form for Electronic Theses and Dissertations (typed up by the student according to Graduate School specifications), and the Oral Exam Rubric form. More information is available in **Appendix B** and on the department website.

The thesis is then presented by the student during a 1½ hour oral examination conducted by the committee. The examination is run by the students' thesis supervisor and consists of a 15-minute oral presentation by the student followed by a question and answer period. Following the examination, the student leaves the room and the committee discusses and rates the quality of the project, the written thesis, and the oral examination. The committee then conducts a pass-fail vote, with a majority vote needed for passing. The student then reenters the room to hear the outcome of the vote. If the student has passed, it is not unusual for the committee to require some changes to the document before it is submitted to the Graduate School. After the vote, committee members sign the Committee Acceptance Form for Electronic Theses and Dissertations. In the event of a failure, the student may retake the examination three times.

Following the thesis examination, the thesis chair writes the final vote on the cover of the Department's copy of the thesis document, and gives it to the Departmental Administrative Assistant. Also, the thesis chair gives the committee's Oral Exam Rubric ratings to the Director of Graduate Studies. This should be done within 48 hours of the examination. The student is then responsible for making revisions to the document as suggested by the committee and preparing the document for electronic submission to the Graduate School. Once again, students should consult the Graduate School website for information on required sections, style, and formatting (<http://graduate.ua.edu/etd/manual/index.html>). Completed theses must be submitted to the Graduate School in electronic format. More information on electronic theses and dissertation (ETDs) can be found at <http://graduate.ua.edu/etd/index.html>. Before the thesis document is submitted electronically, the thesis chair and the student must sign the Committee Acceptance Form for Electronic Theses and Dissertations indicating that the document is ready to be published in terms of content, form, and style (which includes copy editing). The copy-editing can be done by the thesis chair or by a professional copy editor. The completed and signed Committee Acceptance form should be given to the Departmental Administrative Assistant who will make a copy for the student's file and then send it to the Graduate School. This must reach the Graduate School no later

than the date the student submits the thesis document electronically. If necessary, the student can walk the form to the Graduate School after it has been copied for the department. Note that the Graduate School no longer requires bound copies of the completed thesis. The department also does not require bound copies of the completed thesis.

## **Doctoral Dissertation**

### **Dissertation Quality**

The dissertation is the culmination of the doctoral program in psychology. The dissertation serves two major purposes. First, it is an educational experience that demonstrates the ability to address a major scholarly problem relevant to the field of psychology using research methods appropriate to the field. Second, the dissertation is a piece of original research that makes a contribution to existing knowledge. The quality of the dissertation should approach or equal a study judged acceptable for publication in an APA, APS, or other journal widely recognized for its publication standards. The subject matter is limited only by the availability of faculty competent to direct the project. Ordinarily, dissertation studies fall into the categories of experimental research, correlational research, or a combination of experimental and correlational research. Dissertations that are research reviews, theoretical papers, or historical papers may also be acceptable, provided that the dissertation committee approves the student's specific plan. Some guidance is given below on these less common dissertation categories.

Research reviews must not only be comprehensive and critical in nature, but must also integrate the research findings in some new and insightful manner so as to generate testable hypotheses or generalizations. Techniques such as meta-analysis are preferred over narrative research reviews. Theoretical papers, in quality equivalent to those published in *Psychological Review*, are acceptable. Such papers may or may not include experimental data actually gathered by the author. Historical papers, organized topically or as a biography, and of sufficient depth and sophistication, are conceivable as a dissertation format in psychology.

### **Forming the Dissertation Committee**

The doctoral student should form the dissertation committee and begin the development of the doctoral project as early as possible after completing the Master's thesis, or by the spring semester of the third year of graduate study, whichever occurs later (this may be earlier for students coming in with a master's degree). The dissertation committee will be composed of at least five members. The student shall select the dissertation director (chair); two committee members from the Psychology Department; and one committee member from outside the Psychology Department. When the student has agreements from these individuals to serve on his/her committee, s/he should inform the Director of Graduate Studies of these members and the topic, and request the final committee member. The final committee member will be selected by the Director of Graduate Studies on the basis of expertise that complements the project and balance of faculty workloads. The outside committee member is usually a full, associate, or temporary graduate faculty member in a department at the university. However, the student may choose someone from inside or outside the university who is not currently a graduate faculty member, under two conditions. First, that person must have a terminal degree in his/her field. Second, they must be appointed to the temporary graduate faculty before the mini-proposal meeting. Temporary graduate faculty appointments are made only two times a year, in October and March, so plan accordingly. The Director of

Graduate Studies will provide information to the student's outside member about the various meetings and lengths of meetings that are expected.

The dissertation committee can be expanded beyond five members with the addition of faculty from other departments, additional psychology department faculty, or postdoctoral fellows. To avoid potential conflict of interest, faculty who are married generally should not serve as members of the same dissertation committee. However, it is acceptable for married faculty to co-chair a dissertation committee if they are engaging in collaborative research related to the dissertation topic. In this case, it is recommended (though not required) that the student add a sixth committee member from within the department.

It should be noted that only Full members of the graduate faculty may chair dissertation committees. Associate members and Temporary members of the graduate faculty may co-chair a dissertation along with a full member. Full members of the graduate faculty who retire may maintain their status as Full members for one year following retirement. Thereafter, they may be appointed as a Temporary graduate faculty member and, at their discretion, continue to serve on thesis/dissertation committees with no restructuring of these committees necessary (although a committee member who is a Full member of the Graduate Faculty shall be designated as Co-Chair). If a committee member resigns from UA s/he also may be appointed as a Temporary graduate faculty member and at his/her discretion, continue to serve on the committee, again with no restructuring of the committee other than possibly assigning a Co-Chair). If an "outside" member of a committee becomes a department faculty member, s/he may continue to serve on the committee but a new outside member must be appointed. When a committee member who retires or resigns elects not to continue to serve on a dissertation committee, s/he shall be replaced through an appointment made by the Director of Graduate Studies in consultation with the student. Once the dissertation committee is formed, a committee member can not be replaced simply because of difficulty scheduling meetings or because the committee member elects not to meet during the summer.

### **Mini-proposal**

**1. Mini-proposal document.** Following formation of the committee, the student shall prepare a written prospectus or "mini-proposal." The purpose of the mini-proposal is to inform the committee members of a possible plan for the dissertation. The mini-proposal document must be no longer than 10-20 pages in APA editorial style (latest edition). A reference list should be included in addition to the 10-20 pages of text. Appendices are neither required nor expected, but if they are included, they must be included within the 20page limit. The student shall distribute the mini-proposal to committee members *at least 5 working days* prior to meeting with the committee (working days are days on which UA offices are open), in electronic form. In addition, students must provide a paper copy to members who specifically request it. There is no need to provide a copy of the mini-proposal to the Departmental Administrative Assistant.

**2. Mini-proposal meeting.** One or more 1-hour meetings will be held to discuss the feasibility of the project and make suggestions for improvement. It is the responsibility of the student to schedule the meeting(s) at a time that is suitable to all committee members. These meetings may be scheduled during the summer if all committee members agree to meet during the summer. However, it is the prerogative of faculty members to decline to meet during the summer and thus students are encouraged to schedule the meeting during the fall or spring semester. The clinical program has specific rules on the timing of the mini-proposal and preliminary examination (see [Clinical Training Manual](#)).

Mini-proposal meetings should be collaborative in spirit rather than evaluative. The student will give an informal 5-10 minute presentation of his/her proposal followed by open discussion. The number of these

meetings will be based on the student's and committee's perceived need for them. Providing food/drinks at mini-proposal meetings is prohibited. Paperwork for this meeting includes only the Dissertation Committee Form, which should be initialed by the committee members at the meeting. This form is available on the Psychology Department website. More details about paperwork procedures are included in **Appendix B**.

### **Preliminary Examination**

The preliminary examination consists of the completion of the full dissertation proposal (the "preliminary document") and an oral examination. The student is eligible to take the preliminary examination following completion of the master's thesis and the research skill requirement.

**1. Preliminary document.** Once the dissertation mini-proposal has been approved by the committee, the student shall prepare the full dissertation proposal (the "preliminary document") using a title page in the format shown at the end of this section of the Graduate Student Handbook. There is no page limit on the preliminary document, but it is expected to be developed substantially beyond the mini-proposal. The writing and copy editing of the document is the responsibility of the student alone. Although committee members are not expected to review portions of the full proposal during its writing, they may be asked their advice at any time on matters related to the dissertation. The dissertation chair has the option of reviewing the completed full proposal before it is distributed to the entire committee. The dissertation chair may point out to the student areas in the proposal that need additional work; however, the intent of such a review is not to provide the student with faculty-written substitutes or additions to the proposal text. When available or as suggested by the dissertation committee in advance, results of pilot studies should be reported in the preliminary document.

The preliminary document must be distributed to committee members *at least 10 working days* in advance of the preliminary examination meeting (working days are days on which UA offices are open). The document should be distributed in electronic form. In addition, students must provide a paper copy to members who specifically request it. Also at 10 working days prior to the meeting, a spiral-bound copy of the preliminary document should also be given to the Departmental Administrative Assistant. The committee members' names and the date, time, and place of the meeting should be written on the cover of the preliminary document. The Departmental Administrative Assistant will record the information and place the preliminary document "on the table" (counter) in the Psychology Department office. Also, she will formally schedule the student's preliminary examination meeting with the Graduate School.

**2. Preliminary examination meeting.** The student should arrange a 2-hour meeting of his/her dissertation committee for the preliminary examination. The meeting may be scheduled during the fall, spring, or summer semester. However, it is the prerogative of faculty members to decline to meet during the summer and thus students are encouraged to schedule the meeting during the fall or spring semester. It is the responsibility of the student to find a 2-hour meeting time that is suitable to all committee members, and to communicate the start and end time of the meeting to each committee member (both at the time the meeting is set and a week prior to the meeting). It is advisable to begin scheduling several weeks in advance of the desired meeting date. The student should obtain paperwork for the preliminary examination in advance of the meeting, complete appropriate parts and give it to his/her dissertation chair at the meeting. This includes the Application for Admission to Candidacy form, the Ballot Forms, the Reminder to Thesis/Dissertation Chair, and the Oral Exam Rubric form. The paperwork is available on the department website. More details about paperwork procedures are included in **Appendix B**.

During the first week after distribution of the preliminary document, committee members are encouraged to look over the document. If a committee member should decide that the preliminary document is of such low quality that the formal examination is not warranted, s/he will notify the Director of Graduate Studies and student's dissertation chair. In such instances, the committee will be convened without the student to decide whether or not the examination should be held. If the majority decision is against holding the examination, this will be viewed as failing the preliminary examination. Should there be no objection received within one week of the distribution of the dissertation proposal, the examination shall proceed as scheduled.

The preliminary oral examination is conducted by the entire committee. It does not begin until all committee members arrive. Every effort should be made to communicate the start and end time of the meeting well ahead of time so that all committee members will be present for the entire meeting. However, from time to time an emergency arises and a committee member is unable to attend the meeting at the last minute, or must leave the meeting before it is completed. In case of such an emergency, the action to be taken depends on whether the student's committee has 5 or more than 5 committee members.

2. If there are more than 5 members on the student's committee, there is no need to replace the committee member or to take any special action. The 5 remaining members only will cast a vote and sign the student's Committee Acceptance Form. For the record, the dissertation chair should communicate with the Director of Graduate Studies about the circumstances under which a committee member was absent for all or part of the meeting.
3. If there are only the required 5 members on the student's committee, then some action must be taken.
  - If due to an emergency a committee member is unable to attend the meeting at the last minute, and the meeting can not be rescheduled, the Director of Graduate Studies and the committee chair should appoint an emergency replacement such that there are at least 5 committee members present including the emergency replacement. If an emergency replacement is appointed, s/he should sign the student's Admission to Candidacy Form at the end of the final oral exam if the vote is to pass the student. The absent committee member should not sign this form.
  - If an emergency causes a committee member to leave the meeting early, the committee must decide whether to (a) reconvene with the full committee to complete the meeting or (b) complete the meeting without the departing committee member and allow him/her to vote. If option (b) is chosen, the committee may decide that the departing committee member will vote before leaving or will vote afterwards, after having been briefed on the content of the remainder of the meeting. The committee's decision may depend on how much of the meeting has been completed before the committee member had to leave, the overall strength of the student's defense, etc. The dissertation chair should communicate with the Director of Graduate Studies about the circumstances of the emergency and the decision of the committee on how to proceed.

Although unusual, it is the prerogative of any additional graduate faculty member in the Department of Psychology to read the dissertation proposal and then to participate and vote in the preliminary examination. It is also the prerogative of the student to invite other graduate students in the Department of Psychology to attend. At the beginning of the preliminary examination, the student is allowed a period of 15-20 minutes to formally present the proposal. During the presentation, committee members should avoid interrupting the student, except for questions of clarification. The student is then examined orally on the document and related topics. The intent is not to examine the student on general areas of psychology unrelated to the dissertation topic; however, it is to be expected that some of the committee members' questions will develop from the student's answers.

Upon completion of the preliminary examination, the student will leave the room and the committee will hold a nonbinding, pass-fail vote to serve as a starting point for discussion of the student's performance. All committee members, including the dissertation chair, have a vote. After discussion, the committee members shall cast their formal votes, jointly considering the suggested criteria (listed at the end of this section of the Graduate Student Handbook) for the written document and the oral presentation. They will also provide Oral Exam Rubric ratings on each of the criteria. If there are fewer than 2 negative votes, the student passes; if there are 2 or more negative votes, the student fails. The student will then reenter the room to hear the outcome of the vote. If the outcome is "pass," it is not unusual for the committee to make some recommendations for the project and/or the final dissertation document. After a "pass" vote, committee members will sign the Admission to Candidacy form, which the student later gives to the Departmental Administrative Assistant. The student is permitted two attempts at passing the preliminary examination. If a second attempt is necessary, the original committee shall remain intact for the second attempt with one exception: Should the topic of the proposal change substantially, the original committee may elect to disband with a unanimous vote. A new committee would then be formed using the procedures outlined earlier in the Graduate Student Handbook. However, it should be noted that, once assigned to a student's committee, a faculty member cannot be removed involuntarily, even in cases where the dissertation topic has been changed.

Following the preliminary examination, the dissertation chair will write the final vote on the cover of the Department's copy of the preliminary document, and give it to the Departmental Administrative Assistant. Also, the dissertation chair will give the committee's Oral Exam Rubric ratings to the Director of Graduate Studies. These things should be done within 48 hours of the examination.

### **Conduct of the Dissertation**

1. **Use of substitute dissertation researchers.** Normally, the student is expected to collect his or her own data. Any deviation from this policy should be for reasons beyond the convenience of the student and must be approved by the dissertation committee. In considering the use of substitute researchers, the committee should keep in mind that the collection of data is an integral educational component of the dissertation process. In addition, the committee should consider issues such as experimenter bias, ethics, sensitization of participants, and may be well advised in order to strengthen the methodological integrity of the project. Should that be the case, the student should make certain that the substitute receives carefully detailed training and close supervision during the conduct of the project.
2. **Altered topics.** Should the student substantially alter the dissertation topic following the successful completion of the preliminary examination, another full dissertation proposal must be developed and distributed to committee members. In addition, the written proposal must be presented in an oral examination. Although the examination is no longer considered a preliminary examination, the same voting procedures will be followed. In the event of a failure, the student must retake the examination until it is passed.

### **Final Oral Examination**

1. **Dissertation document.** The copy of the completed dissertation document that is presented by the student to committee members should be in final form, and electronically distributed. In addition, students must provide a paper copy to members who specifically request it. Students should consult the Graduate School website (<http://graduate.ua.edu/etd/manual/index.html>) for information on required sections, style, and formatting. The dissertation must be distributed to committee members *at least 10 working days* in advance of

the final oral examination meeting (working days are days on which UA offices are open). Also at 10 working days prior to the meeting, a spiral-bound copy of the dissertation should also be given to the Departmental Administrative Assistant. The committee members' names and the date, time, and place of the meeting should be written on the cover of the dissertation. The Departmental Administrative Assistant will record this information and place the dissertation document "on the table" (counter) in the Psychology Department office.

**2. Final oral examination meeting.** The student should arrange a 2-hour meeting of his/her dissertation committee for the final oral examination. The meeting may be scheduled during the fall, spring, or summer semester. However, it is the prerogative of faculty members to decline to meet during the summer and thus students are encouraged to schedule the meeting during the fall or spring semester. It is the responsibility of the student to find a 2-hour meeting time that is suitable to all committee members. It is advisable to begin scheduling several weeks in advance of the desired meeting date. The student should obtain paperwork for the final oral examination in advance of the meeting, complete appropriate parts, and give it to the dissertation chair at the meeting. This includes the Ballot Forms, Reminder to Thesis/Dissertation Chair, the Committee Acceptance Form for Electronic Theses and Dissertations (typed up by the student according to Graduate School specifications), and the Oral Exam Rubric form. Except for the signature pages, the paperwork is available on the department website. More details about paperwork are included in **Appendix B**.

During the first week after distribution of the dissertation document, committee members are encouraged to look over the document. If a committee member should decide that the document is of such low quality that the formal examination is not warranted, s/he will notify the Director of Graduate Studies and the student's dissertation chair. In such instances, the committee will be convened without the student to decide whether or not the examination should be held. If the majority decision is against holding the examination, this will be viewed as failing the final oral examination, and the student will be expected to make improvements and schedule another final oral examination. Should there be no objection received within a week of the distribution of the dissertation, the examination shall proceed as scheduled.

The final oral examination is conducted by the entire committee. It does not begin until all committee members arrive. Every effort should be made to communicate the start and end time of the meeting well ahead of time so that all committee members will be present for the entire meeting. However, from time to time an emergency arises and a committee member is unable to attend the meeting at the last minute, or must leave the meeting before it is completed. In case of such an emergency, the action to be taken depends on whether the student's committee has 5 or more than 5 committee members.

1. If there are more than 5 members on the student's committee, there is no need to replace the committee member or to take any special action. The 5 remaining members only will cast a vote and sign the student's Committee Acceptance Form. For the record, the dissertation chair should communicate with the Director of Graduate Studies about the circumstances under which a committee member was absent for all or part of the meeting.
2. If there are only the required 5 members on the student's committee then some action must be taken.
  - If due to an emergency a committee member is unable to attend the meeting at the last minute, and the meeting can not be rescheduled, the Director of Graduate Studies and the committee chair should appoint an emergency replacement such that there are at least 5 committee members present including the emergency replacement. If an emergency replacement is appointed, s/he should sign the student's Committee Acceptance Form at the end of the final oral exam if the vote is to pass the student. The absent committee member should not sign this form. The student should file a new Dissertation Committee Form to reflect the change.

- If an emergency causes a committee member to leave the meeting early, the committee must decide whether to (a) reconvene with the full committee to complete the meeting or (b) complete the meeting without the departing committee member and allow him/her to vote. If option (b) is chosen, the committee may decide that the departing committee member will vote before leaving or will vote afterwards, after having been briefed on the content of the remainder of the meeting. The committee's decision may depend on how much of the meeting has been completed before the committee member had to leave, the overall strength of the student's defense, etc. The dissertation chair should communicate with the Director of Graduate Studies about the circumstances of the emergency and the decision of the committee on how to proceed.

Although unusual, it is the prerogative of any additional graduate faculty member in psychology to read the dissertation proposal and then to participate and vote in the preliminary examination. It is also the prerogative of the student to invite other psychology graduate students to attend. At the beginning of the examination, the student is allowed a period of 15-20 minutes to formally present the results of the dissertation project. During the presentation, committee members should avoid interrupting the student except for questions of clarification. The student is then examined orally on the document.

Upon completion of the final oral examination, the student will leave the room and the committee will hold a nonbinding, pass-fail vote to serve as a starting point for discussion of the student's performance. All participating committee members, including the chairperson, have a vote. After discussion, a formal vote is taken, considering jointly the written document (with emphases on the results and discussion sections) and the oral presentation of the student. The committee members will also provide Oral Exam Rubric ratings on each of the criteria listed at the end of this section of the Graduate Handbook. If there are fewer than 2 negative votes, the student passes; if there are 2 or more negative votes, the student fails. After the formal vote, the student will reenter the room to hear the outcome of the vote. If the student passes, it is not unusual for the committee to require some changes to the document before it is submitted to the Graduate School. After the vote, committee members will sign the Committee Acceptance Form for Electronic Theses and Dissertations. The student should retain this form until the dissertation document is finalized and the dissertation chair signs the bottom (see below). Three attempts at passing are permitted including the first attempt.

Following the final oral defense, the dissertation chair will write the final vote on the cover of the Department's copy of the dissertation document, and give it to the Departmental Administrative Assistant. Also, the dissertation chair will give the committee's Oral Exam Rubric ratings to the Director of Graduate Studies. Both of these should be done within 48 hours of the examination. The student is then responsible for making revisions to the document as suggested by the committee, and preparing the document for electronic submission to the Graduate School. Once again, students should consult the Graduate School website for information on required sections, style, and formatting (<http://graduate.ua.edu/etd/manual/index.html>). Completed dissertations must be submitted to the Graduate School in electronic format. More information on electronic theses and dissertation (ETDs) can be found at <http://graduate.ua.edu/etd/index.html>. Before the dissertation document is submitted electronically, the dissertation chair and the student must sign the Committee Acceptance Form for Electronic Theses and Dissertations indicating that the document is ready to be published in terms of content, form, and style (which includes copy editing). This form must also be signed by the Department Chair or the Director of Graduate Studies. The copy editing can be done by the dissertation chair or by a professional copy editor. The completed and signed Committee Acceptance form should be given to the Departmental Administrative Assistant who will make a copy for the student's file and then send it to the Graduate School. This must reach the Graduate School no later than the date the student submits the dissertation document electronically. If necessary, the student can walk to form to the Graduate School after it has been copied for the

department. Note that the Graduate School and the department no longer require bound copies of the completed dissertation. However, there is still a requirement to provide a bound copy to the dissertation chair (see below).

### **Bound Copies and Electronic Copies of the Dissertation**

Before the Psychology Department will sign off on a student's Ph.D. degree, the following are required:

**1. Bound copy for the dissertation chair.** The Psychology Department requires that students arrange for binding of a copy of the dissertation for each dissertation chair or co-chair. However, a chair or co-chair can waive this requirement by informing the student. Bound copies can be ordered during the process of electronic submission. Alternatively, the student can bring or mail clean corrected copies to Tuscaloosa Bindery or another more convenient bindery, pay for the binding, and obtain a receipt. These copies can be on regular copy paper. If the binding is being done at Tuscaloosa Bindery, we can pick them up; otherwise they must be mailed to the department. It is very important to communicate with the Graduate Program Assistant as well as with the bindery during this process, especially if you are out of town. The Graduate Program Assistant may be given as the contact person to call when binding is finished, to email a payment receipt, or to mail the dissertations.

Tuscaloosa Library Bindery (Jim Rosenfeld)  
2704 6<sup>th</sup> Street  
Tuscaloosa, AL  
205-758-2204 or 800 239-2463  
[TUSBINDERY@aol.com](mailto:TUSBINDERY@aol.com)

**2. Electronic departmental copy.** The student should also submit an electronic copy of the final corrected dissertation text to the Graduate Program Assistant. This should be in MSWord in a single file, with all formatting intact, submitted on a CD (in the future we hope to be able to accept emailed or uploaded copies). It may also be a good idea to include a PDF version in addition to the MSWord version.

**3. Electronic departmental copy of the raw data.** The student should also submit the raw data that were analyzed for the results section of the dissertation. The raw data should be in spreadsheet form such as SPSS or Excel, and should include data labels. They should be submitted to the Graduate Program Assistant on a CD until further notice.

**4. Certification of completion of internship.** For students in the clinical program, the Psychology Department requires a letter from the internship supervisor certifying that the student has successfully completed the APA-approved internship in good standing. Because the internship is a requirement of the Ph.D. degree, we need this letter to sign off on graduation. At the end of the internship the student should arrange for this letter to be sent to the Director of Clinical Psychology or the Graduate Program Assistant.

### **Ownership of Data and Authorship Order**

In both Clinical and Experimental Ph.D. programs, emphasis is placed on the execution of research projects and subsequent manuscript publication. Publication credits are desirable and necessary for the professional development of both students and faculty, yet decisions regarding order of authorships are often not discussed

and occasionally differences of opinion arise. For these reasons, the following guidelines are suggested for determining authorship on joint student/faculty publications. They may apply to theses, dissertations, and any other projects on which students and faculty collaborate.

Student/faculty publications should be considered an integral part of the educational mission of the department. Authorship order should be discussed early, ideally formalized in writing, and decisions should be based on the relative intellectual, scientific, and professional contributions of the collaborators. As the joint project progresses, discussions regarding authorship should be ongoing as relative contributions to the effort change or evolve. In all student/faculty collaborative projects it is the responsibility of the faculty member to initiate ongoing discussion and to ensure that a mutually agreed-upon decision is reached. The process of discussion initiated by the faculty member serves as a secondary purpose of professional role-modeling. In the case of dissertations, it is suggested that the section 8.12c of the 2002 APA ethics code be followed, which states that “except under exceptional circumstances, a student is listed as the principal author on any multiple-authored article that is substantially based on the student’s dissertation” (APA, 2002).

Following is a suggested initial statement that faculty may use as a template for beginning the discussion with students regarding their expectations for authorship on theses and dissertations. It has been slightly modified from a template created by Carl von Baeyer, Ph.D., which appeared on his web page. This statement is not intended as a contract but as a vehicle for early collaborative discussion regarding authorship order on theses and dissertations. It may be adapted to suit individual authorship philosophies.

#### Sample Statement

I undertake to supervise your thesis/dissertation (or other project) under the following conditions: Assuming your study is implemented as planned and has publishable results, authorship credit will be determined as follows:

If you complete a 1<sup>st</sup> draft of the article by \_\_\_\_ (mutually negotiated date), following acceptance of the project by the Graduate School, you will be assigned first authorship. If a draft has not been completed by this date, I will initiate a re-negotiation of authorship, which could include preparation of the manuscript for publication with myself as first author and you as second author. If you have no interest in writing the manuscript for publication, it is expected that you will notify me as soon as possible so the task may be assigned to someone else. In either case, other collaborators will be assigned authorship commensurate with their contributions.

Reference: American Psychological Association (2002). APA Ethics Code. APA website: [www.apa.org](http://www.apa.org).

Issues arising as to ownership of data shall be mediated by the Committee on Research and/or the Departmental Chairperson.

### **Suggested Criteria for Evaluating the Written Proposal and Oral Presentation**

The following criteria should guide the rater in arriving at PASS or FAIL vote on the Preliminary Exam. For Final Orals, emphasis should be placed on criteria, 3, 4, 5, 8, and 9.

#### **WRITTEN DOCUMENT**

- (1) Relation of problem to existing literature.
- (2) Soundness of conceptual analysis of problem.
- (3) Adequacy of experimental and/or measurement operations (includes reliability, validity, freedom from artifacts, and controls adequate to exclude reasonable alternative interpretations).
- (4) Appropriateness and adequacy of data analyses.
- (5) Ability to use the English language to communicate all of the above.

#### **ORAL PRESENTATION**

- (6) Grasp of theoretical context of the problem.
- (7) Grasp of methodological context of the problem.
- (8) Organization and clarity of presentation.
- (9) Response to questions.

**Note:** Emphases placed on the criteria may vary according to the type of dissertation project being evaluated (e.g., experiment versus an integrative review).

**Format for Preliminary Document Title Page**

(please also write date of meeting and place of meeting somewhere on the cover sheet)

EXAMINATION OF BREASTFEEDING AS AN ACQUIRED  
MOTIVE: AN APPLICATION OF THE  
OPPONENT-PROCESS THEORY

BY

HARRIET HOEHNE MYERS

A DISSERTATION PROPOSAL

Committee

Raymond D. Fowler

Kenneth B. Melvin

Henry C. Rickard

Paul Weisberg

Paul S. Siegel, Chair

TUSCALOOSA, ALABAMA

1988

# Appendix A

## University Policy on Academic Misconduct From The UA Faculty Handbook (2005), Appendices C (in full) and L (part)

The UA Faculty Handbook presents two sections on academic misconduct. The ACADEMIC MISCONDUCT DISCIPLINARY POLICY (Appendix C) is most useful for academic misconduct occurring by students in the context of coursework. The POLICY ON ACADEMIC MISCONDUCT IN SCHOLARLY ACTIVITIES (Appendix L) is most useful for academic misconduct occurring by students and faculty in the context of research, creative, or professional activity. These two sections are reprinted here.

### ACADEMIC MISCONDUCT DISCIPLINARY POLICY

#### A. General Policy

The preservation of freedom of discussion, inquiry, and expression is possible only in an environment in which the privileges of citizenship are protected and the obligations of citizenship are understood. Accordingly, the University has developed regulations and policies pertaining to students and to student organizations. Any student or organization violating an established policy or regulation of the University is subject to disciplinary action according to the provisions outlined in these Codes of Student Conduct. Personal conduct on University-owned or University-controlled property or at University-sponsored events is subject to University jurisdiction. The University may also enforce its own disciplinary policy and procedures, regardless of where misconduct occurs, when personal or organizational conduct directly, seriously, or adversely interferes with or disrupts the educational missions, programs, or other functions of the University. In addition to the guidelines of conduct set forth elsewhere in the Handbook and other official University publications, acts of conduct for which disciplinary action may be taken and the disciplinary procedures, which apply for the fair adjudication of alleged violations, follow.

#### B. Code of Academic Conduct

##### 1. Academic Honor Code

a. All students in attendance at The University of Alabama are expected to be honorable and observe standards of conduct appropriate to a community of scholars. The University of Alabama expects from its students a higher standard of conduct than the minimum required to avoid discipline. At the beginning of each semester and on tests and projects, at the discretion of the course instructor, each student will be expected to sign an Honor Pledge.

b. The Academic Honor Pledge reads as follows: I promise or affirm that I will not at any time be involved with cheating, plagiarism, fabrication, or misrepresentation while enrolled as a student at The University of Alabama. I have read the Academic Honor Code, which explains disciplinary procedures that will result from the aforementioned. I understand that violation of this code will result in penalties as severe as indefinite suspension from the University.

##### 2. Academic Misconduct

a. Academic misconduct by students includes all acts of dishonesty in any academically related matter and any knowing or intentional help or attempt to help, or conspiracy to help, another student commit an act of academic dishonesty. Academic dishonesty includes, but is not limited to, each of the following acts when performed in any type of academic or academically related matter, exercise, or activity.

(1) Cheating—using or attempting to use unauthorized materials, information, study aids, or computer-related information.

(2) Plagiarism—representing the words, data, pictures, figures, works, ideas, computer program or output, or anything not generated in an authorized fashion, as one's own.

- (3) Fabrication—presenting as genuine any invented or falsified citation or material.
- (4) Misrepresentation—falsifying, altering, or misstating the contents of documents or other materials related to academic matters, including schedules, prerequisites, and transcripts.

b. Except in divisions which have an alternate academic misconduct policy which has been approved by the Provost/Vice President for Academic Affairs, academic misconduct cases shall be resolved by the divisional academic misconduct monitor or the academic dean of the division in which the alleged action took place. Appeals from the monitor’s decisions may be made to the academic dean; appeals from the academic dean’s decisions may be made to the Office for Academic Affairs.

c. Penalties for academic misconduct can range from a reprimand to a penalty as severe as suspension for a definite time or even indefinite suspension. Indefinite suspension normally requires a minimum of one semester. After one semester students may appeal for reinstatement. Academic deans have the authority to impose the full range of penalties. Divisional academic misconduct monitors may impose penalties only after receiving a voluntary written confession. Misconduct monitors are authorized to impose penalties up to but not including suspension, and may impose penalties of suspension or indefinite suspension if authority to do so has been delegated by the academic dean. All persons who admit to or are found guilty of an academic offense for which a penalty less than an indefinite suspension is imposed will receive a penalty of indefinite suspension if they admit to or are found guilty of another offense of academic misconduct.

d. A penalty of indefinite suspension is mandated for a finding of guilt on all second offenses. All second offense accusations are referred immediately to the Dean of the College for resolution. “Second offense accusations” assume resolution of first offenses (i.e., finding of guilt) and that students have been afforded the opportunity to learn from the first offense. Multiple misconduct accusations, where the accusations have not been resolved, may result in a penalty more severe than is typical in first offenses, including indefinite suspension. For second-offense cases that are in progress at the beginning of a semester, a student will be allowed to enroll and continue through completion of semester even if the outcome of the accusation is suspension. If an academic misconduct case is underway during a student’s final semester, the awarding of the degree may be dependent upon the resolution of the case. In all cases that involve suspension as a penalty, the Office of Academic Records and University Registrar will be notified immediately of the suspension and a hold will be placed on the student’s record to prevent further enrollment.

### 3. Resolution of Academic Misconduct

a. A course instructor, or any other person(s), who has reasonable cause to believe a student has engaged in an act of academic misconduct shall report, immediately upon discovery, the matter to the divisional academic misconduct monitor (appointed by the academic dean) of the division within which the alleged misconduct occurred. The matter must be reported by the course instructor or department chair in a timely manner. In most cases the academic misconduct monitor should receive the report within 2-3 weeks of the student’s alleged act of misconduct. The instructor will take no other action in the matter until a decision has been reached by the monitor or the dean. When suspected incidents of academic misconduct occur in settings other than an academic division, the matter will be reported to and processed through the divisional academic misconduct monitor where oversight of the course occurs.

b. If any electronic device is confiscated by an instructor as part of the package of evidence presented to the monitor, the device will be returned promptly once pertinent information related to the accusation has been documented.

c. When a student is charged with academic misconduct in a distance education course, the student may be allowed to have a telephone meeting. The academic misconduct monitor should verify communication with the student through use of social security, student identification number, and/or date of birth. The monitor should give the URL for the academic misconduct policy as well as offer to mail, e-mail, or fax the policy. In an effort to provide the student with time to read the policy, a second telephone meeting is recommended. The procedures should continue as with on-campus students.

d. When a course instructor reports alleged academic misconduct by a student to an academic monitor, the academic monitor will, within one business day, notify the Office of Academic Records and University Registrar of the accusation indicating the student cannot drop the course. The academic monitor will attempt to notify the student via e-mail, phone or letter of a required meeting with

representation from the Dean's Office. If initial attempts to communicate in these manners are unsuccessful, certified mail is recommended. When such an accusation is made prior to the 10- week drop date, the student will not be allowed to drop the course in which the academic misconduct is alleged to have occurred until the misconduct resolution process is complete. If the student is found not to have engaged in academic misconduct, the student will be allowed to drop that course even if the 10-week drop period has expired. If the student does not respond to the notice from the Dean's Office of the accusation of academic misconduct within two weeks from the date of such notice, a general hold will be placed on the student's university transactions. If the student does not respond to the notice of the accusation from the Dean's Office before the end of the semester in which the alleged academic misconduct occurred, the academic monitor will advise the course instructor to assign a grade of "Incomplete" to the student.

e. The monitor will discuss the circumstances involved with the course instructor and/or other appropriate person(s) and review any pertinent materials in order to determine if a reasonable basis exists for believing that academic misconduct may have been committed. If the monitor concludes that there is a reasonable basis for believing an act of academic misconduct may have been committed, the monitor will determine whether the student has been disciplined for any prior academic misconduct offense(s) and will arrange a conference with the student. When a student is accused of academic misconduct, the monitor contacts the Office for Academic Affairs about any prior misconduct findings for that student before proceeding with the investigation. If prior offense(s) have occurred, the monitor will refer the case to the academic dean for resolution. The monitor may invite the course instructor to attend any conference(s) with the student. The student will be informed at the start of the conference that an issue of possible academic misconduct exists and will be given a copy of this Academic Misconduct Disciplinary Policy and will sign to acknowledge receipt of the policy. The monitor will call the student's attention to the following provisions:

- (1) The student is not required to make any statement at all regarding the matter under investigation.
- (2) The student may make a voluntary statement if he or she chooses.
- (3) The student has a right to present any evidence, supporting witnesses, and other information to the misconduct monitor.
- (4) The student has a right to be advised and represented by anyone of his or her choice.
- (5) The student is entitled to a recess in the conference for one week in order to take advantage of the rights listed in items 3 and 4.

f. At the conference, the student will be informed that options are available as to how the resolution of the charges will occur.

- (1) The matter can be dismissed by the monitor if evidence is presented which leads the monitor to conclude that there is not convincing proof that the student engaged in an act of academic misconduct.
- (2) The matter can be concluded at the conference level and a penalty imposed if the student makes a voluntary written admission that he or she engaged in an act of academic misconduct. The student will be given written notice of the penalty. If the penalty imposed by the monitor includes assignment of a grade, the course instructor must approve the specific grade before the grade can be assigned. If the course instructor does not approve the grade recommendation, the response will be treated as an appeal and forwarded on to the academic dean.
- (3) The matter will be forwarded to the academic dean:
  - (a) if it is not dismissed by the monitor and the student does not make a written admission of academic misconduct, or
  - (b) if, within one week from the date the conference is concluded, either the student or the course instructor appeals the decision of the monitor, including dismissal or penalty, and requests that there be further review.

#### 4. Resolution by the Academic Dean

a. The dean will consider timely appeals from students or instructors who are not satisfied with the dismissal or the penalty imposed by the academic monitor. The dean will also make decisions concerning guilt and penalties for students who have not made an admission of misconduct.

b. Any matter not resolved by the misconduct monitor will be resolved by the academic dean. The dean may act alone or in conjunction with a standing divisional committee or an ad hoc committee appointed by the dean, but the dean shall make the decision. The academic dean will confer with the course instructor, the student, and any other appropriate persons, to discuss the matter in question. The dean may arrange an individual or group conference to discuss the matter. The student will be allowed to make a statement and to present evidence, witnesses, and other relevant materials; the student may be accompanied and advised or represented by anyone the student chooses. The dean will seek the advice of the course instructor prior to assigning a grade penalty. However, the dean is not obligated to follow the instructor's recommendation since a penalty is being assigned rather than an evaluation of academic work. Notice of the dean's decision will include a statement of the academic misconduct charges and will be sent to the student by certified mail with copies to the instructor and other involved parties; the student or the instructor may appeal the dean's decision to the Office for Academic Affairs if the appeal is filed within 15 working days of the date of mailing of the dean's decision. No penalty will be imposed until:

(1) the time for appeal has expired, or

(2) a decision on the appeal has been reached.

c. The dean's decision(s) may be appealed to the Office for Academic Affairs within 15 working days of the mailing of the dean's decision(s). Appeals must be based on substantive grounds such as procedural errors, new evidence, or inconsistencies in penalties assigned.

#### 5. Appeal to Office for Academic Affairs

When an appeal is received by the Office for Academic Affairs, an official from that office will schedule a conference(s) with the student and other concerned parties to discuss the reasons for the appeal. If meetings with the student and other concerned parties result in an agreeable solution to the matter, the appeal process will end. If no such solution is reached, the official from the Office for Academic Affairs will recommend to the Provost/Vice President for Academic Affairs, giving reasons for the recommendation, whether the appeal should be heard or denied. If the Provost/Vice President for Academic Affairs denies the appeal, the appeal process will end. If the appeal is to be heard, the official from the Office for Academic Affairs will convene a panel to resolve the issues that remain. The panel will consist of a person designated by the Vice President for Student Affairs, a person designated by the Provost/Vice President for Academic Affairs (not the official convening the panel), one student (appointed by the President of the SGA), and one course instructor (appointed by the President of the Faculty Senate); both the student and the course instructor will come from the division holding jurisdiction for resolving the alleged misconduct if it is possible to find such people who have no prior connection with the case. In cases involving graduate students, the faculty and student members of the appeal panel should hold graduate faculty or graduate student status respectively. The person designated by the Provost/Vice President for Academic Affairs will serve as hearing administrator and will coordinate and preside at all meetings conducted to resolve the academic misconduct appeal.

The hearing by a panel is an administrative hearing and the proceedings will be informal rather than those used in courts of law. The panel may admit any evidence which is of probative value in determining the issues, subject to the panel's judgment as to the relevance, credibility, and weight of the evidence. The panel may ask the parties to produce evidence on specific issues, may examine witnesses, and may call and examine its own witnesses. The student may be represented at the hearing by a person of his or her choice; if the student is represented by an attorney, then the other parties may be represented by a person from the Office of the University Counsel. Each party (or the representative of the party) will have the right to confront and cross-examine all opposing witnesses. The panel will decide each of the issues raised in the appeal. The panel's decision will be final and will conclude the process insofar as the University is concerned. A decision contrary to the student's position must be supported by the votes of at least three of the four panel members. The panel will give written notice of its decision(s) to the student, the course instructor, the dean, and the Provost/Vice President for Academic Affairs.

#### 6. Records

In order to maintain confidentiality, the student's name, student number, and academic division of all University of Alabama students who admit or are found guilty of academic misconduct shall be forwarded to the Office for Academic Affairs together with a brief description of the offense and the penalty imposed. In cases that involve suspension as a penalty the Office of Academic Records and University Registrar will be notified immediately of the suspension and a hold will be placed on the student's record to prevent further enrollment. In cases of successful appeals, the record and all supporting documentation are expunged and destroyed after one semester.

## **POLICY ON ACADEMIC MISCONDUCT IN SCHOLARLY ACTIVITIES (Appendix L, Parts I-IV of XIII)**

### **I. INTRODUCTION**

#### **A. General policy**

The University of Alabama (UA or University) has developed these policies and procedures for responding to allegations of misconduct in research and scholarship based on the U.S. Department of Health and Human Services, 42 CFR Parts 50 and 93, Public Health Service Policies on Research Misconduct; Final Rules, May 17, 2005.

The University of Alabama strives to create a research climate that promotes faithful adherence to high ethical standards in the conduct of research and scholarship without inhibiting the productivity and creativity of persons involved in research and/or scholarship. Misconduct or fraud in research or scholarship is an offense that damages not only the reputation of those involved but also that of the institution and the entire educational community.

#### **B. Scope**

This policy and the associated procedures apply to all UA employees and any person paid by, under the control of, or affiliated with UA at the time the alleged misconduct occurred. Such individuals include, but are not limited to, officials, tenured and untenured faculty, teaching and support staff, researchers, research coordinators, technicians, postdoctoral and other fellows, students, volunteers, and agents engaged in research or scholarship. It also applies to any research, research-training or research-related grant, contract, cooperative agreement or other sponsored project and all scholarship activities.

The policy and associated procedures will be followed when the Vice President for Research receives an allegation of possible misconduct in research or scholarship. Particular circumstances in an individual case may dictate variation from the normal procedure. Any change from normal procedures must ensure fair treatment to the subject of the inquiry or investigation. The Provost and Vice President for Research must approve in advance any significant deviation from these policies and procedures.

Should the requirements of a granting agency be different from those of this policy, the granting agency's requirements shall be considered a part of this policy and incorporated in the investigation of possible misconduct involving a grant from the agency. The Vice President for Research shall ensure that the University complies with the requirements of each granting agency, including requirements that the University report to the agency concerning allegations and/or findings of misconduct.

This policy does not apply to UA students accused of academic misconduct. The Academic Misconduct Disciplinary Policy is Appendix C in the Faculty Handbook.

### **II. DEFINITIONS**

Allegation means any written or oral statement or other indication of possible misconduct in research or scholarship made to an institutional official.

Complainant means a person who makes an allegation of misconduct in research or scholarship.

Evidence means any document, tangible item, or testimony offered or obtained during a misconduct in research or scholarship proceeding that tends to prove or disprove the existence of an alleged fact.

Fabrication is intentionally creating data or results and recording or reporting them without a basis in fact.

Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

Good Faith as applied to a Complainant or witness, means having a belief in the truth of one's allegation or testimony that a reasonable person in the Complainant or witness's position could have based on the information known to the Complainant or witness at the time. An allegation of research or scholarly misconduct or cooperation with a research or scholarly misconduct proceeding is not in good faith if made or done with knowing or reckless disregard for information that would negate the allegation or testimony. Good faith as applied to Panel members means cooperating with the research or scholarship misconduct proceeding by carrying out the duties assigned impartially for the purpose of helping UA meet its responsibilities. A panel member does not act in good faith if his/her acts or omissions on the panel are dishonest or influenced by unresolved personal, professional, or financial conflicts of interest with those involved in the research or scholarship misconduct proceeding.

Inquiry means preliminary information-gathering and fact-finding to determine whether an allegation or apparent instance of misconduct in research or scholarship warrants an investigation.

Inquiry Panel is a panel appointed by the Vice President for Research to determine whether an allegation or apparent instance of misconduct in research or scholarship warrants an investigation.

Investigation means the formal examination and evaluation of all relevant facts to determine if misconduct in research or scholarship has occurred and, if so, to determine the responsible person and the seriousness of the misconduct.

Investigation Panel is a panel of faculty and administrators appointed by the Provost with sufficient expertise to conduct the investigation.

Misconduct in Research or Scholarship means intentional, knowing, or reckless fabrication, falsification, plagiarism, or other practices that are a significant departure from those that are commonly accepted within the relevant research or academic community in proposing, performing, or reviewing research or scholarship or in reporting research and scholarship. Misconduct in Research or Scholarship does not include honest error or differences of opinion.

Office of Research Integrity or ORI means the Office to which the Secretary of Health and Human Services (HHS) has delegated responsibility for addressing research integrity and misconduct issues relating to Public Health Service supported activities.

Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving credit appropriate to the context and discipline.

Research or Scholarship Record means the record of data or results that embody the facts resulting from scientific inquiry, such as any data, document, computer file, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research or scholarship that constitutes the subject of an allegation of misconduct in research or scholarship. A research or scholarship record includes, but is not limited to, grant or contract applications, whether funded or non-funded; grant or contract progress and other reports; laboratory notebooks; documents; publications; notes; correspondence; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; consent forms; medical charts; and patient research files.

Respondent means the person against whom an allegation of misconduct in research or scholarship is directed or the person whose actions are the subject of an inquiry or investigation. There can be more than one respondent in any inquiry or investigation.

### **III. RIGHTS AND RESPONSIBILITIES**

#### **A. Vice President for Research**

The Vice President for Research will receive any written or oral allegations made by the Complainant and all draft and final reports issued by the Inquiry or Investigation Panels. The Vice President for Research will consult with the appropriate Dean or Director to determine whether to initially convene an Inquiry Panel and shall appoint members to serve on a panel if necessary. After receiving the report of an Inquiry Panel, the Vice President for Research will decide if an Investigation Panel should be appointed.

#### **B. Provost**

The Provost will appoint the Investigation Panel and, based on the outcome of the investigation, make the final determination on allegations of misconduct in research or scholarship. The Provost will determine whether or not to impose sanctions or whether to take other appropriate administrative actions.

#### **C. Research/Scholarship Integrity Officer (RSIO)**

The University Research Compliance Officer will serve as the Research/Scholarship Integrity Officer who will have primary responsibility for implementation of the procedures set forth in this document. Should the position of University Research Compliance Officer be vacant at the time of an allegation, an acting Research/Scholarship Integrity Officer shall be appointed. Neither the Vice President for Research nor the Provost may serve as Research/Scholarship Integrity Officer.

The RSIO will assist the Inquiry and Investigation Panels and all institutional personnel in complying with these procedures and with applicable standards imposed by the University, the government or external funding sources. The RSIO is also responsible for maintaining files of all documents and evidence and for the confidentiality and the security of the files. The RSIO will report to the Vice President for Research or the Provost the status of an inquiry or investigation. He/she will also report, if applicable, to ORI or other federal agencies, as appropriate, and in accordance with applicable federal regulations and keep ORI or other federal agencies, if applicable, apprised of any developments during the course of the inquiry or investigation that may affect current or potential funding or other federal funding for the individual(s) under investigation or that is needed to know to ensure appropriate use of federal funds and otherwise protect the public interest. The RSIO will work with the Vice President for Research to ensure that confidentiality is maintained to the extent possible under the circumstances of each inquiry or investigation.

#### **D. Complainant**

The Complainant is responsible for making allegations in good faith, maintaining confidentiality, and cooperating with an inquiry or investigation. The Complainant will have an opportunity to testify before the Investigation Panel, to be protected from retaliation, and to be informed of the outcome of the investigation. Also, if the RSIO has determined that the Complainant may be able to provide additional pertinent information on any portions of the draft report; these portions may be given to the Complainant for comment.

#### **E. Respondent**

The Respondent will be informed of the allegations when an inquiry or investigation is opened and notified in writing of the final determinations and resulting actions. The Respondent will also have the opportunity to be interviewed by and present evidence to the Investigation Panel, to review the draft inquiry and investigation reports and submit written comments during the designated time period. Any comments will be attached to the respective reports.

The Respondent is responsible for maintaining confidentiality and cooperating with the conduct of an inquiry or investigation. If the Respondent is found not to have committed misconduct in research or scholarship, the Respondent has the right to receive reasonable institutional assistance, in restoring his or her professional reputation.

#### **IV. GENERAL POLICIES AND PRINCIPLES**

##### **A. Responsibility to Report Misconduct in Research or Scholarship**

All employees or individuals associated with the University should initially report in writing or orally observed, suspected, or apparent misconduct in research or scholarship to the RSIO or Vice President for Research, in accordance with this policy. If an inquiry or investigation is warranted, the allegations by the Complainant shall be made in writing.

If an individual is unsure whether an incident falls within the definition of misconduct in research or scholarship, he/she may contact the Vice President for Research or RSIO to discuss the suspected misconduct informally. If the circumstances described by the individual do not meet the definition of misconduct in research or scholarship, the Vice President for Research or RSIO may refer the individual or allegation to other offices or officials with responsibility for resolving the problem. At any time, an employee may have discussions and consultations about concerns of possible misconduct with a Department Chair, Unit Head, Dean, RSIO, Vice President for Research or the Provost and will be counseled about appropriate procedures for reporting allegations. All university officials are under a duty to report alleged misconduct to the Vice President for Research and to maintain confidentiality.

##### **B. Evidentiary Standards**

The following evidentiary standards apply to findings made under this policy:

Misconduct in research or scholarship shall be proven by a preponderance of the evidence.

UA has the burden of proof for making a finding of research or scholarship misconduct. The destruction, absence of, or Respondent's failure to provide research or scholarship records adequately documenting the questioned research or scholarship is evidence of misconduct in research or scholarship when UA establishes by the preponderance of the evidence that: 1) the Respondent intentionally, knowingly, or recklessly had research or scholarship records and destroyed them; or 2) the Respondent had the opportunity to maintain the records but did not do so; or 3) the Respondent maintained the records and failed to produce them in a timely manner; and 4) the Respondent's conduct constitutes a significant departure from accepted practices of the relevant research community.

The Respondent has the burden of going forward with and the burden of proving, by a preponderance of the evidence, any and all affirmative defenses raised. In determining whether UA has carried the burden of proof imposed by this policy, the panels shall give due consideration to admissible, credible evidence of honest error or difference of opinion presented by the Respondent.

The Respondent has the burden of going forward with and proving by a preponderance of the evidence any mitigating factors that are relevant to a decision to impose administrative actions following a misconduct proceeding.

##### **C. Protecting the Complainant, Witnesses, and Panel Members**

Individuals who bring allegations of misconduct and those who participate in inquiries or investigations as witnesses or panel members will not be retaliated against in the terms and conditions of their employment or other status at the institution. The Vice President for Research will review instances of alleged retaliation for appropriate action. Employees should immediately report any alleged or apparent retaliation to the Vice President for Research.

UA will protect the privacy of those who report misconduct in good faith to the extent possible under the circumstances of each inquiry or investigation. For example, if the Complainant requests anonymity, UA will make an effort to honor the request during the allegation assessment or inquiry within applicable policies and regulations and state and local laws, if any. The Complainant will be advised that if the matter is referred to an Inquiry Panel or Investigation Panel and the Complainant's testimony is required, anonymity may no longer be guaranteed. The University will undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.

If a Complainant chooses to bring legal counsel to an interview or meeting on the case he/she must provide the RSIO with a minimum of five (5) working days notice so that the University's counsel may also be present. Legal counsel may not examine witnesses or otherwise participate in the inquiry or investigation fact-finding process.

#### **D. Protecting the Respondent**

Inquiries and investigations will be conducted in a manner that will ensure fair treatment to the Respondent(s) in the inquiry or investigation and confidentiality to the extent possible without compromising public health and safety or a thorough inquiry or investigation. The Respondent may continue his/her research activities throughout the inquiry and investigation phases, except in those cases where federal or other governmental policies prevent continuation.

A Respondent may consult with legal counsel or a non-lawyer personal adviser (who is not a principal or witness in the case) to seek advice and may bring the counsel or personal adviser to interviews or meetings on the case. Legal counsel may not examine witnesses or otherwise participate in the inquiry or investigation fact-finding process. If a Respondent chooses to bring legal counsel or a personal advisor to an interview or meeting with the Inquiry or Investigation Panel he/she must provide the RSIO with a minimum of five (5) working days notice so that the University's counsel may be present.

#### **E. Cooperation with Inquiries and Investigations**

UA faculty, staff and students will cooperate with the RSIO, Vice President for Research, Provost, and other institutional officials in the review of allegations and the conduct of inquiries and investigations. UA faculty, staff and students have an obligation to provide relevant evidence including documents and other information pertaining to the research or scholarship record relating to the misconduct allegations to the RSIO, Inquiry and Investigation Panels or other institutional officials.

## Appendix B

### Thesis and Dissertation Paperwork

As the student, you should obtain the paperwork for your examination in advance of your meeting, fill in appropriate parts, and give it to your chair at your meeting. Below is a list of the paperwork you will need for the thesis examination, the mini-proposal meeting, the preliminary examination, and the final oral examination. For each item of paperwork, it is stated below what action should be done. The paperwork can be obtained from the departmental website (<http://psychology.ua.edu/graduate-studies/current-students>).

#### Thesis Proposal

- Appointment/Change of Master's Thesis Committee Form (2 copies). Submit one initialed copy to the Departmental Administrative Assistant, and give the second to the Director of Graduate Studies.

#### Thesis Examination

- Reminder to Thesis/Dissertation Chair (1 copy). Give this to your thesis chair at the thesis examination meeting.
- Committee Acceptance Form for Electronic Thesis and Dissertation (1 copy). Give this to the Departmental Administrative Assistant after it is signed by your committee and your thesis chair. The Departmental Administrative Assistant will make a copy for your file and send the original to the Graduate School. It must arrive at the Graduate School no later than the day you submit your thesis electronically.
- Oral Exam Rubric form (1 for each member).

#### Mini-proposal Meeting

- Appointment/Change of Doctoral Dissertation Committee form (1 copy). Submit the initialed copy to the Departmental Administrative Assistant.

#### Preliminary Examination

- Application for Admission to Candidacy for the Doctoral Degree Form (4 copies). Submit the signed copies to the Departmental Administrative Assistant.
- Ballot Form (1 for each member). Give these to your dissertation chair at the meeting.
- Reminder to Thesis/Dissertation Chair (1 copy). Give this to your dissertation chair at the meeting.
- Oral Exam Rubric form (1 for each member).

#### Final Oral Examination

- Ballot Form (1 for each member). Give these to your dissertation chair at the meeting.
  - Reminder to Thesis/Dissertation Chair (1 copy). Give this to your dissertation chair at the meeting.
- Committee Acceptance Form for Electronic Thesis and Dissertation (4 copies, all must have ORIGINAL signatures). Give this to the Departmental Administrative Assistant after it is signed by your committee and your dissertation chair. The Departmental Administrative Assistant will obtain the signature of the Department Chair or Director of Graduate Studies. This form must be signed by the committee chair and the student, indicating that revisions have been completed; make a copy for your file, and send the original to the Graduate School. It must arrive at the Graduate School no later than the day you submit your dissertation electronically. A copy of this page may be included in the bound copies of the dissertation but this is not required. NOTE: All signatures must be original; if a committee member participates by conference call or Skype, please discuss with the Graduate Programs Assistant, in advance, the logistics of retrieving original signatures.
- Bound Copy/Graduation Form (2 copies). Submit 1 completed copy to the Departmental Administrative Assistant. Retain the second copy for your records.
- Oral Exam Rubric form (1 for each member).

## Appendix C

### GUIDELINES FOR DEVELOPING A COURSE SYLLABUS

The University of Alabama now uses an Online Syllabus Generation Tool hosted by the Office of Institutional Research and Assessment (OIRA), which is required in all courses. The tool is accessible through <http://syllabi.ua.edu/osm/mycourses>. The tool will automatically populate a draft syllabus with required sections. Students are advised to compose their syllabus using the tool, as this will save duplication of effort. They may, if they wish, produce a more elaborate or differently formatted syllabus for distribution to class, with the understanding that the controlling syllabus for the course is the one submitted through OIRA.

#### I. Faculty Handbook Requirements (Chapter 5, Section IV)

Faculty members are required at the beginning of each course to provide their students with an accurate syllabus. Items to be covered in the course syllabus include: prerequisites, course description, objectives, outline of topics covered during the semester, attendance policy, the planned number and timing of major examinations and assignments, grading policy, the policy for making up missed course work (including examinations), and required texts and other course material. Students will be given timely notice of any changes in the syllabus. Any special considerations (e.g., opportunities to earn extra credit) offered to a student shall be available to all students in the class.

Faculty members must provide the departmental chairperson with a current syllabus for each course they teach. The chairperson is responsible for maintaining a file of current course syllabi, for monitoring the syllabi with regard to the above requirements, and for ensuring that the official course descriptions published in University catalogs agree with the syllabi and give an adequate summary of the material to be covered and the prerequisites and co-requisites needed to complete the course successfully.

#### II. Checklist

1. prerequisites
2. course description
3. \*objectives (see note below)
4. outline of topics covered during the semester
5. attendance policy
6. the planned number and timing of major examinations and assignments
7. grading policy
8. the policy for making up missed course work (including examinations)
9. required texts and other course material

\*The SACS Principles of Accreditation suggest that objectives are best stated in the form of “student learning outcomes,” i.e., what students should be able to know and do at the end of the course. Faculty have found it helpful to begin the Student Learning Outcomes section of a syllabus with a statement such as, “At the conclusion of the course, students will be able to...”

#### III. Commonly Agreed Upon Elements in a Good Course Syllabus

- A. Course Number, Title, and Number of Credit Hours

- B. Catalog Course Description, including all prerequisites
- C. University Core designation, if appropriate
- D. Course goals and specific educational objectives for each major instructional unit
- E. Required Text(s) and/or readings
- F. Descriptions of required clinical experiences and assignments, if appropriate
- G. Description of assignments and due dates
- H. Number and Nature of examinations, including policy for make-up tests
- I. Grading procedure for tests and assignments
- J. Procedures for determining final grades
- K. Attendance policy
- L. Policy on academic misconduct
- M. Course bibliography, if appropriate
- N. Course outline describing schedule of topics, dates, and related information and resources

#### IV. UA-Specific Information and Examples to Consider

##### A. Code of academic conduct statement

The Code of Academic Conduct must be contained in all course syllabi:

*All students in attendance at the University of Alabama are expected to be honorable and to observe standards of conduct appropriate to a community of scholars. The University expects from its students a higher standard of conduct than the minimum required to avoid discipline. Academic misconduct includes all acts of dishonesty in any academically related matter and any knowing or intentional help or attempt to help, or conspiracy to help, another student.*

*The Academic Misconduct Disciplinary Policy will be followed in the event of academic misconduct.*

##### B. Course Prerequisites Statement

If your course has grade and/or course prerequisites it should be noted in your syllabus

##### C. Attendance policy statement

Attendance policies should be reasonable and enforceable. The policy should detail for the student your expectations of their behavior in the event of an absence. The Faculty handbook addresses this issue in two areas:

First in Chapter 5, Part III, Section, C, “Students are expected to attend classes as scheduled. Attendance policies must be provided to each student at the beginning of the semester. These policies must allow for the possibility that students may experience difficulties beyond their control which result in failure to attend class or failure to complete an assignment on time.”

Second in Chapter 5, Part V, Section D, “Students should be given the opportunity to hand in assignments and to make up work missed due to legitimate circumstances beyond the students' control. Methods for making up missed assignments may vary from course to course, and from discipline to discipline but normally should be the same from student to student within the same course. The appropriate method(s) used for each course must be stated in the course policy provided each student at the start of the semester.”

#### D. Grade Requirement Statement

A grade requirement notice is also in order if, for example, students must earn a certain grade in order to pass the class. Below is one such example:

*Students must earn a "C-" or better in all required and elective courses in the major. A "C-" or better is required in all external courses required by the major whether they serve as a prerequisite to a major course or are simply required by the major.*

#### E. Disability Accommodation Statement

According to the Office of Disability Services, the purpose of the syllabus statement is to promote early dialogue between the student and instructor about any needed accommodations as they relate to the specific course or requirement. It is the student's responsibility to disclose his/her status as a disabled student by delivering to the faculty member the accommodation request letter prepared by the Office of Disability Services, however, faculty can help students feel comfortable coming forward by inviting discussion of accommodations. Faculty can also help assure that students with disabilities are aware of the services of the Office of Disability Services and the need to register with that office to establish their eligibility for accommodation.

Below is one suggestion of wording for such a statement:

*Students with disabilities are encouraged to register with the Office of Disability Services, 348-4285. Thereafter, you are invited to schedule appointments to see me during my office hours to discuss accommodations and other special needs.*

#### F. Cultural Diversity Statement

Multicultural issues are mentioned by several accrediting agencies. These standards strongly suggest covering diversity issues in appropriate ways depending on the subject matter (e.g. gender-neutral language, contributions of women and minorities in history and current events.) Individual instructors may approach the requirement in a number of ways, for example, readings, lecture content, student projects, written assignments, guest lectures. Diversity material may include content concerning the contributions of minorities, but it could also address contemporary diversity issues in the context of how minorities are affected by prevailing norms and practices. Faculty should address questions concerning diversity as they arise in normal classroom discussion.

In addition to covering diversity material in class, many instructors have incorporated some type of diversity statement into their course syllabi. Below is one such example:

*"A university is a place where the universality of the human experience manifests itself."  
--Albert Einstein*

*In keeping with the spirit of Einstein's viewpoint, the Department of Communication Studies is committed to providing an atmosphere of learning that is representative of a variety of perspectives. In this class, you will have the opportunity to express and experience cultural diversity as we focus on issues such as: sex, gender and communication in small groups, communication in the multicultural group, and cross-cultural and intercultural*

*work group communication. In addition, writing assignments and daily activities have been designed to encourage individuality and creative expression. You are encouraged to not only take advantage of these opportunities in your own work, but also, learn from the information and ideas shared by other students.*

### **G. Classroom Decorum Statement**

According to the Office of Student Judicial Affairs, the purpose of the syllabus statement is to create an expectation of behavior that the University and the Professor deem acceptable. The statement should also help to prevent student behavior that is disruptive to the teaching/learning environment. By fulfilling these expectations, students can enjoy their own rights, while also respecting their classmates' rights and furthering the University's goals.

Below is one suggestion for wording such a statement:

*The Code of Student Conduct requires that students behave in a manner that is conducive to a teaching/learning environment. Students who engage in behavior that is disruptive or obstructive to the teaching/learning environment will be subject to disciplinary sanctions outlined by the Code of Student Conduct. Disruptive/obstructive behavior is not limited to but may include the following: physical abuse, verbal abuse, threats, stalking, intimidation harassment, hazing, possession of controlled substances, possession of alcoholic beverages...(you may also include a statement detailing any behavior that you consider to be particularly disruptive or annoying such as cell phones, beepers, reading the newspaper etc.).*

### **H. Use of Plagiarism Detection Software Statement**

The University has purchased a site license for the plagiarism detection software, Turnitin.com. Ideally, this technology should be used to help students to learn about and prevent plagiarism. Instructors wishing to use the software may learn more about it at [turnitin.ua.edu](http://turnitin.ua.edu). Furthermore, those Instructors using the software in their classes are strongly encouraged to include information about the software in their syllabi.

Below is one suggestion of wording for such a statement:

*The University of Alabama is committed to helping students to uphold the ethical standards of academic integrity in all areas of study. Students agree that their enrollment in this course allows the instructor the right to use electronic devices to help prevent plagiarism. All course materials are subject to submission to Turnitin.com for the purpose of detecting textual similarities. Turnitin.com will be used as a source document to help students avoid plagiarism in written documents.*