All written examinations will be kept on file by the program directors for one year following the date of the examination, and students will have the right to confer with their program directors regarding the strengths and weaknesses shown on the examinations.

**Application for Graduation**

Each candidate for an educational specialist degree submits the **Application for Degree** through the Graduate School no later than the registration period of the semester or the first term of the summer session in which requirements for the degree are to be completed.

---

### 4.11.3 DOCTORAL DEGREES

The University offers several types of doctorates, each of which is described below.

The doctor of philosophy (PhD) degree is regarded as the researcher's degree. Program requirements include the acquisition of special skills for conducting independent, scholarly research of publishable quality. Requirements traditionally included a working knowledge of one or more foreign languages, but currently, a number of foreign-language alternatives have been approved by departments. Through acquisition of these skills, PhD candidates demonstrate their potential for careers as independent, publishing scholars. Refer to departmental sections of this Catalog for details on foreign-language requirements or alternatives.

**Doctor of Philosophy Degree**

The doctor of philosophy degree is granted on the basis of scholarly proficiency, distinctive achievement in a special field, and capacity for independent, original investigation. The first two criteria will be tested in coursework and a comprehensive examination, the last in a dissertation in which the student must present clearly and effectively the results of substantial research. A combination of these accomplishments, rather than the mere accumulation of residence and course credits, is the essential consideration in awarding the PhD degree.

**Field of specialization**

A defined field of specialization is required of all candidates for the doctor of philosophy degree. A minimum of 48 semester hours of non-dissertation course credit is required. Candidates should consult their departments or the appropriate section of this Catalog for additional requirements. The doctoral course as a whole must be unified, and all its parts must contribute to an organized program of study and research. In addition, a student must complete a minimum of 24 hours of dissertation research.

**Research skill/language requirements**

There is no University-wide foreign language/research skill requirement for doctoral students; each college or department offering the PhD degree may set its own requirements. This policy reaffirms the importance of research skills and foreign languages in the highest academic degree granted by American universities, but it also recognizes that the departments offering the degrees are in the best position to determine the number and nature of such requirements in the interests of their students. For further information about PhD foreign language/research skill requirements, students may contact their departments or the Graduate School office (205-348-5921).

**Interdisciplinary Studies**

There is a PhD degree program in interdisciplinary studies, and it is administered by the Graduate School. In addition to the general requirements for the PhD degree, the program of study and the supervisory committee for the prospective interdisciplinary studies degree candidate must be approved by the dean of the Graduate School before the student is admitted to the program. See **Interdisciplinary Studies** (IDS) at the Graduate School's website for information on prerequisites, admission procedures, course of study and other aspects of IDS programs.

---

**Doctor of Education Degree**

A minimum of two years of graduate study beyond the master's degree is required for the completion of the EdD program. The student is required to complete 60 semester hours in approved graduate courses beyond the master's degree, or 90 semester hours of approved graduate courses, and to defend a dissertation. In the **College of Education** section of the Graduate Catalog, there are specific regulations governing the EdD program.

---

**Doctor of Musical Arts Degree**

The DMA. degree requires a minimum of 46 semester hours beyond the master of music degree, plus recitals and other examinations as determined by faculty of the School of Music. Specific requirements for each major area are outlined in the **School of Music** section of the Graduate Catalog.
Doctor of Nursing Practice

The Doctor of Nursing Practice (DNP) is a joint program offered by the University of Alabama in Huntsville College of Nursing (UAHCON), the University of Alabama at Birmingham School of Nursing (UABSON), and The University of Alabama Capstone College of Nursing (UACCN). The DNP is a practice-focused degree that is detailed in the Nursing section of this Catalog.

Admission to Doctoral Degree Programs

Admission to any doctoral program is limited to students whose scholastic records show distinct promise of success in doctoral study. Admission to the Graduate School and the earning of a master’s degree from The University of Alabama do not guarantee acceptance into a doctoral program. A student obtaining the master's degree at the University must submit to the dean of the Graduate School written permission from the department head or division dean to be eligible to work toward the doctoral degree. Students in doubt about their acceptance into doctoral programs should consult with departmental advisors and the Graduate School, which makes the final decision about admission. A department may terminate a student's doctoral admission if there is documented unsatisfactory academic or other progress toward completion of the degree.

Residency Requirements

The intent of the residency requirement is to ensure that doctoral students contribute to and benefit from the complete spectrum of educational, professional, and enrichment opportunities provided on the campus of The University of Alabama. The list below is not all-inclusive, but it shows some of the primary reasons why best practices in U.S. graduate education and the UA Graduate Council have determined that a substantial period of residence must be included in a doctoral program:

- provide significant interaction between the student and the various faculty in the student’s discipline;
- provide ample opportunities for student exposure to and engagement with cognate disciplines and research scholars working in those disciplines;
- provide significant opportunities for face-to-face peer interaction among graduate students in the student’s discipline and in other disciplines; and
- provide the opportunity for a mentor-apprentice relationship between the student and faculty, as well as adequate time for in-depth and direct faculty evaluation of the student.

The residency requirement is that the student must spend an academic year in continuous residence on the campus of The University of Alabama as a full-time student in the Graduate School. However, the student can meet the requirement with any one of the following four enrollment options:

- a full-time fall semester plus full-time enrollment the next spring;
- a full-time summer (consisting of 2 full-time summer terms) plus the following full-time fall semester;
- a full-time spring semester plus the next full-time summer semester (consisting of 2 full-time summer terms);
- or
- a full-time spring semester plus the following full-time fall semester.

To meet this requirement, only non-dissertation coursework can be applied. Dissertation or thesis research cannot be used. The Graduate Council, consisting of representatives of the UA graduate faculty, has established a policy that distance learning courses delivered online or by any other distance learning format may not be used to satisfy the doctoral residency requirement.

The minimum period in which the doctoral degree can be earned is three full academic years of graduate study after completion of a baccalaureate degree, although in most disciplines the period is longer. Graduate teaching assistants (GTA) or graduate research assistants (GRA) whose work assignments are 3 semester hours (i.e. 10 work hours or 0.25 FTE) per week or more should expect to spend more than the minimum period of three academic years to earn a doctoral degree.

Transfer of Credit

Acceptable graduate credit, earned in a regionally accredited institution in which the student was enrolled in that institution’s graduate school, may be transferred and applied to the requirements for a doctoral degree if approved by the department and the Graduate School. Only credit that was earned during the six-year period (18 fall, spring, and summer semesters) preceding admission to the doctoral program may be considered for transfer. Revalidation (recertification) of credits more than 18 semesters old at the time of admission to a doctoral program is not an option.

Consideration of credit does not guarantee its transfer. Evaluation of credit for transfer will not be made until after the student has enrolled in the Graduate School of The University of Alabama. Credit will not be accepted from any
institution at which the student failed to achieve an overall "B" average on all graduate work attempted. A student completes a Request for Transfer of Graduate Credit and submits it to the Graduate School. The student also must ensure that the Graduate School has an official (not faxed or copied) transcript of the credit involved. Students should be aware that planning to transfer a course in the final semester typically will delay commencement by a semester if the UA graduate registrar does not receive official notice of completion of the course by at least 3-4 weeks prior to commencement. It is best to apply for official transfer of credit in the student's first semester of doctoral enrollment; otherwise, the student and advisor will be unsure about the number of course hours needed when submitting the required Plan of Study.

With the approval of the student's department and the dean of the Graduate School, up to one-half of the required coursework (exclusive of dissertation research hours) for a doctoral degree may be transferred from another institution if approved by the department and the graduate school. Please note that some departments allow fewer than 24 hours of transfer credit, so be sure to check with your department's graduate coordinator regarding your department's transfer policy.

In some cases, foreign educational credentials may not meet the Graduate School's criteria for transfer of credit. It may be necessary for students in this situation to secure an evaluation of their credentials from World Education Services Inc. (WES), an external foreign credential evaluation service.

**Time Limits**
All requirements for the doctoral degree must be completed within seven years (21 fall, spring, and summer semesters) following admission to the doctoral program, with the following specific exceptions approved by the Graduate Council: psychology, modern languages and classics, and English (eight years if entering the doctoral program with a baccalaureate, not master's, degree), and eight years from the time of first registration in PhD courses for students dually enrolled in the PhD program in political science and the JD program.

Previous graduate credit may be applied to the doctoral degree if the credit was earned during the six-year period (not seven years) prior to admission to the doctoral program. Such credit must be identified clearly on the Outline of PhD Program (Plan of Study) and requires Graduate School approval. Only those students graduating within the time limit for their doctoral program may apply previous graduate credit to the doctoral degree if the credit was earned during the six-year period prior to admission to the doctoral program.

**Time Limits Extension Request**
Only under compelling circumstances beyond the student's control a student may petition for a one-semester extension to the seven-year time limit (or eight-year time limit for the selected programs noted above). The Graduate Council approved the following steps to request an extension:

- To begin the process, the student petitions the department head. In the petition the student (a) describes the compelling circumstances, (b) briefly describes the current status of the dissertation, then (c) includes a timeline showing each important remaining step in the completion of the dissertation. The last step and date in the timeline are submission of the successfully defended dissertation on or before the published final date for submission of dissertations for the requested extension semester.
- If the department head supports the petition, it is forwarded to the college dean.
- If the college dean supports the petition, it is sent to the graduate dean.
- If the graduate dean or his designee approves the extension, it will not require the student to validate any out-of-date UA or transfer courses previously approved for the plan of study.

If a student fails to complete all degree requirements within the time limit for the student's doctoral program or within a one-semester extension approved as noted above, the student will be dropped (suspended) from the doctoral program. To complete a doctoral degree, the student would have to reapply for admission and be admitted by the department and Graduate School. Graduate Council policies do not provide the option to revalidate either UA or transfer courses completed more than six years prior to the date of admission. Thus, a readmitted student would be able to apply to the new admission only those courses approved by the department and Graduate School and completed within the 6 years (18 fall, spring, and summer semesters) prior to the new admission.

**Repeating Courses When Given an Extension**
When requests are made for extensions of the doctoral time limits, and it is deemed that an out-of-date course is integral to the degree program, the college dean may request permission of the Graduate School for such a course to be repeated. In this case, both grades are used in calculation of the GPA.

**Plan of Study**
Early in the graduate program, each student must confer with the appropriate departmental adviser or major professor to select courses, discuss when and by which method the doctoral residency requirement will be completed, discuss research interests, and so forth. Then a Plan of Study must be prepared and submitted to the Graduate School.

The PhD Plan of Study and DMA Plan of Study are available at the Graduate School website. The Plan of Study for other doctoral programs (EdD, DMA, etc.) are available from the student's department, college or school. All doctoral students must have a completed Plan of Study approved by 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. Otherwise, a “hold” may be placed on future registrations.

An amended Plan of Study (if needed) must be submitted to the Graduate School when the student submits the form for **Admission to Candidacy for Doctoral Degree**.

**Preliminary or Comprehensive Examination**
A preliminary or comprehensive qualifying examination is required of all doctoral candidates. This examination is given after

- any foreign language/research skill requirements are met (PhD students only);
- two full years of graduate study are completed; and
- the supervisory committee deems the student to have adequate preparation in the major and minor fields of study.

The examination is conducted by the student's supervisory committee or other committee established in the program area. Whereas one of the purposes of the preliminary examination is to determine the student's research competence to begin work on a dissertation, the examination should be completed at least nine months before the degree is to be awarded. The preliminary or comprehensive qualifying examination may be taken only twice.

**Admission to Candidacy**
The requirements for advancing to candidacy include passing the qualifying (major or preliminary) examination; receiving departmental approval of the dissertation subject (although some departments require the defense of a dissertation proposal and/or writing one or more preliminary sections of the dissertation as well); and having the committee recommend the student for **Admission to Candidacy for the Doctoral Degree**. The completed candidacy form is submitted to the Graduate School.

**Continuous Dissertation Registration**
Once a student has met the requirements for admission to candidacy for a doctoral degree, doctoral students (except those in the DMA program) **must** pursue completion of the dissertation without interruption by enrolling each semester for at least 3 hours of dissertation research. This is true whether or not the student has submitted an application for **Admission to Candidacy for the Doctoral Degree**. Each PhD student must have completed a minimum of 24 hours of such dissertation work upon completion of the degree. The amount of dissertation research for which a student enrolls in any given semester should be commensurate with the progress a student is expected to make on the dissertation, as well as reflective of the extent to which University facilities and faculty time are invested in the proposed activities.

**Dissertation**
A dissertation showing the ability to conduct independent research and skill in organization, writing and presentation must be prepared on a topic in the major field. It must constitute an original contribution to knowledge. The subject of the dissertation must be approved by the dissertation committee of the major department or division and by the dean of the Graduate School. A dissertation committee, with the director of the dissertation as its chairperson, supervises the preparation of the dissertation. The committee shall have not fewer than five members, all of whom are appointed by the dean of the Graduate School. The graduate dean's approval of the proposed dissertation committee is expected to be obtained before significant progress is made on the dissertation--typically just before or just after the dissertation proposal meeting. For this purpose, the student submits the form for **Appointment/Change of a Doctoral Dissertation Committee**.

All members of a dissertation committee must be members of the Graduate Faculty. The committee chair must be a full member of the graduate faculty, as described in the Catalog's section on **Qualifications of the Graduate Faculty**. One member must be from outside the student's major department. Unless there are extraordinary circumstances meriting approval by the graduate dean beforehand, all members of the dissertation committee must attend the final oral defense of the dissertation.

The dissertation must comply with the regulations in **A Student Guide to Preparing Electronic Theses and Dissertations**. Graduate School deadlines, including each semester's dissertation deadline, are available at the **Graduate School's homepage**.

Consult the **ETD website** for details of ETD submission, including information on what needs to be submitted to the Graduate School. The graduate dean must approve the dissertation before the student can be cleared for graduation.

The Catalog section on **Continuous Dissertation Registration for Doctoral Students** states that once a student qualifies for doctoral candidacy, the student must enroll each semester for at least 3 hours of dissertation (699) research. If certain conditions are met for the student's final semester, however, the student may qualify to enroll for fewer than 3 hours of 699 dissertation research, but only in that final semester. (see table below)
**Final-Semester Dissertation (699) Minimum Registration Hours**

<table>
<thead>
<tr>
<th>When was the *completed electronic dissertation submitted to ProQuest/the Graduate School?</th>
<th>Minimum hours of 699 registration required in the final semester</th>
</tr>
</thead>
<tbody>
<tr>
<td>By 4:45 p.m. on the last-possible day for instructors to post grades for the semester before the student's final semester (date published in the <strong>University Academic Calendar)</strong></td>
<td>0</td>
</tr>
<tr>
<td>After 4:45 p.m. on the last-possible day for instructors to post grades for the semester before the student's final semester, but before 4:45 p.m. on the last-possible day to register or add a course for the student's final semester (both dates published in the University Academic Calendar)</td>
<td>1</td>
</tr>
<tr>
<td>After 4:45 p.m. on the last-possible day to register or add a course for the student's final semester (date published in the University Academic Calendar)</td>
<td>3</td>
</tr>
</tbody>
</table>

* A "completed" dissertation for submission purposes is one that has been successfully defended, signed by all committee members and the department chairperson, and carefully edited with electronic file(s) being approved by the dissertation advisor before being submitted electronically. All three conditions must be met to be considered "completed." After that, students also must be sure to submit on paper the following two forms to the Graduate School: Committee Acceptance Form and Publication Form—for but it is the date of ProQuest submission that determines the final-semester registration requirement.

**The University Calendar is available at the Academics tab of the website of the University Registrar.**

**Article-Style Dissertations**

This approach is intended for doctoral students whose dissertation will consist of a number of journal-style manuscripts or articles. It is an option available only to students in certain fields. A complete list of these fields is below:

- Accountancy
- Applied Statistics
- Biological Sciences
- Chemical Engineering
- Chemistry
- Civil Engineering
- Computer Science
- Economics
- Education (all departments)
- Electrical and Computer Engineering
- Engineering
- Engineering Science and Mechanics
- Finance
- Geological Sciences
- Health Education and Promotion
- Management
- Management Science
- Marketing
- Mechanical Engineering
- Metallurgical and Materials Engineering
- Physics
- Psychology

Article-style dissertations must be based upon research completed while the student is enrolled at The University of Alabama. For each article used, the student must be the first author, or equivalent, as defined by the discipline.

As with traditional dissertations, the article-style dissertation must be the student’s original idea. It must be a unified work and include a sequence of articles of publishable quality around a cohesive theme, with a comprehensive review of literature demonstrating an in-depth understanding of the unifying framework.

- In article-style dissertations there will be introductory material to describe the studies, show how they are related, and explain their significance;
- connecting language to bridge each study to the next; and
- a summary making clear the importance of the studies, integrating the major findings, and discussing the implications for the overall topic.

These components do not have to be separate sections or chapters. They may be parts of the manuscripts or may be accomplished in an abstract.

All parts of both traditional and article-style dissertations must conform to the provisions set forth in the **A Student Guide to Preparing Electronic Theses and Dissertations**, except when the circumstances of a specific project or discipline's style manual require deviation. Students considering the article-style approach should contact the Graduate School before beginning their work if they have questions concerning specific problems or deviations from...
traditional procedure.

All doctoral candidates must give members of the dissertation committee a minimum of two weeks to read the dissertation before the date of the required final oral examination.

**Electronic submission of dissertations:** August 15, 2009, is the date when electronic submission was required and paper submission no longer accepted. Consult the **ETD website** for details of ETD submission, including information on what needs to be submitted to the Graduate School. The graduate dean must approve the dissertation before the student can be cleared for graduation.

**Protection of Human Subjects for Research**
Scientific research involving human subjects has produced substantial benefits for society, but it also has significant ethical questions. The mission of the University's Institutional Review Board (IRB) for Protection of Human Subjects is to ensure that research involving human subjects is conducted ethically. University and federal policies require that review and approval to use human subjects in research precede the research, no matter how great or small the involvement of the human subjects. In the case of dissertation research that involves the use of human subjects, the principal investigator is responsible for contacting the college Human Research Review Committee to obtain approval for the planned research. The University's IRB approval form is available at the **IRB website**.

**Final Examinations**
When the dissertation has been completed, the candidate will be given a final oral examination by a committee of not fewer than five members, one of whom must be from outside the student's major department or, for students in the College of Education, outside the student's area (not program), and appointed by the dean of the Graduate School. This examination will focus primarily on the candidate's research work, as embodied in the dissertation, and the field in which the dissertation lies, but it may encompass the complete program for the degree. The results of the examination must be reported to the Office of the Graduate School at least six weeks before the commencement at which the degree is to be conferred.

**Application for Graduation**
Each candidate for a doctoral degree must apply for the degree through the Office of the Graduate School no later than the "last day to register or add a course" of the semester or the first term of the summer session in which requirements for the degree are to be completed. That day is published for each semester at the website of the **University Registrar**. To apply for graduation, the student submits an **Application for Degree** to the Graduate School.