**Checklist for penultimate committee meeting (PhD)**

**Purpose:**

The purpose of the penultimate committee meeting is to ensure that: (1) all graduation requirements (sans the dissertation) have been or will be met prior to scheduling the defense, (2) the committee and student are in agreement regarding the scope of the dissertation and that the work is sufficiently complete to write the dissertation, and (3) the committee and student are in agreement regarding the timeline for submitting a dissertation draft and defending the dissertation.

**Timing:**

Ideally, this meeting should take place in the semester before the target dissertation defense. If that is not possible, it must occur before the student submits the “Notification of Intent to Schedule a Final Doctoral Examination” form to the Graduate School.

**Checklist:**

1. Student has met all coursework and credit hour requirements (this should have been checked before quals, but some may have slipped through the cracks).

Yes:\_\_\_\_\_\_ No:\_\_\_\_\_\_\_

Comments:

1. Student has given a 4th year seminar to the department.

Yes:\_\_\_\_\_\_ No:\_\_\_\_\_\_\_

Comments:

1. Student has met the publication requirement (appendix 1) or will meet the publication requirement before scheduling the defense date.

Yes:\_\_\_\_\_\_ No:\_\_\_\_\_\_\_

Comments:

1. Committee agrees that the scope of the dissertation, as presented by the student (dissertation chapter outline), is sufficient for a doctoral degree.

Yes:\_\_\_\_\_\_ No:\_\_\_\_\_\_\_

Comments:

1. Committee agrees that sufficient progress has been made on the proposed chapters to move forward with writing the dissertation.

Yes:\_\_\_\_\_\_ No:\_\_\_\_\_\_\_

Comments:

1. Committee agrees on (i) a submission date for the dissertation draft to committee and (ii) the amount of time available for revisions post defense (60 days or by Grad School deadline).

Yes:\_\_\_\_\_\_ No:\_\_\_\_\_\_\_

Comments:

1. (optional) It is strongly encouraged that the committee and student review the administrative process and deadlines for scheduling the defense and submitting the final dissertation to the graduate school (appendix 2).

Comments:

1. (optional) Depending on the dissertation topic and expertise on campus, it may be helpful for the committee to discuss potential outside examiners.

Comments:

**Student Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Committee Signatures:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Appendix 1: publication requirement from Biology Rules and Regulations**

The central requirement of a Ph.D. is to generate original scholarship, which in Biology constitutes new scientific information. The value of research is realized only after it is shared with the broader scientific community, and publication is the primary way we communicate original findings. Multiple publications are often necessary for entry into the most desirable career paths post-graduation. As a program, we expect students to be scientifically ambitious and prolific in the publication of their research findings, and we will support them in doing so in a variety of ways.

Prior to scheduling the dissertation defense date, Ph.D. students in the Biology graduate program are expected to have one or more manuscripts at the review stage or beyond in a peer-reviewed journal. The publication(s) must be based on original research conducted during the course of the student’s Ph.D. studies at UK and contain novel empirical observations, methods development or theoretical work. Publications of other types (e.g. review articles, textbooks, patents, most book chapters, meeting proceedings) can be of benefit to the student but do not satisfy this publication requirement. Since many complex problems require team efforts, co-authorships with other students, postdocs or faculty are acceptable when significant independent student contribution is documented in writing to the DGS by the student’s advisor.

The publication(s) need not be part of the dissertation. The student’s advisor should be co-author on the publication(s) or the advisor should provide the DGS with written approval regarding the student’s contribution if not an author.

The DGS will confirm compliance with the publication requirement prior to approval of the student's request to set their dissertation date.

**Appendix 2: Administrative timeline for the semester of intended graduation**

(note: please consult the graduate school’s webpage for specific deadlines for the target semester)

1. Submit the on-line “Application for Degree” form by the appropriate semester deadline in myuky.edu.
2. At least EIGHT WEEKS prior to the PhD Defense fill out the “Notification of Intent to Schedule a Final Doctoral Examination” form through the Graduate School website. This form is required so that an outside examiner can be assigned to your committee.
3. Schedule a time for the Ph.D. Defense. The Graduate School sets a date for the final day a thesis defense can be conducted each semester. Make sure your defense occurs BEFORE this date.
4. At least FOUR WEEKS prior to the thesis defense, send a copy of your finalized thesis to your committee.
5. Notify the Graduate School AT LEAST TWO WEEKS prior to the thesis defense by submission of the on-line “Request for Final Doctoral Examination” form. The outside examiner should be provided with a final copy of the dissertation at this time.
6. If revisions to the document are requested at the Final Doctoral Exam, the committee will decide who (either faculty mentor or entire committee) approves the final version of the dissertation before submission to the Graduate School.