



NORTHWESTERN UNIVERSITY

**THE PHD DEGREE
COMMUNICATION SCIENCES AND DISORDERS**

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SCHOOL OF COMMUNICATION

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Department of Communication Sciences and Disorders**

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DOCTORAL PROGRAM IN COMMUNICATION SCIENCES AND DISORDERS

INTRODUCTION

The PhD degree is a scholarly degree offered by the University. The PhD in Communication Sciences and Disorders (CSD) is a research degree. Therefore, course work and other requirements of the PhD program are designed to prepare students for research careers. This document outlines the requirements for the PhD.

Completion of the PhD degree in CSD requires the following:

- (1) Being admitted to candidacy after satisfactory completion of:
 - a. Course work
 - b. Research rotations
 - c. Qualifying Research Project
 - d. Qualifying Examination
- (2) Writing and successfully defending a dissertation
- (3) Completing additional program requirements

The first three sections of this document outline these requirements. The remaining sections provide additional information about the program, covering the topics of progress evaluations, funding, other opportunities, and problem resolution.

Students should be thoroughly familiar with the requirements listed here as well as those of the Graduate School (TGS) (see: <http://www.tgs.northwestern.edu/academics/academic-services/phd/index.html>). Some program requirements are more extensive than those of the Graduate School.

CANDIDACY

Requirements for Candidacy

Satisfactory completion of the following four elements is required to reach Candidacy status:

- (1) All required course work.
- (2) Laboratory rotations, including rotation papers.
- (3) The Qualifying Research Project (QRP).
- (4) The Qualifying Examination (which includes defense of the QRP).

Doctoral Program and Qualifying Committee

By the end of the first year of doctoral study, the student needs to have selected the members of his/her Doctoral Program and Qualifying Committee. This committee is made up of at least three members with Graduate School faculty status. The student's advisor (research advisor) and at least one other member must be selected from faculty members in the Department of Communication Sciences and Disorders (CSD). Additional members from within or outside the department also may be included. A committee chairperson also must be selected from faculty members in CSD. The chairperson runs the meetings, serving as an administrative chair and overseeing the proceedings. The research advisor cannot chair

the committee. This committee convenes at the end of every academic year until the student advances to candidacy (see below) to review the student’s progress. This committee also evaluates and approve all requirements for admission to candidacy.

Note that the DGS will be the official advisor for the student during the first quarter. At the end of each of the first three quarters, the student is required to have separate meetings with the DGS and the rotation advisor (see below) to determine next steps, including appropriate lab experiences going forward and selection of a permanent research advisor. It is the student’s responsibility to set up these meetings with the DGS and the rotation advisor. The research advisor must be a member of the Graduate School faculty.

Plan of Study (Pre-Candidacy)

During the first year of doctoral work, the student will take courses related to his/her field of interest, a general seminar in CSD, statistics, and other tool courses. By the end of the first year of doctoral study, the student must complete and file a *Plan of Study Form* (see Appendix A). This form details the student’s doctoral program, pre-candidacy. On it, the student must list course work to be completed, and the laboratories and advisors for the three laboratory rotations. Timelines for completion of both course work and pre-candidacy research requirements must be listed. The student should consult his/her research advisor and Doctoral Program and Qualifying Committee members for assistance in preparation of the Plan of Study. The student’s committee members will examine and approve the plan at the First Year Review meeting (see below). Modifications may be required before approval is granted.

Course Requirements (Pre-Candidacy)

All students are required to complete the following courses. These courses may not be taken Pass/Fail. A sample program is provided in Appendix B. All students may be required to take courses, in addition to those listed here, to make up for deficiencies and complement their research training.

Required Courses		
Course Type	Course	Details
Research Courses	CSD 550 Research Foundations CSD 550-1 Scientific Thinking CSD 550-2 Experimental Design CSD 550-3 Scientific Communication	
Statistics	CSD 404-0 Experimental Design and Statistics in Communication Sciences and Disorders CSD 404-1 Experimental Design and Statistics in Communication Sciences and Disorders	The two courses listed, or alternatives approved by the student’s committee.

Scientific Writing	CSD 412 Scientific Writing	
Seminars	Topic Seminar 1 Topic Seminar 2	Two seminars, one of which may be outside CSD, that will provide the student with knowledge in relevant areas. Must be approved by the student's committee.
Content	Content Course 1 Content Course 2	Two courses (offered within or outside of the department) that will provide the student with knowledge in relevant areas. Must be approved by the student's committee.
Research Ethics	<ol style="list-style-type: none"> 1) CITI's online Responsible Conduct of Research course 2) CITI's online Human Subjects Research: Social-Behavioral-Education Basic course or their Animal Care and Use course 3) Instructor-led course in the Responsible Conduct of Research that meets NIH guidelines. 	
Pro. Develop.	CSD 545 Professional Development	

Research Requirements (Pre-Candidacy)

Pre-candidacy research involves completion of laboratory rotations and a qualifying research project. In fulfilling pre-candidacy research requirements, students are expected to show the following:

Commitment. Scientific research is not a 9-to-5 job. Projects often require students to work in the evening and on weekends.

Interest. A hallmark of independent investigators is that they are motivated by curiosity, driven by the "need to know". Students are encouraged to seek out published information relating to their projects and to think critically about how their project relates to the overall scientific enterprise.

Maturity. Use of common sense, cooperation, and courtesy are essential qualities for the proper functioning of a research laboratory.

Students are encouraged to keep in mind that they likely will need letters of reference from research advisors in the future for job and grant applications. Such letters typically require numerical and written assessments of qualities and skills such as the following (copied from the list of assessments required for reference letters for NIH pre-doctoral fellowships):

- Research ability and potential
- Written and verbal communications

- Perseverance in pursuing goals
- Self-reliance and independence
- Clinical proficiency, if relevant
- Originality
- Accuracy
- Scientific background
- Familiarity with research literature
- Ability to organize scientific data
- Laboratory skills and techniques, if relevant

Laboratory Rotations

Three lab rotations are required, all in CSD, in two or three different labs. At least one quarter must be completed in the laboratory of the student's primary advisor. Petitions for all three rotations to be in one lab must be submitted to the DGS at least 3 weeks prior to the end of Winter Quarter.

As mentioned above, the DGS will be the official advisor for the student during the first quarter. At the end of each of the first three quarters, the student is required to have separate meetings with the DGS and the rotation advisor to determine next steps, including appropriate lab experiences going forward and selection of a permanent primary advisor. It is the student's responsibility to set up these meetings with the DGS and the rotation advisor. The primary advisor must be a member of the Graduate School faculty.

Course Numbers: CSD 552-1, 552-2, 552-3

Rotation Purpose

- Aid selection of a home lab for doctoral training and research.
- Learn a variety of research methodologies.
- Develop writing skills.
- Can be used to generate pilot data for the Qualifying Research Project
- Component of the Qualifying Examination.

Rotation Requirements

- Minimum of six hours per week in the lab (not including lab meetings), with additional hours outside of the lab (equivalent to a course).
- Attendance at all lab meetings.
- Completion of a research project (this may be an original research project or associated with ongoing research in the lab). When planning the project, students should consider the 10-week time restriction and the fact that they will be involved concurrently in other course work. Students who complete two rotations (or three, if petitioned, and approved by the PhD committee) in the same lab can complete two small projects, or one larger project.
- Completion of a rotation paper.

Rotation Papers

- Rotation papers are part of the student's qualifying exam (see below).

- General requirements for the paper: The paper should include a description of the broad research question and why it is important, a connection to relevant literature, and a report of the rotation project outcome/progress.
- Written in a style designated by the director of the laboratory rotation
- Three rotation papers are required, even if two rotations (or three, with approval) are in the same lab
- Papers are due at the end of each rotation quarter and comprise a portion of the rotation grade.
- Rotation papers must be submitted to the student's Doctoral Program and Qualifying Committee (at annual review, see below) for review and documentation of completion of this component of the qualifying exam, and are then held in the student's file. It is the student's responsibility to provide these documents to the Graduate Admissions Coordinator, Cindy Coy.

Rotation Missed Deadlines

- If for any reason a student does not fulfill the requirements of the rotation, a maximum of one quarter extension may be allowed.
- Students who are granted an extension will receive a letter of warning from the department.
- If the rotation is still not completed after the extension, the student will be placed on probation by CSD.

Qualifying Research Project

Each doctoral student is required to complete and defend a Qualifying Research Project (QRP). The QRP is completed under the direction of the student's primary advisor, approved by the student's Doctoral Program and Qualifying Committee, and usually requires three or four quarters to complete. Students enroll in CSD 499 (Independent Study) with the advisor for three quarters to work on the project.

QRP Proposal

- The student's Doctoral Program and Qualifying Committee must approve the QRP proposal (and sign the Qualifying Research Project Proposal Form, Appendix D)
- Presented to committee (with PowerPoint or equivalent) in the Fall of Year 2 for approval
- Written proposal is not required.
- Project intended to result in publication, and ideally to generate pilot data for dissertation research.

QRP Paper

- The QRP paper and defense is part of the Qualifying Examination (see below).
- Document written in journal format, intended to be a publishable paper (but acceptance for publication is not required).
- The QRP outcomes should be presented by fall of Year 3.
- Must be defended by the summer of Year 3 (see TGS timelines and recommendations for completion below).

Qualifying Examination (and QRP Defense)

The Doctoral Program and Qualifying Committee and the student meet for an oral examination following completion of all course requirements, laboratory experiences, and the qualifying research project (QRP). The student is evaluated on all three components and on his/her performance during the oral examination. A major part of the examination is defense of the QRP; thus the exam cannot be scheduled until the QRP is complete. Scheduling the oral examination is the responsibility of the student. The QRP must be distributed to the committee at least 2 weeks before the oral examination. The oral examination pertains primarily to the QRP and other research studies the student has completed; however, the student also must demonstrate knowledge in related areas. **Successful completion of the oral examination marks the completion of the requirements for admission to Candidacy.**

Oral examination

- Closed meeting attended by the student and all members of the student's Doctoral Program and Qualifying Committee
- Committee members read the QRP manuscript and other documents prior to the committee meeting (the QRP must be submitted to the committee at least 2 weeks before the meeting)
- Student presents the QRP (with PowerPoint or equivalent) (~20-30 minutes)
- Committee members discuss the QRP and ask related questions about larger and/or related topics
- After discussion, the student leaves the room, and the committee evaluates the project and develops recommendations for the student.
 - The committee may agree that the QRP paper and the student's knowledge are sufficient for approval (and sign the *Qualifying Examination and QRP Defense Form*, Appendix E)
 - Alternatively, the committee may identify deficiencies and require that the student complete further steps. For example, the committee might ask the student to expand a particular section of the QRP paper, to perform additional analyses, or to read an additional literature even if it is not to be incorporated in the paper.
 - If further steps are required, the committee will determine the procedure to be followed (e.g., whether the committee must meet again or see another draft of the paper).

Admission to Candidacy

After completion of all course work, laboratory rotations, the QRP, and passing the qualifying examination, the student is admitted to candidacy. It is recommended that students who enter the program with a master's degree plan to complete these requirements by the end of the 2nd year and no

later than the end of the 3rd year. Students who enter the program with a bachelor's degree must complete these requirements by the end of the 3rd year.

DOCTORAL DISSERTATION

Dissertation Committee

After having selected a dissertation topic, the student should consult his/her advisor on selection of the Doctoral Dissertation Committee, made up of no fewer than three full-time graduate faculty members. At least two members, including the student's advisor (research advisor), must be graduate faculty members in the CSD Department. Students are encouraged to have at least one member outside the department on the committee, if appropriate. A committee chairperson also must be selected from faculty members in CSD. The chairperson runs the meetings, serving as an administrative chair and overseeing the proceedings. The research advisor cannot chair the committee. The Dissertation Committee members may be the same as or different from those of the Doctoral Program and Qualifying Committee.

Dissertation Prospectus

Prior to undertaking dissertation research, the student must prepare and present a written research prospectus for review by the student's Dissertation Committee. A prospectus meeting is then held with the student and his/her Dissertation Committee. Scheduling the Prospectus Meeting is the responsibility of the student. The prospectus must be distributed to the committee at least 2 weeks before the Prospectus Meeting. At the meeting, the student briefly presents his/her proposed project, highlighting the background and significance of the project, the purpose of the study and experimental questions, and the methodology including subject-selection criteria, materials and equipment, research design, data collection procedures, and data analysis procedures. The committee makes recommendations to the student concerning the topic and method. After committee approval is obtained for the prospectus, the student must notify the Graduate Admissions Coordinator, Cindy Coy, who will submit an online form to TGS. TGS requires that the prospectus be passed by the end of the 4th academic year of the doctoral program.

Dissertation Prospectus (document)

- Must be comprised of at least two separate (but related) experiments.
- Must be approved by the student's advisor prior to the Prospectus Meeting
- Written in NIH NRSA pre-doctoral fellowship format or in a format required for a proposal to another federal mechanism.

Prospectus Meeting (~ 2 hours closed meeting)

- Closed meeting attended by the student and all members of the student's Dissertation Committee
- Meeting may be combined with the student's 4th year Annual Review
- Committee reads the proposal prior to the committee meeting (the prospectus must be submitted to the committee at least 2 weeks before the meeting)
- Student presents the prospectus (with PowerPoint or equivalent) (~20 minutes)
- Committee discusses the proposal and asks related questions about larger topic

- After discussion, student leaves the room and the committee evaluates the project and develops recommendations for the student.
 - The committee may approve the project (and sign the *Dissertation Prospectus Form*, Appendix F)
 - Alternatively, the committee may identify deficiencies and require that the student complete further steps. For example, the committee might ask for modifications of the proposal or additional pilot data.
 - If further steps are required, the committee will determine the procedure to be followed (e.g., whether the committee must meet again to review revisions and approve the dissertation research plan)
 - When substantial revisions are required, another prospectus meeting is held
- **The prospectus is passed when the dissertation research project is approved by the student's Dissertation Committee.**

Dissertation Document

Dissertation Format

- The dissertation must be written following requirements of TGS.
- The student has the option of writing his/her dissertation in two formats:
 - (Strongly recommended) With three major sections: (1) introductory chapter(s), (2) middle chapters written in journal article format, with each reflecting material sufficient for a published paper - chapters are intended to be publishable papers, but submission by the time of the defense is not required, and (3) final chapter(s) integrating the results of all of the middle chapters. The QRP may be included as one middle chapter, but at least two additional middle chapters must be included.
 - In traditional format: introductory chapter(s), chapters for each experiment (two in addition to the QRP), final discussion and conclusions.

Private Dissertation Committee Pre-Defense

When the dissertation research is complete and the dissertation document has been written to the satisfaction of the dissertation advisor, the student must present the full dissertation manuscript and final presentation for review by the student's Dissertation Committee in the Private Dissertation Committee Pre-Defense Meeting. All committee members must be present for thorough discussion. Scheduling the Private Dissertation Committee Pre-Defense Meeting is the responsibility of the student. The dissertation manuscript must be distributed to the committee at least 2 weeks before the meeting.

Private Dissertation Committee Pre-Defense Meeting (~ 3 hours closed meeting)

- Closed meeting attended by the student and all members of the student's Dissertation Committee
- Committee reads the dissertation manuscript prior to the committee meeting (the dissertation manuscript must be submitted to the committee at least 2 weeks before the meeting)
- Student presents the final presentation (with PowerPoint or equivalent) (~40 minutes)
- Committee discusses the dissertation in detail and asks related questions about larger topic
- After discussion, student leaves the room and the committee evaluates the project and determines the next steps

- The committee may give approval for the student to organize the public defense (and sign the *Private Dissertation Committee Pre-Defense Meeting Form*, Appendix G, that is then submitted to Cindy Coy to trigger the scheduling of the public defense)
- Alternatively, the committee may identify deficiencies and require that the student complete further steps. For example, the committee might request modifications and further work.
- If further steps are required, the committee will determine the procedure to be followed (e.g., whether the committee must meet again to review revisions and give approval for the student to organize the public defense).
- If substantial revisions are required, another Dissertation Defense Committee Meeting is held
- **The Private Dissertation Committee Pre-Defense is passed when the student's Dissertation Committee gives approval for the student to organize the public defense.**

Public Dissertation Defense; the Final Oral Examination

After passing the Private Dissertation Committee Pre-Defense, the student must pass a Public Dissertation Defense. The Public Dissertation Defense is held with the student, the student's advisor, and other members of the student's Dissertation Committee. In addition, the defense is open to all faculty and students and to anyone else who wishes to attend. The student is responsible for scheduling the defense at a suitable 3-hour time block. The final dissertation manuscript must be distributed to the committee at least 2 weeks before the defense. The student must obtain the appropriate forms to sign and give them to the advisor prior to the defense. **The dissertation defense must occur by the end of the 6th academic year of the doctoral program.**

Public Dissertation Defense Meeting (~ 3-hour meeting)

- Open meeting attended by the student, all members of the student's Dissertation Committee, and anyone else who wishes to attend.
- Committee reads the dissertation manuscript prior to the public defense (the dissertation manuscript must be submitted to the committee at least 2 weeks before the meeting)
- Student presents the dissertation research (with PowerPoint or equivalent) (~45 minutes)
- Student takes questions from the audience including the committee members.
- The audience (other than committee members) is dismissed.
- The committee has the option of continuing questions and discussion with the student.
- The student is dismissed, and the committee evaluates the student's document and performance.
 - The committee may approve the dissertation.
 - Alternatively, the committee may identify deficiencies and require that the student complete further steps. For example, the committee might ask for modifications of the manuscript.
 - If further steps are required, the committee determines the procedure to be followed (e.g., whether the committee must meet again to review revisions and approve the dissertation)
- The student and audience are invited back into the room, and the committee presents its evaluation.
- The committee and student sign appropriate forms

Final Dissertation Steps

The chair of the student's Dissertation Committee must approve the final written document before it is submitted to TGS and must sign the appropriate TGS form. The completed manuscript is then submitted to TGS. The student should check TGS guidelines and timelines for completion of the manuscript and final oral examination (<http://www.tgs.northwestern.edu/academics/academic-services/index.html>)

The expectation is that dissertation research be published in professional journals. This serves to bring the findings before the scientific community and to promote the student's career. Because such work reflects not only the student's scholarship, but also that of the advisor, the Department, and the University, all submitted manuscripts and proposals for presentation at meetings must be approved by the advisor before being submitted for publication. Even though these submissions may occur after the student has left Northwestern, it remains an ethical obligation to secure approval of the advisor. Acknowledgment of the fact that the paper is based on research completed at Northwestern with the advisement of the faculty member should be made in publications. In addition, if the research was supported by grant funds, appropriate acknowledgments should be made. Whether or not the faculty advisor (or any other individual) appears as a co-author is a question that should be discussed early by the student and the advisor.

ADDITIONAL PROGRAM REQUIREMENTS AND POLICIES

PhD Research Spotlight

PhD students, faculty and post docs will gather to discuss current research projects. These will be held on the second Monday of each month throughout the academic year, including summer. Each student and faculty member will share a brief (5 minute) research update once per year. The PhD committee will assign students and faculty to share their update(s) at the beginning of the academic year. However, all students and faculty are expected to attend all research spotlights. Students and faculty may share a research accomplishment they are proud of (e.g., submitting a grant, having a paper accepted, conquering a new analysis, finalizing specific aims for a research milestone) or a barrier or difficulty they are experiencing (i.e., problems with attrition, slow recruitment, difficulty with analysis, trouble framing the logic for a manuscript or grant). The purpose of this "research spotlight" is to discuss works in process, rather than final research products, such that all participants receive formative feedback. Additionally, we hope that more frequent and informal discussions will foster more cross-lab collaborations and build a robust, supportive, and engaged CSD research community.

Attendance at Scientific Lectures

Students are required to attend four scientific lectures by invited speakers each quarter, for a total of 12 per academic year, throughout their PhD program, including after qualifying for candidacy. The lectures can be sponsored by any department at Northwestern. Note, however, that attendance is required at talks by invited speakers in CSD and that those talks can count toward the scientific-lecture attendance requirement. Presentations given by CSD faculty or students do not meet this requirement. The student keeps a record of lectures attended, using the *Attendance at Scientific Lectures Documentation Form* (see Appendix H) and gives the list to the Graduate Admissions Coordinator, Cindy Coy, at the end of

each quarter to be filed. The student should bring copies of these forms to his/her annual Doctoral Student Annual Review meetings (see below).

Non-Course Assignments (Teaching Assistance, Research Assistance)

To provide strong doctoral training that will prepare students for teaching and research careers, PhD students are active in both teaching and research activities in addition to regular academic work. Doctoral students supported on graduate assistantships (GAs) are given teaching assistant (TA) assignments as well as research assistant (RA) assignments, although the latter is less common. The TA/RA assignments, as well as the number of hours assigned, are somewhat dependent on each student's source of funding. For example, students funded on fellowships outside the CSD department, such as Cognitive Science Fellowships, may be given reduced CSD TA and RA assignments. TA assignments are given to provide a variety of teaching experiences, whereas RA assignments are made based on the student's interest area, where possible.

Due to student unionization and beginning in Fall of 2023, students will TA for 3 quarters. Rather than 2, 15-hour TA assignments, students will be assigned 3, 10-hour assignments (1, 10-hour assignment per quarter). Note that the hours are the same, but the workload is dispersed across the entire academic year. This new system has benefits. For example, classes that previously had a single, 15-hour TA will now have one 5-hour TA and one 10-hour TA, which ease the workload of any given student in a particular week. TA assignments are sent to student at the beginning of the academic year. 1st year PhD students will be partnered with a more experienced TA for their first year. As such, 1st years are listed as a second or third TA and are matched with different TA mentors and instructors so that they gain a breadth of experience in their first year. The DGS will provide additional information about TAs during orientation.

Students funded on research grants complete their assignments in the research lab. However, they may also be provided with some TA experiences during their doctoral program.

The effectiveness of the department's teaching and research activities depends in part on the activities of the PhD students. As a result, these important assignments cannot always be made in accordance with the student's desires.

International Travel Policy

Graduate students traveling internationally under university sponsorship or support must abide by two health and safety requirements: (1) Travel must be disclosed to the university's Office of Global Safety and Security (OGSS) prior to departure; and 2) the traveler must enroll in Northwestern's international medical insurance and assistance plan. Additional steps apply if visiting a country with an overall U.S. Department of State (DOS) Travel Advisory Level 3 or Level 4, or a Centers for Disease Control and Prevention (CDC) Warning Level 3. See the OGSS graduate student travel policies page for more information: <https://www.northwestern.edu/global-safety-security/travel-policies/graduate-students/index.html>

VA Pending Payment Policy

For Northwestern students using U.S. Department of Veterans Affairs (VA) Post 9/11 G.I. Bill® (Ch. 33) or Vocational Rehabilitation and Employment (Ch. 31) benefits, the University will not prevent

enrollment, assess a late fee, deny access to resources available to other students, or require they secure additional funding while payment from the United States Department of Veterans Affairs is pending to the University.

To qualify for this provision, students may be required to:

- Produce the VA's Certificate of Eligibility by the first day of class;
- Provide written request to be certified.
- Provide additional information needed to properly certify the enrollment as described in other institutional policies.

Nondiscrimination Statement

Northwestern University does not discriminate or permit discrimination by any member of its community against any individual on the basis of race, color, religion, national origin, sex, pregnancy, sexual orientation, gender identity, gender expression, parental status, marital status, age, disability, citizenship status, veteran status, genetic information, reproductive health decision making, or any other classification protected by law in matters of admissions, employment, housing, or services or in the educational programs or activities it operates. Harassment, whether verbal, physical, or visual, that is based on any of these characteristics is a form of discrimination. Further prohibited by law is discrimination against any employee and/or job applicant who chooses to inquire about, discuss, or disclose their own compensation or the compensation of another employee or applicant.

Northwestern University complies with federal and state laws that prohibit discrimination based on the protected categories listed above, including Title IX of the Education Amendments of 1972. Title IX requires educational institutions, such as Northwestern, to prohibit discrimination based on sex (including sexual harassment) in the University's educational programs and activities, including in matters of employment and admissions. In addition, Northwestern provides reasonable accommodations to qualified applicants, students, and employees with disabilities and to individuals who are pregnant.

Any alleged violations of this policy or questions with respect to nondiscrimination or reasonable accommodations should be directed to Northwestern's Office of Equity, 1800 Sherman Avenue, Suite 4-500, Evanston, Illinois 60208, 847-467-6165, equity@northwestern.edu.

Questions specific to sex discrimination (including sexual misconduct and sexual harassment) should be directed to Northwestern's Title IX Coordinator in the Office of Equity, 1800 Sherman Avenue, Suite 4-500, Evanston, Illinois 60208, 847-467-6165, TitleIXCoordinator@northwestern.edu.

A person may also file a complaint with the Department of Education's Office for Civil Rights regarding an alleged violation of Title IX by visiting www2.ed.gov/about/offices/list/ocr/complaintintro.html or calling 800-421-3481. Inquiries about the application of Title IX to Northwestern may be referred to Northwestern's Title IX Coordinator, the United States Department of Education's Assistant Secretary for Civil Rights, or both.

PROGRESS EVALUATIONS

Annual Review

The student meets annually with his/her Doctoral Program and Qualifying Exam Committee or Dissertation Committee for evaluation of progress toward the PhD. This meeting must take place during

finals week spring quarter of every year until the dissertation is defended. If the student or a committee member will be away during finals week in the spring, the Annual Review meeting is scheduled either the week before or the week after finals week. It is the responsibility of the student to schedule these meetings.

The purposes of these annual review meetings are to evaluate the student's performance and to set future goals.

Performance evaluations include:

- Performance in courses and progress toward completion of course requirements for the PhD
- Performance in academic activities out of the classroom such as TA assignments
- Progress on research

The discussion of future goals includes:

- Academic goals (such as completing course work, applying for a fellowship, submitting a research paper, attending a conference)
- Less tangible goals (such as improving public speaking skills, improving writing ability, increasing initiative in the lab, honing critical thinking skills, and enhancing self-confidence)

During annual review meetings the student is asked to summarize his/her research and teaching activities during the year, and to discuss plans for the upcoming year. The specific meeting format is at the discretion of the chair of the committee.

The student should bring the following documents to the review meeting. The chair of the committee must approve of these documents at least one week before the meeting.

- Doctoral Student Review Form (see Appendices I (Pre-Candidacy form) and J (Post-Candidacy form)).
- CV and NIH-style biosketch personal statement (1 paragraph)
- Plan of Study Form (see Appendix A), completed (or updated), including course grades.
- Lab rotation papers completed to date.
- Teaching evaluations (from all TA assignments)
- Submitted or draft journal articles
- Submitted or draft grant proposals
- A realistic list of academic and less-tangible goals for the next year (see above)
- Power point presentation (10 minutes) summarizing, as appropriate, Qualifying Research Project (QRP) ideas and data; dissertation ideas and data [Years 2 and above]

After discussion, the student is dismissed, and the committee members evaluate the student's progress and complete the Doctoral Student Review Form. The committee then discusses their evaluation with the student. All committee members and the student sign the form. The original completed form should be given to the Graduate Admissions Coordinator, Cindy Coy, to be filed; a copy also should be given to the student's academic advisor. It is the responsibility of the student to ensure that the proper forms are signed and filed. Any student who does not complete his/her annual review by the end of the spring quarter will be reported to TGS as not being in good standing and registration for the following fall quarter may be blocked.

The Director of Graduate Studies (DGS) and the Department's Doctoral Education Committee also annually review each student's progress in consultation with the full faculty. Any student with below

'satisfactory' rankings in any area (i.e., course work, non-course assignments, or progress on research) may be reported to TGS as not being in good academic standing (see below).

Good Academic Standing

Students must remain in good academic standing throughout the doctoral program. This requires that students maintain a grade point average of 3.0. Students who have a grade point average below 3.0 or who have more than three incomplete grades are not considered to be in good academic standing and will be placed on probation by TGS. Failure to reach an acceptable GPA during the subsequent two quarters may result in termination of the student's program.

Doctoral students who have not been admitted to candidacy by the end of their third year, or who have not passed the dissertation prospectus (see below) by the end of the fourth year are not making satisfactory academic progress and will be placed on probation by TGS, unless a petition for extension is approved by both the student's advisor, the DGS and TGS.

Doctoral students also must complete the requirements for the PhD within six years of initial registration in TGS. Students who do not complete the degree requirements by the established deadlines will not be considered in good academic standing, unless a petition for extension is approved by both the student's academic advisor, the DGS and TGS.

Timeline

TGS timeline and department recommendations for completion of the requirements for candidacy, the Dissertation Prospectus, and the Dissertation Defense.

TGS Milestones	TGS Requirements (deadlines to remain in good standing)	Department Recommendations
<i>Qualify for Candidacy</i>	Summer: Year 3	Year 1 <u>Summer</u> : Develop QRP proposal Year 2 <u>Fall</u> : Present QRP proposal to committee Year 3 <u>Fall</u> : Present results of QRP and Defend QRP with committee
<i>Dissertation Prospectus</i>	Summer: Year 4	Year 3 <u>Winter</u> : Develop dissertation proposal <u>Spring</u> : Collect pilot data <u>Summer</u> : Prospectus meeting
<i>Dissertation Defense</i>	Summer: Year 6	Year 4 <u>Fall/Winter/Spring</u> : Dissertation data collection <u>Summer</u> : Data analysis Year 5 <u>Fall</u> : Data analysis <u>Winter/Spring</u> : Writing <u>Summer</u> : Dissertation defense

Summer Requirements

Students devote 100% time to research during the summer. Prior to candidacy, students should register for three units of CSD 590; after candidacy students should register for TGS 500. CSD 590 is between 1—3 units of credit. Students should register for 3 units (unless they’re taking other “for credit” courses). Total units of registration should equal 3 or 4 units.

Leaves of Absence

Requests for leaves of absence should be directed to the DGS. Please see TGS guidelines for application and requirements.

Vacation and Holidays

PhD students are entitled to staff holidays including Memorial Day, Independence Day, Labor Day, Thanksgiving & the day after, Christmas Eve & Day, and New Year's Eve & Day. See the Human Resources calendar for a full list of dates.

A PhD student DOES NOT share the same vacation schedule as an undergraduate. Vacation time or excused absences must be arranged with their faculty advisor two weeks in advance of the requested time off.

Alternative work agreements must follow University policies and be approved by the mentor, and a signed agreement should be completed.

For time away from the University longer than possible with reasonable vacation or sick time, a formal leave is possible. The PhD program follows TGS policy with respect to Parental Accommodation and for Personal, Medical, or Family Leave. In addition, the PhD program will work with students and TGS to develop other reasonable accommodations that may be needed.

FUNDING

Under normal circumstances, all PhD students entering the program are provided five years of funding. Some students are funded by Graduate Assistantships (GAs) that cover full-time tuition expenses for the academic year (9 months) and provide a 12-month stipend. Doctoral students supported on graduate assistantships (GAs) are given teaching assistant (TA) assignments and/or research assistant (RA) assignments. Fourth-year funding assumes that students have met PhD candidacy requirements. Some students are funded for part, or all, of their program by research grants. Questions pertaining to funding issues or TA assignments should be directed to the DGS.

Students are strongly encouraged to seek external funding (e.g., Fellowships from NIH or NSF), with the assistance of their mentors.

Some scholarships require that departments nominate applicants (as opposed to students applying directly). It is the student's responsibility to read funding applications carefully to determine if departmental nomination is required, and if so, to notify the DGS (Dr. Jason Sanchez) and Cindy Coy of his/her plan to apply for the scholarship. Notification, with completed application materials ready for internal review should occur at least 2 weeks prior to the application deadline for submission.

Northwestern University Information

- Office of Fellowships
<http://www.northwestern.edu/fellowships/index.html>
- Funding Opportunity Resources
<http://www.research.northwestern.edu/information-for/faculty-researchers/funding-opportunities.html>
- TGS Fellowships, Scholarships and Grants
<http://www.tgs.northwestern.edu/financial-aid/fello-schola-grants/>
- TGS Training Grants

<http://www.tgs.northwestern.edu/resources-for/faculty/training-grant-support/nih-training-grants-at-northwestern-university.html>

Potential sources of external funding

- NSF Graduate Research Fellowship Program
http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=6201
- NIH National Research Service Award
<http://www.nidcd.nih.gov/funding/types/pages/training.aspx>
- Department of Defense
<http://ndseg.asee.org/>
- Department of Education
<http://www2.ed.gov/programs/jacobjavits/index.html>
- ASHA Foundation Graduate Scholarships
<http://www.ashfoundation.org/grants/GraduateScholarships/>
- American Academy of Audiology Foundation
<https://www.audiologyfoundation.org/scholarships-grants>
- AMBUCS
<http://www.ambucs.org/scholars/>
- Council on Academic Programs in Communication Sciences and Disorders
<http://www.capcsd.org/funding-opportunities/scholarships/>
- Sertoma Scholarships in Communicative Disorders
<http://www.sertoma.org/scholarships>
- Spencer Foundation
<http://www.spencer.org/fellowship-awards>
- National Academy of Education/Spencer Dissertation Fellowship
http://www.naeducation.org/NAED_080200.htm
- Google PhD Fellowship Program
<http://research.google.com/university/student-support/>
- Paul and Daisy Soros Fellowship for New Americans
<http://www.pdsoros.org/>
- Ford Foundation
<http://www.fordfoundation.org/grants/individuals-seeking-fellowships>

OTHER OPPORTUNITIES AND RESOURCES

Directed Teaching

Directed Teaching (course number: CSD 546 Directed Teaching in Communication Sciences and Disorders), is intended to provide the student with guided teaching experience. The student selects a course he/she wishes to be involved in teaching and obtains approval from the course instructor. The student is responsible for preparation and delivery of at least four one-hour lectures during the directed-teaching quarter. In addition, the student attends all lectures delivered by the regular course instructor to gain insights into effective teaching methods. The student also is involved in preparation of the course outline, selection of readings, writing exam questions, etc. The course instructor reviews lecture outlines and materials prior to each lecture, attends all student lectures, and provides feedback. PhD students must qualify for candidacy prior to enrolling in CSD 546 Directed Teaching.

Searle Center for Teaching Excellence

The Searle Center for Teaching Excellence offers many outstanding courses, seminars, etc. focused on teaching. Students are encouraged to take advantage of this resource while at Northwestern (<http://teach.northwestern.edu>).

Resources for Writing and Research Assistance

Contacts

- CSD-Specific Librarian: Steve Adams is the librarian for Communication Sciences and Disorders. His email is smadams@northwestern.edu. He's available for 1-1 consultations with students at any stage of their academic career.
- General Library Inquiries: "Contact a Librarian" has librarians who can help with citation management (including the software) and data management -- <https://www.library.northwestern.edu/research/ask-us/index.html>

Suggested Resources/Reading

- Core Reference Collection: Located on the 2nd floor of the University Library; has a wide variety of books about scholarship and success – all in one place. There are books about writing a literature review and research methods and books about writing. It's easy to browse this small, useful collection.
- Communication Sciences and Disorders: Research Guide includes information about key resources, articles, websites, and organizations
- The Scholar's Survival Manual: A roadmap for students, faculty, and administrators.
- From Inquiry to Academic Writing: A Text and Reader
- Preparing literature reviews : Qualitative and quantitative approaches
- Write it up: Practical strategies for writing and publishing journal articles.
- NU Write lists a variety of options for assistance with graduate writing.
- Graduate Writing Place.

Varied Types of Services/Support

The Graduate School lists a variety of [Services and Support](#), including the list of TGS Affiliated Organizations.

Master of Arts Degree in Non-Clinical Communication Sciences

The Master of Arts (MA) in Non-Clinical Communication Sciences (Comm Sci) degree within TGS is a non-admitting degree for students who have been accepted into and are currently enrolled in the Doctor of Philosophy (PhD) program in Communication Sciences and Disorders. Students in the PhD program may apply for this degree upon achieving candidacy. The degree also serves students who decide to broaden their scientific knowledge in CSD without continuing doctoral-level research training or clinical

training. Graduates of this MA Comm Sci program will not be qualified to pursue formal clinical certification and licensure but will gain substantive experience in CSD research.

Contact Cindy Coy ccoy@northwestern.edu for instructions on applying for the Non Clinical Comm Sci degree.

Clinical Services

All students in good standing in CSD programs are entitled to receive clinical services at NUCASLL as follows:

- Speech-language pathology: free services
- Audiology: free hearing tests and communication needs assessments
- Hearing aids and hearing aid services: Hearing aids and accessory devices at cost; no hearing aid fitting fee; free services while enrolled in the CSD program.

Clinical Training

Scientist-clinician track for clinical certification in SLP

PhD students interested in obtaining clinical certification in SLP may apply for admission to the scientist-clinician (SLP) track. Students will not be granted a clinical MS or be eligible for credentialing without completing their PhD requirements. For details, see Appendix K.

POLICY WAIVERS

If a student or faculty advisor (or advisory committee) thinks that any CSD policy stated in this handbook should be waived, a formal request, signed by both the student and faculty advisor, may be submitted for consideration by the Department's Doctoral Education Committee. The request must fully justify the waiver.

PROBLEM RESOLUTION

If a student wishes to seek assistance or state a grievance with regard to any aspect of his/her doctoral program, the student should consult individuals in the following order, beginning at the first level and then, if necessary, continuing on to higher levels:

- (1) The student's academic advisor, if appropriate
- (2) Advisory committee members
- (3) The Director of Graduate Studies (DGS) for CSD (Dr. Jason Sanchez)
- (4) The Department Chair for CSD (Dr. Bharath Chandrasekaran)
- (5) The Associate Dean for Academic Affairs for the School of Communication (Dr. Bonnie Martin-Harris), who may appoint a special committee to investigate.

For questions pertaining to course grades, the student should first contact the course instructor, followed by individuals in the order listed above.

These policies set up hierarchical processes for both general grievances and for questions pertaining to course grades. The student is encouraged to follow them. However, the students can skip levels in the hierarchy if the grievance of the student is against one of the individuals directly involved in the process. One of the main responsibilities of the DGS is to monitor student progress and to work toward assuring the wellbeing of all graduate students in the Department. Therefore, in some cases, students may wish to make initial contact with the DGS. If special counsel is required for any issues that the student is uncomfortable discussing with course instructors, advisors, the DGS, or the Department Chair, the student can contact our department ombudsperson (Dr. Viorica Marian).

If the issues relate to potential discrimination or sexual harassment, the University has additional resources and policies: <http://www.northwestern.edu/provost/policies/statements/discrimination.html>.

APPENDIX B
SAMPLE DOCTORAL PROGRAM IN CSD

YEAR	FALL	WINTER	SPRING	SUMMER
1	CSD 552-1 Laboratory Rotation CSD 550-1 Scientific Thinking CSD 404-0 Experimental Design and Statistics in CSD	CSD 552-2 Laboratory Rotation CSD 550-2 Experimental Design CSD 404-1 Experimental Design and Statistics in CSD	CSD 552-3 Laboratory Rotation CSD 550-3 Scientific Communication Research Ethics Course Complete Plan of Study First Year Review	CSD 590 Research
2	Topic Seminar Content Course + 1 elective QRP Proposal Due	CSD 499 Qualifying Research Project Content course CSD 412 Scientific Writing	CSD 499 Qualifying Research Project CSD 545 Professional Development (Offered alternate years) + 1 elective Second Year Review	CSD 590 Research
3	CSD 499 Qualifying Research Project QRP Outcomes Due	Seminar Research CSD 499 or TGS 500	Research CSD 499 or TGS 500 Third Year Review	TGS Qualifying Deadline CSD 590 or TGS 500
4	Dissertation proposal due (NRSA style)	Dissertation Research TGS 500 Directed Teaching**	Dissertation Research TGS 500 Fourth Year Review	TGS 500

** Elective. Instructor permission required; QRP = Qualifying Research Project

APPENDIX C
APPLICATION FOR A COURSE SUBSTITUTION FORM

From the student's advisor: _____

I approve the following course substitution for _____.
(student's name)

Original course: _____
(course name and number)

Substitute course: _____
(course name and number)

Signature of advisor

Date

Signature of student

Date

Conditions/other recommendations:

APPENDIX H
ATTENDANCE AT SCIENTIFIC LECTURES DOCUMENTATION FORM

[Page 1 of 2]

NAME: _____

ACADEMIC YEAR: _____

INVITED SPEAKERS

Students are required to attend four scientific lectures by invited speakers each quarter, for a total of 12 per academic year, throughout their PhD program, including after qualifying for candidacy. The lectures can be sponsored by any department at Northwestern. Note, however, that attendance is required at talks by invited speakers in CSD and that those talks can count toward the scientific-lecture attendance requirement. Presentations given by CSD faculty or students do not meet this requirement. For each lecture attended, please list here the lecture date, the name of the speaker, and the title of the talk. Present this form to your committee at your Annual Review Meeting and give a copy of it to the Graduate Admissions Coordinator, Cindy Coy, along with the other Annual Review documents to be filed. Your signature certifies that you have attended the talks listed.

FALL QUARTER

1. Date:
Speaker:
Title:
2. Date:
Speaker:
Title:
3. Date:
Speaker:
Title:
4. Date:
Speaker:
Title:

WINTER QUARTER

5. Date:
Speaker:
Title:

APPENDIX H
ATTENDANCE AT SCIENTIFIC LECTURES DOCUMENTATION FORM

[Page 2 of 2]

6. Date:
Speaker:
Title:
7. Date:
Speaker:
Title:
8. Date:
Speaker:
Title:

SPRING QUARTER

9. Date:
Speaker:
Title:
10. Date:
Speaker:
Title:
11. Date:
Speaker:
Title:
12. Date:
Speaker:
Title:

STUDENT'S SIGNATURE: _____

DATE: _____

APPENDIX I
PRE-CANDIDACY DOCTORAL STUDENT REVIEW FORM

[Page 1 of 2]

STUDENT'S NAME: _____

DATE OF MEETING: _____

YEAR IN PROGRAM: _____

Performance in course work

Outstanding	Exceeding Expectations	Satisfactory	Barely Satisfactory	Unsatisfactory

Comments:

Performance in non-course assignments

Outstanding	Exceeding Expectations	Satisfactory	Barely Satisfactory	Unsatisfactory

Comments:

Progress on research

Outstanding	Exceeding Expectations	Satisfactory	Barely Satisfactory	Unsatisfactory

Comments:

Plan of Study

Comments:

APPENDIX J
POST-CANDIDACY DOCTORAL STUDENT REVIEW FORM

[Page 1 of 2]

STUDENT'S NAME: _____

DATE OF MEETING: _____

YEAR IN PROGRAM: _____

Performance in non-course assignments

Comments:

Outstanding	Exceeding Expectations	Satisfactory	Barely Satisfactory	Unsatisfactory

Progress on research

Comments:

Outstanding	Exceeding Expectations	Satisfactory	Barely Satisfactory	Unsatisfactory

Funding status and plan/Potential fellowship application opportunities

Comments:

APPENDIX J
POST-CANDIDACY DOCTORAL STUDENT REVIEW FORM

[Page 2 of 2]

Goals for next year (academic goals such as completing course work, submitting a paper, attending a conference, and less tangible goals such as improving public speaking skills, showing more initiative in lab, honing critical thinking skills, enhancing self-confidence)

Comments:

SUMMARY COMMENTS/RECOMMENDATIONS TO STUDENT (attach letter if needed):

SIGNED (DISSERTATION COMMITTEE MEMBERS)

_____	_____ (Advisor)	Date: _____
Printed Name	Signature	

_____ Date: _____

_____ Date: _____

_____ Date: _____

STUDENT'S SIGNATURE: _____ Date: _____

APPENDIX K

SCIENTIST-CLINICIAN TRACK FOR CLINICAL CERTIFICATION IN SLP

[Page 1 of 3]

Clinical Certification in SLP for CSD PhD Students

CSD Operational Guidelines (approved draft: February 10, 2019; revisions February 13, 2020)

Guidelines

1. CSD will be able to admit up to 5 students into the scientist-clinician track per year, contingent on availability of clinical faculty, MS class size, and other indices of feasibility for NUCASLL supporting scientist-clinician track. These factors will be reviewed annually for approval by DGS, CSD Chair, and NUCASLL and MS SLL Program leadership. *Note: December/January were noted as optimal time for such review.*
2. Applicants to the PhD program who are interested in the scientist-clinician track will identify a mentor who will commit to making arrangements for clinical training prior to admission into the PhD program. This may happen at the time of initial application to the PhD program, or within the student's first year in the program.
3. The identified research mentor will write a letter of support confirming that the applicant's research interests support the need for clinical training. The research mentor will also specify a clinical supervision plan for the lab-based clinical hours needed to fulfill the CCC requirements, following one of two tracks, specified in 4a and 4b, below.
4. The source of clinical supervision hours must be specified under one of two tracks (see Table 1 for overview):
 - a. Track 1: No more than 25 of the required clinical hours will be obtained in NUCASLL under the supervision of a clinical faculty member. The mentor, in partnership with the student, will make arrangements for the fulfillment of the remaining clinical hours (e.g., obtaining clinical hours in the advisor's laboratory).
 - b. Track 2: Clinical hours will be obtained through NUCASLL.
 - i. Faculty wishing to support students in Track 2 will be required to attend a short educational workshop with Dr. Kaplan, to ensure they are fully aware of the requirements of clinical training throughout the student's program.
 - ii. Students in Track 2 may be admitted provisionally on acceptance to the PhD program, or apply once accepted, but will begin the clinical track only after successful completion of the first year of the program, with approval of the primary mentor, MS SLL Director, and PhD committee.

APPENDIX K
SCIENTIST-CLINICIAN TRACK FOR CLINICAL CERTIFICATION IN SLP

[Page 2 of 3]

Table 1. NUCASLL & Externship Support for PhD Students Interested in SLP Clinical Certification

Lab Support	NUCASLL Resources	Externship Resources	Number of PhD students/year (# below determined for 2020)
Option #1: Lab provides clinical hours needed to fulfill clinical hours towards CCC-SLP	NUCASLL will provide 25 clinical hours <ul style="list-style-type: none"> · Adult rotation (approx. 10 hours) · Pediatric rotation (approx. 15 hours) 	None (see note #1)	2
Option #2: Lab does not provide clinical hours needed to fulfill clinical hours towards CCC-SLP	NUCASLL will provide 375 clinical hours across the entirety of the student's PhD program	None (see note #1)	1

NOTES

1. Current Illinois State Board of Education (ISBE) credentialing requirements mandating a school practicum placement are currently under review and will likely be removed. If this change is *not* adopted, PhD students interested in school age populations will need to complete a 3 day/week school placement.
2. For option #2, the PhD students' specific clinical placements each quarter in NUCASLL will not always align with the students' areas of research interest. Students will be placed on teams outside of their specific interest area in order to accrue all hours needed to fulfill requirements for the clinical degree.
3. The above plan is contingent upon NUCASLL remaining staffed with 13 clinical faculty and MS SLL student classes of 57-60 students.
5. Applicants will be *provisionally* admitted to the clinician-scientist track based on the approval of both the primary mentor, the PhD Admissions Committee, and the MS SLL Director.
6. Students must complete ASHA general education and CSD specific prerequisite courses prior to beginning the SLL didactic and clinical curriculum.
7. The provisional status will be removed at the end of the first year upon
 - a. successful completion of all PhD program requirements and upon endorsement of the PhD mentor, and approval of the PhD committee and MS SLL and NUCASLL directors.
 - b. creation of a course and externship plan in collaboration between the student, the primary mentor, and directors of MS SLL and NUCASLL.

APPENDIX K SCIENTIST-CLINICIAN TRACK FOR CLINICAL CERTIFICATION IN SLP

[Page 3 of 3]

8. In case of unforeseen changes in primary research and/or clinical mentor, the plans for the clinician-scientist track will be recast with participation and approval of the new primary mentor.
*Students are not guaranteed continuation of clinical training in such cases.
9. Admission standards for applicants interested in the scientist-clinician track will be no different from the regular admission standards, but these students will undergo additional application review and interviews with the MS SLL Director and potentially additional faculty involved in clinical training.
10. TA responsibilities for students on the scientist-clinician track will be assigned following the same guidelines as other students in the PhD program.
11. Total support from standard sources of TGS and SoC funding will not exceed 5 years.
12. Students will not be granted a clinical MS or be eligible for credentialing without completing their PhD requirements.

APPENDIX L
TEACHING ASSISTANT MANUAL

NORTHWESTERN UNIVERSITY
THE DEPARTMENT OF COMMUNICATION SCIENCES AND DISORDERS
TEACHING ASSISTANT MANUAL

Last Revised: 9.1.22



SCHOOL OF COMMUNICATION
The Roxelyn & Richard Pepper
Department of Communication Sciences and Disorders

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SECTION I: INTRODUCTION

Goals of Document

The purpose of this document is to provide Teaching Assistants (TAs) and instructors with operationalized guidelines to support the needs of TAs and instructors alike.

TA Assignment Process

TAs are matched to instructors based on both TA and instructor preferences. To the best extent possible, the PhD committee:

- (a) Assigns one TA assignment to first year PhD students (Winter or Spring quarter)
- (b) Pairs experienced and novice TAs, when multiple TAs are assigned to a single course
- (c) Matches areas of expertise with course content
- (d) Balances the time commitments of courses across TAs

However, there is no guarantee that a TA will be assigned to a course in which they are experienced with the subject matter. It is acceptable for the instructor to ask the TA to spend time improving their content knowledge over the course of the quarter (e.g., by attending class, completing course readings). However, time spent towards these activities count as part of a TA's weekly hours and will reduce the TA's available time to complete other duties. As such, novice TAs are unlikely to gain more content proficiency over the course of a quarter than average students taking the course.

SECTION II: GENERAL EXPECTATIONS FOR TEACHING ASSISTANTS AND INSTRUCTORS

Roles of the Teaching Assistant

A Teaching Assistant (TA) serves a fundamental role as a supplementary resource for the students and the instructor(s) of a course. Serving as a TA is an important opportunity for professional development, as well as an important funding source for the department to financially support graduate students as they engage in their own research and education.

In the Department of Communication Sciences and Disorders (CSD) at Northwestern University, teaching assistants predominantly fill an auxiliary role to that of the instructor. Their tasks generally include, but are not limited to, grading, holding office hours, and maintaining communications with the students. Understanding how best to assist instructors and students is a critical component of being a TA, as many of the skills developed are utilized throughout a scientific career.

Experienced vs. Novice Teaching Assistants

The types of tasks delegated to a student in a TA-ship should, in part, be dictated by the extent of the student's knowledge of the course subject matter and prior teaching experience. In this document, we distinguish between "experienced" students and "novice" students. "Experience" refers both to content knowledge as well as to skills needed to successfully assist in teaching the course (e.g., ability to code

in MATLAB). Students may be experienced in some topics within a course but not others, and their assigned duties should reflect their specific areas of expertise.

To be considered **Experienced**, a student must self-define as:

- Confident in the subject matter of the topic or course
- Proficient in skills related to the topic or course (e.g., proficient in R, proficient in hearing aid programming, etc.)
- Have TAed the same course in prior quarters

In contrast, a **Novice** student must self-define as:

- Less familiar with course content and related skills
- Not (yet) confident answering student questions related to course content
- Not (yet) proficient in skills related to the topic or course

Each year, students will report their level of expertise for each course that is assigned a TA. This information will be communicated the course instructor at the time of TA assignments.

Best Practices for Teaching Assistants

All TAs are strongly encouraged to:

- **Communicate with instructor about their other responsibilities** (e.g., research, coursework)
 - If there is a particular week in the quarter that a TA expects a heavy workload outside of the TAship, it is reasonable to notify the instructor of this and ask to make up hours in advance or afterwards.
- **Communicate with the instructor if they must miss TA work for any reason** (e.g., attending a research conference, illness).
 - Last-minute changes may create conflicts with the instructor's other responsibilities and time commitments.
 - At least 24 hours' notice should be provided for changes to TA tasks
 - At least 3 days' notice should be provided for TA tasks that take a significant amount of time to complete (i.e., tasks that take longer than 2 hours).
- **Communicate with the instructor about family and caregiving commitments**
 - If there is a commitment such as picking up children from school, or other caregiving responsibilities, it is reasonable to notify the instructor at the beginning of the quarter. e.g., "Mondays, Wednesdays and Fridays I am picking up my children from school and will only be available via phone from 3-4pm."
 - For information on Northwestern's family leave policies and childcare resources and assistance, visit the HR Department's [Work/Life & Family Resources](#) site.
- **Approach the TAship in good faith**
 - For example, if there is a last-minute request from the professor and that can be reasonably accommodated, the TA should make an effort to fulfill that request.

Roles of the Instructor

The instructor of a course has many roles. For the purposes of this document, we highlight roles specific to the course TA.

Clearly Communicate Expectations to the TA

Open communication regarding the TAship is critical. Though both the instructor and TA are responsible for maintaining this line of communication, it is important for the instructor to set communication expectations at the start of the quarter. Specifically, the instructor should meet with the TA before the beginning of the quarter (*see Section 5 – Instructor and Teaching Assistant Meeting*). The instructor should also clearly communicate to the TA for the duration of the course about expectations, responsibilities, and key dates.

Introduce the TA to the Class

The instructor should introduce the TA to all students during the first day of class. At that time, the instructor should clearly define the role of the TA in the course and explain how the TA will support students throughout the course. Students enrolled in a course often have inaccurate expectations of a TA's role and the TA's ability to answer content questions. For example, if a TA will primarily be performing administrative duties and is not expected to answer content questions, this information should be communicated with the students.

Best Practices for Instructors

All instructors are strongly encouraged to:

- **Communicate with the TA(s) which weeks are expected to require a greater than average workload to TAs at the beginning of a quarter**, if applicable.
- **Provide a reasonable amount of time for TAs to accommodate requests**
 - Last-minute work assignments may create conflicts with a TA's other responsibilities and time commitments.
 - At least 24 hours' notice should be provided for all requested tasks.
 - At least 3 days' notice should be provided for tasks that take a significant amount of time to complete (i.e., tasks that take longer than 2 hours).
 - At least 7 days' notice should be provided for tasks that take a substantial amount of time to complete (i.e., tasks that take more than 10 hours).
- **Be flexible**
 - To the extent possible, instructors should allow TAs flexibility with their work, particularly if personal needs (e.g., illness, family emergency) or non-TAship needs (e.g., attending a research conference) arise.

SECTION III: WEEKLY HOURS FOR A TEACHING ASSISTANT

Weekly Hours for the Teaching Assistant

Students should be assigned a maximum weekly time spent on TA duties by the DGS (e.g., 7.5 hours or 15 hours) before the start of a quarter. The instructor and TA should discuss this time allocation at the start of the quarter. Responsibilities of a TA during a given week should never exceed this assigned limit except under rare circumstances. In the case that a TA does spend significant time beyond their assigned limit, it is the responsibility of the TA to immediately communicate this information to the instructor, at which point the instructor and TA should jointly make a plan to reduce hours in future weeks. It is important to note that international students cannot legally work more than 20 hours in a given week by federal mandate.

What Counts Towards a Teaching Assistant's Weekly Hours?

Below are several tasks that do count towards weekly hours. This is not an exhaustive list. It represents tasks that commonly cause confusion between instructors and TAs.

- **Attending Class: YES**
 - Time spent in class, when required by the instructor, counts towards the total weekly hours.
- **Reviewing Course Materials: YES**
 - Time spent independently reviewing course materials, when required by the instructor or when necessary to complete assigned TA duties, also counts towards the total weekly hours. For example, a TA may spend an hour reviewing a course reading in order to accurately grade an associated assignment.
- **Holding Office Hours or Being “on call”: YES**
 - Time reserved for TA duties, whether that is formal office hours or being available to the instructor at a specific day/time counts towards the total weekly hours.
- **Tasks listed in Appendix A: YES**
 - All tasks listed in Appendix A count towards a TA's weekly working hours.

Exceeding Assigned Hour Limit

If a TA regularly exceeds their assigned hour limit, they should first notify the instructor to request workload adjustments. If workload is not adjusted, the TA should follow the guidance outlined in the *Mediation Procedures* document. In addition, and unless otherwise noted by the instructor, students should prioritize tasks in the following order (until hours are met for the week)

- Tasks required for student grading/course completion (e.g., uploading grades to Canvas))
- Tasks that directly support student learning (e.g., leading discussion and lab sections, answering student questions, creating Canvas assignment links)
- Tasks that less directly support student learning (e.g., printing notes for class)
- Tasks that primarily support the instructor rather than the student (e.g., improving the appearance of instructor slides)

SECTION IV: ACCEPTABLE/UNACCEPTABLE RESPONSIBILITIES FOR A TEACHING ASSISTANT

Acceptable Responsibilities for a Teaching Assistant

Appendix A includes examples of duties that a TA might reasonably be expected to perform, with some tasks dependent upon their status as *Experienced* or *Novice*. This list is not exhaustive and is meant to serve as a general guide.

Experienced vs. Novice Teaching Assistant Responsibilities

Some responsibilities may only be appropriate for more experienced TAs. For example, experienced TAs may be asked to contribute to the course in more advanced ways, such as:

- Delivering a lecture within the course time
- Writing exam/homework/assessment questions
- Developing in-class activities

These activities and key dates should be discussed and agreed upon by the TA and the instructor at the beginning of the quarter. Ideally, these types of advanced duties should be jointly selected between the TA and instructor to promote the TA's learning. Experienced TAs should be given ample time to prepare for all requests and should have full support from the instructor in performing more advanced activities. For example, any exam questions written by a TA should be fully reviewed by the instructor. Novice TAs should not be asked to perform these more advanced tasks.

Unacceptable Responsibilities for a Teaching Assistant

Certain duties, regardless of experience level, are not acceptable for any TA to perform. These include, but are not limited to:

- Delivering more than 20% of the course lectures
- Creating/developing more than 20% of the course content
- Extending time spent working as a TA beyond the assigned or agreed upon number of hours/week (e.g., 7.5 or 15).
- Writing exam/homework/assessment questions without instructor review
- Completing tasks that take longer than 1 hour with less than 24 hours' notice
- Completing work for the course (other than basic syllabus editing and course website setup) before the course begins or after the course ends. This time should not exceed 5 total hours per TA and should be reduced from other weeks in the quarter.

TAs asked to perform any of these, or other potentially unacceptable duties, should refer to the *Mediator Procedures* section for information on conflict resolution.

SECTION V: Instructor and Teaching Assistant Meeting

The instructor and TA are expected to meet before the first day of class to jointly review the current TA manual and complete the TA-instructor contract in *Appendix A*. The goal of the meeting is to set clear expectations for the instructor and TA throughout the academic quarter, with a focus on explicitly

discussing any/all duties that the TA is likely to perform throughout the quarter (*see Appendix A*). To the extent possible, the instructor should communicate important dates at this time so that the TA can plan accordingly.

Example: If a TA will be asked to write exam questions, this should be communicated at this meeting and the TA should be told specific dates by which this task should be completed.

Once duties have been agreed upon and discussed, both instructor and TA should sign the “Teaching Assistant Responsibilities Checklist” (*Appendix A*) and return it to Cindy Coy **no later than the end of the first week of classes**. TAs and instructors that cannot jointly agree on appropriate tasks should refer to the *Mediation Procedures* section.

First Meeting Checklist

- Review syllabus and important course dates
- TA and Instructor complete and sign “Teaching Assistant- Instructor Contract” and return to Cindy Coy

SECTION VI: RESOURCES FOR TEACHING ASSISTANTS

Northwestern Graduate Student Teaching Conference (annual)

The Northwestern Graduate Student Teaching Conference, hosted by the Searle Center, offers graduate student-led workshops on a number of topics related to TA work. It is held annually before the start of the Fall academic quarter. This conference is particularly helpful for Novice TAs and attendance is required for incoming CSD PhD students. Particular workshops may be of interest to Experienced TAs to fill skill gaps and promote continued learning. Additionally, graduate students with TA experience can get involved by leading workshops. More information about the Conference can be found at <https://www.northwestern.edu/searle/initiatives/grad/graduate-student-teaching-conference/index.html>.

Resources and Support Services

Below is a list of key contacts and support services for graduate student TAs. This list is not exhaustive but may help to point TAs in need of help in the right direction.

- School of Communication Information Technology (SoC-IT) ([Bryan Libbin](#), [Begum Sacak](#))
- Department of Communication Sciences and Disorders ([Cindy Coy](#))
- [The Searle Center for Advancing Learning and Teaching](#)
- [Counseling and Psychological Services \(CAPS\)](#)
- [The Writing Place](#)
- [Office of Equity](#)
- [Northwestern Work/Life and Family Resource](#)
- [English Language Center](#) (Dr. [Julia Margaret Moore](#), Director)

SECTION VII: Procedural Documents

Mediation

There may be a time when the solutions offered in this document are not sufficient to resolve the issues that can arise between the TA and the instructor. In which case, the instructor and TA should contact the PhD committee to support the resolution of any issues.

Amendments

Changes to this document require the approval by the majority of faculty and TAs at the time changes are sought.

SECTION VIII: Accountability

To ensure that both TAs and instructors follow the guidelines described in this document and implement the signed TA-Instructor course contract, the following

1. Each week, TAs will complete a time sheet via an electronic survey in which they will document the approximate TA tasks and corresponding time spent completing said tasks each week. This will help support the equitable allocation of courses across TAs. This information will be reviewed by Cindy Coy weekly to ensure that TAs are not exceeding the maximum hours on a regular basis.
2. At the end of each quarter, TAs will complete an evaluation form. This information will be reviewed by the PhD committee. PhD committee members will not review TA evaluations for courses they teach in order to maintain a high level of confidentiality. The PhD committee members in consultation with the student and faculty mentor will communicate with the instructor should an issue need to be addressed.
3. At the end of each quarter, instructors will complete an evaluation of the TA. The PhD committee members will communicate this information directly with the student and faculty advisor. This information will be reviewed at the student's annual review meeting.

APPENDIX A: TEACHING ASSISTANT- INSTRUCTOR COURSE CONTRACT

TA'S NAME: _____ ACADEMIC YEAR/QTR: _____

INTRUCTOR'S NAME: _____ DATE OF MEETING: _____

COURSE TITLE/NO.: _____ ASSIGNED HRS/WK: _____

The course instructor and TA should jointly discuss the TA's expected responsibilities for the quarter. Indicate expected TA responsibilities below in the 'TA's Expected Duties' column by placing a checkmark or X in each row as appropriate. Return this form to Cindy Coy before the end of the first week of classes.

***Indicates responsibilities that are only appropriate for Experienced TAs.*

RESPONSIBILITIES	TA's Expected Duties	Comments
<i>Administrative and Technical</i>		
Set up and maintain Canvas/course website		
Make photocopies; print materials		
Proofread exams, quizzes, etc.		
Edit or update syllabus		
Prepare classroom for instructor before each class session (based on TA availability)		
Set up Zoom meetings and breakout rooms		
Order course equipment, as directed by instructor		
Format recorded class sessions and upload to Canvas		
Edit captions of recorded class sessions		
Input grades to Canvas		
Troubleshoot tech (e.g., Canvas issues, classroom technology)		
Create discussion boards on Canvas		
<i>In-class</i>		
Attend class		
Administer in-class activities within normal class hours, with content provided by instructor		
RESPONSIBILITIES	TA's Expected Duties	Comments

<p>Weeks that the TA has additional time constraints (note estimated hours per week):</p> <p>Plan to accommodate the weeks that do not meet the maximum TA hours:</p>
<i>Other (Describe Below)</i>
<i>Other (Describe Below – continued)</i>

SIGNED (STUDENT TEACHING ASSISTANT AND COURSE INSTRUCTOR(S))

Printed Name	Signature	(Instructor) Date: _____
Printed Name	Signature	(Instructor) Date: _____
Printed Name	Signature	(Student TA) Date: _____

BLANK

APPENDIX B: SAMPLE TEACHING ASSISTANT TIMESHEET

TAs are strongly encouraged to keep track of their time spent on various tasks each week. Below is an example of such a timesheet. TAs may choose to use this as a template or reference, though it is not required.

	Date	Time	Time Spent (hours)	Task
<u>BEFORE QUARTER</u>				
	2/22/2021	11:00-11:30am	0.5	Met with Instructor
	2/23/2021	12:00-2:30pm	2.5	Updated course documents and syllabus; set up Canvas page
		Total	2.5	
<u>Week 1</u>				
	3/30/2021	2:00-3:30pm	1.5	Uploaded lecture slides to Canvas + Attended class
	3/31/2021	1:00-2:00pm	1	Responded to emails from instructor and students. Uploaded documents to Canvas and troubleshooted student issues with Canvas
	4/1/2021	2:00-3:30pm	1.5	Uploaded lecture slides to Canvas + Attended class
	4/1/2021	8:15pm-10:15pm	2	Updated slides for class based on instructor's request
	4/2/2021	11:00am-12:30pm	1.5	Prepped documents for Lab 1 (next week)
		Total	7.5	
<u>Week 2</u>				
<u>Week 3</u>				
<u>Week 4</u>				
...				
GRAND TOTAL (hours)				