



THE UNIVERSITY OF UTAH  

---

**College of Social Work**

**Ph.D. Program  
Policies & Procedures  
2024 Handbook**

University of Utah  
College of Social Work  
395 South 1500 East  
Salt Lake City, Utah 84112  
(801) 581-6192  
<http://socialwork.utah.edu>

---



## PhD Program Contact Info Academic Year 2024-25

Jeremiah Jagers, PhD  
PhD Program Director  
CSW 307 | 801-581-7644  
[jeremiah.jagers@utah.edu](mailto:jeremiah.jagers@utah.edu)

Mirela Rankovic  
PhD Program Coordinator  
CSW 214 | 801-585-5979  
[mirela.rankovic@utah.edu](mailto:mirela.rankovic@utah.edu)

---



College of Social Work Ph.D. Program  
Policies and Procedures Handbook

Table of Contents

1	THE PROGRAM .....	4
1.1	Goals and Objectives.....	4
1.2	Flexible Delivery Options .....	4
1.2.1	Campus Full-Time and Part-Time .....	4
1.2.2	Distance Delivered Doctorate .....	4
1.3	Financial Aid for Ph.D. Students.....	4
1.3.1	College Financial Aid .....	4
1.3.2	Free Application for Federal Student Aid (FAFSA).....	4
1.3.3	Outside Sources of Financial Aid .....	5
1.3.4	Outside Scholarship Funds .....	5
1.3.5	College Financial Aid Contact Information .....	5
1.4	Tuition Benefit Program (TBP).....	5
1.4.1	Categories .....	5
1.4.2	Requirements .....	5
1.4.3	Financial Support.....	5
1.4.4	Responsibilities .....	5
1.4.5	Residency.....	6
1.4.6	Restrictions .....	6
1.4.7	Administration of the TBP.....	6
1.5	University Tuition Reduction .....	7
2	ADMISSIONS AND PROGRAM REQUIREMENTS .....	7
2.1	Admission Requirements .....	7
2.1.1	M.S.W. as a Prerequisite Degree .....	7
2.1.2	Exceptions to the M.S.W. Prerequisite .....	7
2.1.3	International Degrees .....	8
2.2	Other Admission Requirements .....	8
2.2.1	Application Materials.....	8
2.2.2	Application Deadline .....	9
2.2.3	Admissions Decisions.....	9
2.3	Reactivation of Application.....	9
2.4	Requirements for the Ph.D. Degree.....	9
2.4.1	Credit Hours.....	9
2.4.2	Qualifying Examination and Admission to Candidacy .....	9
2.4.3	Dissertation .....	9
2.4.4	Graduate Studies .....	9
2.4.5	Student Behavior.....	10
2.4.6	Family Leave Policy .....	10
2.4.7	Children of CSW Students on Campus.....	11
2.4.7	Leave of Absence Policy .....	11
2.5	Curriculum Overview .....	11
2.5.1	Core Required Courses .....	11
2.5.2	CSW Elective Courses.....	14
2.6	Transfer Credit .....	14
2.6.1	Allowable Credit.....	14
2.6.2	Approval for Credit.....	15
2.6.3	Transfer Credit Restrictions .....	15
3	PH.D. PROGRAM PROCEDURES.....	15

3.1	The Ph.D. Committee.....	15
3.2	Student Advising.....	15
	3.2.1 Program Phases.....	15
	3.2.2 Student Academic Advisor and Faculty Mentors.....	15
	3.2.3 Formation of the Qualifying Examination (QE) Committee.....	15
	3.2.4 Dissertation Chair.....	16
3.3	Annual Student Reflection and Review.....	16
3.4	Formal Student Review.....	16
	3.4.1 Procedures for Probation.....	17
	3.4.2 Recommendation for Dismissal.....	17
3.5	Registration.....	17
	3.5.1 Registering for Classes.....	17
	3.5.2 Minimum Continuous Registration.....	18
3.6	Advancement to Candidacy.....	18
	3.6.1 Qualifying Examination.....	18
	3.6.2 Recommendation for Candidacy.....	18
3.7	Dissertation Policies and Procedures.....	18
	3.7.1 Registration during Dissertation Research.....	18
	3.7.2 Dissertation Supervisory Committee - Personnel.....	19
	3.7.3. Dissertation Proposal Review - Approval of Topic.....	20
	3.7.4 Research Involving Human Subjects - The Institutional Review Board.....	21
	3.7.5 Program of Study.....	21
	3.7.6 Oral Dissertation Defense.....	22
	3.7.7 Dissertation Approval Forms.....	23
	3.7.8 Dissertation Manuscript Approval.....	23
3.8	Graduation.....	24
	3.8.1 Eligibility.....	24
	3.8.2 Prefix of “Dr.” and Suffix of “Ph.D.”.....	24
3.9	Authorship and Collaborative Research.....	24
4	Use of Material Accepted for Publication.....	25
	4.1 Use of Previously Published Material.....	25
	4.2 Use of Material Accepted for Publication.....	<b>25</b>
5	ACADEMIC POLICIES AND PROCEDURES.....	25
	5.1 Dismissal Policy.....	25
	5.2 Academic Appeals.....	25
	5.3 Academic Status.....	25
	5.3.1 Full-time Status.....	25
	5.3.2 Maximum Credit Load Per Semester.....	26
	5.3.3 Minimum Continuous Registration.....	26
	5.4 Incomplete Grades.....	26
	5.4.1 Regulations for Incomplete Grades.....	26
	5.4.2 Removal of Incomplete.....	26
	5.4.3 Restrictions and Limitations.....	27
	5.5 Registration Status.....	27
	5.5.1 Request for a Leave of Absence.....	27
	5.5.2 Withdrawal.....	27
	5.6 Student Records.....	27
6	FACILITIES INFORMATION.....	28
7	GENERAL INFORMATION.....	28

7.1	Children on Campus.....	28
7.1.1	Children on Campus Policy.....	28
7.2	Dogs on Campus .....	28
7.3	E-mail (Electronic Mail) .....	28
7.4	Mail .....	29
7.5	Personal Messages.....	29
7.6	Office Space for Students.....	29
8	SUPPORT SERVICES INFORMATION .....	29

APPENDIX

Qualifying Exam Guidelines .....	A01
Qualifying Exam Timeline .....	A02
Dissertation Supervisory Committee Worksheet.....	A03
Basic Dissertation Outline and MAP Guidelines.....	A04
Suggested Guidelines for Oral Defense.....	A05
PhD Dissertation Approval and Presentation Scheduling Form.....	A06
Contract for Independent Study.....	A07

## College of Social Work Ph.D. Program Policies and Procedures Handbook

**1 THE PROGRAM:** The Doctor of Philosophy (Ph.D.) Degree is awarded for high achievement in an advanced specialized field of study. It requires competence in independent research and an in-depth understanding of related subjects. The degree is not awarded simply for the fulfillment of residence requirements and the accumulation of credits. Doctoral studies in social work at the University of Utah are grounded in empirical research and focus on the preparation of research scholars for academic or professional leadership whose potential for influence is in the wider society and the global community. The program emphasizes theory and skill development for applications in research, teaching, policy, and practice. The principal goal of the doctoral program is to prepare students to contribute to the development and dissemination of knowledge in the field of social welfare and the profession of social work.

**1.1 Goals and Objectives:** Faculty at the College of Social Work share the principal goal of the Ph.D. Program. The Ph.D. Program seeks to achieve the following goals:

- To provide students with applied knowledge and analytical skills to address major policy and practice issues, challenges and trends in social work and social welfare.
- To prepare students for leadership roles: analyzing, evaluating, and guiding practice and policy for a variety of social work fields and populations.
- To equip students to contribute to the development and dissemination of research informed practice and practice informed research using traditional and emerging methods.
- To prepare students for academic roles including the development and delivery of courses, curricula, and programs.

### 1.2 Flexible Delivery Options

- 1.2.1 Campus Full-Time and Part-Time: Campus-based students can enroll on a full-time or part-time basis. This enables students to maintain work roles in the community. Those interested in part-time study should discuss their plans with the program staff.
- 1.2.2 Distance Delivered Doctorate: This program is offered as a synchronously delivered PhD program that requires distance students to be on campus for the first week of fall semester in the first two years of the program. Please note that this is not an “online” program; distance students attend classes remotely at the same time as on-campus classroom-based students and thus will receive the same content and interaction opportunities with students and faculty as on-campus students. Research opportunities and financial support will be equally available to admitted on-campus and distance doctoral students. Admissions requirements are the same for on-campus and distance students. Please visit our admission page for detailed application procedures and requirements.

### 1.3 Financial Aid for Ph.D. Students

- 1.3.1 College Financial Aid: The College of Social Work procedures follow the guidelines of the University of Utah Financial Aid and Scholarships Office. There are scholarships and fellowships available through the College. We encourage all of our Ph.D. students to apply for these awards. Please note the annual **application deadline is March 30<sup>th</sup>** for scholarships and awards. Our website <https://socialwork.utah.edu/financial-aid-scholarships/index.php> provides additional information about financial aid procedures and specific funding sources.
- 1.3.2 Free Application for Federal Student Aid (FAFSA): Students interested in loans and work-study opportunities must submit the Free Application for Federal Student Aid (FAFSA) in order to determine need by the **deadline of June 30<sup>th</sup>**. The form must be submitted to the



University Financial Aid Office before ANY funds based on need will be awarded. Tax information is required for the FAFSA form. Forms and procedures can be obtained from the University of Utah Financial Aid and Scholarships Office, 105 Student Services Building, Salt Lake City, Utah 84112, 801-581-6211, or on-line at <https://studentaid.gov/h/apply-for-aid/fafsa>.

- 1.3.3 Outside Sources of Financial Aid: Students are urged to investigate all means of financial support and may find it useful to consult the reference librarian at a public library for assistance in locating fellowship, scholarship, and grant directories. Please note that the FAFSA form will be required for most sources of financial aid.
- 1.3.4 Outside Scholarship Funds: Funds are available from various granting agencies and private donations and include social work scholarships as well as federal, state, private, and Social Research Institute internships. The number of grants varies from year to year. Please be aware that receipt of any loans, scholarships or stipends through the College of Social Work may affect other loans or grants you have obtained through the Financial Aid Office of the University. Financial aid is **NOT** available for international students through government loans or stipends. The College does not maintain a special international student fund but international students are eligible for all scholarships offered by the department (See *PhD Funding Sources* at <https://socialwork.utah.edu/phd/funding-sources/index.php/>).
- 1.3.5 College Financial Aid Contact Information: Please contact the Social Work Scholarship Committee at 801-587-8387 for additional information regarding financial aid.

**1.4 Tuition Benefit Program (TBP):** The College of Social Work has a limited number of research assistantships that allow a student to qualify for tuition waivers to help finance doctoral studies. Students who have full-time employment (30+ hrs per week), on or off campus, are only eligible for part time assistantships (10 hrs/week or fewer). (The University of Utah Graduate School Handbook details the TBP in more detail: <http://gradschool.utah.edu/tbp/wp-content/uploads/2015/08/Tuition-Benefit-Program-GuidelinesAug2015.pdf>)

- 1.4.1 Categories: Students must be in one of four categories: Teaching Assistant (TA), Research Assistant (RA), Graduate Traineeship (TR), or Graduate Fellow (GF) to qualify for participation in the TBP. Social Work Ph.D. students who are employed by the University in non-benefit positions and who are primary course instructors can be classified as TA's to receive the graduate tuition benefit.
- 1.4.2 Requirements: Students receiving a tuition benefit from the University of Utah must be matriculated graduate students in good standing. The TBA is valid only during the academic year (fall and spring). Students must be enrolled full-time, as defined by the Office of the Registrar. Tuition benefits will cover up to 30 graduate credits each academic year (maximum of 12 credits fall, 12 credits spring, and 6 credits summer)
- 1.4.3 Financial Support: All students receiving the tuition benefit must meet minimum financial support requirements through the University of Utah for each semester that the benefit is received. Please contact the Social Work Finance Committee, 801-581-7173, for the tuition benefit minimum support levels for each academic year.
- 1.4.4 Responsibilities: Students receiving tuition benefits are expected to fulfill the responsibilities appropriate to their assignment. No student will be required to work more than 20 hours per week (.50 FTE) in order to receive the benefit. **Failure to fulfill the hours and expectations may result in termination of the assistantship and repayment of the assistantship wages and tuition fees.**

#### 1.4.5 Residency

- 1.4.5.1 Students receiving a tuition benefit will have the nonresident portion of their tuition waived by the University President according to Utah law and Regents' policy. The tuition benefit will then cover the remaining in-state tuition at the 100% ). Out-of-state, non-international graduate students who receive a tuition benefit **must apply for Utah residency** at the end of their first year of study if they meet residency requirements. A copy of that application should be sent to The Graduate School. However, a graduate student's ability to establish residency will not affect receipt of a tuition benefit. Please visit <https://regulations.utah.edu/academics/6-403.php> .
- 1.4.5.2 Effective May 6, 2002, the Utah Legislature revised the law that governs residency for tuition purposes. The law now requires students to complete 60 semester credit hours at a regionally accredited Utah school, have ties in Utah, and have intent to make Utah their permanent residence. Residency is no longer based on being physically present in Utah for twelve (12) continuous months. Section 4.1.2 of the residency policy R512 states that graduate level courses (starting at the 6000 level) will be multiplied by 1.5 in calculating the sixty (60) hours requirement, so graduate students will accumulate the 60 hours more quickly than undergraduate students. Graduate students on temporary visas (such as the F-1 student visa) cannot apply for residency.

#### 1.4.6 Restrictions

- 1.4.6.1 A tuition benefit will not be provided to students compensated for their work from organizations other than the University of Utah.
- 1.4.6.2 Students with an M.S.W. may receive up to three years (or six semesters) of tuition benefit support. In cases where a student enters with an out-of-subject master's degree or where the College of Social Work believes the student requires additional preparation, the student may receive up to five years (10 semesters) of tuition benefit, provided that during the first year of a student's program, the Ph.D. Program Director sends a petition to and it is approved by the Dean of The Graduate School. These restrictions do not limit the number of years or semesters the College of Social Work may choose to support a student in addition to the tuition benefit program. Established time limits for the completion of the Social Work Ph.D. Program still apply.
- 1.4.6.3 Students in HOURLY (no benefits) positions receiving payment from federal grant funds are not eligible for graduate tuition benefits.
- 1.4.6.4 Any student who is employed by the University above .74 FTE or is in a position with benefits is not eligible for graduate tuition benefits.
- 1.4.7 Administration of the TBP: The Graduate School administers the Graduate Tuition Benefit Program. Verification of a student's eligibility is determined by the College of Social Work. **It is the student's responsibility to notify the Social Work Payroll Reporter at the beginning of each semester if participation in the TBP is requested.**
- 1.4.7.1 Employed students should be exempt and not hourly.
- 1.4.7.2 Students on stipends and/or receiving awards should receive prorated monthly payments, not a one-time semester payment.
- 1.4.7.3 Each semester a PAN form (Personnel Action Notification) should be submitted to the Payroll Reporter to show the time frame and the amount to be earned during the semester for students serving as a TA, RA, or GF. If the student is employed as a

TA, RA, or GF on campus but outside the College of Social Work, the PAN form can be faxed to the Social Work Payroll Reporter at 801-581-6632.

1.4.7.4 Students are not eligible to receive a tuition benefit for a semester after it has ended. No retroactive benefits are awarded.

1.4.7.5 At the end of a semester when a graduate student received a tuition benefit but in any way did not meet all requirements or restrictions associated with the above outlined TBP, the tuition benefit will be revoked and the student will be billed for tuition at the full relevant rate for that semester.

**1.5 University Tuition Reduction:** Students employed at the University and receiving benefits or serving as instructors with an FTE of .50 or above are eligible for a 50% tuition reduction the semester in which they teach. This tuition reduction is also available for some family members of eligible students. Students wishing to apply for this benefit should set up the tuition benefits form found on-line <https://benefits.utah.edu/tuition-reduction/> before the beginning of the semester. This form is processed by HR and supported by the Benefits Office, not by the College of Social Work. Any student in a staff position with benefits and an FTE of .75 or higher is eligible for the University tuition reduction but not for The Graduate School Tuition Benefit. Students with a current position within our department may not qualify for either of these reductions due to current position title and FTE. Please review the Tuition Reduction Guidelines.

## 2 ADMISSIONS AND PROGRAM REQUIREMENTS

### 2.1 Admission Requirements

2.1.1 M.S.W. as a Prerequisite Degree: A master's degree in social work from a school accredited by the Council on Social Work Education (CSWE) is required. The PhD Admissions Committee may make exceptions for those with Master's degrees in related areas or disciplines. **Please note that academic positions in Social Work in the U.S. usually require the MSW and two years post-MSW practice experience.**

2.1.2 Exceptions to the M.S.W. Prerequisite: In exceptional circumstances, a student without an M.S.W. may be admitted. However, compensatory M.S.W. level work may be required.

2.1.2.1 Admission decisions will be made by the Ph.D. Admissions Committee, subject to review by the M.S.W. Director.

2.1.2.2 Upon entrance to the Ph.D. Program, the student will meet with the Ph.D. Program Director to discuss a program of study which may include plans for completing the M.S.W. requirements for a separate M.S.W. degree. As a general rule, any M.S.W. requirements outlined will be completed before the student begins work on the Ph.D. requirements.

2.1.2.3 There are two important considerations if the program of study includes completing both the M.S.W. and the Ph.D. requirements.

(1) Full-time employment is strongly discouraged during the initial four years of study as the program is very rigorous.

(2) Under CSWE standards, faculty who teach social work practice courses must have a MSW from a CSWE-accredited program and at least two years of social work practice experience.

2.1.2.4 The Ph.D. and M.S.W. Program Directors will supervise the student's completion of the M.S.W. and Ph.D. requirements if the program of study involves obtaining an M.S.W. degree from the College.

- 2.1.3 International Degrees: The Ph.D. Admissions Committee will recognize international social work MA/MS degrees as equivalent to master's degrees from USA schools of social work. Foreign degrees will be accepted provided the applicant has clear plans to return to the nation of origin rather than attempt to teach or practice in the U.S., in which case an M.S.W. (or equivalent) from a CSWE accredited school is required. This and all future references to degrees from social work programs accredited by CSWE, include degrees from CSWE-accredited programs or recognized through CSWE's International Social Work Degree Recognition and Evaluation Service, or covered under a memorandum of understanding with international social work accreditors.

## 2.2 Other Admission Requirements

### 2.2.1 Application Materials

- 2.2.1.1 GPA. Evidence of superior academic achievement in undergraduate and graduate education (at least 3.0 GPA in each).
- 2.2.1.2 A minimum of two years social work or related experience is recommended. This experience should demonstrate professional competence, ability to undertake advanced study, and potential for leadership. Some students without the minimum experience may be admitted in exceptional circumstances; these students will be encouraged to obtain practice experience during their Ph.D. studies.
- 2.2.1.3 The GRE is not a required component of the application for admission.
- 2.2.1.4 The Graduate School requires a Test of English as a Foreign Language (TOEFL) for international applicants whose primary language is not English. Scores must be from a TOEFL taken within the last two (2) years prior to the student's admission date. **The College of Social Work, due to the intensive need for excellent communication skills, requires a minimum score of 100 IBT or 600 PBT, or an IELTS score of 7.0 to 7.5.** Use the school code 4853 for the TOEFL. (Visit <http://www.ets.org/toefl> for more information on TOEFL)
- 2.2.1.5 A personal virtual interview is required.
- 2.2.1.6 Three letters of reference are required; applicants are strongly encouraged to select individuals who can submit letters that document their research and writing abilities.
- 2.2.1.7 A sample of writing is required in the form of a published article, a manuscript that is being submitted for publication, a report that has been completed in connection with a research interest, or a paper that has been prepared specifically for admission.
- 2.2.1.8 A personal Statement of Purpose is required describing professional interests and career aspirations, reasons to receive advanced research training in social work, major areas of interest in research or social work practice, practice experience in social work, plans regarding financing a Ph.D. program, and post-Ph.D. plans.

- 2.2.2 Application Deadline: Applications for admission to the campus program must be received by the application deadline of the year the applicant intends to enroll. Newly admitted campus students begin classes during the fall semester. Applications submitted after the deadline may be considered as space permits. This deadline may change from year to year and should be verified with the Ph.D. Office.

- 2.2.3 Admissions Decisions: Admission decisions will be made by the Ph.D. Admissions Committee, all admissions decisions are final.
- 2.3 Reactivation of Application:** After a year's absence from the Ph.D. Program (for whatever reason), a student must reapply for admission to both The Graduate School of the University of Utah and the Social Work Ph.D. Program. Transcripts of graduate credit from other schools, if completed during the interim, should be included with the re-application. (Also see *Leave of Absence Policy* in Section 5.5.2).
- 2.4 Requirements for the Ph.D. Degree:** Admission policies and the studies required for the Social Work Ph.D. degree must conform to University graduate standards and practices.
- 2.4.1 Credit Hours: The Social Work Ph.D. degree requires a minimum of 39 credit hours of coursework and 14 credits of dissertation research beyond those credit hours required for the master's degree. Most students should plan to enroll for additional credits beyond the minimum. (See Section 2.5 Curriculum Overview).
- 2.4.2 Qualifying Examination (QE) and Admission to Candidacy
- 2.4.2.1 Admission to Candidacy is achieved by successful completion of all required course work and satisfactory performance on the Qualifying Exam (see Section 2.4.1). The Ph.D. Committee will establish the requirements for the qualifying examination which may include but not be limited to a written comprehensive examination. *See QE guidelines for greater detail.*
- 2.4.2.2 After completion of the qualifying examination, the Ph.D. candidate must successfully defend a dissertation proposal. At a minimum, in the proposal, the student presents prospective research, including a critical review of relevant professional literature and use of theory, and a detailed description of the proposed methodology. **The proposal defense is done orally, before an approved thesis supervisory committee no sooner than two months after the successful completion of the Qualifying Exam.**
- 2.4.3 Dissertation: The Social Work Ph.D. Degree requires the completion of a dissertation (including 14 hours registration for dissertation research) and the successful dissertation defense (including the defense of a dissertation proposal presented prior to the student's formal defense and separate from the Qualifying Exam procedures). There are two dissertation formats available in the College of Social Work: the traditional (book) format and the Multiple Article Path (MAP); *please see the Dissertation Guidelines for greater detail.*
- 2.4.3.1 **The complete dissertation is orally defended no sooner than four months after the oral defense of the proposal.** If a student submits a completed dissertation document to the supervisory chair and committee members, **and** they approve the document for oral defense in fewer than four months since the defense of the proposal, the chair may submit a written request to the Program Director for a waiver of policy to schedule the oral defense. This request may only be made after the dissertation is completed (**including all requested revisions**) and approved in writing by the full committee. The written request must be sent to the Program Director and Program Coordinator for consideration and vote by the full Ph.D. Committee.
- 2.4.4 Graduate Studies

- 2.4.4.1 The program requires at least two years of full-time graduate study beyond the master's degree, of which at least two consecutive semesters of full-time study (9 hours per semester) must be taken in residence.
- 2.4.4.2 All coursework toward the degree should be completed within three years. Extension of this requirement must be approved by the Ph.D. Committee.
- 2.4.4.3 All work toward the degree should be completed within **six years of admission** to the Ph.D. Program. Extension of this requirement must be approved by the dissertation chair, PhD Program Director, and Ph.D. Committee. An extension may only be granted under extraordinary circumstances. Only a single extension will be allowed.
- 2.4.4.4 Students may be required to repeat or take additional coursework if degree completion is expected to take more than 6 years. The PhD Program Director, in consultation with the dissertation chair, will determine the necessity and areas of deficit.

#### 2.4.5 Student Behavior

- 2.4.5.1 Social Work Ph.D. students are expected to conform to the University of Utah Code of Student Rights and Responsibilities see <http://regulations.utah.edu/academics/6-400.php> and to the National Association of Social Workers Code of Ethics see <https://www.socialworkers.org/About/Ethics/Code-of-Ethics/Code-of-Ethics-English>.
- 2.4.5.2 Plagiarism and other forms of cheating are unacceptable in the Ph.D. program and may be considered grounds for course failure, academic probation, suspension, or dismissal from the program. Cases of plagiarism or suspected plagiarism will be initially handled by the student and the instructor of the course. Subsequent actions may include notification of the Ph.D. Program Director, College of Social Work Associate Dean, or College of Social Work Dean. [Policy 6-400: Code of Student Rights and Responsibilities \(“Student Code”\)](#). It is expected that students adhere to University of Utah policies regarding academic honesty, including but not limited to refraining from cheating, plagiarizing, misrepresenting one's work, and/or inappropriately collaborating. This includes the use of generative **artificial intelligence (AI) tools** without citation, documentation, or authorization. Students are expected to adhere to the prescribed professional and ethical standards of the profession/discipline for which they are preparing. Any student who engages in academic dishonesty or who violates the professional and ethical standards for their profession/discipline may be subject to academic sanctions as per the University of Utah's Student Code: <https://regulations.utah.edu/academics/6-410.php>.
- 2.4.5.2 Ignorance of the conventions of reference citation is not considered an acceptable excuse for plagiarism.

#### 2.4.6 Family Leave Policy

Students who are expecting to be or become parents during their doctoral program have options available to them, such as continuing full-time, moving to a part-time program, or taking a leave of absence. Such students are encouraged to meet with the Ph.D. Director as soon as possible to explore their options.

Students who are expecting to be or become parents during the Ph.D. program may apply for a leave of absence for one or two semesters (up to one year). This applies

to parents who are expecting or have a newborn or a newly adopted child. Students who request a leave of absence should meet with the Ph.D. Director prior to the approval of the leave in order to plan their modified program of study. Please keep in mind that missing one semester or a year may significantly delay progress in the program and graduation dates. Students should refer to the Leave of Absence policy in the Ph.D. Handbook for guidelines regarding leave.

Students who are expecting to become parents or who are pregnant during their programs of study are encouraged to meet as soon as possible with the Ph.D. Program Director to explore their options and develop an academic plan. This is particularly urgent if the student finds it necessary to miss four or more sessions of any class in a semester. Students who experience a medical condition associated with their pregnancy and need accommodations recommended by their medical provider should contact the University's Title IX Coordinator, who will work with the student, cognizant faculty, and administration to determine what accommodations are reasonable and effective. Contact: Krista L. Pickens, Director, OEO/AA; Park Building Room. 135; Telephone: (801)581-8365; [krista.pickens@utah.edu](mailto:krista.pickens@utah.edu). Pregnant students and students who are breast-feeding should be aware that there are some resources to support them in the College, such as students' ability to access the lactation room for rest or breast-feed. Please see [www.childcare.utah.edu](http://www.childcare.utah.edu) for additional campus resources.

#### 2.4.7 Children of CSW Students on Campus

Students in the College of Social Work are expected to attend classes without children, family members or other individuals not enrolled in the courses and/or the program. Children are welcome to visit the College of Social Work when parents/guardians are able to provide direct supervision of their children and ensure that others are not disturbed or disrupted.

We acknowledge that emergencies and other situations may occur that are difficult to control; however, students who are parents are strongly encouraged to plan for events, illnesses, or other absences from school by making prior arrangements for children's supervision in appropriate settings. If students need to bring an infant (six months or younger) to classes in the College of Social Work, students must notify each instructor of the circumstances ahead of time and request permission to bring the child into class. The decision to allow infants in class is at the discretion of individual instructors. Please recognize that the content of social work classes may be inappropriate for infants or young children. If children are older and they are present outside the classroom in the College of Social Work, it is the parent's responsibility to supervise them appropriately; other students, staff, and faculty are not responsible for the safety of others' children. Please give priority to the learning environment at the College of Social Work to minimize distractions. While there is no day care service available within the College of Social Work, there are services available on campus for students: please see [www.childcare.utah.edu](http://www.childcare.utah.edu).

#### 2.4.8 Leave of Absence Policy

Officially admitted domestic graduate students who have registered for and completed university credit class(es) may request a leave of absence to postpone their studies for up to one (1) year. Students who wish to discontinue their studies for one or more semesters (other than summer term) for up to one year, must complete a Request for Leave of Absence Form. The request must be approved by the student's supervisory committee Chair and the Director of Doctoral Studies. A written request for a leave of absence should include the following: (1) reason for

request; (2) Period of absence requested; (3) academic work completed and (4) a proposed plan for completion of additional work required for graduation. Approved Leave of Absence Request forms must be submitted to the Registrar's Office on or before the last day of regular semester.

International Students on a F1 or J1 visa taking a vacation semester or a medically necessary reduced course load of zero (0) credits must obtain permission from the International Student & Scholar Services prior to submitting a Leave of Absence. Vacation Semesters for international students will only be approved for one semester. Medically necessary reduced course loads are approved for one semester at a time, and may be extended through the International Student & Scholar Services for an additional semester to a maximum of three (3) semesters (one (1) academic year).

**2.5 Curriculum Overview:** A minimum of 53 Ph.D. hours are required consisting of required Social Work credit hours, elective coursework and a minimum of 14 dissertation research hours. Elective credit hours may be taken within the College of Social Work or from other academic units at the University of Utah. Electives need to be approved, at a minimum, with the Ph. Director, in consultation with a students' primary advisor. Students wishing to take courses numbered 6000 – 6999 must receive approval from the PhD Program Director before enrolling and must be directly relevant to the student's area of study. If approved, additional work may be required. Courses numbered from 001 – 5999 may not be used to fulfil the requirements of the PhD. Please note that the following course numbers and descriptions are subject to change.

### **2.5.1 Core Required Courses**

#### 7111 Quantitative Research: Theory and Design (3 credits)

Prerequisite: Admission to the College of Social Work Ph.D. Program

This course emphasizes quantitative approaches to social inquiry and provides an overview of the principles, theories, and design of the research process. It includes measurement levels, sampling, reliability, and validity of quantitative methods through application of experimental and survey methods in social research enabling students to critically evaluate and conduct current social work research within a specific area of interest.

#### 7113 Knowledge for Social Work Practice: Systematic Reviews (3 credits)

Prerequisite: SW 7111, SW 7211, SW 7221 and SW 7512 (or equivalents by permission of instructor)

This advanced research methods course will cover question formulation, retrieval of published and gray literature studies, appraisal of risk of bias in included studies, and data extraction. The course will provide an overview of strategies to summarize findings from these systematic reviews, including descriptions of included studies and discussion of risks of bias within and across included studies. The course will also introduce students to meta-analysis.

#### 7121, 7122 and 7123 Scholarly Writing Workshops (1 credit)

Prerequisite: Admission to the College of Social Work Ph.D. Program

This series of three one-credit courses that prepares doctoral students to advance the knowledge base of social work through well-written, well-reasoned scholarly publications. While the specific content of the courses varies, all three provide content and experiences designed to enable students to establish and maintain a productive writing practice and to participate in the academic discourse as an author and reviewer of journal articles.

#### 7130 Epistemological and Theoretical Perspectives for Social Work Research (3 Credits)

Prerequisite: Admission to the College of Social Work Ph.D. Program

This doctoral seminar focuses on the philosophical foundations of knowledge building with a particular emphasis on social science and social work research. The course will introduce students to major perspectives concerning ontology, epistemology, and theory for research



and knowledge building in social work within social and historical context. We will explore questions such as: What is knowledge? How is knowledge acquired and justified in social research? And how and why do we come to know what we know? The course will challenge students to question some of the assumptions that social science researchers hold about reality, truth, and knowledge building. In addition, students will be encouraged to examine their own epistemology and consider course content in relationship to their areas of interest and future scholarship within the field of social work.

#### 7140 SW Education: Teaching and Pedagogy (3credits)

Prerequisite: Admission to the College of Social Work Ph.D. Program

The purpose of this course is to assist students in developing a beginning philosophy and a framework for teaching and to learn teaching skills and strategies. The course is designed to provide opportunities for developing knowledge, skills, and frameworks that can increase teaching effectiveness. This required course enables doctoral students to become familiar with social work education and its impact on the future development of the social work profession. While the emphasis is on teaching in social work education programs, the content will be relevant to other roles including those of community educator, workshop facilitator, and supervisor.

#### 7211 Statistics I: Introduction to Analysis (3 credits)

Prerequisite: Admission to the College of Social Work Ph.D. Program

This first course in the year-long statistics sequence provides students with theoretical and practical understanding of the logic and application of basic methods of statistical analyses. Emphasis is on the rationale and interpretation of statistical methods used for univariate, bivariate, and multivariate data analysis. Students will learn how to choose the most appropriate statistical procedures and significance tests for detecting important differences or relationships among groups (samples), while considering the variations among group participants. The course includes evaluation of the characteristics of data, descriptive and correlation statistical analyses, hypotheses testing using inferential statistics, parametric and non-parametric approaches to hypotheses testing for single and multiple samples and data sets. This course uses the SPSS for Windows computerized statistical package for data processing and analysis.

#### 7221 Statistics II: Multivariate Analysis (3 credits)

Prerequisite: SW 7211 (or equivalent)

This second course in the year-long statistics sequence provides students with theoretical and practical understanding of the logic and application of selected statistical advanced multivariate statistical procedures. Students will learn how to choose the most appropriate multivariate procedures for detecting important differences and predictors using multiple regression, logistic regression, factor analysis, multivariate analysis of variance and repeated measures analysis of variance. The course uses the SPSS for Windows computerized statistical package for data processing and analysis.

#### 7231 Secondary Data Analysis (3 credits)

Prerequisite: SW 7211 (or equivalent)

This course introduces students to methods for finding, transferring and processing existing data sources. Students will learn the empirical methods and procedural and evaluative components of secondary data analysis. The course will explore the conceptual and practical issues related to conducting secondary analyses with existing data. This course emphasizes practical approaches to pre-statistical data processing and analysis with statistical software. The overarching goal of this course is to train students to answer important research questions using secondary data sets. While the course will focus on quantitative data, it will also address issues, ethical considerations, and methods for secondary analysis of qualitative data sets.

#### 7512 Qualitative Research: Methods for Social Inquiry (3 credits)

Prerequisites: SW 7111, SW 7211, and SW 7221

This first of two courses will explore the philosophical questions and research paradigms shaping qualitative methods of social inquiry. Various paradigms will be examined, such as Constructivism, Critical Theory, and participatory frameworks, as well as different methodological strategies and approaches. Completion of the field research project will entail data collection, analysis, writing, and presentation of findings.

7520 Variable Topics in Advanced Research and Grantwriting (3 credits)

Prerequisite: One year of Graduate Statistic courses required. Admission to the College of Social Work Ph.D. Program or instructor's permission required.

This course focuses on deepening students' research skills with respect to developing funded research proposals. Students will develop a conceptual framework or logic model that explicates the biopsychosocial mechanisms and social-environmental factors involved in a specific need, problem, or condition to be studied. Students will learn to develop conceptual frameworks and select research methods appropriate to addressing their research aims, including identification of appropriate research designs and analytic strategies. During the course, students will develop an exploratory/developmental research grant (such as NIH R21) proposal. Each section of this course may have a variable focus, i.e. intervention research, secondary data analysis.

7530 Statistics III: Structural Equation Modeling

Prerequisite: SW 7113, 7221, AND 7510 AND Admission to the CSW Ph.D. Program) OR Instructor Consent.

This course explores Structural Equation Modeling procedures. Structural Equation Modeling (SEM) is a general class of multivariate modeling techniques that allows the estimation of relationships between latent (unobserved) variables. This course assumes no prior experience with Structural Equation Modeling and is intended as both a theoretical and practical introduction. Topics covered in the course will include path analysis with measured variables, confirmatory factor analysis, structural equation models with latent variables, and an introduction to more advanced models. Students will develop hands-on practice experience and will have the opportunity to work on projects tailored to their research interests and needs. The course is built around the MPlus statistical software; students may use other software at their discretion but no programming support will be provided.

7970 Dissertation Research (1-12 credits allowed per semester)

Prerequisite: Advancement to Candidacy, or QE exam proposal approved by committee; permission code required.

This course is provided for the student's thesis research. **At least fourteen hours of dissertation research are required for the Ph.D. degree.**

## 2.5.2 CSW Elective Courses

Electives may be taken in the College of Social Work at the 7000 level, or from other academic units at the University of Utah. Electives should be approved by the student's advisor or the Ph.D. Program Director prior to enrollment. In most cases, the elective hours should be taken prior to advancement to candidacy; however, some elective hours can be taken after the qualifying examination with approval from the Ph.D. Program Director. Additional elective course may become available, and some of the electives listed below may not be offered each year.

7523 Using Mixed Methods in Social Work Research (3credits)

Prerequisite: SW 7111, SW 7211, SW 7221 and SW 7512

This course focuses on the use of mixed methods-quantitative and qualitative- to address complex research questions in social work. Problems of trying to merge methods and practical strategies for accomplishing this successfully, as well as paradigmatic issues, will be discussed. Students will use prior products developed in their quantitative and qualitative

methods courses to devise a mixed method proposal that integrates readings on mixed methods with their own research interests

7900 Independent Study (1-3 credits allowed per semester)

This course provides the opportunity for individual study arranged with an instructor who agrees to supervise the student's independent work. Student and faculty must develop a syllabus with readings, assignments and learning outcomes prior to registration. Please contact the PhD program advisor for the Independent Study contract. This option requires approval from the PhD Program Director to register.

7980 Research Consultation (1-3 credits allowed per semester)

Once a student has been advanced to candidacy, the student may request individual consultation to be arranged with an instructor.

7990 Continuing Registration (0 credits)

This course allows students advanced to candidacy and not using University facilities or consulting with faculty to keep their registration current. **Students are allowed to register for this course a maximum of four semesters and need permission from the PhD Director to take this course according to Graduate School Policy. Requires approval from the Dissertation Committee Chair or from the PhD Program Director.** Please contact the PhD program advisor for the Continuing Registration contract.

## 2.6 Transfer Credit

### 2.6.1 Allowable Credit

2.6.1.1 Up to six semester hours or 13 quarter hours of graduate credit may be transferred from other institutions if those credits have not been used toward another graduate degree; the PhD Director will review course syllabi prior to making a decision to accept transfer credit. To qualify towards fulfillment of the Ph.D. degree in social work, transfer credit must be relevant to social work doctoral education, completed at the graduate level within the last five years, and have received at least a "B" grade.

2.6.1.2 Non-matriculated credit that can be applied toward a graduate degree is limited to nine (9) semester hours and must be completed within the last three years.

2.6.2 Approval for Credit: Transfer work from other institutions must be pre-approved by the Ph.D. Director and conform to University policy guidelines and requirements. In general, a written request should be submitted describing the course content along with a course syllabus and a transcript showing the grade received.

2.6.3 Transfer Credit Restrictions: The last full year of work must be taken at the University of Utah and transfer credits during this year will not be accepted. Correspondence, continuing education, or home study courses are not eligible for graduate credit.

## 3 PH.D. PROGRAM PROCEDURES

**3.1 The Ph.D. Committee:** The Ph.D. Committee has responsibility for the direction of the Ph.D. Program. The Committee consists of the Ph.D. Program Director, as appointed by the Social Work Dean, and members of the faculty appointed by the Dean in consultation with the Director. The Committee also has responsibility for admitting Ph.D. students, supervising the Ph.D. curriculum, administering Qualifying Examinations, and in general, implementing the policies and procedures of the Ph.D. Program. In addition, each year Ph.D. student representatives are asked to participate as non-voting members of the Committee.

**3.2 Student Advising:** Academic advising of social work doctoral students is an important function and serves different objectives during the student's progress throughout the Ph.D. Program. In general, the advising function consists of supervision of the student's course of study, assistance with obtaining financial aid, employment, and research opportunities, and mentoring as the student adapts to the role of social work scholar.

3.2.1 Program Phases: The Ph.D. Program can be divided into three phases.

(1) The first phase consists of core required course work, including elective courses. For full-time students, these courses are usually taken in the first two years of the Ph.D. Program.

(2) The second phase or Pre-Candidacy applies to the remainder of the core courses through successful completion of the Qualifying Examination (QE) and may include all the required electives.

(3) Candidacy is the third phase, which continues through completion of the dissertation requirements. A student may complete additional electives during this phase. As academic advising functions differ, it is possible that a student will have a different advisor during each phase. The procedures for selection and advisor functions during each phase follows.

3.2.2 Student Academic Advisor and Faculty Mentors: Faculty mentors are assigned by the Ph.D. Program Director in consultation with individual faculty at the time of admission and their most important functions include academic support during the course of study and guidance in developing research and writing skills. Because knowledge of the Ph.D. Program procedures is critical to these advising functions faculty mentors should be familiar with the Ph.D. Program requirements including the dissertation process.

3.2.3 Formation of the Qualifying Examination (QE) Committee: Each student will form a QE Committee comprised of three tenure-line faculty members from the College of Social Work; exceptions must be approved by the student's advisor, PhD Program Director, and PhD Program Committee. QE Committee chairs should be a tenured faculty member in the College of Social Work. **Students are strongly encouraged to consult with the Ph.D. Director prior to establishing their committee.** The student will invite one faculty member to chair his or her committee and will consult with the Chair regarding identification and selection of the additional two members. Normally, QE committee members may eventually serve on the student's dissertation committee. Thus, committee members should have substantive and/or methodological expertise to support the student's inquiry. The Ph.D. committee will review and approve each student's QE Committee. Students must remove Incomplete grades from all required courses prior to proposing the Qualifying Exam.

3.2.4 Dissertation Chair

3.2.4.1 After the successful completion of the Qualifying Examination (which signals entry to Candidacy), the student selects a Dissertation Chair, subject to approval by the Ph.D. Committee. The Chair must be a CSW faculty member who has previously served as a thesis committee member in which the dissertation was successfully defended at the University of Utah. Additionally, the dissertation chair must have a >.5 FTE appointment in the College of Social Work. The dissertation chair should be a tenured faculty member in the College of Social Work. This Chair may not always be the same as the Pre-Candidacy Advisor or the QE Committee Chair. Please note that the QE Committee and the Dissertation committee are separate entities, regardless of overlap in membership. The QE Committee does not have oversight for or authority to approve the dissertation proposal or research.

3.2.4.2 This Chair serves as the Supervisory Committee Chair and assists the student in development of a proposal and selection of the rest of the Committee members. **The committee selection should take place the semester immediately following**

**the successful completion of the qualifying exam.** These functions are defined more clearly in [A Handbook for Theses and Dissertations](http://gradschool.utah.edu/thesis/handbook) available on the Thesis Office website <http://gradschool.utah.edu/thesis/handbook>. The Dissertation Chair is responsible for monitoring and facilitation of timely student progress toward completion of degree requirements.

**3.3 Annual Student Reflection and Review:** The Ph.D. Program recognizes the importance of providing ongoing opportunities for students to receive feedback regarding their academic progress through the program. One mechanism for feedback will be provided through an annual Student Reflection and Review process at the end of each Spring semester. This review process provides students the opportunity to reflect upon the progress they have made in the program and articulate to the Program Committee how their current academic accomplishments will support their ongoing progress and achievement of goals in the program; a current proposed timeline toward completion is required. The reflection and review process will also allow faculty mentors and QE/Dissertation chairs an opportunity to update the Ph.D. Program Committee on each student's progress through the program. Faculty mentors and QE/Dissertation chairs are invited to attend the meeting in person or may provide written feedback. A summary of the faculty discussion of the review will be provided to students.

**3.4 Formal Student Review:** Failure to successfully progress through the program will result in a formal review by the Ph.D. Committee and may result in dismissal from the program. The basis for a recommendation of probation or dismissal may include, but is not limited to, one or more of the following:

- Failure to maintain a minimum GPA of 3.0 beyond one semester during the student's program of study.
- Failure to pass all required classes with a grade of B- or better. (Students admitted to the Ph.D. Program as non-matriculated students have one semester to achieve a 3.0 GPA. Any matriculated student who receives a final grade of "C+" or lower in any required course or has a GPA below 3.0.)
- A pattern of incomplete ("I") or unsatisfactory ("EU") grades (i.e., 2 or more "I" or "EU" grades during the student's program of study)
- A documented pattern of unsatisfactory performance in research and/or teaching assistantships
- Falling one year or more behind the expectations and timeline for completion agreed upon in the student's most recent annual review or action plan;
- Failure to complete the Qualifying Exam within 6 months from the date of exam approval;
- Failure to successfully defend a dissertation proposal by the fifth year in the program;
- Failure to defend the completed dissertation by the end of the sixth year;
- An inability to substantially improve quality of research, teaching, or other academic work after a year on probation;
- Violation of the University of Utah Academic Honor Policy or the National Association of Social Workers' Code of Ethics; and/or
- Exhibiting behaviors that are judged to hinder the student's performance as a professional social worker. Such behaviors might include violation of College and University policies, aggressive statements or acts, disruptive behavior, fraud, dishonesty, or any forms of harassment of other students, faculty, or staff.

#### **3.4.1. Procedures for Probation**

**Recommendation for Probation:** Students must maintain a cumulative grade point average (GPA) of 3.0 to qualify for graduation; additionally, students must pass all required classes with a grade of B- or better. Students admitted to the Ph.D. program as non-matriculated students have one semester to achieve a 3.0 GPA. Any matriculated student who receives a final grade of "C+" or lower in any required course or has a GPA below 3.0 will be placed on academic probation and will be required to meet with the Ph.D. Director to develop a plan for academic remediation. If the student does not make the required improvements, or does not maintain a 3.0 GPA for two semesters, the student will be referred to the Ph.D. Program Committee for formal review.

A recommendation for probation can be established by a majority vote of the PhD Committee voting members. When a student is placed on academic probation the student and the student's Faculty Mentor or Dissertation Chair have four weeks to prepare an action plan to overcome the deficiencies in the student's performance within one year of the decision. The action plan will be submitted to the Ph.D. Program Director for approval. If, in a subsequent annual performance review, the Faculty Mentor or Dissertation Chair determines that the student is not adequately meeting expectations of this action plan, the Faculty Mentor or Dissertation Chair should clearly document this in the written annual review form that will be reviewed by the Ph.D. Committee.

#### **3.4.2. Recommendation for Dismissal**

A recommendation of dismissal requires a unanimous vote of the Ph.D. Committee. The Ph.D. Program Director will inform the student, the student's Faculty Mentor or Dissertation Chair, and the Dean of the College of the recommendation. Students who wish to appeal a dismissal decision will have two weeks to respond in writing and/or in a meeting with the Ph.D. Committee and the student's Faculty Mentor or Dissertation Chair. If the student's Faculty Mentor or Dissertation Chair is not available, the student will meet with the Director of the Ph.D. Program and available members of the Ph.D. Committee. After considering the Ph.D. Committee recommendation, the student's response, and review of all information in the student's file, the Ph.D. Program Director shall (1) recommend dismissal of the student from the doctoral program to the Dean of the College or (2) retain the student in the program on a one-year probationary status according to Section 5.1. A decision to dismiss a student from the program, or other academic sanctions imposed by the Ph.D. Program Committee, may be appealed to the College of Social Work Associate Dean for Academic Affairs. Appeals of academic actions must follow the procedures in the University of Utah Student Code Section V: Student Academic Conduct (<http://regulations.utah.edu/academics/6-400.php>).

- 3.5 Registration:** Registrar's Office/Service Windows  
250 Student Services Building  
801-581-8968  
Web Address: <http://registrar.utah.edu>

#### 3.5.1 Registering for Classes

3.5.1.1 Students should register for their classes through the Campus Information Services (CIS) portion of the University web site at <http://www.utah.edu>. For questions, please contact the Registration division at 801-581-8969 or [registration@utah.edu](mailto:registration@utah.edu).

3.5.1.2 The Scheduling Office works in conjunction with the CSW Ph.D. program to post available classes on the website. This information is subject to change: students may want to obtain a list of required courses as well as the class schedule from the Ph.D. program each semester.

3.5.2 **Minimum Continuous Registration:** Students must maintain minimum registration of 1 credit hours each fall and spring semester from the time of formal admission through completion of all requirements unless granted an official leave of absence (see Section 5.5.2). Students not on campus or not using University facilities are not expected to register for summer term. Students should, however, maintain registration status during summer term if they are taking exams, orally defending the Qualifying Exam, the Dissertation Proposal or the completed dissertation.

- 3.6 Advancement to Candidacy:** Advancement to Candidacy requires completion of all required course work and successful completion of the Qualifying Examination (QE).

3.6.1 The QE is offered following completion of the Ph.D. core course work (36 credit hours).

- 3.6.1.1 The QE requires students to demonstrate integrative, evaluative, and critical thinking about theory, research evidence, and research methodology. The exam also offers students the opportunity to demonstrate that they have mastered the skills necessary to complete a dissertation.
- 3.6.1.2 The structure of the QE will be determined by the student's QE committee. See the *Qualifying Examination Guidelines* document.
- 3.6.1.3 Students will not be able to register the SW 7970 Dissertation Research course unless they receive the Qualifying Exam Proposal approval from all committee members. The Qualifying Exam Proposal Approval form must be completed and returned to the PhD Program office (SW #214) before permission code to register will be issued.  
Prior the Qualifying Exam approval, students will be required to take elective courses, or register for the Interdependent Study options.
- 3.6.2 Recommendation for Candidacy: When all requirements for candidacy are complete, the Program Assistant will notify Graduate Records that the Ph.D. Committee has recommended the student for Admission to Candidacy. The Graduate School will not officially admit the student to candidacy until the student has selected a dissertation committee (See 3.6.2 and Appendix *Dissertation Supervisory Committee Worksheet*). The Dissertation Supervisory Committee should be formed as soon as possible after a student passes the QE.

**3.7 Dissertation Policies and Procedures:** Once a student has advanced to candidacy, independent work should begin on the dissertation. A candidate's dissertation should present the results of scholarly research, give evidence of originality, and make a contribution to the social work field. The dissertation proposal must present only prospective research.

- 3.7.1 Registration during Dissertation Research: Candidates must maintain continuous registration in all semesters before the defense. Failure to register results in the University requiring a candidate to apply for readmission to The Graduate School.
  - 3.7.1.1 The PhD program requires a minimum of 14 hours of 7970, dissertation credit hours. In the case of a student who has completed 14 hours prior to the dissertation defense, only one credit hour would be required for enrollment in that semester. Any student defending before they have completed the minimum of 14 hours would be required to register for the remaining credit hours to reach 14 in the semester of defense.

**3.6.2 Dissertation Supervisory Committee - Personnel**

- 3.7.2.1 A supervisory committee is a critical component of each candidate's graduate dissertation study. This committee is responsible for approving the candidate's academic program, approving the thesis or dissertation subject and format (traditional or MAP), reading and approving the dissertation, and administering and judging the dissertation proposal, monitoring progress of the dissertation, reading and approving the dissertation defense.
- 3.7.2.2 The supervisory committee members provide vital feedback and direction to students; therefore, it is required that all committee members attend both the Proposal Review and the Dissertation Defense, either in person or via teleconference. If a member cannot be in attendance, either the presentation should be rescheduled, or the student should request a change in committee membership.

- 3.7.2.3 The Committee consists of five members. At least three members of the Committee must be regular (tenure-line) faculty from within the College of Social Work. At least one member (but no more than two) should be non-social work faculty outside the College; i.e., from other University of Utah departments or programs. All committee members should hold a research doctorate. In addition to tenure-line faculty, candidates may choose career- line faculty with U of U faculty appointments. (See Section 3.2.4 for additional comments regarding the Chair.) Exceptions to this policy are made at the discretion of the PhD Program Director.
- 3.7.2.4 All committee members must have at least one year of research experience following receipt of the doctoral degree. These individuals include, but are not limited to tenure-line faculty, postdoctoral researchers, and research scientists. Exceptions to this policy are made at the discretion of the PhD Program Director.
- 3.7.2.5 The student should request the appointment of a Dissertation Supervisory Committee as soon as possible following satisfactory completion of the Qualifying Examination. **After developing a preliminary dissertation proposal, the student should meet with the PhD program Director and prospective committee members and then submit the proposed committee for approval to the Ph.D. Committee.** Dissertation Committee members must initial the Worksheet to indicate their agreement to serve on the committee. This request should be in writing, addressed to the Ph.D. Program Director with a copy to the Ph.D. coordinator (see APPENDIX for the current *Dissertation Supervisory Committee Worksheet*). When a student's committee is nominated and approved, an Electronic Graduate Record File is established and actual approval is by The Graduate School. The PhD committee reserves the right to review and modify committee composition to insure adequate supervision in the production of a quality dissertation.
- 3.7.2.6 The Graduate School requires that curriculum vitae be on file in the Graduate School for supervisory committee members who are not members of the University of Utah faculty or who do not have tenured faculty status. The PhD Committee will approve supervisory committee members from other universities only in exceptional circumstances; the student must document the lack of necessary expertise on campus in a petition to the PhD Committee. With regard to the chairing of supervisory committees, the Graduate Bulletin states, "In special cases, faculty holding visiting or adjunct appointments may be chairs if recommended by the department and approved by the Dean of The Graduate School" (see The Graduate School Supervisory Committee policy here <http://regulations.utah.edu/academics/6-203.php>).
- 3.7.2.7 Changes to the Committee follow the same procedures.

### **3.7.3 Dissertation Proposal Review - Approval of Topic**

- 3.7.3.1 The Supervisory Committee approves the candidate's dissertation topic and plan at a "Dissertation Proposal Review." The Proposal is scheduled by the candidate and the candidate's Supervisory Committee Chair in coordination with the Ph.D. Program Coordinator and the other Committee members. The Proposal Defense will be scheduled after the student has received and addressed feedback from all committee members, and they have given written approval to move ahead with the defense. The student and Supervisory Committee Chair are responsible for ensuring that adequate time has been allowed to complete this review process prior to scheduling the defense. Students anticipating scheduling a defense in the second half of the semester must allow greater time for review, due to increased faculty obligations.



- 3.7.3.2 The Proposal Review will be open to other College students and faculty who must be notified of the Proposal Review **at least two weeks in advance**. A formal invitation will be sent from the Ph.D. Program Coordinator with the date, time, room number, and dissertation proposal title with enough advance notice to ensure that the 2-week deadline can be met.
- 3.7.3.3 The candidate is responsible for delivering all required documents to members of the Supervisory Committee. The chair and committee members must receive a revised and polished version of the dissertation proposal **at least four weeks before the proposal** presentation and the Ph.D. Director should receive a copy **at least two weeks in advance** of the proposal presentation. This review copy is a fully revised and polished version of the proposal, having been vetted previously by each of the committee members. “Fully revised” means that the student has received feedback from each committee member, has addressed the feedback, and the committee members have read and approved the revisions. “Polished” means that the document needs no more than very minor copyediting.
- 3.7.3.4 **Suggested timeline:**  
**At least 12 weeks** prior to anticipated (but not scheduled) defense date: Chair receives full copy of the document for first review.  
**10 weeks prior:** Chair gives feedback on document to student  
**8 weeks prior: If approved** by Chair, revised document is read by Chair and committee members.  
**6 weeks prior:** All committee members have given feedback to the student.  
**4 weeks prior:** Chair and all committee members receive a revised and polished version of the proposal in which the student has addressed the feedback from each committee member. **With written approval from each committee member**, the student may now schedule the defense date.
- 3.7.3.4 During the Proposal Review, the candidate presents the prospective research design, which will include problem definitions, preliminary reviews of literature and conceptual frameworks, research questions or hypotheses, sampling plans, measures and instruments, data collection strategies, and data analysis methods. The candidate should anticipate possible problems that will arise in conducting the research and offer contingency plans for the Committee’s consideration.
- 3.7.3.5 The Committee will offer questions and critical suggestions that facilitate the research and the proposal approval process. The Committee may request revisions. In such a case, additional meetings to review suggested changes may be scheduled. Any major revision in the proposed research should be reviewed and approved by the Supervisory Committee. The candidate may proceed with research only after the Dissertation Proposal is approved.
- 3.7.3.6 Neither food nor gifts are allowed at the Proposal Review.

### **3.7.4 *Research Involving Human Subjects - The Institutional Review Board (IRB)***

- 3.7.4.1 If you are planning to conduct any kind of research involving human subjects (surveys, clinical studies, basic research, chart reviews, etc.) you must get approval from the Institutional Review Board (<http://irb.utah.edu/>) to comply with federal regulations. The IRB is responsible for ensuring that any research conducted under its auspices protects the rights and welfare of human subjects. The IRB has information on application guidance and resources for new investigators.

No human subject research may be started if the IRB has not approved a project or if the one-year renewal has not been approved. All clinical investigations, funded

externally, are sponsored activities (not to be considered a gift or donation) and are subject to IRB approval.

If you are a new investigator and would like tutoring on the IRB, please visit <http://irb.utah.edu/training/index.php>.

- 3.7.4.2 The IRB reviews all proposed research projects involving human subjects. Thesis and dissertation topics dealing with human subjects must be submitted to the IRBs following colloquium approval. The IRBs must assure: the rights of subjects are protected, adequate and informed consent of the participant is obtained, participation is voluntary, and any possible benefit of research is commensurate with the risks involved. Approval must be obtained prior to data collection and will not be granted retroactively. The Dissertation Chair co-signs the IRB application and is responsible for supervision.
- 3.7.4.3 Within Social Work, faculty can offer a preliminary screen of the IRB proposal before it goes to the University IRB Committee. Contact the Ph.D. Director for further information.
- 3.7.5 Program of Study: The Supervisory Committee must approve an official Program of Study (POS) for the candidate at least one semester prior to the planned dissertation defense. After a successful proposal presentation, the Ph.D. Department will submit the program of study via CIS to the Graduate Records office for electronic approval by all members of the Committee and by the Dean of the Graduate School.
- 3.7.6 Oral Dissertation Defense: Before final approval of the dissertation, the candidate's Supervisory Committee shall conduct an oral examination at which time the candidate must satisfactorily defend the dissertation. The Supervisory Committee Chair should notify the PhD Program Coordinator to assist with scheduling the dissertation defense.
  - 3.7.6.1 The Oral Defense is a 30-to-40-minute conference-style presentation to the Ph.D. Director and the candidate's Supervisory Committee; members of the community may attend as well. The presentation is graded using criteria of pass, conditional pass, or fail. The presentation is intended to be a summary of the candidate's dissertation. The formal presentation is followed by a question and answer period with the candidate's Committee, faculty members, and interested guests.
  - 3.7.6.2 The Dissertation Defense will be scheduled **after** the student has received and addressed feedback from **all** committee members, and they have given **written approval** to move ahead with the defense. The student and Supervisory Committee Chair are responsible for ensuring that adequate time has been allowed to complete this review process **prior** to scheduling the defense. Students anticipating scheduling a defense in the second half of the semester must allow greater time for review, due to increased faculty obligations. Because some faculty members work on a 9-month calendar, candidates should usually not plan to defend their dissertations during the summer.
  - 3.7.6.3 After all committee members approve the revised document, the dissertation defense date can be scheduled. **At least four weeks before the Defense**, the candidate should submit a fully revised and approved review copy of the dissertation to the Committee Chair and all committee members, **and at least two weeks before the examination date**, the Ph.D. Program Director should receive review copies. Review copies should be polished – fully completed, final products. "Fully revised" means that the student has received feedback from each committee member, has addressed the feedback, and the committee members have read and approved the revisions. "Polished" means that the document needs no more than very minor copyediting. Candidates are expected to receive and incorporate

feedback from each Committee member in the review copy before the Defense. A candidate may be asked to make changes in the dissertation, postpone a defense, schedule a second defense, or complete changes to the satisfaction of the Committee Chair and/or committee members.

3.7.6.4 **Suggested timeline:**

**At least 12 weeks prior** to anticipated (but not scheduled) defense date: Chair receives full copy of the document for first review.

**10 weeks prior:** Chair gives feedback on document to student

**8 weeks prior:** If approved by Chair, revised document is read by Chair and committee members.

**6 weeks prior:** All committee members have given feedback to the student.

**4 weeks prior:** Chair and all committee members receive a revised and polished version of the dissertation. With committee approval, the student may now schedule the defense date.

An April 1 completion means that the student would need the first draft to the chair by January 1 under the very best circumstances. Submission to the supervisory committee chair by January 1 is not a guarantee of completion by April 1.

3.7.6.4 All College of Social Work faculty and students are to be invited to the Oral Dissertation Defense and must receive a formal written announcement at least two weeks in advance of the final oral examination. A formal invitation will be sent from the Ph.D. Program Coordinator with the date, time, room number, and dissertation title with enough advance notice to ensure that the 2-week deadline can be met.

3.7.6.5 Neither food nor gifts are allowed at the Dissertation Defense.

3.7.7 Dissertation Approval Forms. It is the candidate's responsibility to prepare and submit all required documents. The instructions for manuscript approval and submission for Thesis Office can be found at the Graduate School website  
<https://gradschool.utah.edu/thesis/manuscript-submission.php>

3.7.7.1 *Supervisory Committee Approval:* The Supervisory committee reads and approves the final draft of the dissertation. The Thesis Office uses OnBase electronic system for manuscript submissions and digital approval signatures  
<https://gradschool.utah.edu/thesis/manuscript-submission.php>

3.7.7.2 *Statement of Thesis/Dissertation Approval:* The statement of approval replaces the signature sheets in the electronic version of the thesis or dissertation. **No signatures are necessary.**

3.7.7.3 Electronic Manuscript Submission Procedures: Students should follow the procedures outlined on the Graduate Office website  
<https://gradschool.utah.edu/thesis/submission-procedure.php#eight>.

3.7.8 Dissertation Manuscript Approval: After the manuscript has been reviewed and approved by the College, a clean copy is submitted to the Thesis Office for format approval, along with the original, signed Supervisory Committee Approval form and the original, signed Final Reading Approval form. These two signed originals get filed by the Graduate School.

3.7.8.1 After format approval by the Thesis Office, dissertation manuscripts are submitted to the Thesis Office electronically and are accepted at any time during the semester. However, those students wishing to guarantee graduation in a specific semester must meet the dates specified in The Graduate School calendar. The

Thesis Office has the responsibility of assuring that theses and dissertation texts meet formal scholarly standards. It is the Candidate's responsibility to submit an electronic version of the manuscript for both Format Approval and Thesis Release per the Thesis Office requirements.

- 3.7.8.2 Doctoral dissertations are regarded as contributions to knowledge and, as such, are expected to be available to other scholars and the general public. Dissertations are available in electronic formats through traditional or open-access publishing. Contact the Thesis Office for more information.
- 3.7.8.3 Detailed policies and procedures concerning the publication requirement, use of restricted data, and other matters pertaining to the preparation of the dissertation are contained in A Handbook for Theses and Dissertations published by The Graduate School of the University. It is recommended that a candidate review the Handbook, please visit <http://gradschool.utah.edu/thesis/handbook/> to access the latest version.
- 3.7.8.4 The College of Social Work utilizes the American Psychological Association or APA format. The current reference is: American Psychological Association (2013). Publication Manual of the American Psychological Association (6<sup>th</sup> ed.). Washington, DC: Author. Questions regarding style and University requirements should be directed to the Thesis Editor, 301 Park Building, Telephone 801-585-2671.

## 3.8 Graduation

- 3.8.1 Eligibility: Requirements for graduation include a successful dissertation defense, a Thesis Release, and submitting all required documents and information, including completion of the Graduate Degree Application. Diplomas will be mailed directly to graduates within 90 days after graduation, provided that all graduation requirements have been met. However, candidates may participate in the commencement exercises, under certain conditions:
  - 3.8.1.1 Students/Candidates who have completed all requirements for graduation **on or before the established University deadlines**, [Graduate Graduation - Office of the Registrar - The University of Utah](#) may participate in graduation exercises and their names will be printed in the Commencement Program even if they have not received their Thesis Release.
  - 3.8.1.2 Candidates who defend dissertations and have full Committee approval of dissertation completion by April 1<sup>st</sup> may participate in graduation exercises, with the approval of their Committee and the Ph.D. Program Director. However, their names may not appear in the commencement program until the subsequent year.
  - 3.8.1.3 Students/Candidates who have not defended their dissertations before graduation may not participate in graduation exercises. They will be included in the official program Commencement for the subsequent year and may participate in Commencement at that time.
- 3.8.2 Prefix of "Dr." and Suffix of "Ph.D."

It is inappropriate to use the "Dr." prefix or the "Ph.D." suffix until the University of Utah awards the actual Ph.D. degree. Please note that advancement to Candidacy or participation in Commencement do not confer this right but once a student receives the final Thesis Release from The Graduate School, the prefix and suffix may be used.

- 3.9 Authorship and Collaborative Research:** As part of their doctoral preparation, all Ph.D. students should engage in research and scholarship in collaboration with their peers and/or College faculty. This process should be based on the principles of mutual respect, critical inquiry, and collaboration. The following guidelines apply:
- 1) Early in their work with students, faculty members have a responsibility to help students contribute as much as they are able and they should discuss and agree upon each contributor's responsibilities and authorship expectations, including order of authorship.
  - 2) As soon as possible in any research or writing collaboration those involved should come to an agreement regarding data ownership.
  - 3) All contributors making a substantial contribution to articles should be listed as authors.
  - 4) Order of authorship generally should reflect extent of contribution, except that the level of contribution required for students to be listed as authors may be less than that required of faculty. When individuals' contributions are approximately equal, preference in order of authorship should be given to students.
  - 5) Faculty have the responsibility to assure that students' dissertations represent original, independent work. Articles that students prepare based on their dissertation findings would be expected to list the student as first or sole author.
- 4. USE OF JOURNAL ARTICLES IN THESES OR DISSERTATIONS:** If students wish to use articles accepted or published by reputable scholarly journals in a thesis or dissertation or to type the thesis or dissertation in the style of a particular journal for subsequent submission, they must first obtain the recommendation and approval of the supervisory committee.
- 4.1 Use of Previously Published Material:** Please refer to the Thesis Office Handbook for the procedures for the incorporation of previously published, accepted, and submitted articles as chapters of a thesis or a dissertation [handbook\\_2022\\_11022022\\_revision.pdf \(utah.edu\)](#).
- 4.2 Use of Material Accepted for Publication:** An article or articles that are accepted by journals but have not yet been published may be used as part of a thesis or dissertation. Please refer to the Thesis Office Handbook [handbook\\_2022\\_11022022\\_revision.pdf \(utah.edu\)](#).
- 5. ACADEMIC POLICIES AND PROCEDURES:** The College of Social Work follows the University of Utah academic policies and procedures. Students and faculty should consult the Student Code if a relevant situation arises as there are specific sequences and deadlines for problem resolutions. The code is on the University of Utah web site <http://regulations.utah.edu/academics/guides/students/studentRights.php>.
- 5.1 Dismissal Policy:** Students must maintain a cumulative grade point average (GPA) of 3.0 to qualify for graduation; additionally, students must pass all required classes with a grade of B- or better. Students admitted to the Ph.D. Program as non-matriculated students have one semester to achieve a 3.0 GPA. Any matriculated student who receives a final grade of "C+" or lower in any required course or has a GPA below 3.0 will be placed on academic probation and will be required to meet with the Ph.D. Director to develop a plan for academic remediation. If the student does not make the required improvements, or does not maintain a 3.0 GPA for two semesters, the student will be referred to the Ph.D. Program Committee for formal review.

The Ph.D. Program Committee will formally review any student failing to achieve adequate progress through the program; such reviews may result in dismissal from the program. Events that trigger a formal review include: earning a final grade of C+ or lower twice in the same required course; a cumulative GPA below a 3.0 for two or more semesters; earning a failing grade in any section of the qualifying examination; and failure to successfully defend a dissertation proposal by the fifth year in

the program. Formal reviews by the Ph.D. Program Committee may include the decision to dismiss the student from the program; a majority vote is required for dismissal.

A decision to dismiss a student from the program, or other academic sanctions imposed by the Ph.D. Program Committee, may be appealed to the College of Social Work Associate Dean for Academic Affairs. Appeals of academic actions must follow the procedures in the University of Utah Student Code Section V: Student Academic Conduct (<http://regulations.utah.edu/academics/6-400.php>).

## 5.2 Academic Appeals

5.2.1 Academic Appeals: Students have the right to appeal grades, and may file complaints if they feel they have been treated unfairly. The College follows the University procedures for their Academic Appeals and Student Review Committee. This written statement should provide a complete account of the problem and all relevant facts supporting the alleged violation. The University of Utah student academic appeals process can be found here <http://regulations.utah.edu/academics/6-400.php>.

## 5.3 Academic Status

5.3.1 Full-time Status: A graduate student has full-time status when either of the following conditions are met: (a) the student is registered for 9 or more credit hours; (b) the student is registered for one or more credit hours including one or more dissertation research classes, and the Ph.D. **A minimum total of 14 credits of SW 7970 Dissertation Research is required and the candidate must be registered for at least one credit of SW 7970 in the semester the dissertation is defended.**

5.3.2 Maximum Credit Load per Semester: 15-16 hours is considered a maximum credit load in any one semester. Teaching assistants, research assistants, and others employed approximately half-time are encouraged to limit registration to nine semester credit hours.

5.3.3 Minimum Continuous Registration: Unless granted an official leave of absence (see Section 5.5.2), all doctoral students and candidates must maintain continuous registration from the starting semester of coursework to the completion of all requirements for the degree. A minimum of one semester credit hour is required to maintain an "active student" status with The Graduate School of the University. After passing the Qualifying Examination, completing course work, and advancing to Candidacy, this requirement can be met by enrolling in one of the following:

1. SW 7970 -Dissertation Research (1-12 credits per semester); or
2. SW 7980 - Research Consultation (1-3 credits per semester): This course does not count towards the thesis research fulfillment requirement, but it meets requirements for minimum registration; or
3. SW 7990 - Continuing Registration (no credits): Candidates who are not using University facilities or consulting with faculty may keep their registration current by registering for this course and paying a fee. Only students who have been advanced to candidacy may use this course, and they are allowed to register for a maximum of four semesters.

5.4 **Incomplete Grades:** An "Incomplete" is a temporary grade based on a contract between the student and the instructor of a given course. Students should be advised that Incompletes are burdensome to faculty and students alike. However, if a student is unable to complete a course according to the regulations in Section 5.4.1, that student may ask the instructor for a grade of Incomplete. Student and faculty must complete a contract specifying work to be completed, and an instructor must note the reason for the Incomplete Grade. The student should decide with the instructor when work for the course ought to be completed and the Ph.D. Program Director should be notified of the timeline for

completion of the course requirements. The Contract for Incomplete Grade should be forwarded to the PhD program advisor, room SW 214.

- 5.4.1 Regulations for Incomplete Grades: The grade of Incomplete (“I”) must be used only for a student who is passing a course and who needs to complete 20% or less of the course. An “I” must not be used in a way that will permit a student to retake the course without paying tuition, to complete an assignment not done to the satisfaction of the professor the first time, or when 80% of the required work is not completed. (If the student attends the course during a subsequent semester to complete the course, the student must be registered either as a regular student or for audit).
- 5.4.2 Removal of Incomplete: Grades of Incomplete must be completed within one year or they automatically change to the letter grade of “E” (failure). Additionally, the policy of the College of Social Work is that students will not be admitted to the second year of study until all course work for the first year is completed. (Exceptions must be approved by the Ph.D. Committee, the Ph.D. Program Director, and the Associate Dean for Student Affairs.)  
**Students must remove Incomplete grades from all required courses prior to proposing the Qualifying Exam.**
- 5.4.3 Restrictions and Limitations
  - 5.4.3.1 The College of Social Work does not allow a student to advance in any series of sequenced courses with a failing grade or a grade of Incomplete.
  - 5.4.3.2 To be making satisfactory progress, **a student should not carry more than one Incomplete at any time.** Otherwise, the student is subject to academic probation and/or formal review. Exceptions to this policy may be granted by the Ph.D. committee in unusual circumstances by student petition.
  - 5.4.3.3 ALL Incomplete grades must be removed, i.e., completed before a student is eligible for graduation.

## 5.5 Registration Status

- 5.5.2 Request for a Leave of Absence
  - 5.5.2.1 A student seeking a leave of absence must have completed a minimum of one semester (9 hours) with a GPA of 3.0 or above. A written request must be submitted to the office of the Ph.D. Program Director, accompanied by the University's *Graduate Student Request for Leave of Absence*. (See The Graduate School On-Line Forms <http://registrar.utah.edu/handbook/leave.php>. The written request for a leave of absence should include the following: reason for request, period of absence requested, academic work completed to date, and proposed plan for completion of additional work required for graduation. All leaves of absence from the College of Social Work need to be approved by the Dean of The Graduate School as well as the Ph.D. Program Director.
  - 5.5.2.2 To re-enter the Ph.D. Program after a leave of absence, the student needs to register for the semester agreed upon in the Leave of Absence Agreement.
  - 5.5.2.3 An extension must be negotiated and a new form submitted. If a student fails to negotiate an extension and does not register at the agreed upon time, the student will automatically be dropped from the University's registration system and the Ph.D. Program.
- 5.5.3 Withdrawal

5.5.3.1 Students may drop any class in a regular University semester without penalty or permission for a period extending 7 calendar days from the first day of the term. Beginning the 8th day from the first day of the term and continuing through Friday of the first full week beyond the midpoint of the term (as determined by the Registrar), students may withdraw from a course or from the University without permission. In this case a "W" will be recorded on the student's academic record. The 7<sup>th</sup> day of the semester is the final day on which a student may withdraw from a course without penalty or permission.

5.5.3.2 For extraordinary reasons approved by the College Dean and the Registrar, the grade of "W" may be given after the end of the term. Such requests must be submitted to the College of Social Work Ph.D. office and the University of Utah Registrar within three years of the affected semester(s) or prior to graduation from the University, whichever comes first.

**5.6 Student Records:** Policies of the College of Social Work protect the privacy of students as mandated by Public Law 93-380 (d) Section 438. This Act provides students with the right to inspect and review their individual records. In addition, the Act forbids the release of academic records or personal information without the written consent of the student. Details concerning University policies and privacy rights are explicated in the University's General Catalog. All faculty members, including field instructors, have access to the information in a student's file. All Ph.D. student records are housed in the Office of the Ph.D. Program.

## **6 FACILITIES INFORMATION**

**Marriott Library** – <http://www.lib.utah.edu/>

**Center on Mindfulness and Integrative Health Intervention Development** - <https://socialwork.utah.edu/research/c-miind/>

**Utah Criminal Justice Center** - <https://socialwork.utah.edu/research/utah-criminal-justice-center/>

**Social Research Institute** – <http://socialwork.utah.edu/research/social-research-institute/>

### **College of Social Work Computer Lab**

As one of the many "open access" computer centers across campus, the College of Social Work has a DOS PC computer lab located on the second floor of the Social Work building. It is open to University students, faculty, and staff with a valid U of U identification card. Policies for printing and lab use are posted in the lab and students not abiding by those policies will be denied its use. A lab consultant is available to assist students in setting up an e-mail account and to answer questions regarding the Internet and using the applications on the computers. Students using the College of Social Work Computer Lab should read the Code of Student Rights and Responsibilities Policy located <http://regulations.utah.edu/academics/6-400.php> in order to know their personal responsibility in using University resources.

## **7 GENERAL INFORMATION**

**7.1 Children on Campus:** The following policy related to children on campus was adopted by the College of Social Work Council on May 6, 1996. It is intended to apply to regular, daily or prolonged presence of children in the College of Social Work. The guidelines seek to protect: the safety of children in the building during work and school hours; the professional work environment required to conduct university business; and the School's compliance with child care policies of the broader University.



- 7.1.1 **Policy:** The College of Social Work is an educational and employment setting. Due to our nature and purpose, it is generally not in the child’s best interest to be unattended in this environment. There are no day care services available at the College; however, day care facilities are located on campus, and a variety of public and private agencies are located in the area. Children are welcome to visit the College when parents are able to provide the direct supervision of their children and ensure that others are not disturbed or disrupted. There have been several concerns and potentially dangerous situations when children have been left unattended in the building. In addition when children are present in the classroom, the discussion of topics may not always be appropriate for young children. We acknowledge that emergencies and other situations may occur that are difficult to control. When your children are ill, or out of school for another reason, please take the time to make arrangements to have them supervised in an appropriate setting.
- 7.2 **Dogs on Campus:** The only dogs allowed on campus are Seeing Eye Dogs or other dogs trained to support medical purposes. All other dogs interfere with the functioning of the above special exceptions to policy and will be removed by campus security. To prevent the trauma and expense of having to retrieve your dog from an animal shelter, please **DO NOT BRING YOUR PET TO CAMPUS.**
- 7.3 **E-mail (Electronic Mail):** A University assigned student email account shall be the University’s official means of communication with all University of Utah students. The University reserves the right to send official communications to students by email with the full expectation that students will receive email and read these emails in a timely fashion. Official University email accounts, which are called UMail accounts, are available for all registered and admitted students. Official University communications will be sent to students’ official University UMail address. Students are expected to check their UMail account on a frequent and consistent basis in order to stay current with University-related communications. The UMail account can be accessed at [www.umail.utah.edu](http://www.umail.utah.edu).
- 7.4 **Mail:** All mail coming to students c/o the College of Social Work is put in student boxes, located on the west wall of the student lounge. Messages (from the Dean, professors, clinical instructors, etc.) are also put into student boxes. Students are advised to check their mailboxes regularly.
- 7.5 **Personal Messages:** Students are advised to discourage family members and friends from leaving personal messages at the College. *Due to the unavailability of staff for answering and forwarding students’ telephone messages, telephone contact coming into the School needs to be reserved for emergencies only.*
- 7.6 **Office Space for Students:** Carrels are available on a space available basis. Offices are assigned to students with a work assignment within the College of Social Work. The study carrels are usually reserved for Ph.D. students completing the first two sequences of core course work. Students should request space from the Ph.D. office.

## 8. SUPPORT SERVICES INFORMATION

Our students’ success and well-being are paramount in providing a world-class education. Take advantage of the numerous resources and services created to help students of all kinds prosper during their time at the U by visiting <http://www.utah.edu/students/services.php>.

Center for Student Wellness	<a href="http://wellness.utah.edu/">http://wellness.utah.edu/</a>
International Center	<a href="http://internationalcenter.utah.edu/">http://internationalcenter.utah.edu/</a>
Center for Ethnic Student Affairs	<a href="http://diversity.utah.edu/centers/cesa/">http://diversity.utah.edu/centers/cesa/</a>
Student Health Center	<a href="http://studenthealth.utah.edu/">http://studenthealth.utah.edu/</a>
Counseling Center	<a href="http://counselingcenter.utah.edu/">http://counselingcenter.utah.edu/</a>
Writing Center	<a href="http://writingcenter.utah.edu/">http://writingcenter.utah.edu/</a>
U Card	<a href="http://www.ucard.utah.edu/">http://www.ucard.utah.edu/</a>
Campus Help Desk	<a href="http://it.utah.edu/help/">http://it.utah.edu/help/</a>
University Police	<a href="http://dps.utah.edu/">http://dps.utah.edu/</a>

**APPENDIX**

Qualifying Exam Guidelines	A01
Qualifying Exam Timeline	A02
Dissertation Supervisory Committee Worksheet	A03
Basic Dissertation Outline and MAP Guidelines	A04
Suggested Guidelines for Oral Defense	A05
PhD Dissertation Approval and Presentation Scheduling Form	A06
Contract for Independent Study	A07
Recommended Faculty Mentoring Contract	A08

## A01 Qualifying Examination Procedure



The purpose of the PhD Qualifying Examination is twofold:

1. The Qualifying Examination (QE) ensures that doctoral students have the ability to think and write critically and work independently about an area of research or a social problem in order to enter into candidacy. *The examination requires that students demonstrate integrative, evaluative, and critical appraisal of theory, empirical evidence, and research methodologies within a substantive area.* Please note: the Qualifying Exam is not a descriptive literature review; it is a review that analyzes and synthesizes the existing knowledge in an area in order to determine the current gaps in knowledge and thus be a springboard to the dissertation.
2. The products of the QE are a comprehensive paper and an oral presentation. The research, critical appraisal, and synthesis that students put into their examination should help them formulate research questions and develop material that can be used in their dissertation and potentially submitted for publication. Forming the QE Committee early in the second year of coursework and engaging the consultative process of developing the examination questions are intended to provide students with helpful mentoring and guidance from faculty.

## Procedure of the examination

1. *Formation of QE Committee.* Each student will form a QE Committee comprised of three tenure-line faculty members appointed in the College of Social Work; exceptions must be approved by the PhD Program Committee. The student will invite one faculty member to chair his or her committee and will consult with the Chair regarding identification and selection of the additional two members. Normally, QE committee members may eventually serve on the student's dissertation committee. Thus, committee members should have substantive and/or methodological expertise to support the student's inquiry. The Ph.D. committee will review and approve each student's QE Committee.
2. *Timing of QE Committee formation.* Each student will develop his or her Committee as early as possible in the second year of doctoral course work, and no later than the second semester of that year. Students and faculty are encouraged to meet early and often to discuss compatibility based on interest, expertise, and availability. At the end of this document is a worksheet students need to complete and submit to their QE Committee for approval and signatures. Once approved, the QE Committee Chair will forward it to the PhD Director, who will then have the worksheet reviewed and approved by the PhD Program Committee. The PhD Program Committee may also make suggestions for modifications, if needed, which will be directed to the QE Chair and the student to implement. The request will be reviewed by the Program Committee at the next scheduled meeting, provided it was received at least one week prior.
3. *Formulation of examination question(s).* Once the committee is approved by the PhD Program Committee, the student, in consultation with her or his QE Committee, will produce the objectives, goals and questions of the examination, accompanied by a bibliography.
4. *Proposing the examination question(s).* In a meeting with their Committee, students must finalize and receive the Committee's approval for their proposed examination question(s) no later than September 15th of the third year in the doctoral program, and no earlier than Spring Semester of their second year. Students must remove Incomplete grades from all required courses prior to proposing the Qualifying Exam. The QE **proposal** shall include:
  - a. An introduction to the examination question(s), resulting in a clear statement of the issue to be examined and attending rationale, significance, and implications.
  - b. An overview of the research area or social problem to be examined including an emerging understanding of:
    - i. Theory or theories to be explored, integrated, critiqued, and/or identified gaps or controversies.
    - ii. A critical examination of the empirical research and the methods used to address the question/problem, including an analysis of strengths, limitations and controversies.
  - c. A bibliography that supports the objectives, goals and questions of the examination, addressing theory, research, and methods.
5. *Completing the examination.* Once the student's QE committee has approved the proposed examination, the student will have 3 months to complete the written examination. The examination is considered an independent project, during which the student may consult with their QE Committee for clarification of the questions. If necessary, the student may request an extension to complete the exam; this request must be submitted to the student's QE committee chair, who, in consultation with the QE Committee, will decide whether to grant the extension. It is strongly encouraged not to exceed an additional six weeks of extension. Failure to submit the completed written QE to the committee within the agreed upon timeframe will result in a failing grade for the exam and trigger a formal review. Students not completing and passing the QE within 6 months from the date of approval will receive a failing grade and will be formally reviewed.

6. The student will complete the examination by producing a scholarly paper (APA required, **50 pages maximum**, exclusive of references) comprised of the following sections:
  - a. Introduction to the examination.
  - b. Integrative critique of theory or theories of the research question or social problem.
  - c. Critical analysis of empirical research surrounding the research question or social problem.
  - d. Integrative summary of the introduction, theory, and critical appraisal of research including analysis of strengths, gaps, controversies, implications, and possible future directions for research.
  - e. Please articulate the rationale for the dissertation, including the research questions to be addressed, and the proposed methods.
7. *Grading.* In accordance with Graduate School requirements, students will orally present and defend their QE as a scholarly product, after the written product has been graded and approved by the QE Committee. The QE Committee will grade students based on the oral and written QE product. It is the responsibility of the QE Committee Chair to notify the student in writing of the exam results within three weeks of receipt of the completed QE document; a copy of the exam results must be sent to the Ph.D. Program Director and Program Coordinator. The oral defense of the written QE must be completed by January 31<sup>st</sup> of the student's third year. Exceptions must be reviewed and approved by the PhD Program Committee. Failure to complete the QE and move to candidacy by the end of the 3<sup>rd</sup> academic year may result in formal review and dismissal. **(100 points total)**
8. The committee members have up to three weeks from the date of submission to read and evaluate the written exam. Committee members will submit written feedback, by email and/or on the document, to the Committee Chair, with a copy to the student. In order for the student to schedule the oral defense, all committee members must submit in writing their approval to move forward with the submitted document. The written approvals must be copied to the Program Coordinator, who will support the process by scheduling the room for the oral presentation.

Guidelines for grading the QE. Committee members will consider the following guidelines in grading the written product:

1. The student develops and presents a critical, integrative analysis of theory and research, and produces an integrative summary rather than a summary overview. Students should strive to identify, conceptualize, evaluate and synthesize critical issues, gaps, and/or controversies as appropriate to the literature being explored. The work contributes clearly to and justifies the proposed dissertation research project. **(50 points)**
2. The content of the exam is relevant to social work while integrating interdisciplinary scholarship and critique. **(15 points)**
3. The exam is coherent and well-written as evidenced by a logical sequence of ideas, bridging transitions, and adherence to APA Guidelines. **(15 points)**

Once the written exam is approved and graded as a Pass (70/80 points minimum) by all three committee members, the oral defense is scheduled.

4. The oral presentation and defense is well organized, thoughtful and clear. **(20 points)**

Grading criteria for the oral and written examination: Students will receive feedback on both the written product and oral presentation in each of the four areas: theory, research, integrative summary and proposed dissertation project. On the complete product, three initial evaluations are possible: pass, conditional pass, and fail. The evaluation of “pass” indicates no revisions are required. Students who receive a “conditional pass” will be required to resubmit either all or a portion of the exam material as instructed by the QE committee. The evaluation of “fail” indicates the student’s work earned less than 70 points and the student will have to petition the Ph.D. Program Committee to retake the exam. Timelines and future steps for each of the three options are described in greater detail below.

1. **Pass.** Students who receive a “pass” evaluation will meet with their committee within two weeks of receiving feedback to discuss future steps and receive consultation on the dissertation process. At this point, students also move into Candidacy (see PhD handbook). A grade of 85% is needed for a clear “Pass” with no revision.
2. **Conditional pass.** Students who receive a “conditional pass” evaluation must revise and resubmit some or all of their work as directed by their Committee. A conditional pass suggests that revisions are needed in order for the student to receive a passing grade and move on to the oral defense, and later, candidacy. The Committee will determine the timeline by which revised materials must be resubmitted; in general, it is expected that up to four weeks will be a sufficient time frame. Revised work will be evaluated using the same criteria for originally submitted material. The Committee members must give written feedback on the revised submission within three weeks from the date of submission. If the resubmitted material does not earn a grade of “Pass,” then the student will be considered to have failed the Qualifying Examination, and must follow the procedures listed below in #3. A grade of 70-84% is required for a “Conditional Pass” with revisions required.
3. **Fail.** Students who fail the QE will need to petition the PhD Program Committee if they wish to retake the examination; by policy of the U of U Graduate School, students will only be permitted to take the QE twice (i.e. one retake only). The PhD Program Committee will review a student’s request to retake the QE, which must include an appropriate plan of study approved by their QE Committee, and completed prior to the QE retake. Once the student completes the additional plan of study, the student will submit documentation of the work completed to the PhD Program Committee, who will review the request and approve the student to move forward with their QE Committee to re-develop the proposal and retake the QE. The second QE will need to be completed within three months of the PhD Program Committee’s approval of a new QE request. The QE retake will be evaluated using the same guidelines as for the original submission. If the student does not earn a “Pass” or “Conditional Pass” with completed revisions (see #2 above) on the QE retake, she or he will be dismissed from the program in accordance with PhD Program policy. A grade of less than 70% results in “Fail.”

## Instructions: Request to Form Qualifying Examination Committee

To help you form a Qualifying Examination Committee, please complete the following worksheet and return it to your proposed QE Committee members and the PhD Director ([Jeremiah.Jaggers@utah.edu](mailto:Jeremiah.Jaggers@utah.edu)), with a copy to the PhD Program Coordinator ([Mirela.Rankovic@socwk.utah.edu](mailto:Mirela.Rankovic@socwk.utah.edu)). Each proposed QE Committee worksheet will be reviewed by the PhD Program Committee at its next scheduled meeting, providing it has been submitted at least one week prior.

In completing this form, we expect you will consult with the proposed members of your Committee to seek feedback, approval and guidance. Each proposed member will need to sign off on this worksheet. As needed, please feel free to consult with the PhD Director or CSW faculty prior to completing this form.

**Worksheet:** Please answer the following four questions that will help the PhD Committee review your request.

1. Concisely describe the focused research area or social problem you desire to develop analytically in your Qualifying Examination. Consider providing sufficient context to position your research area or social problem in the literature in general and specifically within social work.
2. Briefly discuss what motivates you to study this area?
3. Please list your proposed QE committee members, noting what each individual can contribute to your work in terms of substantive or methodological expertise. Finally, please ask each proposed Committee member to verify that they have reviewed your ideas with you and agree to be on your committee by signing the form.
4. Please submit a detailed timeline, approved by your committee, showing the tasks necessary to complete your Qualifying Exam.

## A2 Qualifying Exam Timeline

<b>Time</b>	<b>Student Activity</b>	<b>QE Committee Activity</b>
<b>2<sup>nd</sup> Year: January of earlier</b>	Student begins to identify QE Committee Members and forms Committee as per policy	Faculty consult with students about Committee membership
<b>2<sup>nd</sup> Year: March-June</b>	Student Generates bibliographies, research questions and outlines about the examination in multiple iterative consultations with his or her QE Committee.	QE Committee members support student in the process of generating ideas and forming the exam. Faculty will help the student understand the nature and expectations of the examination and prepare him or her to succeed through mentoring and consultation.
<b>Summer after 2<sup>nd</sup> year</b>	Student submits final proposal for QE to his or her QE Committee	QE Committee reviews final proposal and finalizes the examination
<b>Upon receiving final examination from QE Committee</b>	Student has one week to clarify questions about the final examination	QE Committee will provide clarification in writing to student
<b>1 week after the proposal of the examination questions</b>	Student has 3 months to independently complete the examination	QE Committee waits
<b>3 months after the approved proposal (no later than January 31<sup>st</sup> of the student's 3<sup>rd</sup> year)</b>	Student completes written and oral examination	Faculty have two weeks to read and evaluate the QE
	If the student passes the examination, he or she moves into candidacy. If the student receives conditional pass or a fail, follows relevant policy.	If the student passes, the QE Committee is dissolved. If the student receives a conditional pass or fail, the Committee continues to work with the student as per policy.



## A3 Dissertation Supervisory Committee Worksheet

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Congratulations, you have moved one step closer to completing your PhD!

In accordance with College of Social Work and Graduate School Policies **and** to help you form a dissertation supervisory committee that can best support your progress through the dissertation process, please complete the two questions found below. Then, submit your responses to the PhD Director ([Jeremiah.Jaggers@utah.edu](mailto:Jeremiah.Jaggers@utah.edu)) and the PhD Program Coordinator ([Mirela.Rankovic@utah.edu](mailto:Mirela.Rankovic@utah.edu)); please meet with the program Director once you have submitted your responses to questions 1 and 2 below.

**Note:** this process can begin only after you have successfully passed the Qualifying Examinations. Students seeking to pursue the MAP format should consult with the Ph.D. Director prior to establishing their supervisory committee to discuss feasibility of this option. *All MAP dissertations require prior approval of the dissertation committee and Ph.D. Program Director at the time of composing the supervisory committee.* When choosing a committee, a student, in consultation with their committee Chair, should consider faculty members who have strong publishing histories.

1. In approximately 5 paragraphs, describe the research question you desire to pursue.
2. Next, who would you like to chair your dissertation and why? In collaboration with the proposed chair, please discuss how she or he can help you succeed with the research you intend to pursue. Also, please review the strengths and challenges the proposed chair may have in guiding your dissertation (e.g., time, availability, substantive content expertise, methodological expertise).
3. Please submit a detailed timeline, approved by your committee, showing the tasks necessary to complete your dissertation (i.e IRB approval, proposal defense, data collection, analysis, write-up, committee review periods, and final dissertation defense) and the dates by which they will be done.

**According to CSW PhD Program policy 2.4.2.2, the oral proposal defense is done before an approved thesis supervisory committee no sooner than two months after the successful completion of the Qualifying Exam. Further, the complete dissertation is orally defended no sooner than four months after the successful oral defense of the proposal 2.4.3.**

For more information on policy related to the formation and functioning of the dissertation supervisory committee, please see:

[PhD Handbook and Resources Page](#)

[The Graduate School Supervisory Committees Policies](#)

After the members of your dissertation supervisory committee have agreed to serve, please complete the following worksheet and submit to the PhD Director and the PhD Program Coordinator:

Committee Function	Name	Discuss the expertise each of the proposed committee members and how the proposed members cover needs in the following areas: content, theory, research methods, statistics (where appropriate)	Faculty initial- or email approval: Agreement to Serve on this committee
Chair:		See previous worksheet.	
Member			
Member			
Member			
Outside Member*			
<b>*Please attach current CV of outside committee member</b>			

The following policies apply to dissertation supervisory committees:

CSW Policy-PhD Handbook:

### 3.2.4 Dissertation Chair

3.2.4.1 After the successful completion of the Qualifying Examination (which signals entry to Candidacy), the student selects a Dissertation Chair, subject to approval by the Ph.D. Committee. The Chair must be a CSW faculty member who has previously served as a thesis committee member in which the dissertation was successfully defended. This Chair may not always be the same as the Pre-Candidacy Advisor or the QE Committee Chair. Please note that the QE Committee and the Dissertation committee are separate entities, regardless of overlap in membership. The QE Committee does not have oversight for the dissertation proposal or research.

3.2.4.2 This Chair serves as the Supervisory Committee Chair and assists the student in development of a proposal and selection of the rest of the Committee members. **The committee selection should take place the semester immediately following the successful completion of the qualifying exam.** These functions are defined more clearly in [A Handbook for Theses and Dissertations](#) available on the Thesis Office website. The Dissertation Chair is responsible for monitoring and facilitation of timely student progress toward completion of degree requirements.

### 3.6.2 Dissertation Supervisory Committee - Personnel

3.6.2.1 A supervisory committee is a critical component of each candidate's graduate dissertation study. This committee is responsible for approving the candidate's academic program, approving the thesis or dissertation subject and format (traditional or MAP), reading and approving the dissertation, and administering and judging the dissertation proposal, monitoring progress of the dissertation, reading and approving the dissertation defense.

3.6.2.2 The supervisory committee members provide vital feedback and direction to students; therefore, it is required that all committee members attend both the Proposal Review and the Dissertation Defense, either in person or via teleconference. If a member cannot be in attendance, either the presentation should be rescheduled, or the student should request a change in committee membership.

3.6.2.3 The Committee consists of five or possibly six members. At least three members of the Committee must be regular (tenure- line) faculty from within the College of Social Work. At least one member (but no more than two) should be non-social work faculty outside the College; i.e, from other University of Utah departments or programs. All committee members should hold a doctorate. In addition to regular faculty, candidates may choose career- line faculty with U of U faculty appointments. (See Section 3.2.4 for additional comments regarding the Chair.)

3.6.2.4 The student should request the appointment of a Dissertation Supervisory Committee within one semester of satisfactory completion of the Qualifying Examination. After developing a preliminary dissertation proposal, the student should meet with the PhD program Director and prospective committee members and then submit the proposed committee for nomination to the Ph.D. Committee. Dissertation Committee members must initial the Worksheet to indicate their agreement to serve on the committee. This request should be in writing, addressed to the Ph.D. Program Director with a copy to the Ph.D. staff (see APPENDIX for the current *Dissertation Supervisory Committee Worksheet*). When a student's committee is nominated, an Electronic Graduate Record File is established and actual approval is by The Graduate School. The PhD committee reserves the right to review and modify committee composition to insure adequate supervision in the production of a quality dissertation.

3.6.2.5 The Graduate School requires that curriculum vitae be on file in the Graduate School for supervisory committee members who are not members of the University of Utah faculty or who do not have tenured faculty status. The PhD Committee will approve supervisory committee members from other universities only in exceptional circumstances; the student must document the lack of necessary expertise on campus in a petition to the PhD Committee. With regard to the chairing of supervisory committees, the Graduate Bulletin states, "In special cases, faculty holding visiting or adjunct appointments may be chairs if recommended by the department and approved by the Dean of The Graduate School" (see [The Graduate School Supervisory Committee policy here](#)).

### 3.6.2.6 Changes to the Committee follow the same procedures.

From the Graduate School <https://gradschool.utah.edu/navigating-grad-school/supervisory-committees.php>

## SUPERVISORY COMMITTEES

The supervisory committee is responsible for approving the student's academic program, preparing and judging the qualifying examinations subject to departmental policy, approving the thesis or dissertation subject, reading and approving the thesis or dissertation, and administering and judging the final oral examination (thesis or dissertation defense). The chair of the supervisory committee directs the student's research and writing of the thesis or dissertation. The final oral examination may be chaired by any member of the supervisory committee consistent with departmental policy. If a graduate student's preliminary work is deficient, the supervisory committee may require supplementary undergraduate courses for which no graduate credit is granted. Decisions concerning program requirements, examinations, and the thesis or dissertation are made by majority vote of the supervisory committee.

All University of Utah faculty members including tenure-line, career-line, adjunct, visiting and emeritus are eligible to serve as supervisory committee members. The faculty member must hold an academic or professional doctorate, the terminal degree in the relevant field, and/or must have demonstrated competence to do research and scholarly or artistic work in the student's general field. Persons not from the University of Utah may also serve as committee members upon approval of the dean of The Graduate School (a vita for the proposed committee members must accompany the request). Committee chairs must be selected from tenure-line faculty. Immediate family members are not eligible to serve on a student's supervisory committee.

It is the responsibility of the student to approach prospective committee members with a view to their willingness and availability to serve in such a capacity. Faculty have the right, however, for justifiable academic reasons, to refuse to serve on a student's supervisory committee.

The process of forming a supervisory committee is completed by filing a Request for Supervisory Committee form with the major department.

Doctoral supervisory committees consist of five faculty members, the majority of whom must be tenure-line faculty in the student's major department. One member of the supervisory committee must be from another department.

Exceptions to these guidelines must be recommended and justified by the director of graduate studies of the department or the department chair, depending on departmental policies, and approved by the dean of The Graduate School.

---

## PH.D. SUPERVISORY COMMITTEE

Each supervisory committee consists of five faculty members. The committee chair and the majority of the committee must be tenure-line faculty in the student's department. One member of the committee must be appointed from outside the student's major department. The outside member is normally from another University of Utah department. However, the dean of The Graduate School may approve requests to appoint a committee member from another university where appropriate justification and supporting documentation is provided. The supervisory committee is responsible for approving the student's academic program, preparing and judging the qualifying examinations, approving the dissertation subject and final dissertation, and administering and judging the final oral examination (dissertation defense).

## A4 Basic Dissertation and MAP Guidelines

There are two dissertation formats available in the College of Social Work: the traditional (book) format and the Multiple Article Path (MAP). The candidate and the supervisory committee chair should discuss which format works best with the candidate's research question and their individual preferences and strengths. Students should check with the PhD Program Coordinator prior to beginning the dissertation process for the most recent guidelines.

In general accord with the following description of a dissertation (traditional or MAP), adapted from the Purdue website, we offer these edited guidelines to guide and support the development of your work

(<https://www.cs.purdue.edu/homes/dec/essay.dissertation.html>):

1. A thesis is a hypothesis, proposition, or line of argument.
2. A PhD dissertation is a formal document that argues in defense of a particular thesis or line of argument.
3. A dissertation should be "original" and "substantial." The research performed to support a thesis must be both, and the dissertation must show it to be so. In particular, a dissertation highlights original contributions with implications for social work practice, education and research.
4. The essence of a dissertation is critical thinking. Analysis and concepts form the heart of the work.
5. A dissertation concentrates on principles: it states the lessons learned, not merely describing the facts behind them.
6. In general, every statement in a dissertation must be supported either by a reference to published scientific literature or by original work. Moreover, a dissertation does not repeat the details of critical thinking and analysis found in published sources; it uses the results as fact and refers the reader to the source for further details.
7. Each sentence in a dissertation must be complete and correct in a grammatical sense. The writing in a dissertation must be succinct and crystal clear. Shades of meaning matter; the terminology and prose must make fine distinctions. The words must convey exactly the meaning intended, nothing more and nothing less.
8. As in any good professional paper, each statement in a dissertation must be correct and defensible in a logical and scientific sense. Moreover, the discussions in a dissertation must satisfy the most stringent rules of logic applied to mathematics and science.

### I. Traditional (or Book) Dissertation Format:

The College of Social Work acknowledges the individual preferences and strengths of its doctoral students, as well as variations in research activities and projects. The traditional, or book style, dissertation format offers one approach for students who are preparing for academic, as well as other, careers. Under this model, a student writes a five (or more) chapter, book-style, dissertation that may lend itself to being published as a book manuscript and/or as articles for publication in peer-reviewed journals. Using this format, students are able to:

- Receive mentoring in the research process and prepare their first professional publications.
- Be more competitive for academic/faculty positions upon graduation.
- Add to the professional knowledge base.

Students seeking to pursue the traditional format should consult with the Ph.D. Director as well as their dissertation chairs to discuss feasibility of this option. When choosing a committee, a student, in consultation with their committee Chair, should consider faculty members who have strong publishing histories.

## II. Organization of the traditional dissertation:

The traditional format for a dissertation generally has the following basic outline although the number of chapters and outline may vary:

### **Chapter 1**

Problem Statement, which includes:

- a. A definition or statement of the problem.
- b. The importance of the problem, i.e. a critical review of the extant literature to justify the proposed/prospective research and why it matters to the field of social work.
- c. The theoretical foundation(s) supporting the problem/issue.
- d. The research questions.
- e. A succinct discussion of the methods/methodology(ies) to be used to answer those questions.

### **Chapter 2**

Literature Review and Theory: This chapter offers a critical examination of the salient literature on the topic of the dissertation, including a review of theories, methods and findings, ending with identification of the research questions to be studied in the dissertation.

### **Chapter 3**

Methods/Methodology: This chapter addresses how the study will be implemented, including, but not limited to, data collection and sources, instruments and protocols, sample (size, recruitment, etc.), tools of analysis, IRB approval, etc.

### **Chapter 4**

Findings: The results of the study are presented in detail, addressing in particular the research questions posed by the study.

### **Chapter 5**

Discussion: Includes a discussion of implications and recommendations, with attention to contributions to social work education, research and practice.

## III. Traditional (Book) Dissertation Proposal and Defense Procedures

**The proposal defense is done orally, before an approved thesis supervisory committee *no sooner than two months after the successful completion of the Qualifying Exam*. The complete dissertation is orally defended *no sooner than four months after the oral defense of the proposal*.**

1. Dissertations prepared using the traditional format will be subject to proposal and dissertation defense procedures as specified by program and Graduate School policy. The student is the sole author of the dissertation.
2. The traditional dissertation proposal must include:
  - a. Chapters 1, 2 and 3 as described above.
  - b. A timeline for completion of the work.

3. For the dissertation defense, students will present a final document that includes all the elements required by the University Thesis Office for a traditional dissertation (e.g., abstract, table of contents, appendices), along with the completed versions of Chapters 15. Note that the dissertation defense occurs after the Chair and committee members have approved the student to go forward to final defense.
4. The chair should receive a final, revised draft of the dissertation proposal or completed dissertation **at least three weeks before the oral presentation** and the rest of the committee and the Ph.D. Director should receive a copy **at least two weeks in advance** of the oral presentation. *This review copy is a fully revised and polished version of the proposal or dissertation, having been vetted previously by the committee members.*

#### IV. Guidelines for Multiple Article Path (MAP) Dissertation

1. The College of Social Work acknowledges the individual preferences and strengths of its doctoral students. To recognize such strengths, the Ph.D. Committee has developed an alternative format for the dissertation known as the “Multiple Article Path,” or MAP. The MAP offers an alternative for students who are preparing for academic careers. Under this model, a student writes a minimum of 3 articles for publication in peerreviewed journals. There are several advantages to qualified students who choose this option. Students are able to:
  - Receive mentoring as they prepare their first professional publications.
  - Be more competitive for academic/faculty positions upon graduation.
  - Add to the professional knowledge base.
2. Students seeking to pursue the MAP format should consult with the Ph.D. Director as well as their dissertation chairs to discuss feasibility of this option. ***All MAP dissertations require prior approval of the dissertation committee and Ph.D. Program Director at the time of composing the supervisory committee.*** When choosing a committee, a student, in consultation with their committee Chair, should consider faculty members who have strong publishing histories.

#### V. Organization of the MAP Dissertation

1. The dissertation must include an abstract that synthesizes the articles, as well as an introduction (Chapter 1) and a conclusion (Chapter 5, assuming the minimum of 3 articles is presented).
2. The introduction (Ch.1) addresses the research underlying all three articles, and should include:
  - a. A definition or statement of the problem.
  - b. The importance of the problem, i.e. a critical review of the extant literature to justify the proposed/prospective research and why it matters to the field of social work.
  - c. The theoretical foundation(s) supporting the problem/issue.
  - d. The research questions.
  - e. A succinct discussion of the methods/methodology(ies) to be used to answer those questions.
3. The conclusion (final chapter) will briefly summarize the dissertation’s major findings, discussion, and develop recommendations and social work implications for education, practice and research. The student will also present and discuss linkages (i.e., similarities and

differences) between the separate manuscripts that are included in the dissertation, striving as much as possible to present the document as representative of a coherent body of work.

4. The dissertation will be formatted and bound consistent with University Thesis Office guidelines (see *A Handbook for Theses and Dissertations*, available on-line from the Graduate School at [www.gradschool.utah.edu](http://www.gradschool.utah.edu)).

## VI. MAP Dissertation Proposal and Defense Procedures

1. Dissertations prepared using the MAP format will be subject to proposal and dissertation defense procedures as specified by program and Graduate School policy. **The proposal defense is done orally, before an approved thesis supervisory committee no sooner than two months after the successful completion of the Qualifying Exam. The complete dissertation is orally defended no sooner than four months after the oral defense of the proposal.**
2. The MAP dissertation proposal must include:
  - a. The introductory chapter (see #2 above).
  - b. An outline of the proposed research and how it will contribute to each article.
  - c. A timeline detailing tasks to be completed for each article.
  - d. A list of proposed journals for each article.
  - e. A timeline for completion of the work.
3. For the dissertation defense, students will present a final document that includes all the elements required by the University Thesis Office for a traditional dissertation (e.g., abstract, table of contents, appendices); their introductory chapter; all completed articles (minimum of 3) that will be submitted for publication; and a concluding chapter. Note that the dissertation defense occurs after the Chair and committee members have approved the student to go forward to final defense.
4. The chair should receive a final, revised draft of the dissertation proposal or completed dissertation at least three weeks before the oral presentation and the rest of the committee and the Ph.D. Director should receive a copy at least two weeks in advance of the oral presentation. *This review copy is a fully revised and polished version of the proposal or dissertation, having been vetted previously by the committee members.*

## VII. Number and Nature of Articles

1. The student will write a **minimum** of 3 articles under the MAP format. Each article is treated as a separate chapter, i.e., they will comprise Chapters 2, 3, and 4 of the dissertation
2. The articles should form a cohesive body of work that supports a theme or themes that are expressed clearly in the introduction to the dissertation (Chapter 1). All articles for the MAP dissertation must be empirically-based analyses using quantitative, qualitative, or systematically collected data. The first article may utilize existing literature and available data to **a)** perform a systematic review/meta-analysis or **b)** develop a conceptual model, in which the concepts are



nominally/operationally linked together in feasible, testable hypotheses or propositions, to be subsequently explored and analyzed in the remaining two papers.

3. Articles are submitted to journals following the style requirements of those particular journals. However, in the dissertation, the articles *must* follow University Thesis Office guidelines in terms of formatting and presentation (see MAP Appendix A).

## VIII. Journals

1. A provisional list of journals must be approved by the dissertation committee at the time of the proposal. Serving as an “editorial board” for the student, the committee will help select journals that will challenge the student and offer a reasonable chance of publication success. The dissertation committee will approve the final selection of journals at the time of the thesis defense, prior to submission of any work.
2. All articles must be ready for submission prior to the dissertation defense and should be submitted as soon as possible following the defense, once any changes suggested by the committee at the defense are made and the dissertation has been passed by the committee and approved by the Dean of the College of Social Work.

## IX. Authorship

1. Students must be the sole author on two of the three articles in the completed MAP dissertation. One article may be co-authored, with the student as the lead author. Coauthors must be identified at the student’s proposal defense and any changes in coauthorship must be approved by the student’s supervisory committee.
2. Co-authorship must follow authorship guidelines as outlined in the Ph.D. Handbook. Please see Appendix A, below.
3. To avoid conflicts of interest, any co-authors who are members of the student’s supervisory committee must recuse themselves from judging articles carrying their name and *must notify the Ph.D. Director at least one month prior to the dissertation defense*. In these cases, the Ph.D. Director, in consultation with the remainder of the committee members, will appoint additional faculty members prior to the defense to determine the suitability of the article in question.

## DISSERTATION GUIDELINES – APPENDIX A

### Authorship and Collaborative Research (from the Ph.D. Handbook)

As part of their doctoral preparation, all Ph.D. students should engage in research and scholarship in collaboration with their peers and/or College faculty. This process should be based on the principles of mutual respect, critical inquiry, and collaboration. The following guidelines apply:

- 1) Early in their work with students, faculty members have a responsibility to discuss and agree upon each contributor's responsibilities and authorship expectations, including order of authorship. Faculty have a special responsibility to help students contribute as much as they are able.

- 2) As soon as possible in any research or writing collaboration those involved should come to an agreement regarding data ownership.
- 3) All contributors making a substantial contribution to articles should be listed as authors.
- 4) Order of authorship generally should reflect extent of contribution, except that the level of contribution required for students to be listed as authors may be less than that required of faculty. When individuals' contributions are approximately equal, preference in order of authorship should be given to students.

Faculty have the responsibility to assure that students' dissertations represent original, independent work. Articles that students prepare based on their dissertation findings would be expected to list the student as first or sole author.

## **A05-suggested Guidelines for Oral Defense**

### **SUGGESTED GUIDELINES FOR DOCTORAL DISSERTATION ORAL DEFENSE**

#### Supervisory Committee Guidelines

1. Introductions
2. Overview of Process to be followed
  - a. 30-40 minute presentation by candidate
  - b. Questions from Committee
  - c. Questions from guests
  - d. Excuse candidate/guests to process/sign/grade. For Zoom presentations members of the committee are invited to the breakout room for deliberations.
  - e. The Committee returns back to the original meeting room and shares the news with the student.
3. Ask candidate to present 30-40 minute overview of dissertation; announce title.
4. Following the presentation, invite questions from Committee Members.
5. Invite questions, comments from guests.
6. Excuse candidate and guests so Committee can process.
7. Discuss as a Committee, agree on grades.
8. The presentation is graded using criteria of pass, conditional pass, or fail. The presentation is intended to be a summary of the candidate's dissertation.
9. Call candidate back into room.

#### Student Guidelines

1. Do not attempt to cover your entire dissertation. Highlight each section and summarize for the audience the major points derived from literature review.
2. Share some data with the audience, but do not overwhelm them with lots of numbers. Demonstrate your ability to understand and present patterns and trends associated with the dissertation topic.
3. Attend other doctoral student presentations to familiarize yourself with the process.
4. Treat this presentation as a professional conference session.
5. Practice!!!

#### Student Preparation of Materials

1. Be concise and stay focused, using overheads or a computerized presentation. The process of preparing materials for the defense of your dissertation is similar to that used in publishing a paper. It may take several drafts to accomplish your purposes. Plan for this!
2. This presentation requires you to integrate a great deal of material. Preparing an outline to guide your efforts will be most helpful. Think about transitions that are necessary to bring your presentation together.
3. Preparation of outlines for the audience will strengthen your presentation.

#### Student Delivery

1. Be confident and concise.
2. Don't worry if you can't answer all questions. Some issues can be re-framed as future research agenda.

## A6-PhD Dissertation Approval and Presentation Scheduling Form

### PhD Dissertation Approval and Scheduling Form

Dear Doctoral Student and Supervisory Committee: This form must be completed and received by the PhD office no fewer than three weeks before the scheduled time of the defense, indicating that each member of your supervisory committee has approved the current draft of the proposal/thesis document for presentation.

Please indicate the date/time when committee members and the PhD Director have agreed to schedule your presentation. The room can be reserved by contacting the PhD Office.

**Student Name:** Click or tap here to enter text. **Student ID:** Click or tap here to enter text.

**I request to schedule:**  PhD Dissertation Proposal  PhD Dissertation Defense

**Dissertation Title:** Click or tap here to enter text.

#### Committee Approvals:

**I have reviewed this dissertation and verified that the student has incorporated feedback given to the students. I approve the student may now schedule the proposal/defense date.**

**Committee Chair Initials\*:** Click or tap here to enter text. **Date:** Click or tap to enter a date.

**Committee Member Initials\*:** Click or tap here to enter text. **Date:** Click or tap to enter a date.

**Committee Member Initials\*:** Click or tap here to enter text. **Date:** Click or tap to enter a date.

**Committee Member Initials\*:** Click or tap here to enter text. **Date:** Click or tap to enter a date.

**Committee Member Initials\*:** Click or tap here to enter text. **Date:** Click or tap to enter a date.

*\*by providing initials, the committee members are approving a fully revised and polished version of dissertation proposal/defense. "Fully revised" means that the student has received feedback from each committee member, has addressed the feedback, and the committee members have read and approved the revisions. "Polished" means that the document needs no more than very minor copyediting.*

#### **Suggested timeline:**

**At least 12 weeks prior** to anticipated (but not scheduled) defense date: Chair receives full copy of the document for first review.

**10 weeks prior:** Chair gives feedback on document to student

**8 weeks prior:** If approved by Chair, revised document is read by Chair and committee members.

**6 weeks prior:** All committee members have given feedback to the student.

**4 weeks prior:** Chair and all committee members receive a revised and polished version of the dissertation. With committee approval, the student may now schedule the defense date.

**A-07 Contract for Independent Study**

**PhD Program  
CONTRACT FOR INDEPENDENT STUDY**

On \_\_\_\_\_ (date), \_\_\_\_\_ (student), contracted to complete  
**SW 7900** Independent Study with \_\_\_\_\_ (faculty member) during the  
following \_\_\_\_\_ (semester and year) for \_\_\_\_\_ credit hours.

I. Title or Descriptive Statement of the Independent Study

II. Purpose of the Independent Study

III. Syllabus

Create a 15-week syllabus for the course you want to take, including course description, course objectives, week by week learning activities, assignments, and methods of evaluation. You should keep in mind the end product of your independent study and clearly outline the methods of evaluation. These criteria will be used by your faculty sponsor to grade your work at the end of the semester. We encourage you to model your independent study syllabus on syllabi from your core PhD courses. Please note: your Independent Study will not be approved if the proposed topic is included elsewhere in the curriculum.

**Required hours for an Independent Study is 45 clock hours per credit hour. This equals 3 hours spent per week for a one-credit independent study and 6 hours per week spent for a 2-credit independent study.** Your independent study should also contain regular consultation with your faculty sponsor throughout the semester.

Attach the independent study syllabus you created to this contract, to receive administrative approvals.

Independent Study can be taken for 1-3 credit hours. The Contract must be approved by the PhD Program Director before registering.

\_\_\_\_\_

Student Signature

\_\_\_\_\_

Date

\_\_\_\_\_

Instructor Signature

\_\_\_\_\_

Date

\_\_\_\_\_

PhD Director Approval

\_\_\_\_\_

Date



COLLEGE OF SOCIAL WORK | THE UNIVERSITY OF UTAH

---

**PhD Program**

**RECOMMENDED MENTORING CONTRACT**

This contract is intended to serve as a guideline to facilitate communication between doctoral students and their faculty mentors. It is suggested that the document be thoroughly reviewed and completed by the student and mentor individually, and then jointly review and discuss each person's answers in order to reach an agreement. The student researcher should re-write the agreed upon answers before the contract is signed and dated by both parties. Student researchers are responsible for keeping the contract and reviewing/updating it as necessary, and making sure the faculty mentor and Ph.D. program coordinator have the most recent signed version.

1. What type of assistance does the student want from the mentor in achieving their career goals over the next 1-3 years? Where does the student hope their career will have taken them in five years?
2. What expectations do the mentor(s) have of the student? (List projects, tasks, timelines, etc.)
3. What expectations does the student have of the mentor(s)?
4. How often will you meet?
5. When and where will you meet?
6. For how long?
7. Who will be responsible for scheduling the meetings?
8. What will meeting topics include?
9. What will be the ground rules for discussions? (E.g., confidentiality, openness, candor, truthfulness, etc.)
10. If problems arise, how will they be resolved?
11. Any concerns the student wants discussed and resolved?

12. Any concerns the mentors want discussed and resolved?
13. How will you know when the mentoring relationship has served its purpose and needs to be terminated?
14. We have agreed that our initial meetings will focus on these three topics:
  - a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
15. Any additional areas/issues you want to discuss and agree to?

\_\_\_\_\_  
Student Name                                  Student Signature                                  Date

\_\_\_\_\_  
Faculty Mentor Name                                  Faculty Mentor Signature                                  Date

**Student Handbook Acknowledgement**

I acknowledge that I have received and read the Social Work PhD Program Handbook for the 2024-25 academic year.

---

Student Name

---

Date