2011-2012
Ph.D.
Student Handbook

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status or sexual orientation.
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INTRODUCTION

Welcome to the PhD Program at the University of Minnesota School of Social Work. This handbook was developed as a resource for incoming doctoral students. It describes the goals and objectives of the School of Social Work and the doctoral program in particular; it contains a list of important and frequently used School and University addresses and phone numbers; it describes the requirements of our PhD program; and it contains copies of pertinent School of Social Work and University policies for graduate students. In addition, the Appendix contains copies of a variety of forms you may use during your time as a doctoral student. We hope you find this handbook to be useful.

The contents of this book are subject to change. You will receive copies of any changes in policies and/or procedures of the PhD program. Other publications that you may need to consult during your time as a PhD student are: the Graduate School Bulletin (for Graduate School requirements and descriptions of courses) [http://www.catalogs.umn.edu/grad]; the Graduate Assistant Employment documents [http://www1.umn.edu/ohr/gae/], and the Class Schedule available on-line via the University's OneStop website: [http://onestop.umn.edu/]. There are links from the OneStop site to topics ranging from bus service and parking to University-wide calendars and policies. The School of Social Work also publishes a weekly newsletter which you should read for announcements, meetings, financial aid possibilities, and news of people in the School. Additional SSW information can be found on our web site at [http://cehd.umn.edu/ssw/].

In addition to these resources, the School uses e-mail as the official means of distributing information on policies and program matters to students. So, be sure to check your University e-mail account regularly. All official e-mail announcements are sent to your designated University e-mail address (e.g. jdoe001@umn.edu).

Finally and most importantly, there are many people who will serve as resources to you — your adviser, the Director of the PhD Program, the Assistant to the PhD Program, and many others. Please feel free to direct your questions to them. Again, welcome to the PhD Program!

Liz Lightfoot
PhD Program Director

Jan Goodno
Assistant to the PhD Program
GENERAL INFORMATION

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Mission, Goals and Objectives

School of Social Work

The School of Social Work was established at the University of Minnesota in 1917, the first graduate social work program among the land-grant universities in the United States. Located in a state known historically for its progressive innovations in human services and social reform, it has always emphasized social service and social justice in shaping its teaching, community service and research goals. The central mission of the School of Social Work is:

Building upon the University of Minnesota's and College of Education and Human Development's land-grant mission of education, research, and service, the mission of the School of Social work is threefold:

1) to educate ethical competent social work practitioners and scholars in direct practice, community practice, teaching, theory development, policy development and evaluation;

2) to promote scholarship and research to expand social work knowledge, and

3) to provide professional outreach locally, nationally and globally. As the oldest public school of social work in the United States, the University of Minnesota School of Social Work promotes this mission through a tradition of scholarship, leadership, and commitment to the public good, social justice, and the empowerment of oppressed peoples.

Doctoral Program

The doctoral program in social work prepares students to provide intellectual leadership for the social work profession through advanced levels of scholarship, research, theory development and policy analysis. Students are expected to acquire skill in research design and statistics. Interdisciplinary study is required as well as developing a comprehensive knowledge of social work and social welfare theory, policy and history through seminars taught within the School of Social Work.

The doctoral program emphasizes mastery of student-determined and program-determined objectives rather than an accumulation of course credits. Degree requirements vary according to background and educational goals. Typically 40 semester credits plus 24 semester thesis credits beyond the MSW are required. All students must pass written and oral examinations and complete a dissertation. Foreign language study is not required.

The doctoral program does not focus on the development of advanced skills for clinical practice although students gain knowledge of practice theory, and research related to social work practice is encouraged. The majority of graduates assume positions as university faculty, thus, the program offers opportunities for students to acquire skills in teaching and curriculum development.
Administrative Structure and General Information

Administrative offices of the School of Social Work are located in Peters Hall on the St. Paul campus. All faculty and staff members use e-mail accounts and voicemail for communication. Addresses and phone numbers can be found in the University's Student-Staff Directory or by searching the online directory at http://www.umn.edu/lookup.

Administrative Offices and Phone Numbers

http://cehd.umn.edu/ssw/
105 Peters Hall
1404 Gortner Avenue
St. Paul, MN 55108
612-625-1220 or 800-779-8636
Fax: 612-624-3744

<table>
<thead>
<tr>
<th>Administrators</th>
<th>Peters Hall Room #</th>
<th>Phone Number</th>
<th>E-mail Address</th>
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<tbody>
<tr>
<td>James Reinardy, M.S.W., Ph.D.</td>
<td>105C</td>
<td>612-624-3673</td>
<td><a href="mailto:jreinard@umn.edu">jreinard@umn.edu</a></td>
</tr>
<tr>
<td>Director</td>
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<tr>
<td>Megan Morrissey, M.S.W., Ph.D.</td>
<td>105D</td>
<td>612-624-4210</td>
<td><a href="mailto:mmorris@umn.edu">mmorris@umn.edu</a></td>
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<tr>
<td>Associate Director</td>
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<tr>
<td>Director, M.S.W. Program</td>
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<tr>
<td>Heidi Wagner</td>
<td>105B</td>
<td>612-625-6122</td>
<td><a href="mailto:h@umn.edu">h@umn.edu</a></td>
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<tr>
<td>Assistant to the Director</td>
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<tr>
<td>David Hollister, Ph.D.</td>
<td>275</td>
<td>612-624-3695</td>
<td><a href="mailto:dhollist@umn.edu">dhollist@umn.edu</a></td>
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<tr>
<td>Director of Graduate Studies</td>
<td></td>
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<tr>
<td>Elizabeth Lightfoot, Ph.D.</td>
<td>285</td>
<td>612-624-4710</td>
<td><a href="mailto:elightfo@umn.edu">elightfo@umn.edu</a></td>
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<tr>
<td>Director of the PhD Program</td>
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Graduate Studies Office – 140 Peters Hall
612-624-4905

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<th>Contact Person</th>
<th>Peters Hall Room #</th>
<th>Phone Number</th>
<th>E-mail Address</th>
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<tr>
<td>Jan Goodno</td>
<td>140B</td>
<td>612-624-4258</td>
<td><a href="mailto:jgoodno@umn.edu">jgoodno@umn.edu</a></td>
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<tr>
<td>Assistant to the DGS, PhD Program Assistant</td>
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<tr>
<td>Karen Borchardt</td>
<td>140</td>
<td>612-624-4905</td>
<td><a href="mailto:kborchar@umn.edu">kborchar@umn.edu</a></td>
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<tr>
<td>Graduate Studies Services</td>
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<tr>
<td>Steve Maxwell, M.S.W</td>
<td>140A</td>
<td>612-624-4287</td>
<td><a href="mailto:maxwe003@umn.edu">maxwe003@umn.edu</a></td>
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<tr>
<td>Director of Field Instruction</td>
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<tr>
<td>Kate Walthour, M.S.W.</td>
<td>140C</td>
<td>612-625-8712</td>
<td><a href="mailto:kwalthou@umn.edu">kwalthou@umn.edu</a></td>
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<tr>
<td>Director of Admissions</td>
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Key University Offices and Services

Assessment and Achievement Center, 1313 5 St SE, Suite 106A (612-626-1055)
Assessment, counseling and tutoring for academic issues.

Boynton Health Service, http://www.bhs.umn.edu, 109 Coffey Hall, St. Paul Campus (612-624-7700) or 410 Church Street S.E., Mpls. Campus (612-625-8400)
Outpatient health care and health counseling are provided here for all students who pay the student service fee (which is automatically charged to students who have registered for 6 or more credits). A small co-payment is charged for consultations with specialists at Boynton. Charges are also made for prescription drugs, glasses, dental services, mental health counseling and some types of physical examinations. Hospitalization insurance coverage may also be purchased through a University-sponsored policy. For students with graduate assistantships that are at least 25%-time, hospitalization insurance can be provided at no charge.

Copies on Campus offers fast turn-around service, low cost copies, and extended hours. Their hours are Monday, Wednesday, and Friday, 8 am to 5 pm; Tuesday and Thursday, 8 am to 9 pm.

The GAO coordinates and posts openings for academic appointments reserved for graduate students. Appointments to teaching assistant, research assistant, or administrative fellow positions are offered through various departments. Notices are also posted on the 3rd floor of Johnston Hall on the Minneapolis campus. Assistantships provide income as well as tuition (and sometimes health care) benefits.

Housing Office, http://www1.umn.edu/housing, Comstock Hall (612-624-2994)
This office assists students wishing to live in a residence hall. It also has information regarding off-campus apartments and rooms.

When your backpack gets too heavy, you can rent a locker at the St. Paul Student Center or in the Classroom/Office Bldg. Make arrangements at the information desk of the St. Paul Student Center.

When you’re looking to work off frustrations and boost energy, try the newly remodeled recreation facilities at the St. Paul Gym. Students who have paid the Student Services Fee (those who are registered for 6 or more credits) automatically have membership privileges. Student rates are available to part-time students.

The Center helps students find employment opportunities to help meet school expenses. These are non-work study positions, on-campus and off-campus.

Student Financial Aid http://onestop.umn.edu/FinancialAid, 210 Fraser Hall, Mpls. Campus (612-624-1665)
The Office of Scholarships and Financial Aid provides information on student grants, loans and work-study. Forms and application instructions are available from OSFA as well as the OneStop website.

University Counseling & Consulting Services, http://www.uhc.umn.edu, 199 Coffey Hall, St. Paul Campus (612-624-3323) or 109 Eddy Hall, Mpls. Campus (612-624-3323)
The office provides consultation and outreach services. Professional counselors are available to help students with academic, career, or personal problems and questions. Services include counseling, testing, assistance in the development of learning and academic skills and a career resource center.
Additional University of Minnesota Offices

Links for these offices are available through the Universities’ directory – http://www1.umn.edu/twincities/directory.html.

University of MN General Information (612-625-5000)
Academic & distributed Computing Services:
http://www1.umn.edu/adcs

African-American Learning Resource Center, 315 Science Classroom Building (612-625-1363)
http://www1.umn.edu/twincities/directory/a.html#aficnamer

American Indian Learning Resource Center, 125 Fraser Hall (612-624-2555)
http://www1.umn.edu/ailrc-

Asian/Pacific American Learning Resource Center, 315 Science Classroom Building (612-624-2317)
http://www.disserv.stu.umn.edu/TC/Grants/COL/cdev/learn/OMSSA/index.html

Chicano/Latino Learning Resource Center, 315 Science Classroom Building (612-625-6013)
http://www1.umn.edu/cllrc/

College of Continuing Education, 130 Coffey Hall (612-625-3333)
http://www.cce.umn.edu

Disability Services, 23 Gateway Building (612-626-1333)
http://disserv3.stu.umn.edu/index2.html

Distance Education:
At Moorhead State University, Social Work Dept., 96 Lommen Hall (218-236-2613)
At U of MN Rochester Center (1-800-947-0117 or 507-280-2984)

Gay/Lesbian/Bisexual/Transgender Programs Office, 138 Klaeber Court (612-625-0537)
http://www1.umn.edu/glbt/

Graduate School, 309 Johnston Hall (612-625-3014)
http://www.grad.umn.edu/

Humphrey Institute of Public Affairs, 300 HHH Center (612-625-9505)
http://www.hhh.umn.edu

International Students and Scholar Services, 190 HHH Center (612-626-7100)
http://www.iss.umn.edu/

Office for Minority and Special Student Affairs, 1901 University Ave. SE, Room 310 (612-625-9556)

Residency Office (for in-state tuition rates), 240 Williamson Hall (612-625-6330)(800-752-1000)
http://www.physther.med.umn.edu/details.html

School of Public Health, D-305 Mayo Building (612-626-3500)
http://www.sph.umn.edu

Transcript Office (Office of the Registrar), 200 Fraser Hall (612-625-5333)
http://www1.umn.edu/registrar/transcripts/official.html

Student Computer Facilities
Student computer facilities are available to currently registered students only. Attendants are available to help with the technology offered at each location.
http://1help.umn.edu/computerfacils/
SUMMARY OF STEPS IN THE DOCTORAL PROGRAM

Matriculation
Coursework and Preliminary Examination Preparation
Preliminary Examinations
Candidacy
Final Oral Examination
Commencement
Submission of Abstract
Deposit Dissertation Copies

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OVERVIEW OF MATRICULATION

Coursework and Preliminary Examination Preparation

**Social Work Major:** Fulfill Social Work doctoral program requirements, including six required courses, statistics requirement, two years of colloquium attendance, and research practicum.

**Minor or supporting program:** Complete at least 12 graduate semester credits outside of the School of Social Work. See Graduate School Bulletin.

**Participate in annual reviews** until Oral Preliminary Examination is passed.

**File “Degree Program Form”** with the Graduate School at least one term prior to the term in which the Preliminary Oral Examination will be taken.

Preliminary Examinations

**Written Preliminary Examination:** The two-week take-home written exam is offered twice per year. Notify Jan Goodno that you will be taking the examination 30 days prior to its offering. Results to be reported to the Graduate School on “Preliminary Written Form.”

**Form Specialized Written Preliminary Examination Committee:** Form a three person Specialized Written Preliminary Examination Committee composed of graduate faculty to help guide and evaluate specialized written exam and to assist with preparation for oral preliminary examinations. This committee should include two School of Social Work faculty and one faculty member from another University of Minnesota department outside of the School of Social Work.

**Specialized Examination:** Work with Committee to develop a Specialized Examination question, and write a roughly 20 page Examination Answer that demonstrates mastery of the theoretical and research literature related to their dissertation topic. Both the general social work knowledge and the specialized exam must be completed successfully before the written prelim has been passed.

**Form Oral Preliminary Examination Committee.** After passing the Written Specialized Preliminary Examination, students form a four-person Oral Preliminary Examination Committee. This committee, comprised of three School of Social Work faculty and one faculty member from another University of Minnesota department outside of the School of Social Work, must be approved by the Graduate School through filing of the Degree Program Form.

**Oral Preliminary Examination:** An oral examination testing students’ master of general and specialized knowledge will be held with the Oral Preliminary Examination Committee. Results are reported to the Graduate School on the “Preliminary Oral Form.”

**Attaining Candidacy Status:** After passing the Oral Preliminary Examination, students become Ph.D. Candidates. Students have five years from first enrolling in the PhD program to achieve candidacy status.

Candidacy

**Continuing registration.** All requirements, including courses declared on the Degree Program Form and the dissertation, must be completed within five calendar years of attaining candidacy status. Students must continue to be registered after attaining candidacy status. The Graduate School requires registration for a minimum of 24 semester doctoral thesis credits for all students. Doctoral students may begin registering for doctoral thesis credits the term after passing the Preliminary Oral Examination.

**Final Examination Committee.** Students form a Final Examination Committee consisting of at least three School of Social Work faculty members and one faculty member from a University of Minnesota department outside of the School of Social Work. Other committee members from
outside the University of Minnesota may be considered for addition to the Committee as non-voting members. The thesis advisor cannot be the chair of the committee. The role of the chair is to run the Final Examination meeting. The chair must be another committee member with full graduate faculty membership, either inside or outside of the School of Social Work.

**Dissertation Proposal.** Students develop a dissertation proposal in consultation with the Final Examination Committee. Students then present their proposal to the members of the Final Examination of the Committee. When the Final Examination Committee approves the proposal, the "Thesis Title Form" and statement must be submitted to the Graduate School.

**Write Dissertation.**

**Certify that the dissertation is ready for defense.** At least three members of the Final Examination Committee, called *Thesis Readers*, must certify that the dissertation is ready for defense before the Final Oral Examination, on "Thesis Readers Report Form."

**Final Oral Examination**


**Submit thesis to Final Examination Committee:** The thesis must be submitted to all members of the examining committee at least 30 days before the Final Oral Examination.

**Schedule Final Oral with Graduate School:** Schedule the Final Oral Examination with the Graduate School at least one week before the desired date.

**Announce Final Oral to School of Social Work:** Send a Dissertation Defense announcement to the Doctoral Program Director and the Doctoral Program Assistant at least two weeks before the defense date.

**Final Oral.** The Final Oral involves a public presentation to the School of Social Work and a closed final examination with the Final Examination Committee. Results are to be reported to the graduate school on “Final Oral Report Form.” (This form is sent by the Graduate School to the student’s adviser.) At this time all items must be completed and checked with the Graduate School, including the “Thesis Readers Report Form.” *(Note:* The thesis adviser cannot chair the Final Oral Examination Committee; the chair must be another committee member with full graduate faculty membership.)

**Commencement and Recognition Ceremony**

Students may choose to attend the CEHD Commencement and/or the School of Social Work Recognition Ceremony.

**Deposit Dissertation Copies**

Deposit one bound copy of the dissertation, signed by the adviser, with the Graduate School, one bound copy with the School of Social Work, and one bound copy with your advisor.
DOCTORAL PROGRAM REQUIREMENTS

Coursework and Skills Requirements
Required Social Work Courses
Social Work Colloquium
Waivers of Required Social Work Courses
Supporting Program Requirement
Social Work Research Practicum
Statistics Course Requirements
Computer Skills Requirement
Completing Course Requirements
Critical Thinking and Analysis
Timetable for Completion

Research Practicum
Description
Objectives
Grading Policy
Practicum Components
Practicum Workload
Implementation Mechanism

Preliminary Examinations
Written Preliminary Examination Policy
Oral Preliminary Examination Policy

Dissertation Preparation

Graduation Instructions for Doctoral Candidates
DOCTORAL PROGRAM REQUIREMENTS

Coursework and Skills Requirements

The courses required as part of doctoral studies in Social Work are composed of (a) core seminars in social work research, social welfare history, social welfare policy, and theory and model building, and a social work teaching course; (b) a research practicum; (c) supporting program courses; and (d) statistics courses.

Students are also required to have teaching experience in the School of Social Work while in the doctoral program and to fulfill the computer skills requirement.

Required Social Work Courses

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<th>History of Social Welfare</th>
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<td>SW 8871 Social Work Research Seminar I</td>
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<tr>
<td>SW 8872 Social Work Research Seminar II</td>
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<tr>
<td>SW 8875 Research Practicum (Total 4cr, 2 cr per semester)</td>
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**Total Credits** 22 cr
Attendance at bimonthly PhD and Research Colloquia
Students are expected to attend the twice per month noontime PhD Colloquia and the Research Colloquia for at least the first two years of their participation in the program, and are encouraged to attend throughout their matriculation in the program. Students who have a scheduling conflict with the Colloquia during a semester must make prior arrangements with the PhD Director to attend the colloquia a different semester.

Waivers of Required Social Work Courses
The Doctoral Committee will not permit students to be excused from or enroll in substitute courses in place of the required social work courses. We recognize that our student body enters the program with a diverse set of skills and knowledge gained in both prior training and in employment experiences. High level skill and knowledge is not, however, a reason for being excused from the required doctoral social work courses. The courses are designed for advanced level learning and are expected to be challenging to all students, regardless of prior knowledge. Those students with high level skills and knowledge in the content of a course are encouraged to negotiate an advanced learning contract with the instructor. (Approved by Doctoral Committee 1-31-91).

Academic Standing
Ph.D. students must earn a 3.0 overall grade point average in social work core courses, including Statistics, to remain in good standing (Approved by Doctoral Committee 10-24-07). Students who are not in good standing may be dismissed from the program.

Pass/Fail
All social work core courses, including statistics, must be taken for a letter grade (A-F). Only supporting program courses may be taken pass/fail.

Supporting Program Requirement
The supporting program consists of a minimum of 12 semester credits selected in consultation with your adviser from courses offered by other University of Minnesota departments. The supporting program may be a minor from another department or a coherent set of courses from more than one discipline related to social work. Supporting program course work taken outside of the University of Minnesota must be pre-approved by the student’s adviser and Ph.D. Program Director.

Social Work Research Practicum
This 2-semester sequence is taken in the second year of the Social Work Doctoral Program. The Research Practicum may not be taken until students have completed the required Social Work research and required statistics courses. The research practicum is designed to provide students a supervised, hands-on, practical experience with an ongoing faculty research project, along with guidance in formally integrating this experience with the content learned in research and statistics courses. The practicum includes two components: a research placement and a concurrent research proseminar.

Statistics Course Requirement
Ph.D. students are expected to develop sufficient mastery of statistics to undertake multivariate analyses. No statistics courses are offered by the social work program although any of the following sequences are acceptable. Consultation with your adviser is recommended to select a sequence appropriate to your career and research interests. Some of these sequences have prerequisites involving undergraduate mathematics or statistics courses. All courses in the selected sequence are to be included as part of your social work (not supporting program) PhD graduate program. The statistics sequences are to be completed prior to or concurrent with the social work research seminars and must be taken for a letter (A-F) grade.
Possible choices of statistics sequences that will successfully fulfill the program's requirement include (but are not limited to) the following:

**EPsy 8261. STATISTICAL METHODS I: Probability and Inference.** (3 credits; QP-EPsy 5260 or equivalent; SP-EPsy 5261 or equivalent). Inferential methods commonly used in the social and behavioral sciences are presented. Topics include probability, hypothesis testing and estimation for means and variances of normal populations, one-way analysis of variance, and contingency table analysis.

**EPsy 8262. STATISTICAL METHODS II: Regression and the General Linear Model.** (3 credits; QP-EPsy 8260 and 8261 or equivalent; SP-EPsy 8261 or equiv). This course offers higher order analysis of variance designs including those with repeated measures, simple and multiple regression methods, and non-parametric procedures.

- OR -

**Stat 5021. STATISTICAL ANALYSIS.** (4 credits; QP-College Algebra or #; SP-College algebra or #). Intensive version of Stat 3011 for graduate students needing statistics as a research technique. Descriptive statistics; elementary probability; estimation; one- and two-sample tests; contingency tables; correlation; linear and multiple regression.

- AND -

A second course in the statistics department approved by the Doctoral Committee.

- OR -

Public Health Biostatistics Sequence:

**PubH 5450. Biostatistics I.** (3 credits; QP-Math 1111 or Math 1201, hlth sci grad student or #; SP-Math 1111 or Math 1201, hlth sci grad student or #). Descriptive statistics; Gaussian probability models, point and interval estimation for means and proportions; hypothesis testing, including t, chi-square, and non-parametric tests; regression and correlation techniques; on-way analysis of variance; health science applications using output from statistical packages.

**PubH 5452. Biostatistics II.** (4 credits; QP-PubH 5450, competence in SAS as shown by PubH 5420 or equivalent or grade of B or better in PubH 5414-5415; SP-PubH 5450, competence in SAS as shown by PubH 5420 or equivalent or grade of B or better in PubH 5414-5415). Analysis of counted data including contingency table analysis and logistic regression, survival analysis, including Cox proportional hazards regression model.

- OR -

**Soc 5811. Intermediate Social Statistics.** (4 credits; SP-3811 or equivalent). Measurement, theory of probability, and bivariate statistics. Focus on multiple regression analyses of sociological data. Primarily for first-year sociology graduate students who need preparation for advanced social statistics. Undergraduates preparing for graduate programs may register upon availability.

**Soc 8811. Advanced Social Statistics.** (4 credits; SP-5811 or equivalent; grad soc major or #; A-F only) Statistical methods for analyzing social data. Sample topics: advanced multiple regression, logistic regression, limited dependent variable analysis, analysis of variance and covariance, log-linear models, structural equations, and even history analysis. Applications to datasets using computers.

- OR -

Other sequence approved by the Doctoral Committee.

**Computer Skills Requirement**

Doctoral students must acquire computer skills to enable them to conduct the data analysis portion of their research. In addition, acquisition of computer skills will often enhance the employability of students for some research assistant positions while in the program and will likely be an asset for seeking
employment following completion of the PhD degree. Minimal skills include an ability to use the University of Minnesota computer system in conjunction with commonly used statistical applications packages such as the Statistical Package for the Social Sciences (SPSS) to organize and implement analyses of research data.

Computer skills can be obtained and strengthened through credit course offerings, University Computer Center Short Courses, and individual practice and experience. The fulfillment of this program requirement will be determined by the student’s major adviser. (Adopted June 1985).

**Maximum Timeline to Achieve Candidacy**

Doctoral students have a total of five academic years from the time they first officially enroll in the Social Work PhD Program to achieve Candidacy status (passing the preliminary oral examination). In unusual circumstances, it may be necessary to extend the time required to achieve Candidacy status. In these cases, the candidate requiring additional time must submit a request for a one year extension prior to the expiration of the applicable period to the Doctoral committee. The Doctoral Committee may approve the extension, approve the extension with specific conditions (e.g. requiring a student to retake certain coursework), or deny the extension. Two, one year extensions are permitted (Adopted May 2011).

**Completing Course Requirements**

There are multiple ways for a full-time student to complete coursework in two years. Listed below are two examples of how coursework could be completed in two years for full-time students. These timetables are based on an academic schedule beginning 2011-2012 academic year.
Timetable for Completion of Course Requirements.
Course Requirements for Full-time Student – Option #1

<table>
<thead>
<tr>
<th>Fall Semester – Year 1</th>
<th>Spring Semester – Year 1</th>
<th>Summer Session – Year 1</th>
<th>Fall Semester – Year 2</th>
<th>Spring Semester – Year 2</th>
<th>Summer Session – Year 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>SW 8871 (3 credits)</td>
<td>SW 8872 (3 credits)</td>
<td>Supporting Program (3 credits)</td>
<td>SW 8875 (2 credits)</td>
<td>SW 8875 (2 credits)</td>
<td>Supporting Program (3 credits)</td>
</tr>
<tr>
<td>SW 8101 (3 credits)</td>
<td>GRAD 8851 (3 credits)</td>
<td></td>
<td>SW 8861 (3 credits)</td>
<td>SW 8855 (3 credits)</td>
<td></td>
</tr>
<tr>
<td>Statistics (3 credits)</td>
<td>Statistics (3 credits)</td>
<td></td>
<td>Supporting Program (3 credits)</td>
<td>Supporting Program (3 credits)</td>
<td></td>
</tr>
</tbody>
</table>

9 total credits | 9 total credits | 3 total credits | 8 total credits | 8 total credits | 3 total credits

Timetable for Completion of Ph.D.
Course Requirements for Full-time Student – Option #2

<table>
<thead>
<tr>
<th>Fall Semester – Year 1</th>
<th>Spring Semester – Year 1</th>
<th>Summer Session – Year 1</th>
<th>Fall Semester – Year 2</th>
<th>Spring Semester – Year 2</th>
<th>Summer Session – Year 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>SW 8871 (3 credits)</td>
<td>SW 8872 (3 credits)</td>
<td></td>
<td>SW 8875 (2 credits)</td>
<td>SW 8875 (2 credits)</td>
<td></td>
</tr>
<tr>
<td>GRAD 8101 (3 credits)</td>
<td>SW 8851 (3 credits)</td>
<td></td>
<td>SW 8861 (3 credits)</td>
<td>SW 8855 (3 credits)</td>
<td></td>
</tr>
<tr>
<td>Statistics (3 credits)</td>
<td>Statistics (3 credits)</td>
<td></td>
<td>Supporting Program (3 credits)</td>
<td>Supporting Program (3 credits)</td>
<td></td>
</tr>
</tbody>
</table>

9 total credits | 9 total credits | 11 total credits | 11 total credits | 11 total credits | 3 total credits
Research Practicum

Procedures for Developing and Establishing Research Practica

Description
Students enroll in this two-semester sequence in their second year of the doctoral program, after having completed the required research statistics courses. The research practicum is designed to provide students with supervised, practical experience as part of an ongoing faculty research project, along with guidance in formally integrating this experience with the content learned in research courses. To this end, the practicum includes two components: 1) Research internship; and 2) Concurrent research proseminar. The intent of the Research Practicum is to give the students an opportunity to have a mentored research experience with an active faculty researcher, not for students to work on independent projects.

Objectives
The objectives of the practicum are to:

1. Build skills in diverse research activities.
2. Strengthen students’ understanding of how such research concepts as the following operate in actual research practice: research questions; sampling; data gathering; data analysis; interpretation of findings; publication; direct practice application; subsequent study.
3. Strengthen students’ ability to articulate linkages among such components of research as formulating questions, identifying an appropriate sample, identifying appropriate data and data-gathering techniques, selecting appropriate procedures for data analysis, carrying out these steps, interpreting findings and implications in terms relevant to the original research questions.
4. Enable students to conduct their doctoral research as competent early investigators, securing external research support, publishing their findings, and competing successfully for post-degree, research-based employment.

Grading Policy
The four-credit research practicum must be taken on an S/N basis, two credits per semester. Students must enroll in the practicum both Fall and Spring semesters consecutively.

Practicum Components
Research Internship
- Participate as a research practicum student, roughly 7½ hours/week, for two semesters,
- With a member of the University of Minnesota graduate faculty (Research Supervisor) [may consider qualified research supervisor from another department or in an agency setting],
- On a research project relevant to the field of social work,
- For which a Placement Description has been approved by the SSW Doctoral Program Director.
- Keep an ongoing, written log linking research intern activities, experiences, reactions, and insights to research concepts. The log should also reflect ideas generated in the proseminar, and concepts learned from other students’ experiences and projects.

Research Proseminar
- Biweekly, 2-hour seminar during the year of the Practicum.
- Students raise issues, questions, and insights from their logs, for discussion with the whole group, guided by the Practicum Instructor (member of the graduate faculty).
Instructor leads discussion on identified research topics, based on assigned readings and on students’ research intern experiences. Students will also lead portions of the proseminar.

**Reading**

- Readings will be assigned and required for each proseminar, as indicated on the syllabus.

**Assignments**

- Logs to be submitted to the instructor at each proseminar session.
- Summary/synthesis report to be submitted each semester, as a means of evaluating each student’s achievement of the course’s learning objectives. This paper will summarize major issues from the semester’s weekly logs, and relate them to the course’s identified learning objectives.
- Manuscript of publishable quality, co-authored by student and Research Supervisor, or other product as negotiated with the proseminar instructor.
- Students will present their findings at a public poster presentation at the end of the Spring Semester.

**Practicum Workload: Student (Rough Guide Only)**

Hours: 2 credits/semester = 2 hrs in class every other week plus 8 hrs outside = 9 hrs/week. Approximately 126 hrs plus 10 hrs during exam week = 136 hours/semester = 272 hours/year

<table>
<thead>
<tr>
<th>Semester 1</th>
<th>136 Hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research tasks</td>
<td>7 1/2 hr/week</td>
</tr>
<tr>
<td>Research supervision with Supervisor</td>
<td>1 hr x 14/2 weeks</td>
</tr>
<tr>
<td>Proseminar</td>
<td>2 hrs x 14/2 weeks</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Semester 2</th>
<th>136 hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research tasks</td>
<td>7½ hr/week</td>
</tr>
<tr>
<td>In this semester, research tasks explicitly include (but are not limited to) preparing the required co-authored manuscript.</td>
<td></td>
</tr>
<tr>
<td>Research supervision with Supervisor</td>
<td>1 hr x 14/2 weeks</td>
</tr>
<tr>
<td>Proseminar</td>
<td>2 hrs x 14/2 weeks</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Assignments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reading</td>
</tr>
<tr>
<td>Writing</td>
</tr>
<tr>
<td>End of semester practicum summary/synthesis: 3 hrs</td>
</tr>
<tr>
<td>Poster Presentation: 2-3 hours</td>
</tr>
<tr>
<td>Co-authored manuscript with Supervisor (included in Research Tasks)</td>
</tr>
</tbody>
</table>
Implementation Mechanism

Most students use a Research Assistant Position as their PhD Practicum. For students who do not have an appropriate Research Assistant position, the PhD Program Director and Advisor will assist in finding a suitable Research Practicum with a SSW Faculty member.

Learning Contract

- Students develop a Practicum Contract with their Supervisor, clarifying:
  - Student learning goals;
  - Primary student activities toward achieving these goals;
  - Faculty activities to help student achieve goals;
  - Additional research tasks student agrees to perform;
  - Meeting schedule within which individual training and supervision will take place.
- This contract (signed by student and Supervisor) will be submitted to the Practicum Instructor by the second class meeting of the first semester of the practicum.
- Contract progress will be certified by student and Supervisor at the middle and the end of each semester.

Monitoring Procedures

- The Practicum Instructor will serve as “Research Practicum Liaison” for all placements.
- Learning contract progress will be certified in writing, by student and Supervisor, at the end of each semester. Certification will be submitted to the Practicum Instructor.
- Student difficulties with individual placements are expected to emerge in Logs and in Proseminar discussions. Students are also free to discuss difficulties with the Instructor, individually.
- Faculty Supervisors are encouraged to discuss perceived difficulties with their student and, if they are not resolved, to bring them to the attention of the Instructor.
- The Instructor (together with the Director of the Doctoral Program, if requested) will negotiate with the two parties to arrange a solution that facilitates fulfillment of the original signed learning contract.
Preliminary Examinations

Goals of the Written and Oral Preliminary Examinations

The goals of the preliminary written and oral examinations are to evaluate the student's ability to:
1) demonstrate an understanding of the knowledge and major theories in the core areas of social welfare and social work;
2) critically assess both the strengths and limitations of that knowledge;
3) integrate such knowledge in a scholarly manner;
4) take a stand and argue a position, going beyond the literature in unresolved areas; and
5) apply such knowledge and understanding to a specific area of interest in the field of social work and social welfare.

Written Preliminary Examination Policy

The written preliminary examination is a comprehensive examination covering knowledge in core areas of social welfare and social work and the supporting program. A student must be currently registered in the doctoral program and must have completed and received credit for all required courses in the social work core curriculum of the doctoral program before taking the exam, with the exception of GRAD 8101, Teaching Methods and Educational Issues.

Students are strongly encouraged to complete not only the core social work curriculum but also their supporting program course work prior to sitting for the Written Exam. Students are, however, permitted to sit for the Written Exam after they have completed and received credit for the core curriculum (excluding GRAD 8101), including all social work courses and their statistics requirement. Students who have not completed, or who have incompletes or failing grades in any of these core courses will not be permitted to sit for the exams until such time as they have met this minimum requirement. A student with an incomplete in a core social work course or a course being used to fulfill the statistics requirement must complete and submit all outstanding work to the instructor of that course no later than the first day of instruction of the semester in which the student wishes to take the exam. Students are strongly encouraged to complete all outstanding work prior to the semester in which they hope to take the exam to allow sufficient time for their instructors to evaluate their work and submit a grade change. In order for a student to take the exam, a copy of the formal grade change must be in the student’s file by the deadline for notification to the Ph.D. Program Director of intent to take the exam (one month in advance of the scheduled exam date).

Content

The written preliminary examination has two parts: 1) a general knowledge exam, and 2) a specialized exam. All students are required to successfully complete a take-home generalized written exam consisting of two questions covering the four core areas of social work knowledge and integration across the four areas: 1) research 2) practice, 3) policy, and 4) history. All students are also required to complete a take-home specialized written exam consisting of one question in a specialized area selected by the student. A student has not completed the written preliminary examination until both the generalized and specialized areas of the exam are successfully completed.

Testing for General Knowledge

General knowledge of the field of social work is tested using a written preliminary examination given over a two week period twice each academic year. The student is required to answer two questions over the two week period.

General Knowledge Reading Lists: The preliminary examination committee oversees the development and updating of a reading list for each of the four core areas which, along with course readings, should serve as a starting point for preparing for the generalized exams. Students’ preparatory reading for the generalized exams should not be confined to these reading lists or course materials, and it is expected that doctoral students will read well beyond the confines of individual courses and reading lists. The preliminary examination committee uses the reading lists as a basis for asking written exam questions. Bibliographies will be updated once a year during the Spring semester for the following year’s exam.
**Development and Grading of the General Knowledge Exam:** A committee of faculty will be appointed to administer the general knowledge exam twice per academic year. The committee will consist of at least four members of the School of Social Work Graduate Faculty representing expertise in the four core areas. The committee will be responsible for writing the exam questions each academic year. Four additional faculty members will be appointed each term by the Director of the School of Social Work to represent each of the core areas. These faculty members will join in grading the exam answers if their core area is represented in the exam questions given that term. Among the faculty graders in each administration, at least two will be faculty who have taught in the PhD program.

**General Knowledge Examination Questions:** Students are expected to respond to the general knowledge exam questions by: 1) demonstrating command of the major issues, themes, and works in the core areas; 2) critically assessing the knowledge in the core content areas; 3) demonstrating the ability to use and integrate concepts in a scholarly manner; and 4) using the literature on the preliminary examination bibliographies to articulate and defend a position that represents the student's scholarly thinking. Faculty will evaluate students' responses according to these four expectations. A list of sample questions, at least one in each of the four core areas and at least one representing integration across the four areas, will be updated annually by the exam committee and distributed during the Spring semester for the following academic year's exams. In addition, a study guide will be provided which lists the basic competencies that a passing answer in each of the core areas is expected to demonstrate. The three exam questions for each administration of that year's exams will be written by the exam committee and may or may not be selected from the list of sample questions.

**Administration of the General Knowledge Exam:** The general knowledge written preliminary exam will be administered in a take-home format over a two week period twice per academic year: once in the Fall semester and once in the Spring semester. Students who wish to take the examination must notify the Director of the Doctoral program in writing at least one month in advance of the scheduled exam dates. Students must not register for the examination if they have not completed all requirements. Questions will be distributed at 9:00 a.m. on Monday of the first week and returned by Friday 4:00 p.m. of the second week. Students will receive three questions, and must select two of the three to answer during the two week period. Prior to receiving the questions, students will be required to sign a statement that they will not consult with or collaborate with others in answering the exam questions. Students may refer to books, articles, and chapters from the bibliographies as they write their answers. They may not consult (by phone, in person, by e-mail, or by any other means) with anyone regarding their examination questions and answers during the exam period. Reasonable accommodations will be made prior to the exam for students with disabilities in accordance with University of Minnesota policy.

**Submission of Typed Answers:** By 4:00 p.m. on Friday of the second week of the exam period, students will submit to the Director of the Doctoral Program, a typed, fully edited manuscript including citations and references. The number of pages for each answer, excluding references, shall be in the range of 10 to 15 pages. Students should place only their assigned identification number on their exam answers. The ID number should be placed on the top right corner of each page. Students should not write their names on the exam answers. Students will submit with their exam a signed statement that they did not consult with or collaborate with others in answering the exam questions.

**Grading of exam answers and retake policy:** Exam answers will be identified by student ID or some other identifying code number. Exams will be evaluated according to the four criteria listed above. Faculty will expect the answer to articulate complex ideas clearly, logically, and in a well-organized manner. Each faculty reader reviews the student's prelim independently and makes an initial assessment of the total exam. The committee members then convene and discuss their assessments of the strengths and weaknesses of the exam. Next, the committee votes using a secret ballot. The committee then prepares a Consensus Statement about the exam answer, its strengths and its weaknesses. If the committee consists of five members, a favorable verdict for passing consists of either a unanimous vote or a vote of 4-1; if the committee consists of six members, a unanimous vote or a vote of 5-1 or 4-2 is needed; if the committee consists of seven members, a unanimous vote or a vote of 6-1, 5-2 or 4-3 is needed. Faculty will review no more than six preliminary examinations in one three hour meeting. The student and his/her advisor will receive notification of the results of the exam along with a copy of the committee’s Consensus Statement normally within about a month of completion, but if there are more than six students taking this examination, then in no more than six weeks. If a student fails the exam, the Consensus Statement will include feedback from the grading committee on how the student can improve his/her performance in the
future. The student may also meet with the grading committee for further feedback. If a student fails the exam, it can be retaken during the next regular administration of the exam. The general knowledge exam may be taken a total of 3 times. If a student fails the exam twice, there will be an official review of the student's progress by a committee of graduate faculty appointed by the Director of the Ph.D. program. This meeting must be called by the student and the student's advisor, and the student must not sign up for taking the exam again until such a meeting has been held. The student's advisor will be a member of the committee. If the general knowledge exam is failed three times, the student has failed to qualify to continue in the doctoral program.

**Specialized Preliminary Written Exam**

During the semester following the general knowledge written exam, students will complete their specialized written exam. The goal of the specialized exam is for the student to demonstrate their mastery of the theoretical and research literature related to their dissertation topic.

**Specialized Exam Reading List:** The specialized exam will be based on the general knowledge bibliography and a specialized bibliography to be developed by the student and the student's preliminary exam committee. The specialized bibliography should reflect content on relevant theory and research in the student's area of specialized interest - preferably the area for dissertation work.

**Specialized Exam Committee:** The student will select a committee of faculty to guide and grade their specialized exam. The student's committee should be made up of 2 members from the School of Social Work and one member from outside the school in another University of Minnesota department that is in the student's supporting area. The committee has several responsibilities: 1) to work with the student to develop the reading list, 2) to write an exam question for the student based on the reading list, 3) to provide feedback to the student as s/he develops the exam answer, and 4) to evaluate the exam answer.

**Examination Answers and Evaluation:** The exam answer should demonstrate the student's ability to evaluate the state of current knowledge in the dissertation area, identify needed areas for further research, and identify and describe the critical areas of theory which informs the topic. Students may consult with their specialized examination committee as they prepare their exam answer. The maximum number of pages for the specialized exam answer is 20, excluding references. The specialized exam must be completed within one semester following the successful completion of the general knowledge exam. The exam answer will be evaluated by the student's specialized exam committee on a pass/fail basis. The chair of the student's committee will notify the student of the results within four weeks following submission of the exam answer to the committee.

Approved by the Doctoral Committee, 5/6/99
Approved by the Graduate Faculty, 5/13/99
Amendments approved by the Doctoral Committee, 6/3/99
Amendments approved by the Graduate Faculty, 6/10/99
Amendments approved by Doctoral Committee on 11/8/00
Amendments approved by Graduate Faculty on 11/29/00
Amendments approved by Doctoral Committee on 5/2/01
Amendments approved by the Graduate Faculty, 5/16/01
Approved by the Doctoral Committee on 2010
Approved by the Graduate Faculty, 2010
Oral Preliminary Examination Policy

The majority of the Oral Preliminary Examination Policy is mandated by the Graduate School. Therefore, students must also refer to and adhere to oral preliminary examination policies set forth in the Graduate School Bulletin.

Students take the preliminary oral examination after passing the preliminary written examination, but prior to writing the dissertation. The examination is administered by the Oral Preliminary Examination Committee approved by the Graduate School, following submission of the Degree Program Form which must be submitted two terms prior to the term in which you plan to take the oral.

Preliminary Oral Examining Committee

The examining committee will include a minimum of four members, three faculty members from the School of Social Work and one from another department at the University of Minnesota in their supporting area. Students should consult closely with their adviser(s) when determining committee make-up and size.

Changes in the Preliminary Oral Examining Committee

Substitutions on the examining committee, which may be necessitated, for example, by the departure or absence on leave of a faculty member, must be requested by the adviser or the director of graduate studies through the Graduate School office well in advance of the examination.

Scheduling the Preliminary Oral Examination

It is the responsibility of the student to schedule the preliminary oral with the examiners and with the Graduate School office at least one week in advance. The Graduate School must have on file an approved degree program and a report that the student passed the preliminary written examination before the oral examination can be scheduled.

The Graduate School issues the report form for the preliminary oral examination to the student's adviser, and informs both the student and the adviser if course work on the official program has not yet been completed. The preliminary oral will be authorized in spite of such deficiencies, but deficiencies must be completed before the final oral may be scheduled.

Preliminary oral examinations should not be scheduled during the summer unless the members of the assigned committee can be assembled without substitution.

Preliminary Oral Examination Content and Outcome

In addition to the goals described in the written preliminary exam policy, the purpose of the Preliminary Oral Examination is to evaluate the student's ability to integrate, critically assess, and orally communicate to other scholars knowledge from the social work field and from the student's supporting program. As stated in the Graduate School Bulletin, the Preliminary Oral Examination “covers the major field, the minor field, or supporting program, and any work fundamental thereto, including possible plans for thesis research.” In the School of Social Work PhD Program the student's answer to the Preliminary Written Examinations (generalized and specialized) serves as a centerpiece for addressing the content in the four core areas. Upon approval and prior agreement with the chair of the Preliminary Oral Examination Committee, the student may furnish the Committee with additional material for discussion, such as a review of the literature in preparation for a dissertation proposal.

Immediately prior to the preliminary oral examination, the committee chair will clearly stipulate the objectives of the examination and, in consultation with other members of the examining committee, determine how the examination is to be conducted. Immediately after the preliminary oral examination, the candidate will be excused from the room and a written vote will be taken before discussion of the examination. Following discussion, a second and final vote will be taken, and the participants will sign in the appropriate place on the report form, which must be returned to the Graduate School no later than the first workday after the examination.
The preliminary oral examination outcome is recorded in one of three ways: pass, pass with reservations, or fail. The voting proportions necessary for these decisions are as follows: if the committee consists of four members, a favorable verdict for passing consists of either unanimous vote or a vote of 3-1; if the committee consists of five members, a unanimous vote or a vote of 4-1. If, to achieve the minimum number of votes to reach a verdict of pass, any vote of pass with reservations is included, then the outcome will be recorded as a pass with reservations. A vote to pass the student with reservations still constitutes a passing vote.

After passing the Oral Preliminary Examination, a student has achieved Candidacy and becomes a Doctoral Candidate.

**Reporting the Results**

The examining committee will report the results of the preliminary oral examination to the Graduate School office. If the committee decides that a student passed the examination with reservations, it must inform the student immediately. The committee has one week, however, to send the student a letter that clearly stipulates the reservations and the steps required to remove them. A copy of this letter must be forwarded to the Graduate School along with the Preliminary Oral Examination Form. A second letter informing the student and the Graduate School that the reservations have been removed and that the student may proceed toward the degree is also required. The chair of the preliminary oral examination committee should write both letters on the committee's behalf. The final oral examination may not be scheduled until the Graduate School receives a copy of the second letter indicating that the reservations have been removed.

**Failure of the Examination**

Students failing the preliminary oral (a) may be allowed, on unanimous recommendation of the examining committee, to retake the examination or (b) may be excluded from candidacy for the degree. In no case may the reexamination take place before 10 weeks have passed. No more than one re-examination is allowed.

**The Dissertation Proposal**

The oral preliminary examination does not include a formal defense of the student's dissertation proposal. A student may develop a dissertation proposal at any time but may defend his or her proposal to the committee only after successfully reaching candidacy. The dissertation proposal is formally presented and defended in a meeting separate from the oral preliminary examination, of a length defined by the student and his or her adviser. This meeting may be scheduled immediately following the oral preliminary examination in which the student has been voted to candidacy. Formal work on the student's dissertation will only proceed upon approval of the dissertation proposal by a majority of the committee.

Approved 4/6/89 by the Doctoral Committee
Approved 5/26/89 by the School of Social Work Council
Approved 6/3/99 by the Doctoral Committee
Approved by the Doctoral Committee, 5/6/99
Approved by the Graduate Faculty, 5/13/99
Dissertation

Final Examination Committee

Students form a Final Examination Committee consisting of at least three School of Social Work faculty members and one faculty member from a University of Minnesota department outside of the School of Social Work. Other committee members from outside the University of Minnesota may be considered for addition to the Committee as non-voting members. The thesis advisor cannot be the chair of the committee. The role of the chair is to run the Final Examination meeting. The chair must be another committee member with full graduate faculty membership, either inside or outside of the School of Social Work.

Dissertation Proposal

Students develop a dissertation proposal in consultation with the Final Examination Committee. Students then present their proposal to the members of the Final Examination of the Committee. When the Final Examination Committee approves the proposal, the "Thesis Title Form" and statement must be submitted to the Graduate School.

Certifying Your Dissertation

After obtaining your graduation packet, distribute a draft of your thesis and abstract to the thesis reviewers and other members of your final oral committee. All members must have at least 30 days to read the thesis. Schedule the final oral examination with the committee and the Graduate School, 316 Johnston Hall, at least one week in advance. The Reviewers' Report form, signed by three reviewers ("Readers"), must also be returned to 316 Johnston Hall at least one week before the examination. After review and clearance, the Graduate School will send the Final Oral Examination report Form to the chair of the committee.

Final Oral Exam

Send a Dissertation Defense announcement to the Doctoral Program Director and the Doctoral Program Assistant at least two weeks before the defense date. The Final Oral involves a public presentation to the School of Social Work and a closed final examination with the Final Examination Committee. Results are to be reported to the graduate school on "Final Oral Report Form." (This form is sent by the Graduate School to the student’s adviser.) At this time all items must be completed and checked with the Graduate School, including the "Thesis Readers Report Form." (Note: The thesis adviser cannot chair the Final Oral Examination Committee; the chair must be another committee member with full graduate faculty membership.)

Preparation of the Doctoral Thesis/Project as Mandated by the Graduate School, University of Minnesota

After passing the final oral examination, ONE UNBOUND copy of the dissertation must be submitted to the Graduate School. Listed below are the formatting specifications for preparing the dissertation. In addition, students must deposit one bound copy with the School of Social Work and one bound copy with their advisor.

THE GRADUATE SCHOOL WILL ACCEPT ONLY DISSERTATIONS THAT MEET THESE REQUIREMENTS. Any questions may be directed to Graduate School staff in 316 Johnston Hall (612-625-0168.)
Because stylistic conventions vary greatly from one field to another, please consult with departmental adviser or director of graduate studies regarding recommended style manuals. The staff of the University Libraries may also be consulted for choices in style manuals.

**ONE UNBOUND** copy of the dissertation must be submitted to the Graduate School. This copy will be sent to University Microfilm International (UMI) Dissertation Publishing in Ann Arbor, Michigan, for microfilming/publishing and will then be returned, bound, and shelved in the University Library system.

- The dissertation must contain an adviser's signature page, title page, a table of contents, list of tables and figures, and a bibliography. A page containing a copyright statement is optional but required if choosing to register the copyright (see section C-3.) Samples of these pages are included at the end of this document.
- Dissertations **more than 2 inches thick** must be separated into two or more volumes. A title page in correct format must appear at the beginning of each volume and must include the volume number in upper case roman numerals (I, II) centered underneath the title. Each volume must have a complete table of contents. A copy of the initial table of contents for the second volume is acceptable.
- **Music students only:** The requirement that the dissertation be submitted on 8½ X 11 inch paper will be waived for musical scores submitted in an oversized format. Students must then submit two copies of your dissertation to the Graduate School. The additional copy will be stored in the University Archives. This archival copy must be printed on 100% cotton 20# weight paper. In all other respects, (including margins, font, etc.:) the dissertation must conform to the formatting specifications described in this document. In such cases, only the abstract, not the score itself, will be microfilmed.

### I. Format of the Dissertation

**A. Signature Page**

The signature page, **which is not numbered or counted**, must be included as the *first* page of the dissertation (see sample in appendix.) The adviser, and co-adviser if applicable, must sign in order to assure that he/she has seen and approved the final version of the dissertation. A specially designed signature page is available upon request from the Graduate School in 316 Johnston Hall.

**B. Paper**

Dissertations must be printed single sided on 8½ X 11 inch standard white paper. The original draft or a copy of the original is acceptable. If photocopies are submitted, care must be taken to ensure an acceptable reproduction (see section II-Illustrative Material.) Photocopies must be made from the original, and all pages must have high contrast with consistently dark print throughout the dissertation. There are many copy centers in the area, including University Bindery (612-626-0507) and Kinko’s that can reproduce dissertations and provide binding service for departmental or personal copies of dissertations.

**C. Margins**

*Every* page of the dissertation, including all appendices, all notes, and the bibliography, must have a LEFT margin of 1½ inches (to allow room for binding) and TOP, RIGHT, and BOTTOM margins of 1 inch. **Nothing must appear in the margins. This means that all page numbers, text, tables, parts of illustrations, etc., must not appear in the margin area.**

**D. Print**

Standard fonts, such as Times New Roman, Helvetica, Arial and Courier, in 10 point or larger are acceptable. The print should be letter quality with dark black characters that are consistently clear and dense. All print must be in permanent black ink and **all pages must be single sided.** The title of the dissertation must not contain chemical or mathematical formulas, symbols, superscripts, subscripts, Greek letters, or other non-standard characters; words must be substituted. In the body of the dissertation, different fonts may be used to set off examples, quotations, tables, and charts from the rest of the text, as long as all fonts are
of a similar size and are easily readable. Footnotes, section headings, and chapter titles may be printed in fonts and sizes different from those in the body of the dissertation as well. The size of characters should be no smaller than 9 point.

E. Spacing
The body of the dissertation must be double-spaced or 1½-spaced. Long quotations, notes, and the bibliography may be single-spaced.

F. Pagination
Introductory Material The signature page, title page, copyright page (if used,) acknowledgments, dedication, abstract, table of contents, list of tables, and list of figures must appear in this order and are considered the introductory material of the manuscript. The signature page, title page and copyright pages must not be numbered or counted. Page numbering for the rest of the introductory material is expressed in lower case Roman numerals (i, ii, etc.)

Body of the Manuscript The main text, illustrations, appendices, and bibliography are considered the body of the manuscript. EVERY PAGE in the BODY of the text through the bibliography and appendices must be numbered in Arabic numerals starting with page 1.

G. Appendices
The appendices are an integral part of the dissertation and must conform to all the formatting specifications described in this document with one exception: Information in appendices can be single spaced. Use consecutive page numbering from the main text through the appendices.

II. Illustrative Material

The caption of an illustration may appear on the page facing the illustration, if the reverse side of that facing page is blank. All figures must have a figure number and a page number, and must conform to the margin specifications, regardless of where the figure caption is located.

Color photographs and images: Because of microfilming and archival considerations, color photographs and images are strongly discouraged. The microfilmed reproduction of your dissertation is in black and white only; thus the reproduced black and white images of color originals may not be as clearly visible or convey information adequately. Color images will deteriorate and fade over time, risking loss of information and data. If color materials are used, no reference to specific colors can be made in the text. This is necessary because references to color would be meaningless to readers who access the manuscript through UMI.

Photographs: Photographs may be inserted into the dissertation as follows:

- Photographs printed directly on 8½x11-inch photographic paper, doubleweight with a glossy finish will be accepted. The image must conform to the margin specifications described above and include the figure number and page number. In this instance only, the figure number and page number on the back of the photograph will be accepted.
- Legible photocopies that conform to the margin specifications may be used.
- Photographs may also be permanently mounted using a heat / or pressure-sensitive dry-mounting process, such as Kodak Dry Mounting Tissues or Scotch 568 Positionable Mounting Adhesive Sheets. The adhesive material must be used on the entire back of the photograph, and the photograph must be permanently attached to the page. Other methods, such as library paste, rubber cement, spray mounting, or tape, are not acceptable: such mounting techniques are not permanent, and the adhesives used will eventually destroy both the paper and the photograph. Label the backs of all photographs for identification if they become detached.
Tables, charts, and graphs: Tables, charts, and graphs prepared on transparent film or produced by computer graphics should be photocopied onto the white dissertation paper. Reduced photocopies of tables, charts, and graphs are acceptable if they are legible and within the specified margins. If the material is illegible after reduction, full-sized fold-out copies may be used. Oversized material submitted separately, in a mailing tube for example, is not acceptable. If hand lettering or drawing is necessary a black ink pen may be used. Felt tip pens must not be used, since the ink will bleed through to adjacent pages. Identification of lines and figures on graphs and charts must be made clear by the line symbols rather than variation in color due to microfilm in black and white. Captions may be single-spaced.

Computer printouts: Printouts must conform to the margin specifications and must be legible with high black and white contrast.

CD ROMS & Discs: CD ROMS & discs included as a part of your dissertation must be submitted in an envelope and clearly marked with the author’s name, graduation month and date, and title of the dissertation.

III. Final Revisions, Corrections, Preparation for Microfilming

Since acceptance of the dissertation by the final oral committee constitutes approval for publication on microfilm, the dissertation must be ready for microfilming when submitted to the Graduate School. Thus, any revisions required after the examination must be made before the dissertation is submitted for adviser(s) signature.

Neither correction fluid nor white correction tape may be used in the dissertation submitted to the Graduate School. These materials destroy the paper, and correction fluid is transparent in microfilming.

IV. Published Work Included In or In Lieu of the Dissertation

The dissertation may include materials that have been published while a University of Minnesota graduate student. A letter authorizing use of this material must be obtained from the publisher. A copy of this letter must be attached to the Microfilm Agreement Form, which is located in the Publishing your Dissertation booklet included in the graduation packet. These letters must state that the copyright owner is aware that UMI may supply single copies on demand. If permissions are not supplied, copyrighted materials will not be reproduced. If all or part of your dissertation is initially in a format appropriate for submission to a professional journal, the following apply:

1. The research must have been carried out under the direction of the graduate faculty and approved by your adviser for incorporation into the dissertation.
2. Adviser(s) should notify the Graduate School in writing of the intention to publish a part of the material (the Graduate School's approval is not required.)
3. You must be listed as the sole author of the dissertation. Editorial or substantive contributions with general significance made by others should be acknowledged in the prefatory materials; more specific contributions should be acknowledged by footnotes where appropriate.
4. For manuscripts that include more than your research, you must make your contribution clear to the committee.
5. A suitable introduction is required, as well as transition sections that might not ordinarily be included in the published manuscript.
6. Where appropriate, a comprehensive literature review, not usually permitted by journals, should be part of the submitted dissertation.
7. Appendices should be added to the manuscript as necessary to provide the comprehensiveness not ordinarily permitted by scholarly journals.
8. Use of reprints of the manuscripts or the published articles themselves is acceptable if they are satisfactorily (and legally) reproduced and conform to all the formatting specifications described in this document.

V. Publication, Copyright, and Distribution of the Dissertation

The University of Minnesota requires publication of all doctoral dissertations. To meet this requirement, you need to complete and sign the Doctoral Dissertation Agreement form in the Publishing your Dissertation booklet included in your graduation packet. UMI will produce and store a microfilm negative, print the abstract in Dissertation Abstracts, and sell microfilm positives or hard copies upon request. PUBLICATION BY MICROFILM DOES NOT PRECLUDE PUBLICATION LATER BY OTHER METHODS. Please note that the Doctoral Dissertation Agreement form grants UMI the right to distribute dissertations and abstracts by electronic means.

1. Cost
The fee for microfilming a dissertation is currently $75.00. If you wish UMI to register the copyright on your behalf, there is an additional fee of $45.00 (see section C-3 for information regarding registration of one's copyright.) These fees are subject to change; contact the Graduate School for current rates. Checks and money orders must be made payable to the University of Minnesota and submitted to the Graduate School, 316 Johnston Hall, along with the signed Doctoral Dissertation Agreement form and two copies of title page. The university will submit payment to UMI, and pay all shipping costs.

2. Abstract
One copy of a 350-word or less abstract must be submitted to the Graduate School, 316 Johnston Hall in addition to the one that may or may not be included in the dissertation. Adviser(s)’ signature is required below the body of the text; no signature line is needed. Student’s full name and the number of words must be printed in the upper right-hand corner of the first page. The abstract must be double-spaced or 1 1/2-spaced and must conform to the same margin requirements as the body of the dissertation. However, name, number of words and the adviser(s)’ signature can be outside the margin area. The title of the dissertation is not required on the abstract. Abstracts exceeding 350 words will not be accepted.

3. Copyright related to the dissertation
There are two aspects to copyright considerations: (a) copyright of the dissertation; and (b) the use in dissertation of material copyrighted by others.

a. The Copyright Act adopts the principle of “automatic copyright.” Works created after January 1, 1978, are copyrighted under the federal statute upon their creation. A work is “created” when it is fixed in a tangible form of expression, e.g., written or drawn on paper; sculpted or made; placed on film, disc, or videotape; or recorded on sound tape. While registration with the Library of Congress and use of a copyright notice are not conditions for securing the initial copyright for these works, “registration” and “notice” are still important. If you fail to observe these formalities, especially upon publication, your material may not be legally protected. Registering your copyright with the U.S. Copyright Office will establish a public record and allow you additional legal rights. Registration of copyrights with the U.S. Copyright Office may be made for all works before or after publication.

Copyright notice consists of the symbol © or the word “copyright,” the name of the owner of the copyright, and the year that the work was created. For example, a notice would appear as "© Jane A. Doe 2003." This notice should be affixed in a manner and location that give reasonable notice of the copyright claim. A sample page of copyright notice is attached to this document. If you want UMI to register a copyright for the dissertation on your behalf with the Library of Congress, sign the Copyright Authorization on the Doctoral Dissertation Agreement form. The cost of this method of copyrighting is currently $45.00.
This fee is subject to change; consult the Graduate School for the current rate. The check or money order for the copyright fee must be made payable to the University of Minnesota and submitted to 316 Johnston Hall.

b. The Copyright Act provides for the legislative recognition of “fair use” of copyrighted materials. The “fair use” of copyrighted work for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use,) scholarship, or research, is not an infringement of copyright. You, as author, bear the responsibility of determining whether “use” is fair or not. In determining whether the “use” in any particular case is “fair use,” the factors to be considered shall include:
   i. the purpose and character of the “use,” including whether such “use” is of a commercial nature or is for nonprofit educational purposes;
   ii. the nature of the copyrighted work;
   iii. the amount and substantiality of the portion used in relation to the copyrighted work as a whole;
   iv. the effect of the “use” upon the potential market for or value of the copyrighted work.

Please note: If your Dissertation includes copies or materials from journal articles or other publications that you authored, you must obtain from the publisher a letter authorizing your use of this material (see section IV for further information.)

Additional questions about copyrighting your Dissertation or using copyrighted materials in your Dissertation can be directed to the Registrar of Copyrights, Copyright Office, Library of Congress, Washington, D.C. 20559. If you have complex questions, please consult legal counsel. Questions regarding copyright, patent, and trademark are of a legal nature and should not be considered lightly. The Graduate School staff is not authorized to answer legal questions.

4. Release of the Dissertation to the Public
   In accordance with Regents’ policy regarding withholding of research results, one-year hold on the release of your dissertation to the public may be requested. During this period, UMI and the University of Minnesota Library will not release your dissertation to the public. The hold period begins immediately after the official graduation date. A hold may be requested by completing a Dissertation Hold Request Form obtained in 316 Johnston Hall, or downloaded from the following website: http://www.grad.umn.edu/Current_Students/forms/doctoral.html. The Dissertation Hold Request Form should be submitted to the Graduate School along with the final copy of the dissertation.

All Questions regarding formatting of the dissertation should be directed to the staff at 316 Johnston Hall (612-625-0168.) The Graduate School will refuse to accept dissertations not prepared according to the specifications outlined within this document. Fees quoted above are current as of September 2003, for the 2003-2004 Academic year.
SAMPLE FORMAT FOR COPYRIGHT NOTICE PAGE

(This should appear on a separate page following the title page)

© Mary Jane Doe 2004

(The essential components of the copyright notice are the copyright symbol © or the word "copyright," the full legal name of the author, and the year of publication.)
SAMPLE SIGNATURE PAGE

UNIVERSITY OF MINNESOTA

This is to certify that I have examined this copy of a doctoral [Dissertation/project] by

[Full Name of Author]

and have found that it is complete and satisfactory in all respects, and that any and all revisions required by the final examining committee have been made.

____________________________________________________
Name of Faculty Adviser(s)

____________________________________________________
Signature of Faculty Adviser(s)

____________________________________________________
Date

GRADUATE SCHOOL
SAMPLE TITLE PAGE

[Title of Dissertation/Project]

A [DISSERTATION/PROJECT]
SUBMITTED TO THE FACULTY OF THE GRADUATE SCHOOL
OF THE UNIVERSITY OF MINNESOTA
BY

[Full name of Author; do not use initials]

IN PARTIAL FULFILLMENT OF THE REQUIREMENTS
FOR THE DEGREE OF
DOCTOR OF [PHILOSOPHY/ EDUCATION]

[Name of Adviser(s,) Adviser]

[Month and Year of Graduation (not the month you defend)]
Graduation Instructions for Doctoral Candidates
University of Minnesota, Graduate School

Registration requirement:
You must hold active student status in the Graduate School in order to defend and graduate. Effective Fall 2002 you must register in the Graduate School every fall and spring term until you complete all degree requirements and graduate. If you are not currently active, you must file a Change of Status/Readmission Form to request readmission to the Graduate School. If readmitted, you must register before you will be permitted to schedule your final examination. Please refer to the Graduate School’s website at http://www.grad.umn.edu/gsss/registration.html for more information about the registration requirement, registration options, and filling for readmission.

Final Defense
After obtaining your graduation packet, distribute a draft of your thesis and abstract to the thesis reviewers and other members of your final oral committee. All members must have at least 30 days to read the thesis. Schedule the final oral examination with the committee and the Graduate School, 316 Johnston Hall, at least one week in advance. The Reviewers’ Report form, signed by the reviewers, must also be returned to 316 Johnston Hall at least one week before the examination. After review and clearance, the Graduate School will send the Final Oral Examination report Form to the chair of the committee.

Degree Clearance
Graduate School degrees are granted at the end of each month. If all forms, fees and thesis copies are not submitted by the appropriate day, graduation will be delayed until at least the next month. After being cleared to graduate, a registration hold (OJ) will be placed on your record unless or until you have been admitted to pursue another degree. This hold will only prevent further registrations in the Graduate School. Graduating in any month before the end of the quarter may affect eligibility for student loans, housing, etc. Check with the appropriate office if you have any questions.

Graduation Checklist

- The Application for Degree Form must be submitted to Student Relations, 200 Fraser Hall on the Minneapolis campus or 130 Coffey Hall on the St. Paul campus, on or before the first working day of the month you intend to graduate.

The following must be submitted to the Graduate School, 316 Johnston Hall on or before the last work day of your intended month of graduation. (Office Hours: Monday-Friday: 8:00-4:30. Contact: Dana Cochran Hull, Telephone: 612-625-0168, e-mail: gsdoc@umn.edu).

- Final Oral Examination Report
- One copy of thesis abstract (signed by advisor; see specifications in the attached Preparation of the Doctoral Thesis/Project).
- One copy of thesis (typed and printed according to specifications of the Preparation of the Doctoral Thesis/Project).
- One copy of the signed Doctoral Dissertation Agreement form (inside “Publishing your Dissertation” booklet) along with two copies of the title page of your dissertation.
- The Microfilm fee of $75 (check or money order only, payable to the University of Minnesota). If you wish to copyright the thesis, there is an additional fee of $45 (use one combined check for $120)
- Survey of Earned Doctorates (optional)

NOTE: Following this checklist will fulfill the publishing company’s requirements listed in the document titled Publishing Your Dissertation. *All fees are subject to change without notice.
Award of the Degree

Regardless of the date of your application for degree, your degree will be awarded at the end of the month in which you complete all requirements.

The award of the degree will be posted to your transcript by the middle of the month following your graduation. You will receive your diploma from the Office of the Registrar within 4 months following your graduation. Please contact the Office of the Registrar directly with any questions regarding your diploma.

Commencement Ceremony

Commencement occurs at the College of Education and Human Development in the Spring. You are encouraged, but not required, to attend. Attending commencement does not imply that you have officially graduated.

Recognition Ceremony

The School of Social Work holds a more intimate Recognition Ceremony for just SSW graduates each year in the Spring. You are encouraged, but not required, to participate. Students who have not yet defended their dissertation may not participate in the recognition ceremony unless their advisor attests that they will defend the proposal within four months of the ceremony. Attending the Recognition Ceremony does not imply that you have officially graduated.
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PROGRESS THROUGH PROGRAM

Policy on Annual Reviews

The progress of all doctoral students will be reviewed annually. There are several purposes for this review:

1. to identify both strengths and areas in which the student should improve. When necessary, a strategy for improvement in certain areas may be suggested by the student's individual annual review committee.

2. to provide a systematic mechanism through which concerns about a student's progress can be discussed.

3. to provide an opportunity for students to discuss their areas of interest and goals, to present a plan for course work, and to present a time frame for completing the various components and requirements of the program. The interests of the students will become better known to faculty, and students may benefit from the input of faculty, other than their adviser, in their program planning.

4. to provide information which will assist the Doctoral Committee and the Director of the School of Social Work in program planning and resource allocation.

5. to keep students (especially part-time students) more connected to the Doctoral Program (and vice versa), and to encourage timely progress, whatever the student's time frame for completion.

The Annual Progress Review will be structured as follows:

1. All students who have not passed their preliminary examination (including the specialized exam and the oral preliminary examination) will be formally reviewed during each spring semester.

2. After passing the preliminary written examination, students will not be formally reviewed unless the student or adviser requests review. The student's preliminary oral examination and dissertation committees will monitor progress as the student completes the oral exam and dissertation requirement. However, each student who is not formally reviewed will be asked to submit a brief form during each spring term to the Doctoral Program Director, which provides information about his/her progress and projected completion date of remaining requirements.

3. Each annual review committee will be composed of the student's adviser and the Doctoral Program Director.

4. A list of students, the members of their annual review committee, and a schedule of open meeting times will be distributed early in the Spring term so any faculty who would like to provide information or raise concerns regarding a particular student may do so. Information or concerns from faculty are to be submitted to the student's adviser prior to the review meeting and shall be shared with the student.

5. Students will complete an Annual Review Form which provides a detailed overview of their progress in the program. Students will submit a copy of this form, along with an unofficial copy of their transcript, to their advisor and the PhD Program Director at least three days prior to the Annual Review meeting.

6. The Doctoral Program Director shall established procedures for the review which assure that the content and format of reviews are standardized.

Adopted by the SSW Doctoral Committee on 2/27/86
Approved by the SSW Council on 3/20/86
Amended by the SSW Council 2010
Degree Time Limits for PhD

Students must complete all course work, the Written Preliminary Examination, and the Oral Preliminary Examination (i.e., being ABD) within five calendar years of beginning the program. If circumstances arise making this impossible, students may request an extension of up to two years. This request, and the reasons for it, must be made in writing to the Director of the Doctoral Program and must be approved by the Doctoral Committee, with final approval from the Director of Graduate Studies, following consultation with the course adviser.

All doctoral students are required to successfully defend their thesis in a final oral examination within five calendar years after passing their preliminary oral examination.
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ADVISORS AND COMMITTEES

Advisors for PhD students must hold full membership in the University of Minnesota graduate faculty; committee members and co-advisers may hold either full or associate membership. (Check with Jan Goodno, Assistant to the PhD Program, if you have questions concerning a faculty member’s Graduate School status.) It is possible that your adviser and the composition of committees will change throughout your doctoral program for various reasons. The information below provides general guidelines about advisers and committees at various stages of the program. It is important to consult the Graduate School Bulletin for additional information about advisers and committees.

Initial Adviser
Students will have had an opportunity to recommend an initial adviser and an initial adviser will have been assigned before beginning coursework. Students should meet with advisers as they begin planning for doctoral studies. The role of the initial adviser is to advise the student in developing a supporting and in completing SSW requirements. It is possible to recommend a change of adviser at any time by securing the necessary form from the School office and by securing the consent of the person from whom a student wishes to receive advising. We encourage students to spend the first semester becoming acquainted with faculty and to feel free to recommend a change in advisers. We encourage students to recommend an adviser with research and scholarly interests similar to their own and with whom they feel comfortable working.

Written Preliminary Examination Committee
A subcommittee of graduate faculty members of the School of Social Work is appointed by the Doctoral Committee to prepare the questions and evaluate the responses in the general knowledge section of the Written Preliminary Exam. (See Written Preliminary Exam Policy.)

Students select a committee of faculty to guide and grade their specialized written exam. The student’s committee should be made up of 2 members from the School of Social Work (including the student’s advisor) and one member from outside the School but in a University of Minnesota department in the student’s supporting area. The committee has several responsibilities: 1) to work with the student to develop the reading list, 2) to write an exam question for the student based on the reading list, 3) to provide feedback to the student as s/he develops the exam answer, and 4) to evaluate the exam answer. Any committee member who is not faculty at the University of Minnesota, must be approved by the student’s adviser and Ph.D. Program Director before requesting temporary graduate faculty status for the committee member from the Graduate School. (Approved by the Doctoral Committee 10-14-08)

Oral Preliminary Examination Committee and Dissertation Adviser
This four-person committee, including the student’s adviser, must be approved by the Graduate School by submitting the Degree Program Form. This committee must consist of three people who are members of the Social Work graduate faculty and at least one person who is a graduate faculty member from another department at the University of Minnesota.

At a point either before or soon after the Oral Preliminary Examination, students will develop a proposal for their dissertation research. The oral defense of the design may come immediately following or soon after the Oral Preliminary Examination (see Oral Preliminary Examination Policy). Thus, continuity is more likely if the Oral Preliminary Examination Committee (or at least a majority of it) also becomes the Final Dissertation Examination Committee. The adviser should also be the person expected to provide major dissertation advising. If a change in dissertation adviser is necessary, it is recommended that a change be requested after passing the Written and Oral Preliminary Examinations, but before beginning work on the dissertation proposal.
Final Examination Committee

The final examination committee is a four-person committee including three graduate faculty from Social Work and at least one graduate faculty member from another discipline at the University of Minnesota. The final examination covers the dissertation research and relevant literature. The chair of the final examination committee cannot be the student’s adviser, but must be a full member of the University of Minnesota graduate faculty. The role of the chair is to run the Final Examination meeting. Other committee members outside the University of Minnesota may be considered for addition to the Committee as non-voting members. Generally, most students recommend the same faculty for the final examination committee and for the committee that reviews their dissertation proposal because this group has already reviewed and accepted the dissertation design. Students may, however, request changes in this committee.
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REGISTRATION

(Consult the Graduate School Bulletin for complete degree requirements.)

Graduate School Registration Requirement

ALL Graduate School students will be required to register in the Graduate School every fall and spring term.

GRAD 999

GRAD 999 is a zero-credit, zero-tuition, non-graded registration option for those Graduate School students who must register solely to meet the Graduate School’s fall/spring registration requirement. All registration deadlines and late fees apply. GRAD 999 is intended for Graduate School students who have completed all coursework and thesis credit requirements (if applicable) and must maintain registration to meet the Graduate School's fall and spring registration requirement. GRAD 999 will only maintain a student's active status in the Graduate School. GRAD 999 does not meet any other University or external agency’s requirements. Students who must maintain full-time status to hold an assistantship, defer loans, receive financial aid, etc. should not register for GRAD 999.

Many social work doctoral students register for GRAD 999 during their third year of their academic program while they are taking preliminary examinations and writing their dissertation proposal, or when they are finishing up their dissertation.

Due to both economic and pedagogical concerns, the School of Social Work is implementing a two semester limit on GRAD 999. All students will be automatically eligible for two semesters of GRAD 999. Students who wish to take GRAD 999 an additional semester must petition to their Advisor, the Director of the Doctoral Program and the Director of Graduate Studies for an extension, including a plan for a reasonable timeline for completing their doctoral education. This petition has to be approved by their advisor, the Director of the Doctoral Program, and the Director of Graduate Studies, and extensions of up to one year at a time will be granted.

Approved SSW Graduate Faculty, March 25, 2009
Approved, PhD Committee, March 4, 2009
Using the Online Registration System

If you plan to use the on-line registration system, make sure that your Internet browser (e.g. Internet Explorer or Netscape) is the most current version before you attempt to register. Netscape is the preferred browser for the online registration system. If the registration system does not "like" your Internet software, it will ask you to download software that is more compatible. The process of registering on-line averages one-hour of time.

1. Open your Internet browser software.
2. Go to the File menu in the upper left corner and go down the menu to "Open Page (or Location)."
3. Type in the address (www.onestop.umn.edu). You should see the One Stop home page. Click on "Students."
4. On the left side of the screen, under "Academic," you will see a link for "Course information" which then links to "class schedule." Choose the term (fall, spring, May/summer), select the department name (Social Work) and click on the "view" button. If you do not already know the course number (e.g., SW 8871 – Social Work Research Seminar I) and the 5-digit class number (on the screen this appears immediately left of your desired course section number, and is different from the course identification number for which you intend to register. Make note of these numbers when you view the class schedule. This link also provides information on the number of open seats remaining in a class section.
5. After you have noted the necessary information (course name and 5-digit class number) and you are ready to register, return to the screen with the heading "Academics."
6. Under the "Academics" heading, choose the link for "Registration/enrollment" and then selected "Enter Web Registration System."
7. If you have not used the system before, you will now be asked to "initialize your account. This is where you will type in your username and password and then select "login."
8. Go to the "update insurance information' site and type in your hospitalization information if necessary. It is important to remember that if you are registered for 6 or more credits you are automatically billed for University of Minnesota hospitalization insurance unless you provide the necessary information (medical insurance provider and policy number) at this step.
9. Go back to the enroll/register screen and choose "add a class."
10. Type in the five-digit class number for the course and section in which you plan to enroll. Once this is entered, be sure to check that the course title, day, time and number of credits appears for the desired course.
11. The default setting for the grad base is for a letter grade: A-F. If you wish to take a class on a satisfactory/not satisfactory – S/N – basis you will need to change this for each class in which you enroll. In doing this, however, please refer to policies related to the number of credits and kinds of classes that can be taken on an S/N basis.
12. Repeat the process if you want to add another class.
13. When you are don registering, press “done.”
14. Follow instructions for printing your enrollment summary.
15. Be sure to return to the File menu in the upper left corner & choose "Close." This will produce a Logout screen. Choose the "logout" button. Logging out is particularly important if you are using computers in public areas.

You're done! If you've had any problems with registration, please contact Jan Goodno (612-624-4258 or 1-800-779-8636) for assistance.
Where To Go For Help

Other information

- **Tuition:** Tuition rates can be found at: [http://www.irr.umn.edu/facts/ tuition.htm](http://www.irr.umn.edu/facts/tuition.htm)
- **Time conflicts** need instructor approval so you will need approval from both instructors involved in the classes in conflict. Forms are available at [http://onesotp.umn.edu](http://onesotp.umn.edu).
- The School of Social Work defines full-time as 8 or more credits and part-time as fewer than 3 courses or fewer than 8 credits.

Where to go for help

Call the Help Desk at (612) 626-4276 for technical information on Web registration, such as resetting ID and passwords, location of computer labs where you can access Web registration, print out enrollment statements, troubleshooting access to the system. Hours and locations of help desks, FAQ's, and Internet hardware and software are at [http://www.umn.edu/adcs](http://www.umn.edu/adcs).

Call or visit the Student Service Centers for registration information, such as queues, registration policies and processes.

- St. Paul: Coffey Hall, (612) 624-3731
- Minneapolis East Bank: Fraser Hall, (612) 625-5333
- Minneapolis West Bank: Skyway, (612) 626-9110.

Call or visit Jan Goodno in the School of Social Work for permission numbers, time conflict approvals, and information about specific courses.
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OTHER POLICIES AND GUIDELINES

School of Social Work

Scent-Free Policy

Some persons employed or studying in the School of Social Work report sensitivities to various chemical-based or scented products. We ask for everyone’s cooperation in our efforts to accommodate their health concerns. For more information, contact Dave Hollister, Director of Graduate Studies, at (612) 625-1220.

Student Rights

Student rights are protected by and subject to all University and School policies and procedures. Student rights include the following:

1. Students have the right of protection against improper disclosure of their views, beliefs, academic records, and political associations, and from limitations upon freedom of expression with all due process of law.
2. Students have the right to be free of sexual harassment by faculty, staff, university employees, students, in the field placement. (See policies on sexual harassment.)
3. Students have the right of protection against prejudicial or capricious academic and field evaluations and against faculty behavior which impedes student progress, such as canceling class frequently with no mutually agreeable rescheduling, failure to provide course objectives/expectations; consistently not returning papers or exams within a reasonable period of time or not posting or keeping office hours.
4. Students have the right to have fair representation and voting participation on committees of the School as a means of contributing to the School’s policies affecting academic and student affairs as provided for in the School’s Constitution.
5. Students have the right to organize in their own interests.
6. Students have the right to establish and issue publications free of pressure aimed at controlling editorial policy. Selection and removal of editorial shall be reserved solely to the discretion of the organizations sponsoring those publications. No claims of representation of the School of Social Work or the University shall be made by these publications without prior authorization.
7. Students have the right to freely engage in activities on or off-campus, in the company of their choice, exercising their rights as citizens of the community, state and nation. Students shall not claim to represent the School without prior authorization from the School.
8. Students have the right to use School meeting facilities, subject only to those regulations which are required for scheduling meeting places. The facilities shall be used for the contracted purpose.
9. Students have the right to invite and hear speakers of their choice on subjects of their choice in meetings which students organize.
10. Students have the right to petition through proper channels in all matters of academic and student affairs, including changes in curriculum, field instruction, faculty adviser, grades, and in all cases of grievance.
11. Students have the right, when participating in research projects or other scholarly works under faculty direction, as part of their formal academic program, to receive appropriate recognition for their contribution to the process.
12. Students have the right to enjoy equally of these rights regardless of race, color, creed, religion, national origin, marital status, political affiliation or beliefs, sexual orientation, disability, gender, or age.
13. Students have the right to access information pertaining to policy issues and decisions in advance of scheduled meetings.
PhD Grading Policies

Academic Standing
Ph.D. students are required to earn a 3.0 overall grade point average in social work core courses, including statistics, to remain in good standing.

Incomplete Grades
Incompletes may be given for required social work courses if the PhD Contract for Completion of Incomplete Grades is negotiated and signed by both instructor and student, and if a copy of the contract is submitted by the instructor with the course grade sheet. Instructors are responsible for noting in the course syllabus if they permit incomplete grades and, if so, the deadline by which any agreement must be negotiated. Any student who wants an incomplete for a course is responsible for securing copies of the agreement and approaching the instructor to negotiate terms for the incomplete. The student is responsible for making the distributing copies of the signed agreement and any renegotiations of the agreement to the course instructor and Jan Goodno, Assistant to the Director of Graduate Studies.

Grades for Ph.D. students must be completed and given to the instructor within two semesters, (twelve calendar months) after receiving the I grade. If not completed within that time, and if completion has not been renegotiated with the instructor, the grade will be changed to an F or N by the instructor, in consultation with the Director of Graduate Studies.

Students should be aware that assignments submitted after a course has ended may not be graded immediately. In fact, instructors may not be able to grade assignments and submit final grades for long periods, especially during the summer. Therefore, students with incompletes run the risk of not being able to register for subsequent courses or to graduate because of outstanding I grades in previous courses.

If a student has an I grade in the Course that must be completed prior to taking the general written preliminary exam, that student must submit all outstanding work to the instructor no later than the first day of instruction of the semester in which the student hopes to take the exam. A copy of the formal grade change must be in the student's file by the deadline for notification to the Ph.D. Program Director of intent to take the exam (one month in advance of the scheduled exam date.) (see Written Preliminary Exam Policy.)

Grading Systems (A-F) or Satisfactory/Not Satisfactory (S-N)
At least two-thirds of the total number of course credits included on the degree program form must be taken A-F. You must indicate your choice of grade base at the time of registration. If you do not so indicate, you will automatically be registered for the A-F grade base. To change the grade base, you must cancel/add your registration by the end of the second week of classes. The Graduate School allows no changes to grade base after this time period. The social work cores courses, including statistics, must be taken for a letter grade. The research practicum is excluded from this policy and is offered S-N, only.

Approved by Doctoral Committee on 10/24/07
Approved by Doctoral Committee on 1/28/99
Approved by Graduate Faculty on 3/18/99
Amended by Doctoral Committee on 11/8/00
Amendment approved by Graduate Faculty on 11/29/00
U of M Grading Policy

(Excerpted from the University Senate policy amended November 5, 1998)

Permanent Grades for Academic Work

There are five permanent grades given for a single course for which credit shall be awarded, which will be entered on a student’s transcript. A-B-C-D-F grades include pluses and minuses, as follows, and carry the indicated grade points. The S grade shall not carry points but the credits shall count toward the student’s degree program if allowed by the college, campus, or program.

These definitions apply to grades awarded to students who are not enrolled in a graduate program, but the grade points are the same no matter the level or course of enrollment.

<table>
<thead>
<tr>
<th>Grade</th>
<th>Grade Point</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>4.00</td>
<td>Represents achievement that is outstanding relative to the level necessary to meet course requirements.</td>
</tr>
<tr>
<td>A-</td>
<td>3.67</td>
<td></td>
</tr>
<tr>
<td>B+</td>
<td>3.33</td>
<td></td>
</tr>
<tr>
<td>B</td>
<td>3.00</td>
<td>Represents achievement that is significantly above the level necessary to meet course requirements.</td>
</tr>
<tr>
<td>B-</td>
<td>2.67</td>
<td></td>
</tr>
<tr>
<td>C+</td>
<td>2.33</td>
<td></td>
</tr>
<tr>
<td>C</td>
<td>2.00</td>
<td>Represents achievement that meets the course requirements in every aspect.</td>
</tr>
<tr>
<td>C-</td>
<td>1.67</td>
<td></td>
</tr>
<tr>
<td>D+</td>
<td>1.33</td>
<td></td>
</tr>
<tr>
<td>D</td>
<td>1.00</td>
<td>Represents achievement that is worthy of credit even though it fails to meet fully the course requirements.</td>
</tr>
<tr>
<td>S</td>
<td></td>
<td>Represents achievement that is satisfactory, which is equivalent to a C- or better.</td>
</tr>
</tbody>
</table>

There are two permanent grades given for a single course for which no credit shall be awarded and which will be entered on a student’s official transcript.

<table>
<thead>
<tr>
<th>Grade</th>
<th>Grade Points</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>F</td>
<td>0</td>
<td>Represents failure and signifies that the work was either (1) completed but at a level of achievement that is not worthy of credit or (2) was not completed and there was no agreement between the instructor and the student that the student would be awarded an I. The F carries O grade points and the credits for the course do not count toward any academic degree program. The credit hours for the course shall count in the grade point average.</td>
</tr>
<tr>
<td>N</td>
<td></td>
<td>Represents no credit and signifies that the work was either (1) completed but at a level of achievement that is not worthy of credit or (2) was not completed and there was no agreement between the instructor and the student that the student would be awarded an I. The N carries no grade points and the credits for the course do not count toward any academic degree program. The credit hours for the course do not count in the grade point average.</td>
</tr>
</tbody>
</table>

Academic dishonesty in any portion of the academic work for a course shall be grounds for awarding a grade of F or N for the entire course.

Students who enroll for a course on the A-F grading system shall receive an F if such grade is warranted; students who enroll for a course on the S-N system shall receive an N if such grade is warranted.
Critical Thinking and the Ph.D. Program

The following key ideas on critical thinking may be helpful as you approach your academic work in the Ph.D. program.

Critical Thinking and Analysis

Some Key Ideas

The generally accepted guidelines for critical thinking and analysis are clarity, relevance, coherence, logic, depth, consistency, and even-handedness.

These qualities are carried out in the following ways:

1. The main points of the paper are clearly stated.
2. The authors’ presentation of main points incorporates the complexity of the issues being discussed.
3. Authors cite relevant information and evidence.
4. The paper has a logical flow that shows the authors’ reasoning and how they arrived at their conclusions. To do this, requires a synthesis and integration of many sources of information and putting all of this into a logical framework, or a framework whose logic is evident.
5. Authors identify key concepts and define them.
6. Authors provide evidence that supports their reasoning.
7. Authors integrate and synthesize key ideas.
8. Authors demonstrate abilities to weigh the evidence in research reports such as the implications of the design of the research, such as appropriateness of method to the research question, sample size, depth vs. breadth, trustworthiness, authenticity, validity of design and reliability and validity of data collection instruments.
9. Authors include alternative points of view and respond fairly to them.
10. Authors identify knowledge gaps and inconsistencies.
11. Authors show original thinking in their synthesis of ideas, in their applications of the ideas of others to new areas, or in their suggestions for further research.

Related to standards of critical analysis are the following guidelines for good social science writing, such as organization, clarity of ideas, integration of ideas, and ideas supported by evidence. Organization generally means the work has a logical flow from one main point to the next and that each paragraph begins with a topic sentence followed by elaboration of the point the topic sentence makes. The use of headings help demonstrate the logical flow — or organization — of papers. Each paper has an introduction and a concluding discussion.
Defining Critical Thinking

Critical thinking entails the examination of those structures or elements of thought implicit in all reasoning: purpose, problem, or question-at-issue; assumptions; concepts; empirical grounding; reasoning leading to conclusions; implications and consequences; objections from alternative viewpoints; and frame of reference.

Critical thinking - in being responsive to variable subject matter, issues, and purposes - is incorporated in a family of interwoven modes of thinking, among them: scientific thinking, mathematical thinking, historical thinking, anthropological thinking, economic thinking, moral thinking, and philosophical thinking.

Critical thinking can be seen as having two components: 1) a set of information and belief generating and processing skills, and 2) the habit, based on intellectual commitment, of using those skills to guide behavior. It is thus to be contrasted with: 1) the mere acquisition and retention of information alone, because it involves a particular way in which information is sought and treated; 2) the mere possession of a set of skills, because it involves the continual use of them; and 3) the mere use of those skills ("as an exercise") without acceptance of their results.

Critical thinking varies according to the motivation underlying it. When grounded in selfish motives, it is often manifested in the skillful manipulation of ideas in service of one's own, or one's groups', vested interest. As such it is typically intellectually flawed, however pragmatically successful it might be. When grounded in fair-mindedness and intellectual integrity, it is typically of a higher order intellectually, though subject to the charge of "idealism" by those habituated to its selfish use.

Critical thinking of any kind is never universal in any individual; everyone is subject to episodes of undisciplined or irrational thought. Its quality is therefore typically a matter of degree and dependent on, among other things, the quality and depth of experience in a given domain of thinking or with respect to a particular class of questions. No one is a critical thinker through-and-through, but only to such-and-such a degree, with such-and-such insights and blind spots, subject to such-and-such tendencies towards self-delusion. For this reason, the development of critical thinking skills and dispositions is a life-long endeavor.

Why Critical Thinking?

The Problem

Everyone thinks; it is our nature to do so. But much of our thinking, left to itself, is biased, distorted, partial, uninformed or down-right prejudiced. Yet the quality of our life and that of what we produce, make, or build depends precisely on the quality of our thought. Shoddy thinking is costly, both in money and in quality of life. Excellence in thought, however, must be systematically cultivated.

A Definition

Critical thinking is that mode of thinking - about any subject, content, or problem - in which the thinker improves the quality of his or her thinking by skillfully taking charge of the structures inherent in thinking and imposing intellectual standards upon them. (A statement by Michael Scriven & Richard Paul for the National Council for excellence in Critical Thinking Instruction. See http://www.austink.org/critical/pages/definition.html)

The Result

A well cultivated critical thinker:

• raises vital questions and problems, formulating them clearly and precisely;
• gathers and assesses relevant information, using abstract ideas to interpret the information effectively;
• thinks open-mindedly within alternative systems of thought, recognizing and assessing, as need be, their assumptions, implications, and practical consequences; and
• communicates effectively with others in figuring out solutions to complex problems.

Critical thinking is, in short, self-directed, self-disciplined, self-monitored, and self-corrective thinking. It presupposes assent to rigorous standards of excellence and mindful command of their use. It entails
effective communication and problem solving abilities and a commitment to overcome our native egocentrism and sociocentrism.

Summary
Critical thinking is the intellectually disciplined process of actively and skillfully conceptualizing, applying, analyzing, synthesizing, and/or evaluating information gathered from, or generated by, observation, experience, reflection, reasoning, or communication, as a guide to belief and action. In its exemplary form, it is based on universal intellectual values that transcend subject matter divisions: clarity, accuracy, precision, consistency, relevance, sound evidence, good reasons, depth, breadth, and fairness.

Adopted by Ph.D. Committee, April 2005
Mutual Responsibilities in Graduate Education at the University of Minnesota

http://www.grad.umn.edu/faculty/mutual.html

Approved by the Graduate School Executive Committee 5/28/97

Preamble
A major purpose of graduate education at the University of Minnesota is to instill in each student an understanding of and capacity for scholarship, independent judgment, academic rigor, and intellectual honesty. Graduate education is an opportunity for the student to develop into a professional scholar. Graduate research and teaching assistantships offer an “apprenticeship” experience in the academic profession as well as financial support. It is the joint responsibility of faculty and graduate students to work together to foster these ends through relationships that encourage freedom of inquiry, demonstrate personal and professional integrity, and foster mutual respect. This shared responsibility with faculty extends to all of the endeavors of graduate students, as students, employees, and members of the larger academic community.

High quality graduate education depends on the professional and ethical conduct of the participants. Faculty and graduate students have complementary responsibilities in the maintenance of academic standards and the creation of high quality graduate programs. Excellence in graduate education is achieved when both faculty and students are highly motivated, possess the academic and professional backgrounds necessary to perform at the highest level, and are sincere in their desire to see each other succeed.

The following principles illustrate what students should expect from their programs and what programs should expect from their students, to help achieve this excellence.

Principle 1: Information about policies and procedures.
The Graduate School and graduate programs are responsible for providing students and prospective students with access to information about their graduate program, areas of specialization, degree requirements, and average time to completion of degrees. Graduate programs are responsible for providing access to information about graduate student financial support in the program, such as the prospects for fellowships, assistantships or other financial support and the proportion of students receiving financial support. In addition, graduate programs should provide students and applicants with information about career experiences of graduates of the program. All such information should be presented in a format that does not violate the privacy of individual students. Programs are encouraged to provide relevant information in their handbooks, Web sites or other readily accessible formats.

Students are responsible for keeping themselves informed about current policies of their program and the Graduate School that affect graduate students. Students and alumni also have a responsibility to respond to program inquiries about their career development.

Principle 2: Communication about academics status.
The Graduate School and graduate programs are responsible for providing students with information about their individual academic status: who in the Graduate School and in their graduate program is responsible for communicating to them about admission issues and progress through the degree program, how the communication will take place, and the possibility for appeal to a third party for assistance in resolving disputed issues.

Students are responsible for communicating with the Graduate School and their graduate program about changes in their circumstances that affect their status and progress toward the degree.
Principle 3: Research Contributions.

Individual faculty as research directors are responsible for providing students with appropriate recognition for their contributions at conferences, in professional publication, or in application for patents. It is the faculty member’s responsibility to clarify the principles for determining authorship and recognition at the beginning of any project.

Students are responsible for discussing their expectations regarding acknowledgment of research contributions or intellectual property rights with the appropriate person(s) in the research team, preferably early in the project.

Principle 4: University Governance.

Departments and graduate programs are responsible for defining specific opportunities for student participation on committees as they deem appropriate. The University recognizes that graduate students make important contributions to governance and decision making at the program, department, college, Graduate School and University level; specific roles for participation are defined at each level by the relevant governing bodies. For example, University Senate policy requires student membership on faculty search committees.

Students are responsible for participating in University governance and decision making that enrich the campus community.

Principle 5: Respectful employment conditions.

University faculty and staff are responsible for assuring that graduate students are able to conduct their work, as students or students/employees, in a manner consistent with professional conduct and integrity, free of intimidation or coercion. Students who are employees also have the protection of all University employment policies and laws. Graduate programs are responsible for providing clear communication to students about the possibility for appeal to a third party for assistance in resolving disputed issues.

Students are responsible for reporting unprofessional conduct to the appropriate body or person, as defined in the academic or employment grievance policy; they should be able to do so without fear of reprisal. Students are responsible for acting in a respectful and fair manner toward other students, faculty, or staff in the conduct of their academic work or work they may do in connection with an assistantship.

Principle 6: Conditions of employment.

The University (through its departments, research projects or other employing units) is responsible for providing to prospective graduate assistants a written offer of financial support before a response to the offer is required. Such communication must indicate their salary and the terms and conditions of their appointment, including the general nature of the work they will be performing, duration of employment, and whether and how this employment is tied to their academic progress. The details of specific teaching or research assignments may need to await later written clarification.

Students are responsible for accepting the conditions of employment only if they believe they are qualified and able to complete the tasks assigned. Students have a responsibility for communicating in writing any changes in their circumstances that affect their ability to fulfill the terms and conditions of their employment.

Principle 7: Safe working environment.

Supervisors are responsible for providing a safe working environment for graduate students, and for developing and publicizing safety policies and training programs to achieve that goal.

Graduate students are responsible for helping to maintain a safe working environment, for adhering to safety policies, for participating in training programs and for reporting safety violations to the proper authority.
OTHER UNIVERSITY DOCUMENTS may provide information and guidance relevant to the graduate education experience.

- Board of Regents, Code of Conduct, adopted 7/12/96 (http://www1.umn.edu/regents/policies/academic/Conduct.pdf)
- Student Conduct Code. (http://www1.umn.edu/regents/policies/academic/StudentConduct.pdf)
- Teaching Ethics for Research, Scholarship and Practice (http://www.grad.umn.edu/ethic/new_report.html)
- Council of Graduate Students (COGS) (http://www.cogs.umn.edu)
University Policies

Student Conduct
(Board of Regents Policy)

Section I. Introduction.

Subd. 1. Purpose. The Regents of the University of Minnesota are charged with the duty of adopting regulations for the governance of the University (Territorial Laws, 1851, sec. 3; Minn. Const., art VIII, aec. 3) to provide educational opportunities to its students, to transmit and advance knowledge and to provide a wide range of services to both students and the general public. To carry out these responsibilities, the University requires a community free from violence, threats and intimidation; protective of free inquiry; respectful of the rights of others; open to change; supportive of democratic and lawful procedures; and dedicated to the rational and orderly approach to the resolution of human problems. To safeguard the rights, opportunities and welfare of students, faculty, staff and guests of the University community, and to assure protection of the interests of the University as it seeks to carry out its mission on behalf of the citizens of Minnesota, certain minimum standards of conduct become necessary.

Subd. 2. Establishment of Standards of Student Conduct. In the past, the University had been guided by a code of conduct consisting of rules, statements and policies stemming from many sources. As the structure of the University expanded and in recognition of the need for the clarification and definition of standards of behavior in contemporary society, the Committee on Student Behavior and the Assembly Committee on Student Affairs recommended that the University establish and maintain standards of student conduct.

Subd. 3. President's Responsibility. The president was directed to promulgate these standards of conduct on all campuses with appropriate explanation.

Subd. 4. Board Adoption. This statement of standards was adopted by the Board of Regents in 1970. A revision of Section IV, the conduct code was approved by the board at its December 1974 meeting. A revision of the “Procedures for Disciplinary Proceedings—Twin Cities Campus” was approved at the July 1978 meeting of the board. These revisions were developed through consultation with the Assembly Committee on Student Affairs and are the result of lengthy review by many students, faculty and staff.

Subd. 5. Sexual Harassment Policy. The “Policy Statement on Sexual Harassment” was approved by the University Senate at its May 1984 meeting. The policy applies to the entire University and to the conduct of students, civil service persons, and academic staff alike.

Subd. 6. Publication of Policies. This statement of standards, including the conduct code and the Twin Cities disciplinary procedure, and the Policy Statement on Sexual Harassment are published and made available on request in order to inform all members of the University community of the code, procedures and standards governing student conduct at the University of Minnesota.

Section II. Interests of the University Relevant to a Code.

Over a period of years University adjudicative bodies have decided questions of jurisdiction by identifying University interests. These interests provide a substantial foundation for the building of a code.

1. The University has a primary concern with matters which impinge upon academic achievement and integrity.
2. The University has a fundamental concern with conduct which breaches the peace, causes disorder and substantially interferes with the rights of others.
3. The University has a special interest in behavior which threatens or actions which imperil the physical and mental health and safety of members of the University community.
4. The University has an obligation to protect its property and the property of members of its community from theft, damage, destruction or misuse.
5. The University has a commitment to enforce its contractual agreements.
6. The University has an obligation to support and be guided by laws of the land.
7. The University has a concern about behavior repugnant to or inconsistent with an educational climate.
Section III. The Problems of Dual Membership.

Students are both members of the University community and citizens of the state. As citizens, students are responsible to the community of which they are part and the University neither substitutes for nor interferes with regular legal processes. Students are also responsible for offenses against the academic community. Therefore, an action involving the student in a legal proceeding in a civil or criminal court does not necessarily free the student of responsibility for this conduct in a University proceeding. When a student is charged in both jurisdictions, the University will decide on the basis of its interest and the interest of the student whether or not to proceed with its internal review simultaneously or defer action.

Section IV. Conduct Code.

Of the 16 categories defined as disciplinary offenses actionable by the University, students’ special attention is requested to the first category:

Subd. 1. Scholastic dishonesty. Submission of false records of academic achievement; cheating on assignments or examinations; plagiarizing; altering, forging or misusing a University academic record; taking, acquiring or using test materials without faculty permission; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards or professional endorsement.

The complete policy is available online at http://www1.umn.edu/regents/policies/academic/StudentConduct.pdf

For a complete listing of disciplinary offenses actionable by the University, as well as information on procedures and sanctions, repeal of contradictory rules, procedures for disciplinary proceedings, jurisdiction and appeals, it is suggested that interested parties obtain a copy of the booklet, A Statement of Standards of Student Conduct Enforceable by University Agencies and/or request further information from the following address:

Student Judicial Affairs Office
662 Mgmt/Econ
271 – 19 Avenue South
Minneapolis, MN 55455
(612) 624-6073
Student Academic Grievance Policy

A. Scope and Purpose

1. This policy addresses academic grievances only. Academic grievances are complaints brought by students regarding the University’s provision of education and academic services affecting their role as students. Academic grievances must be based on a claimed violation of a University rule, policy or established practice. This policy does not limit the University’s right to change rules, policies or practices.

2. This policy does not apply to conflicts connected with student employment or actions taken under the Student Conduct Code. Also, complaints alleging violation of the University’s policies of sexual harassment and academic misconduct are not grievances under this policy. Such claims shall be referred to the appropriate office for investigation and review. Any complaint alleging discrimination in the University/student relationship, other than sexual harassment, may be filed either under this policy or with the Office of Equal Opportunity and Affirmative Action, but not both.

3. Students enrolled at any campus of the University of Minnesota may file academic grievances under this policy.

4. It is the goal of this policy to provide a simple and expeditious process, allowing for both informal and formal resolutions of conflicts. Resolutions may include student reinstatement or other corrective action for the benefit of the student, but may not award monetary compensation or take disciplinary action against any employee of the University.

B. Informal Resolution

5. The first step of any resolution should be at the lowest unit level, between the parties involved or the parties and an appropriate administrator. Students may wish to consult the Student Dispute Resolution Center or similar support services for advice and possible mediation. If no informal resolution can be found at the lowest unit level, informal resolution may be sought at the collegiate level with the parties and higher level administrators. If the issue cannot be resolved informally, the complainant may move the case to the FORMAL level.

6. Grievances involving an instructor’s judgment in assigning a grade based on academic performance may be resolved only through the INFORMAL RESOLUTION procedures.

C. Formal Resolution

7. Each collegiate unit and the Office of Student Affairs will have an Academic Grievance Officer and an Academic Grievance Committee. Members will be drawn from faculty, students and academic staff, as provided by the committee structure of that unit. The Academic Grievance Officer of each collegiate unit will be a faculty member who holds no other administrative appointment. In the case of Student Affairs or other involved units without an established faculty, the Grievance Officer will be a member of this staff, with academic staff members drawn from the unit’s professional staff and with students and faculty drawn from throughout the University.

8. There also will be a University Academic Grievance Committee and a University Academic Grievance Officer for grievances arising from the actions of College Deans or the Vice Presidents/Chancellors of Student Affairs. The University Academic Grievance Officer will serve as Grievance Officer for these matters. The University Academic Grievance officer and the University Academic Grievance Committee will be appointed by the President in consultation with the appropriate appointing agencies and will be drawn from faculty, students and academic staff.

9. A complaint must be submitted in writing to the appropriate College Grievance Officer, identifying the student grievant, the respondent individual(s) involved, the incident, the rule/policy/established practice claimed to be violated, and a brief statement of the redress sought.

10. The grievance should be filed in the collegiate unit in which the incident is alleged to have occurred, which may not necessarily be the student’s own college. For graduate students, the appropriate unit is the Graduate School.

11. The College Academic Grievance officer will meet with the student and individual(s) involved to determine whether a satisfactory resolution can be reached. If this cannot be achieved, the
Grievance Officer shall obtain a written answer from the respondent(s) and refer the matter to a hearing panel of the Academic Grievance Committee.

12. Hearing panels will be chaired by a faculty member and will have a minimum of three and, if determined necessary by the College Grievance Officer, a maximum of five members. On a panel of three, one will be a student. If membership exceeds three, it may include more than one student. In the case of a graduate/professional school complaint, the student member(s) will be a graduate/professional school student(s). In the case of an undergraduate complaint, the student member(s) will be an undergraduate(s).

13. Hearing panels will review the evidence and hold hearings as necessary. The panel will not substitute its judgment for that of those most closely acquainted with the field, but will base its recommendations on whether a rule, policy or established practice was violated. The panel will prepare a written report recommending a resolution of the matter and will send the report to the parties and to the Dean of the collegiate unit for review and action. If the Dean does not accept the recommendation, the dean will provide a written explanation of any non-concurrence.

14. If any of the parties are not satisfied with the Dean’s resolution of the grievance, they may appeal to the University Academic Grievance Committee. Based on the written appeal and response, this Committee will determine whether there are sufficient grounds to hold an appeal hearing. The University Academic Grievance Committee will not hear a case de novo, but rather will determine whether the parties have been afforded due process. The University Academic Grievance Committee will report its recommendation to the appropriate Vice President, Provost or Chancellor for review and action. If the recommendation is not accepted, the Vice President, Provost or Chancellor will provide a written explanation of any non-concurrence.

15. The decision of the appropriate Vice President, Provost or Chancellor is final and cannot be appealed.

D. Timeliness

16. All complaints must be filed within 30 calendar days after the incident being grieved occurred. A response to the complaint must be filed within 15 working days.

17. Deans and Vice Presidents must act upon the recommendations of the Committees within 30 calendar days. Appeals must be filed within 15 working days.

18. Timelines may be adjusted if there are compelling reasons for delay offered by any of the parties.

Adopted Jan. 13, 1995
Sexual Harassment Policy  
(University of Minnesota Policy)  
Adopted by the Board of Regents December, 11, 1998

Section I. Definition.

Subd. 1. Sexual Harassment. "Sexual harassment" means unwelcome sexual advances, requests for sexual favors, and/or other verbal or physical conduct of a sexual nature when:
(1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic advancement in any University activity or program;
(2) submission to or rejection of such conduct by an individual is used as the basis of employment or academic decisions affecting this individual in any University activity or program; or
(3) such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive working or academic environment in any University activity or program.

Subd. 2. Member of the University Community. "Member of the University community" or "University member" means any University of Minnesota faculty member, student, or staff member, or other individual engaged in any University activity or program.

Section II. Policy.

Subd. 1. Prohibition. Sexual harassment by or toward a member of the University community is prohibited.

Subd. 2. Responsibility to Report. Department heads, deans, provosts, chancellors, vice presidents, and other supervisors and managers must take timely and appropriate action when they know or should know of the existence of sexual harassment. Other persons who suspect sexual harassment should report it to an appropriate person in their unit or to the University equal opportunity officer.

Subd. 3. Administrative Responsibility. Each campus must adopt procedures for investigating and resolving complaints of sexual harassment in coordination with the director of equal opportunity and affirmative action.

Subd. 4. Disciplinary Action. A violation of this policy may lead to disciplinary action up to and including termination of employment or academic dismissal.

*See http://www1.umn.edu/regents/policies/humanresources/SexHarassment.html.

What To Do If You Are Harassed

From Sexual Harassment, a booklet prepared by the Office of Equal Opportunity, 419 Morrill Hall, 612-624-9547 (TTY 612-626-8947):

If you find yourself feeling uncomfortable about someone's behavior related to a sexual issue, you may be experiencing sexual harassment. Sexual harassment includes a range of behaviors, some more harmful than others, but none acceptable. If you are uncertain about whether something happening to you is sexual harassment, talk to someone you trust about the situation.

If the person harassing you has power over your education or employment, it is understandable that you might fear reprisal if you take steps to end the harassment. You have a right to pursue your education and conduct your job in an environment free of this kind of interference. The University's policies are intended to protect you against reprisals.
Informal Resolution

Early efforts to control a potentially harassing situation are very important. Sometimes you can stop sexual harassment by telling the person directly that you are uncomfortable with his or her behavior and would like it to stop. Writing a letter to the person or talking to the person’s supervisor can also be effective. Go to one of the resources for sexual harassment information listed in this brochure, or discuss the matter with a friend. Talk to others who might also be victimized by the harasser, since harassment often involves more than one victim.

An advocate or the University’s sexual harassment officer for sexual harassment complaints can advise you on the most appropriate course of action and can assist you with your complaint if you choose an informal approach.

Formal Complaints

If you decide to file a formal complaint, it will be resolved according to established University procedures. For the most part, the procedures depend on the status of the person against whom the complaint is being filed, not the status of the person bringing the complaint. However, civil service and represented employees have the option of using grievance procedures initiated in the usual way.

Students should contact the Office of Equal Opportunity, 419 Morrill Hall, 612-624-9547 (TTY 612-626-8947). Information, advocacy and counseling is also available at the Sexual Violence Program, 612-625-6512. 24-hour crisis line: 612-626-1300.

See the School of Social Work’s Field Instruction Manual for specific policies and procedures for sexual harassment in field placements.

Nepotism and Consensual Relationships

University of Minnesota Policy
(Amended by the Board of Regents December 11, 1998)

Section I. Definitions.

Subd. 1. Member of the University Community. "Member of the University community" or "University member" shall mean any University of Minnesota faculty member, student, or staff member, or other individual engaged in any University activity or program.

Subd. 2. Personal Relationship. "Personal relationship" shall mean marital or other committed relationship, significant familial relationship, or consensual sexual or romantic relationship.

Section II. Employment And Academic Activities.

Subd. 1. Prohibited Activities. A member of the University community may not directly influence the University employment or academic progress of a University member with whom he or she has a personal relationship. Prohibited activities include, but are not limited to, hiring, promotion, supervision, evaluation, determination of salary, grading, and advising.

Subd. 2. Noncompetitive Appointments. This policy does not prohibit noncompetitive appointments of spouses and partners otherwise authorized by University policy.

Subd. 3. Relationships With Current Students. Personal relationships between faculty members or advisors and their current students are very unwise and may violate other University policies, even when prohibited activities have been avoided, because of the trust accorded to faculty members and advisors by students, the power differential inherent in academic associations, the difficulty of making alternative arrangements for grading and evaluation, and the risk of real or perceived favoritism toward the student in the personal relationship and the potential harm to this student and other students.
Section III. Administrative Directives.

Subd. 1. Procedures Required. The president shall adopt procedures for the implementation of this policy. The procedures must contain the provisions outlined in subdivisions 2-5.

Subd. 2. Consultation. Consultation shall be mandatory for University members who are or will be in a position to engage in an activity prohibited by section II.

A consultation process shall be designed to ensure that:
(1) appropriate steps are taken to avoid the prohibited activity,
(2) steps taken will not unreasonably disadvantage either University member,
(3) the consultation is with an appropriate administrator, and
(4) appropriate confidentiality is provided.

Subd. 3. Goal of Consultation. Compliance with this policy may be achieved either by structuring the conditions of the employment or academic association of the related parties so as to avoid or eliminate the prohibited activities or by avoiding the personal relationship that may lead to the prohibited activities. The structuring of the association must be done after appropriate consultation and must not unreasonably disadvantage either University member.

Subd. 4. Power Disparity. When a power disparity exists in the employment or academic association of the individuals in the personal relationship, the employment or academic interests of the subordinate must be protected when structuring the association to avoid the prohibited activity.

Subd. 5. Exclusions. In exceptional circumstances an exclusion from section II, subd. 1 may be granted when eliminating the prohibited activities would unreasonably disadvantage one or both of the University members involved in a personal relationship. In the event that an exclusion is granted, safeguards must be implemented to help ensure that any employment or academic decisions regarding the involved University members are made impartially.

Section IV. Disciplinary Action.

A violation of section II, subd. 1 may lead to disciplinary action up to and including termination of employment or academic dismissal. Participation in and adherence to the consultation process may mitigate disciplinary action.
Policy on Religious Holidays

September 29, 1997

TO: Twin Cities Campus Deans, Directors, and Department Heads
FROM: Robert Bruininks, Executive Vice President and Provost
SUBJECT: Student/Employee Absence for Religious Holidays
(Replaces policy guidelines dated 10/9/95)

To obtain a copy of a historical policy, e-mail the U Policy Librarian at process@tc.umn.edu or call 624-4372.

Please review the following general policy guidelines related to excused absences for students and employees to observe religious holidays. I am asking that you inform faculty, staff and students in your units of this policy and post a copy in a conspicuous place within your department.

**Students:**

The University of Minnesota permits absences from class for participation in religious observances. Students who plan to miss class must:

1. Inform instructors of anticipated absences at the beginning of the semester;
2. Meet with instructors to reschedule any missed examinations; and
3. Obtain class notes from other students.

Instructors are required to assist students in obtaining course materials and assignments distributed during class sessions and to make arrangements for taking missed examinations.

**Employees:**

This policy applies to professional and administrative employees, civil service employees and faculty who are on twelve month or A-base appointments. It does not apply to employees who are subject to a collective bargaining agreement which governs their rights and it does not apply to faculty who are on nine month appointments who may make arrangements for observance of religious holidays by arrangement with their department head.

The University of Minnesota permits absences from work for employees to participate in religious observances. These absences must be arranged with the employee's supervisor who is encouraged to accommodate the employee's request to the extent it is practicable in their unit. Employees are responsible for giving supervisors at least two week's notice of the proposed absence.

Employees may request this time as either:

1. Paid vacation,
2. Time off without pay; or
3. The option to make up equivalent time by arrangement with the employee's supervisor.

Questions about this policy as it affects students should be directed to the Office of the Vice President for Student Development and Athletics (624-3533). Questions about this policy as it affects employees should be directed to your human resources contacts in your individual units.

RB/kll

cc: Mark G. Yudof, President
Nan Wilhelmson, Coordinator of Policy Revision, Office of Human Resources
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<td>Practicum Learning Contract</td>
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<td>Directed study, Research Projects and Independent Study</td>
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<td>PhD Contract for Completion for Incomplete Grades</td>
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<td>Report of Results of Supporting Paper/Specialized Written Exam</td>
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<td>Graduate School Application for Degree Form Sample</td>
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<td>Dissertation Defense Announcement</td>
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PhD Student Update Form

This form should be submitted to the Director of Graduate Studies and Jan Goodno. Please discuss changes in your academic program with your adviser.

Name: _________________________________________ ID# ______________ Date: __________

Address Change:

_____________________________________________________________________
_____________________________________________________________________

Phone Number: _______________________________________________________

Change of Adviser:
I wish to change my adviser to _____________________________________________
I agree to provide advising services to this student:

________________________________________________________________________

(Signature of Proposed Adviser)

Financial Aid Changes:
I have received the following financial aid:

Department: ______________________________________________________________

Type: TA  RA  Other _______________________________________________________

Term: Fall Semester / Spring Semester / Intersession / Summer Session  Year: ______

% Time: _______________ Dollar Amount: _______________

Outside Source: __________________________________________________________
RESEARCH PRACTIUM LEARNING CONTRACT

STUDENT INFORMATION
Name:
Email Address:

PRACTICUM SUPERVISOR
Name:
Department/School:
Email Address:

DATES/TIMES
Beginning Date of Practicum:
Anticipated Closing Date:
Supervisor-Student Weekly/Biweekly Meeting Schedule:
Student’s Practicum Work Schedule:

PROJECT DESCRIPTION

Project Name:
Principal Investigator:
Research Question:
Components of project that practicum will address during the year: (e.g. review of literature, proposal writing, data gathering, coding, etc.)

Major tasks student will be expected to accomplish:

Required student skills: (The student must already have these skills or be willing to develop them as an “overhead time investment” in this particular Practicum, e.g., interviewing skills with elder clients; working knowledge of SPSS, etc.)

Implications for student’s professional portfolio: (co-authorship from project; potential for dissertation work/publication, conference presentations, etc. Reminder, co-authorship is a requirement for the practicum.)

Work schedule: Discuss implications for daytime/weekend work etc., and agree upon a schedule that both meets the needs of the project/supervisor and yet allows the student to meet their other work and family responsibilities.

Facilities available for student: (e.g., student will have a desk and computer in a project office shared by three other research staff; student will share Supervisor’s office and will not have his/her own desk in the office)

Compatibility with course objectives: Will this practicum address all objectives of the course?

1. Build diverse research skills. Comment:
2. Strengthen an understanding of basic research concepts (e.g., research question, sampling, data gathering and analysis, application, publication etc) Comment:
3. Develop ability to articulate linkages (formulating questions, Id appropriate techniques of sampling, collection, analysis, interpretation, etc.). Comment:
4. Develop early-career competence in areas such as securing external support, publication, employment. Comment

OBJECTIVES AND ACTIVITIES

In this section list your learning objectives and activities for your placement. Use the attached page, Learning Objectives, as a guide. You do not need to use these specific objectives/activities but you do need to have objective(s) for all four areas

a. Knowledge of the research issue
   i. Objectives
   ii. Activities
b. Knowledge of the research endeavor
   i. Objectives
   ii. Activities
c. Technical knowledge
   i. Objectives
   ii. Activities
d. Knowledge of the researcher’s role
   i. Objectives
   ii. Activities

Agreement

We agree that __________ (student) agrees to work with the __________ (Research Supervisor) on a research project for at least 7 ½ hours per week during the coming academic year. The Research Supervisor agrees to provide at least an average of 30 minutes supervision weekly and to work with the student to produce a final product as specified above. The student will also participate in a Research Practicum Seminar every other week during the academic year.

Agreed between:

Doctoral Student Signature: ________________________________ Date: __________________

Research Supervisor Signature: ________________________________ Date: __________________

Please submit a copy of this completed agreement to the Director of the Doctoral Program and a copy to the Practicum Seminar Instructor, and keep a copy for yourself.
A. **Knowledge Of The Research Issue**: What you need to learn about the research issue being addressed in this project. **EXAMPLE**: By the end of the research practicum, the student should have gained in-depth knowledge of the problem and population with which this project is concerned.

Describe activities: EXAMPLES

- Review the available literature on the problem or issue being studied.
- Meet with at least two people who have personal experience with the issue being studied.
- Visit at least one social work agency where services are being provided that may be affected by the outcome of this research project.

B. **Knowledge Of The Research Endeavor**: What you need to do to learn and understand the research project’s structure and outcomes. Look at all levels of the staff within the project and how each relates to the goals of the project. **EXAMPLE**: By the end of the practicum, the student should be able to define project goals, organizational structure, policies and program; identify staff functions and roles; understand ethics and constraints affecting the research endeavor.

Describe activities: EXAMPLES

- Participate in team meetings.
- Attend at least one public presentation of this or related research.
- Where possible, attend at least one meeting with a consultant (e.g. statistical consultant) to the project.
- Where possible, attend at least one meeting of a community advisory group to the project.

C. **Technical Knowledge**: What skills you need to learn to conduct the technical aspects of research in this project. **EXAMPLE**: By the end of the research practicum, the student should have a working knowledge of data collection, analysis, and interpretation methods.

Describe activities: EXAMPLES (In this case, these are actually outcomes not activities but this is OK here)

- Ability to conduct research interview
- Working knowledge of SPSS or NUDIST
- Ability to write a research report appropriate to this project

D. **Knowledge of Researcher Role**: What skills you need to learn to design, implement, and disseminate a community-based research project. **EXAMPLE**: By the end of the research practicum, the student should have developed an understanding of his/her role as a social work researcher in the larger context of community-based research. Also the student should understand the variety of roles s/he plays within the project and larger community; facilitator, mediator, advocate, advisor, etc.

Describe activities. EXAMPLES

Three to four specific activities you may engage in as part of this project (describe in detail what you are going to be doing)
Annual Review Form

Students are to complete this annual review form as best as possible given their progress in the program to date and give it, along with their updated CV, to their advisor and the PhD Program Director at least 3 days prior to the Annual Review meeting. (please complete electronically)

**Background Information**

<table>
<thead>
<tr>
<th>Name</th>
<th>Advisor</th>
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<tr>
<td>Date Entered Program</td>
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<tr>
<td>General Research Interests</td>
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<tr>
<td>General Career Goals</td>
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<tr>
<td>Committee Members (potential)</td>
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</table>

**Coursework**

<table>
<thead>
<tr>
<th>SSW Coursework</th>
<th>Completed or anticipated completion date</th>
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<tbody>
<tr>
<td>SW 8851 - History of Social Work and Historical Research Methods</td>
<td></td>
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<tr>
<td>SW 8855 – Social Policy Formulation and Analysis</td>
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<tr>
<td>SW 8861 – Theory and Model Development in Social Work</td>
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<tr>
<td>SW 8863 – GRAD 8101 (Teaching)</td>
<td></td>
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<tr>
<td>SW 8871 - Social Work Research Seminar I</td>
<td></td>
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<tr>
<td>SW 8872 - Social Work Research Seminar II</td>
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<tr>
<td>Statistics Course ____________ (course #)</td>
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<tr>
<td>Statistics Course ____________ (course #)</td>
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<tr>
<td>SW 8875 – Research Practicum</td>
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<tr>
<td>Research Practicum Topic:</td>
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<tr>
<td>Research Practicum Supervisor:</td>
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**Supporting Program Courses (12 credits required)**

<table>
<thead>
<tr>
<th>Department/Course Number/Credits</th>
<th>Relationship to Research Area</th>
<th>Completed</th>
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**Minors/Certificates/Others Graduate Programs (Optional)**

<table>
<thead>
<tr>
<th>Program</th>
<th>Relationship to PhD Program</th>
<th>Date of completion</th>
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**Participation in Colloquium** (four semesters required)

| Semesters completed |
### General Written Preliminary Exam

| Projected date for completion of general written exam. | 
| Plans for Preparing for Exam | 

### Specialized Exam/Supporting Paper

| Projected date for completion of specialized exam/supporting paper | 
| Proposed topic for supporting paper | 

### Oral Preliminary Exam

| Projected date for completing your Oral Preliminary Examination | 

### Dissertation Progress

| Potential Area of Focus | 
| Potential Research Population | 
| Potential Research Questions | 
| SW Curriculum Focus Areas (policy, practice, etc.) | 
| Potential SSW and Outside committee members | 
| Anticipated Date for Proposal Defense | 
| Dissertation Completion Plans |

Funding Plans
Indicate your plans for funding your education/dissertation for the duration of your program.

Additional Research Experience
(Indicate additional research experience you have participated in as a doctoral student – through RAs, volunteer projects, etc.)

<table>
<thead>
<tr>
<th>Project Title</th>
<th>PI and/or Collaborators</th>
<th>Your Role and Tasks</th>
<th>Dates</th>
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Teaching Development
Indicate plans for or desire for teaching development in these areas.

<table>
<thead>
<tr>
<th>Teaching Mentorship</th>
<th></th>
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<tbody>
<tr>
<td>Guest Lectures</td>
<td></td>
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<tr>
<td>Independent Course Sections Taught</td>
<td></td>
</tr>
<tr>
<td>Additional Teaching Training Programs, Classes, Workshops, Activities</td>
<td></td>
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</tbody>
</table>
### Professional Development

Indicate plans for or desire for professional development in these areas.

<table>
<thead>
<tr>
<th>Area</th>
<th>Details</th>
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<tbody>
<tr>
<td>University Committees</td>
<td></td>
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<tr>
<td>Organizational Memberships</td>
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<td>Academic/Professional Conference Attendance</td>
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<tr>
<td>Academic/Professional Conference Presentations</td>
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<tr>
<td>Service/consulting to Community Agencies</td>
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<tr>
<td>Additional Research Training Programs</td>
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<tr>
<td>Manuscripts Submitted for Publication (or plans to)</td>
<td></td>
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<td>Editorial Activities</td>
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<tr>
<td>Other</td>
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</table>

### Academic/Research Skill Development: (e.g. writing, critical thinking, analysis, specific quantitative data gathering/analysis skills, specific qualitative data gathering/analysis skills, applying theory, teaching – be as specific as possible)

<table>
<thead>
<tr>
<th>Areas of Strength</th>
<th>Plans for Further Development</th>
</tr>
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</table>
## Areas Requiring Additional Attention

<table>
<thead>
<tr>
<th>Areas Requiring Additional Attention</th>
<th>Plans for Further Development</th>
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## Goals for 2012-2013

Please list specific goals and action steps for reaching these goals during the 2011-2012 school year.

1.
2.
3.
Directed Study, Research Projects and Independent Study

Please prepare in triplicate and give copies to instructor and Director of Graduate Studies (DGS); keep one copy for yourself.

1. Student’s Name ____________________________________________
2. Instructor’s Name ____________________________________________
3. Semester of Registration: F S Intercession Summer Session Year _______
4. Number of Credits: ____________ : A/N S/N (Circle one)
5. Course Number: ________________________________
6. Title of Project: _________________________________________________________
7. Statement of learning goals and expectations and methods to be used in pursuing goals. This statement should include number of hours of faculty-student contact, focus of discussions, bibliographic requirements and means of accountability (e.g., paper, annotated bibliography etc.). The standard hours of work per credit is 1 (one) hour per week per credit for the semester (e.g., 1 credit equals 14 to 15 hours of work). Students should also meet regularly with the instructor, weekly or bi-weekly.

(Continue on separate page if necessary.)

Student’s Signature: ____________________________________________
Instructor’s Signature: ____________________________________________
DGS Signature: ________________________________________________

Give copies to: DGS*, Instructor, Student

Note: if the DGS office does not receive a copy of this contract, a grade cannot be assigned for the semester.
PhD Contract for Completion for Incomplete Grades

Course: ________________________________________________________________

Semester/Year: __________________________ Student ID# ____________________

I, ___________________________________________, have agreed to receive an incomplete in the above course, recognizing that I must meet the following deadline(s) as negotiated between myself and the instructor. Grades for PhD students must be completed and given to the instructor within two semesters, (twelve calendar months) after receiving the I grade. If not completed within that time, and if completion has not been negotiated with the instructor, the grade will be changed to an F or N by the instructor, in consultation with the Director of Graduate Studies.

I will complete and turn into the instructor the following assignments by the specified dates below:

________________________________________________________________________ by date: ________________

________________________________________________________________________ by date: ________________

________________________________________________________________________ by date: ________________

I agree that if I do not meet the deadline(s) set above, the highest grade I will be able to achieve in this course will be a(an) ________________________________.

If I fail to successfully meet any deadline(s) specified above it will be necessary to renegotiate with the instructor all terms as specified in this contract.

________________________________________________________________________ Date: ________________

(Signature of Student)

________________________________________________________________________ Date: ________________

(Signature of Instructor)

The student is responsible for making and distributing copies of the signed agreement to the course instructor and Jan Goodno, Assistant to the Doctoral Program.
Report of Results of Supporting Paper/
Specialized Written Exam

(to be completed by Faculty Adviser)
School of Social Work • University of Minnesota

Student Name: ____________________________

Results: _______________________________ Date: ______________________

Title of Supporting Paper: ________________________________

_________________________________________________________________
_________________________________________________________________
_________________________________________________________________

OR

Area of Specialized Written Exam Focus: ________________________________

_________________________________________________________________
_________________________________________________________________
_________________________________________________________________

Committee Members: 1) ________________________________

2) ________________________________

3) ________________________________

_________________________________  ___________________________________
Adviser (please print)                Adviser (signature)
Graduate School

Doctoral Degree Completion Procedures

- At least 2 terms before your Preliminary Oral Exam, file a Degree Program Form with 316 Johnston Hall.

- After completion of all Preliminary Written Exams and at least 1 week before the Preliminary Oral Exam, submit the Preliminary Written Examination Report Form to 316 Johnston Hall.

- At least one week prior to the exam, schedule the preliminary Oral exam with the Graduate School. The Preliminary Oral Exam must take place at least one full academic term before the final Oral Defense.

- Within one working day of completion of the Preliminary Oral Exam, submit the signed Preliminary Oral Examination Report Form to 316 Johnston Hall.

- Submit the Thesis Proposal Form to 316 Johnston Hall, the term after passing the Preliminary Oral Examination.

- After the Graduate School has approved the Thesis Proposal, request a Graduation Packet, which includes the Reviewer's Report Form from 316 Johnston Hall.

- By the first working day of the intended month of graduation, submit an Application for Degree (include in your Graduation Packet) to the Registrar's office.

- At least one week prior to the exam, schedule the Final Oral Defense and submit the Reviewer's Report Form to 316 Johnston Hall. (Exam must be held within 5 years of Passing The Preliminary Oral Examination.)

- No later than one working day following completion of the Final Oral Defense, return the signed Final Oral Examination Report Form to 316 Johnston Hall

PHD & EdD’s only

- Submit the final copy of the thesis and other required paperwork necessary for graduation to 316 Johnson Hall. (List of items is included in the graduation packet.)

Degree Advisors

Stacia Madsen: Degree Completion Procedures 612-625-0168 gsdoc@umn.edu
Shannon Gilligan: Preliminary Orals 612-625-2306 gradssp@umn.edu
Renae Faunce: Committee Substitutions, Programs & Petitions Change of Status & Readmission 612-625-5833 m-freu@umn.edu

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Need information?

www.grad.umn.edu

All forms necessary for the completion of your degree can be found at:
http://www.grad.umn.edu/forms/list.html#gssp

GSSP Forms

Need help with choosing your committee members?
Go to:
http://www.grad.umn.edu/roster/step1.asp

Graduate Faculty Roster

You can request a Graduation Packet on line at:
http://www.grad.umn.edu/gsss/doctoral.html

Graduation Packets

Graduate School Commencement Ceremony dates are posted at:
http://www.grad.umn.edu/forms/gs54.html

Commencement Information
Degree Program Transmittal Form Sample

University of Minnesota
Graduate School

Degree Program Transmittal

I.D. No. __________________________

☐ Check here if this is a revision of a previously approved program.

To the Student:

Please read the instructions on the reverse side of this page.

This document consists of two forms (89a, 89b). Print or type to complete the appropriate sections of both forms. Complete the top half of this form (89a), including the name of your adviser(s). Complete form 89b and have it signed by your adviser(s) and by the Director of Graduate Studies for your minor field, if declared.

Some major fields require students to contact proposed committee members regarding their willingness to serve on examining committees. Confer with your Director of Graduate Studies to determine what responsibilities you may have in this regard.

Submit both forms to your Director of Graduate Studies, along with the names of the proposed committee members. After approval by the Director of Graduate Studies, submit all forms to the Graduate School, 316 Normand Hall.

Last Name
First
Middle or Former
Degree

Daytime Phone Number
U of MN E-mail address
E-mail (if declared)

Student Signature/Date

Name of Major Adviser(s)

Master's Degree Only (Check One)
Plan A ☐ Plan B ☐ Other ☐ Professional Engineering Degree Only ☐ Design Project Track ☐ Coursework Track ☐

To the Director of Graduate Studies

This document consists of two forms (89a, 89b). After the student has completed the appropriate sections of all forms and has obtained signatures as described above, it is ready for your review.

Please list below your recommendations for the student’s examining committee. Indicate who will serve as chair. For master’s and specialist certificate final examining committees, the chair must hold at least a member 2 (M2) or Affiliate Member 2 (AM2) on the graduate faculty roster. For the doctoral preliminary or oral examination, the chair must hold a Senior Member (SM) or Affiliate Senior Member (ASM) appointment on the graduate faculty roster. (Note: members of the final oral examination for the doctoral degree are recommended on the Thesis Proposal form GS 63.)

Sign form 89b to indicate your approval of the student’s program of coursework. Sign below to indicate your approval of the student’s proposed examining committee. Note that by signing below, you certify that all proposed committee members have been contacted (by the student, by the adviser, by the Director of Graduate Studies, or by any means established for students in your major field) and that all proposed members have agreed to serve on this student’s examining committee.

Graduate School minimum requirements on the composition of examining committees:

Masters final examination: 3 examiners - 2 from major, 1 from outside the major (minor if declared)
Specialist Certificate final examination: 4 examiners - 2 from major, 2 outside the major
Doctoral preliminary oral examination: 4 examiners - 3 from the major, 1 from outside the major (minor if declared)

Examination Committee Recommendations:

Major Field Examiners

Minor, Related Field, or Supporting Program Examiners

Chair

Minor, Related Field, or Supporting Program Examiners

Date:

Signature, Director of Graduate Studies
GS 89a-10/03
INSTRUCTIONS

Please print (using ballpoint pen) or type to complete the appropriate sections of the forms.

When completing the form, be sure to:

- Refer to the current Graduate School Catalog to confirm that the degree program form you are submitting meets all minimum Graduate School degree requirements. The Catalog is available on the web at http://www.catalogs.umn.edu/grad/index.html.
- Review your major field’s handbook. Check your major field’s web site for an online version of its handbook or contact your adviser or DGS to obtain a hard copy.
- Consult with your faculty adviser and the Director of Graduate Studies (DGS) of your major field when completing the degree program form to ensure that your requirements are met.
- Consult with the DGS of your minor field (if you are formally declaring a minor) about minor-field requirements.

Coursework Section of the Degree Program Form

For every course included—

- Check the “major field course” or “other field course” column as appropriate. (Please note that a course cannot be used to meet both major field and outside course requirements.)
- Include the designator (the departmental abbreviation and the number of the course), course title, number of credits, grade (if completed), and name of the instructor (or name of the institution, if the course is transferred from outside the University of Minnesota).

For transfer coursework—

- Refer to the current Graduate School Catalog for information on transfer policies.
- List any transfer courses you wish to use towards your degree requirements first on the degree program form, separate from your University of Minnesota Graduate School coursework.

For University of Minnesota Graduate School coursework—

- List chronologically (by term and year taken) the University of Minnesota Graduate School courses (both completed and proposed) used to fulfill your degree requirements. If you include transfer work (see above), please list the University of Minnesota Graduate School courses below, and separate from, the list of transfer coursework.

Thesis Credit Requirement

Master’s students pursuing a Plan A, and master’s of engineering students pursuing the design project track, must include master’s thesis credits (10 semester credits of 8777) on their degree program forms. Students pursuing a PhD or EdD degree must include doctoral thesis credits (24 semester credits of 8888). DMA students should consult with their graduate program office or the Graduate School to determine their thesis credit requirement.

Thesis credits are not calculated in any of the credit totals at the bottom of GS#89b. Pre-doctoral thesis credits (8666) cannot be used to meet the coursework or the thesis credit requirements.

Students first registered in the Graduate School prior to Fall 1999

Please confer with your adviser, DGS, or the Graduate School staff if you have questions about including pre-Fall 1999 (quarter-based) coursework on your degree program form. To convert quarter-based course credits to semesters credits, refer to the quarter-to-semester credit conversion table at: http://www.grad.umn.edu/Current_Students/converter.html

Committee Assignments

Refer to the instructions on GS#89a concerning the assignment of committee members.

Signatures

The major adviser (and co-adviser, if applicable) signs the GS#89b. The DGS signs both the GS#89a and GS #89b. If a minor is declared, the DGS in that field also must sign the GS#89b.

Notification of Approval

After the Graduate School reviews and approves your degree program form, copies will be sent to you and to the major field DGS.

Please retain a copy for future reference.

Responsible Conduct of Research

Be advised that all major fields require education in the responsible conduct of research and scholarship, whether through formal coursework or informal means, and most major fields (and formally declared minors) have additional requirements. Please be sure to consult with your DGS and faculty adviser concerning these requirements.

If your research involves human or animal subjects, radioisotopes, hazardous chemicals, or other activities subject to University or governmental regulation, you should be prepared to discuss with your committee your awareness of the regulatory requirements and whether you have complied with them or have plans to do so.
# Degree Program Form Sample

## University of Minnesota

**Graduate School**

<table>
<thead>
<tr>
<th>I.D. No</th>
<th>List Name</th>
<th>First</th>
<th>Middle or Former</th>
<th>Street</th>
<th>City</th>
<th>State</th>
<th>Zip</th>
</tr>
</thead>
</table>

## Degree Program

<table>
<thead>
<tr>
<th>Degree Sought</th>
<th>Major</th>
<th>Minor (if declared)</th>
<th>Language (if required)</th>
</tr>
</thead>
</table>

### TERM AND YEAR

| DEPT & COURSE NO | TITLE | No. of Credits | GRADE | INSTRUCTOR (OF INSTITUTION IF TRANSFER)
|------------------|-------|----------------|-------|-------------------------------------|

- MASTERS STUDENTS ONLY: Check one
  - PLAN A
  - PLAN B
  - OTHER
  - ENGINEERING DEGREE: Check one
    - PROJECT TRACK
    - COURSEWORK ONLY TRACK
  - CERTIFICATE OF SPECIALIST: STUDENTS ONLY
    - SPECIFY SPECIALTY

- DEPUTY ADMISSION’S NAME HERE
- ADVISER’S SIGNATURE
- DEPUTY CO-ADVISER’S NAME HERE
- CO-ADVISER’S SIGNATURE

- SIGNATURE OF DIRECTOR OF GRADUATE STUDIES (MECHATRONICS FIELD)
- SIGNATURE OF DIRECTOR OF GRADUATE STUDIES (MECHATRONICS FIELD)

- SPACE BELOW FOR OFFICE USE ONLY

- GRADUATE SCHOOL APPROVAL

- ADMINISTRATIVE OFFICER | DATE

- EXAMINING COMMITTEE
  - Chair

- 10 MASTERS PLAN A THESIS CREDITS (8777)
- 24 DOCTORAL THESIS CREDITS (8888)

<table>
<thead>
<tr>
<th>TOTAL MAJOR CREDITS</th>
<th>TOTAL OTHER PROGRAM CREDITS</th>
<th>TOTAL CREDITS</th>
</tr>
</thead>
</table>
Graduate School Petition Sample and Instructions

UNIVERSITY OF MINNESOTA
Graduate School

Petition

I.D. No. ____________________
Is this petition in response to an outstanding degree requirements email? □ Yes □ No
Are you petitioning for a time extension? □ YES, thru TERM ___ YEAR ___

Last Name __________ First __________ Middle or Former __________
Street ____________________________
City __________________ State ______ Zip Code __________

Major ____________________________ Minor (if declared) ____________________________
Daytime Phone ____________________________ U of M Email Address __________

Give brief but clear reasons for your requested change. Letters of support may be attached to the Petition.
Identify courses by DEPARTMENT, COURSE NUMBER, TITLE, NUMBER OF CREDITS, GRADE, TERM and YEAR

Adviser’s Signature __________ Date __________ Co-Adviser’s Signature (if applicable) __________ Date __________

Signature, Director of Graduate Studies Major Field __________ Date __________

Signature, Director of Graduate Studies Minor Field (if applicable) __________ Date __________

Comments: ____________________________

Graduate School Use Only

Comments: ____________________________

□ Approve □ Disapprove
Signature ____________________________ Date __________

GS #59-Rev 06/03
INSTRUCTIONS

All petitions require review and recommendation by the adviser and the Director of Graduate Studies for the major field. If your degree program includes a designated minor, and this petition affects that minor, recommendation by the Director of Graduate Studies for the minor field is also required.

Petitions must be submitted to the Graduate School at the address below. Petitions are reviewed and decisions made within approximately 6 weeks of receipt. If additional information is needed, you will be contacted via your university e-mail account (@umn.edu). When approved, a copy of the petition will be mailed to you. Please correct your copy of the degree program form to reflect approved changes.

If none of the following conditions apply to your particular situation, consult Graduate School staff in 316 Johnston Hall for advice.

USE THIS PETITION FOR THE FOLLOWING:

1. Request to change coursework on your approved degree program form.

Write “Please remove from my Degree Program form” and identify courses by department, course number, title, number of credits, grade, term and year that you wish to remove and/or “Please add to my degree program” identifying courses in the same manner. Present this petition to your adviser and the Director of Graduate Studies for the major field (and the Director of Graduate Studies for the minor field, if required) for review and recommendation. If changes are substantial, please submit a revised degree program form in lieu of a petition.

2. Request to change or remove the foreign language requirement on your approved degree program form.

3. Request an extension of time to complete your degree.
   a. The 7-year time limit to complete the master’s degree and the 12-year time limit to complete the certificate of specialist in education is computed from the date of the earliest coursework on the approved degree program form (including transfer work). Please include a short report on your progress toward completion of the degree requirements and indicate the expected term and year of graduation. An approved Degree Program form must be on file at the Graduate School before a petition for an extension can be considered.
   b. The 5-year time limit to complete the doctoral degree is computed from the term following the passing of the preliminary oral examination. Please include a short report of your progress in the research and thesis writing, and indicate the expected term and year of graduation. An approved Thesis/Project Proposal form must be on file at the Graduate School before a petition for an extension can be considered.

4. Request to transfer coursework.

Please refer to the current Graduate School Catalog for further information and policies regarding the transfer of credits. http://www.catalogs.umn.edu/grad/index.html. Your approved degree program form must be on file at the Graduate School. Attach appropriate transcript(s); all coursework to be transferred must be complete, with grades. If the coursework is currently listed on your approved program but was not previously transferred, no departmental signatures are required. To transfer coursework not currently listed on your approved program, follow the instructions under No. 1 above and submit the appropriate transcript(s).
Doctoral Preliminary Oral Examination Scheduling

UNIVERSITY OF MINNESOTA
GRADUATE SCHOOL

DOCTORAL PRELIMINARY ORAL EXAMINATION SCHEDULING

AT LEAST ONE WEEK IN ADVANCE. THE EXAMINATION MUST BE SCHEDULED WITH THE GRADUATE SCHOOL, 316 JOHNSTON HALL
Fax (612) 625-6855-Mailing Address 101 Pleasant St. SE, Minneapolis, MN 55455

NAME ____________________________________________________________
U of M ___________________________ HOME ___________________________ WORK ___________________________
ID# ___________________________ PHONE ___________________________ PHONE ___________________________

CURRENT MAILING ADDRESS _________________________________________
UNIVERSITY ______________________________________________________
E-MAIL ADDRESS (@umn.edu) _______________________________________

DATE OF EXAM ___________ TIME ___________________________

PLACE OF EXAM ___________________________ MAJOR ___________________

The student is responsible for scheduling and confirming the time and place of the examination with all committee members and for providing this information to the Graduate School. Any changes in the membership of the examining committee must be approved by the Graduate School prior to the scheduling of the examination.

THE FOLLOWING REQUIREMENTS MUST BE MET BEFORE THE GRADUATE SCHOOL WILL AUTHORIZE YOU TO TAKE THE PRELIMINARY ORAL EXAMINATION:

1. Your Degree Program form must have been approved by the Graduate School. Please note, minors must be declared and approved prior to the Preliminary Oral Examination.

2. Your Report of Written Examination form, indicating that you have passed the examination(s), must be on file in the Graduate School.

3. You must hold active student status in the Graduate School. Effective Fall 2002 you must register in the Graduate School every fall and spring term until you complete all degree requirements and graduate. If you are not currently active, you must file a Change of Status/Readmission Form to request readmission to the Graduate School. If readmitted, you must register before you will be permitted to schedule your final examination. Please refer to the Graduate School’s website at http://www.grad.umn.edu/gssss/registration.html for more information about the registration requirement, filing for readmission, and registration options.

IT IS THE STUDENT’S RESPONSIBILITY TO ASSURE THAT THE ABOVE REQUIREMENTS ARE MET. If the requirements have been met, the Graduate School will mail the Report of Preliminary Oral Examination form to the Chair of the examining committee before the scheduled date of the examination. If you are deficient in any of the requirements above, your Preliminary Oral Exam Form will not be released by the Graduate School and the exam cannot be held.

A copy of your degree program will be mailed to you at the time the Preliminary Oral Exam form is mailed to the committee chair. Please examine the degree program carefully to determine if you are deficient in coursework, languages or other requirements. Completion of coursework, and language requirements listed on your degree program are not required by the Graduate School as a prerequisite for taking the Preliminary Oral Examination. However, as departmental requirements may differ from those of the Graduate School, you are strongly encouraged to verify your eligibility to take the Preliminary Oral Examination with your department.

The Graduate School will officially notify you of any outstanding requirements at the time the Final Oral Examination is scheduled. The final oral will not be authorized until all requirements are met.

GS 12 (12/02)
Reviewers Report Ph.D. Thesis or Ed.D Project Form Sample

<table>
<thead>
<tr>
<th>REVIEWERS</th>
<th>Acceptable for Defense</th>
<th>Acceptable for Defense with Minor Revisions</th>
<th>Not Acceptable for Defense</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. M. Faculty</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>I. M. Advisor</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>I. M. Reviewer</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*NOTE: If minor or major revisions are required, the reviewers should inform the student in writing of the nature of the revisions. The Adviser is responsible for insuring that all required revisions are made in the final copy of the thesis.*

GS 2-Rev 4/00
Graduate School Application for Degree Form Sample

**University of Minnesota**

**Graduate School Application for Degree**

Submit this application to your records office (see addresses below). To graduate at the end of the specified month, you must apply on or before the first workday of that month and complete all other requirements by the last workday of that month. **NOTE:** Graduating in any month before the end of a term may affect your eligibility for student loans, housing, etc. You may want to delay graduation until the term is over. Check with the appropriate office if you have questions.

Diplomas (8½" by 11") are mailed three to four months after graduation. If you have not received your diploma after four months, you are responsible for checking on it. **NOTE:** If you want your diploma mailed to a foreign country (except Canada and Mexico), add $6 for postage, otherwise your diploma may take up to seven months to arrive.

**Name (FIRST, middle, last) as you want it to appear on the diploma (please print)**

**ID number**

**Current mailing address (street, city, state, zip code)**

**Gender (check one)***

- Male

- Female

**Permanent address that diploma should be mailed to**

**Address code (check one)***

- For office use only

- Male

- Female

**Degree and major**

**From U of M college:***

**Graduate School**

**Desired term and year of graduation (check one and specify year)***

- Spring semester: [ ] January [ ] February [ ] March [ ] April [ ] May [ ] June 20__

- Summer session: [ ] July [ ] August

- Fall semester: [ ] September [ ] October [ ] November [ ] December 20__

**Following information is required by the Department of Education and the Office of the Ombudsman for Institutional Compliance reports.***

- Preferential ethnic background

- 1. Black (African-American, non-Hispanic origin)

- 2. American Indian or Alaska Native

- 3. Asian or Pacific Islander

- 4. Chicano (Mexican-American)

- 5. Other Hispanic origin

- 6. White, non-Hispanic origin

**Student signature**

**Day phone number**

**Date signed**

**For office use only**

**Degree entered (name, date)**

**Degree conferred**

**Month applied**

**Hold diploma for**

**Diploma ordered**

**Program**

**Plan 1**

**Plan 2**

**Other plans (minors)**

**Records Office**

**U of M**

**Duluth**

**200 Fahl Hall**

**100 Pleasant Street S.E.**

**Minneapolis, MN 55413**

**St. Paul**

**130 Coffey Hall**

**1420 Eckles Avenue**

**St. Paul, MN 55105**
Sample Dissertation Defense Announcement
Must be submitted to PhD Program Director and the PhD Program Assistant two weeks before the
Dissertation defense.

School of Social Work
University of Minnesota

DISSERTATION DEFENSE ANNOUNCEMENT

“Title here”

Name Here

Friday, October 1, 9-9:45 a.m.
Room 280, Peters Hall
All Faculty, Students, Staff and Others Invited

Abstract:
Insert Abstract Here

Advisor: Jane Doe
Committee: Terry Doe, Jill Does, Laura Doe (Department of Sociology)
APPENDICES

<table>
<thead>
<tr>
<th>Appendix</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appendix A</td>
<td>Guidelines for Dissertation</td>
<td>117</td>
</tr>
<tr>
<td>Appendix B</td>
<td>Plagiarism</td>
<td>120</td>
</tr>
<tr>
<td>Appendix C</td>
<td>NASW Code of Ethics</td>
<td>120</td>
</tr>
</tbody>
</table>
APPENDIX A: SAMPLE DISSERTATION GUIDELINES

This chapter provides suggestions on how to develop a dissertation proposal and suggestions on the outline for the dissertation itself. It contains three sets of guidelines.

- Proposed Outline for Dissertation Proposals provides guidance for the development of the dissertation proposal.
- Guidelines for Review of the Doctoral Dissertations, Faculty of Social Work, University of Toronto provides a framework for the review of dissertation proposals that is applicable to quantitative, qualitative, and mixed-methods dissertations.
- Some Guidelines for the Design of Qualitative Research with Emphasis on Dissertation Research is helpful for the design of qualitative research dissertations.

Keep in mind that these guidelines are suggestions only and don’t necessarily apply to all situations or dissertation topics. Always consult with your advisor and your committee in developing your proposal.
Proposed Outline for Dissertation Proposals

1. Introduction/Problem statement
   a. Description of issue or problem to be addressed
   b. Identification of an area of study based on the issue or problem statement

2. Literature review
   a. Literature
      i. Based on the problem statement and the area of study, what are the major theoretical frameworks that help inform the issue or that have contributed to the knowledge to date?
      ii. Critical analysis of themes, reasoning, research methodology in the literature and a conclusion about our current state of knowledge.
      iii. What are the gaps or unanswered questions? What is of principal interest in this study and why?
   b. Research Questions/Hypotheses
      Based on the literature review, what is the question to be answered by this study and what is its significance or contribution to the field? List questions and sub-questions.

3. Methods
   a. Design
      Exploratory, descriptive, experimental, quasi-experimental: Identify the type of design and give the reason for selecting this design/approach.
   b. Sample: Who or what will be sampled? How will they be selected? What are the potential problems and benefits of this approach. How will you ensure a representative sample? Any human subjects issues?
   c. Operational definition of variables: Identification of independent and dependent variables where appropriate. These definitions are based on the information in the literature as well as on past useful definitions. (This can go after the research question or here. The major point is to define how the variables are measured.)
   d. Instruments
      i. What instruments from what sources; what have been their prior successes and limitations?
      ii. Validity and reliability of instruments
      iii. Any pre-tests or prior work with these instruments?
   e. Data Collection Plan
      i. Procedures, tasks and timeline.
      ii. potential problems and how you will deal with them including access and recruitment of data collection source
   f. Data Analysis Plan
      i. Plan for analysis by question and variable
      ii. Why are these the most appropriate methods?
   g. Limitations
      i. Issues that may threaten the internal and external validity of the study including,
      ii. Instrument development, sampling, fidelity to the planned intervention (if appropriate)

4. Summary
   a. Issue
   b. Question
   c. Method
   d. Summary of What it Will Contribute
   e. Potential Implications for Policy/Practice

5. References

6. Appendices with instrument(s) and other information as needed
Guidelines for Review of Doctoral Dissertations

The following guidelines were developed to promote better quality research by providing a framework for the review of dissertation proposals and the overall quality of the final dissertation. They can also be used by students and faculty to assess their level of competence in research and by programs to assess the coverage and adequacy of their doctoral curriculum. We have included quality criteria for quantitative, qualitative and multi-method studies. It is an evolving set of guidelines and not a precise instrument. Its intent is to promote dialogue between students and supervisors and lead to overall improvement in the quality of doctoral research.

Beside each of the statements listed below, please indicate whether you strongly agree (SA), agree (A), are undecided (U), disagree (DD), or strongly disagree (SD). If the item is not applicable, mark NA. It is expected that individual and overall ratings will trigger further discussion.

<table>
<thead>
<tr>
<th>I. Topic</th>
<th>SA</th>
<th>A</th>
<th>U</th>
<th>D</th>
<th>SD</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Significance of Research</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Topic is related to a body of knowledge recognized as broadly relevant to social work.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. Topic is significant and will advance knowledge.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3. Topic is relevant to professional, practice or policy needs.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
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<tr>
<td>4. The scope of the study is manageable</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
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<table>
<thead>
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<th>II. Topic</th>
<th>SA</th>
<th>A</th>
<th>U</th>
<th>D</th>
<th>SD</th>
<th>NA</th>
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</thead>
<tbody>
<tr>
<td>A. Literature Review</td>
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<td>5. The pertinent literature, conceptual and research has been reviewed.</td>
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<td>6. If there is limited literature on the problem, the writer has reviewed studies closest to the problem.</td>
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<td>7. The candidate demonstrates a mastery of the literature in the field.</td>
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<td>8. The hypotheses or questions flow clearly from the problem statement.</td>
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<td>B. Theory</td>
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<td>9. An epistemological position is stated and expanded upon if necessary.</td>
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<td>10. A theoretical framework or perspective is articulated (or developed).</td>
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11. Competing theories are identified and a rationale offered for the choice of the selected theory or why a new theory is being developed.

12. The strengths and weaknesses of the selected theory are identified (a critique using relevant literature).

13. Selected theory is appropriate to the research question.

13. Integration of theory and data is evident in the discussion and conclusion.

C. Originality

15. The study provides in the definition of the problem, the epistemological and/or theoretical perspective, the methodology employed, or the mode of interpretation, some contribution that is different from work previously done and that distinctly is the product of the candidate’s own thinking.

16. A theoretical framework or perspective is articulated (or developed).

III. Research Design

A. Research Question

16. Research questions are derived from the review of the literature.

17. The rationale and assumptions that underlie, the study questions are made explicit.

18. The research question(s) are clearly stated and sub-questions articulated.

B. Design

19. Design of the study is appropriate to the research question(s) asked.

20. Methods of data collection are made explicit and justified as to their appropriateness.

21. The use of multiple methods matches the purpose for combining the method types.

22. Operational definitions are given for all, important terms and concepts.

23. The strengths and limitations of the study are identified.

24. The variables being investigated in the research are clearly specified.

25. If independent variables are to be manipulated, this has been clearly described.
26. Confounding variables are indicated and the method of control is well described.

27. In replicative studies, special attention is given to maintaining equivalent conditions for all critical variables.

28. If applicable, control or comparison groups are used appropriately.

29. Issues related to internal validity/credibility and reliability/dependability have been addressed.

30. The population (people, text, files) from which the sample was drawn, the method of sampling and the rationale for the sampling method are clearly described.

31. The rationale for sample size (including a power analysis, if appropriate) is provided.

32. The sampling plan is consistent with the statistical model used for analysis of the data.

33. Procedures to enhance response rates are specified.

34. Attrition rate is discussed and handled appropriately.

35. Methods of data collection are clearly described.

36. Methods of data collection are appropriate to the population including relevance to gender, ethnicity and other diversities.

37. If appropriate, psychometric information (reliability, validity) have been cited.

38. If appropriate, a pretest/pilot test has been conducted.

39. Procedures and instruments for the collection of data are clearly described.

40. Analyses are consistent with the questions, design, sample and data collected.

41. If assumptions of a statistical model are violated, protective measures are indicated.

42. The interpretation of the results is consistent with the raw data.

43. In qualitative analyses, interpretive steps are explicitly identified.
44. In multi-method studies, the interpretation of data addresses the shared or divergent biases of the methods.

45. The interpretation and analysis is complete, conformable, and meaningful in context.

46. Contradictory findings are discussed.

47. Alternative interpretations are provided.

48. Whenever relevant, validation by the participants (member validation) has either been conducted, or discussed.

49. Analysis of the generalizability/transferability of the findings is explicit.

50. The conclusions reached in the study are defensible.

51. Directions for future research are identified and discussed.

### IV. Ethics

52. The research goals are consistent with social work principles of working toward improving the situation of individuals and/or groups in society.

53. If the study involves human participants, the risks and benefits of participation are clearly identified and understood.

54. It is clear that the benefits outweigh the risks.

55. If the study involves human participants, threats to free and informed consent are adequately addressed.

56. The researcher has made adequate provisions to ensure confidentiality of data.

57. The researcher has made provisions to share the information with study participants.

58. The research has appropriate ethics clearance from the university and other collaborating organizations.

59. The power differential between the researcher and participants has been addressed in the study.

60. It has been made clear who owns the data and where it will be stored and for how long.
## V. Presentation

### A. Organization

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<td>61.</td>
<td>Study has a logical, easily understandable sequence from initial statement of the problem to the appendices.</td>
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<td>62.</td>
<td>Major topics are separated under appropriately devised subheadings.</td>
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<td>63.</td>
<td>Format is tailored to meet demands of the topic.</td>
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### B. Clarity

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<td>64.</td>
<td>Copies of relevant materials such as test instruments, interview schedules, directions to subjects, criteria for selection of experts, and pilot test data are appended.</td>
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<td>65.</td>
<td>Given the level of detail contained in the study, any appropriately trained researcher could carry out the study with results not differing substantially from those that would be obtained by the author.</td>
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### C. Technical Adequacy

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<td>66.</td>
<td>The study is well edited with adequate attention to grammar, sentence structure, spelling, non-sexist language.</td>
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<td>67.</td>
<td>Includes appropriate study data, tables, figures, charts and appendices.</td>
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<td>68.</td>
<td>Citations are consistently provided and are accurate.</td>
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Some Guidelines for the Design of Qualitative Research with Emphasis on Dissertation Research

The following are guidelines for the design of qualitative research. Be sure to study this outline carefully and read the dissertations that others have written. A strategy for writing dissertations is to check to make sure that the key concepts of the proposed research are represented in every section of the dissertation. If you address the key concepts in every section, then you will have a unified and coherent piece of work. You can use this outline to write dissertation proposals. In proposals, you explain what you will do. In dissertations, you explain what you have done.

Recommended Preliminary Work

- Write out your assumptions before collecting data, i.e., your own assumptions, values, and experiences that are relevant to your topic thoughts about how participants may experience as being part of your sample
- Decide on whether to use hypotheses and sensitizing concepts
- Develop preliminary codes
- Informational Interviews
- Preliminary research

Content of Dissertations

- Always provide an introductory overview to each of the major sections
- The introduction includes brief statements about
  - topic to be studied
  - conceptual framework/theory to be applied to the topic to be studied
  - sample
  - method
  - significance/implications

Conceptual Framework

- Introductory overview of the proposed research
- Literature review
  - An analysis of existing knowledge that relates to the topic— it always includes the research and theory and, when relevant, policy, program, and practice principles
- Reflexivity statement (negotiable with committee and depends upon methodology)
  - can build on preliminary work of writing out assumptions
  - a statement of personal and professional values and experiences relevant to the project
- Précis: a summing up, a summary of what went before and a looking forward to research questions/hypotheses/purposes of research. A précis is composed of
  - summary of cited research, theory, etc; this means a critical synthesis of what is known and not known about the topic
  - summary of professional and personal experience
  - statement of significance of proposed project
  - statement about the approach (methods and methodologies) that the proposal will use
Research questions/hypotheses
- statement of the questions/hypotheses
- definitions of key concepts that compose the questions/hypotheses in your own words but whose bases are well documented in the literature review
- diagrams of the relationships among concepts if this is a project whose purpose is to modify an initial conceptual framework

Overview of Methods Section

Methods

Methodology
Statement and discussion about the general principles and methodological principles that you will be following such as feminist, emancipatory, phenomenological, theory-building, descriptive, narrative, life history, portraiture.

The Design
- Introductory statement
  - Sometimes a discussion of the relevance of the methodology is here
- Sampling and recruitment
- Interview plan
  - number of interviews
  - length of interviews
  - who will be interviewed
  - who will conduct the interviews and qualifications
  - reflections on how respondents may receive the project
  - procedures to follow to ensure that respondents
    - will not be harmed by the interview
    - will have free choice about answering or not answering questions
- Interview schedule
- Apparatus for conducting interviews and observations
- Data analysis and interpretation
  - Transcriptions
  - Field notes
  - Solo or group analysis of data?
  - Testing out your interpretations
  - Treating each interview as a “pilot”
  - Thematic analysis? Which one?
  - Coding scheme? Which one?
    - Open
    - Axial
    - Selective
    - other
  - Sources of codes
    - pre-planned codes based on sensitizing concepts that are taken from the conceptual framework of the project
    - “mid-stream” codes taken from literature read in the course of data collection and analysis that arise from researchers’ general store of researcher knowledge including their general knowledge of research and theory, professional and personal experience and values
  - Names of codes
    - words from research and theory
    - words from informants
    - words from researchers’ general stores of knowledge
- Timeline
- Human subjects committee approval and any additional ethical considerations not already covered. Much of the material on human subjects’ committee issues such as consent forms are in the Appendix
Organization of Findings

- Introductory statement
- Diagrams of any revised conceptual frameworks. Where this goes depends upon the logic of your findings section, but usually right after the introductory statement is a good fit.
- Present findings so the patterns and exceptions to patterns are clear
  - Present findings in terms of concepts, categories of typologies, hypotheses, and statements describing patterns
  - How you present findings depends upon the methodological principles of your study
- The following are typical ways of presenting findings:
  - Researcher statements and interpretations
  - Linked to concepts, hypotheses and/or patterns
  - Discussion of each
  - Excerpts to provide examples and to support discussion/interpretation
  - Links to related research and theory
  - How your findings add to, modify, or refute what is known

In general, in presenting findings, all statements should be supported by data and by existing research and theory.

Credibility

- Introductory statement
- Immersion in the field
- Use language audiences understand
- Situate findings within social science traditions
- Present findings so audience has vicarious experience of being there
- Grab and “heart”
- Modifiability
- Transparency of reasoning and design
- Language and methods used are consistent with the type of qualitative research that researchers are using
- Some researchers do inter-rate reliabilities
- Findings presented so that they are consistent with philosophy of science underlying the research

Other indicators of quality

- Coherent organization
- Focus of research is clear
- Every part of the proposal from introduction to final statements has links to focus and further either the understanding of the focus (conceptual framework) or how the researchers will investigate the focus of the study
- Ideas supported by data
- Researchers convey something meaningful

Applications to policy, practice, and programs

- Introductory statement
- Analytic generalizability
- How does it fit in particular settings with particular people at particular times
- Sensitizing, illuminating

Dissemination Plan

Adopted by Ph.D. Committee, April 2005 **These guidelines were developed by Professor Jane Gilgun, School of Social Work, University of Minnesota – Twin Cities Campus
Appendix B: Avoiding Plagiarism

In writing your papers in graduate classes, you will almost always need to use the thoughts, ideas and written and spoken words of others. The reader should always be clear about what are your own, original thoughts and what are words from material you are borrowing from others. Plagiarism is the use of others' words and ideas as though they were your own. Plagiarism can range from directly copying others' material without proper citation to paraphrasing another's work without proper acknowledgment and/or citations. In either case, plagiarism constitutes scholastic dishonesty and is an offense under the Student Conduct Code of the University of Minnesota. Students found to have plagiarized material in work that they submit as their own in School of Social Work classes are subject to sanctions that range from a failing grade for that assignment to a failing grade for that course or even expulsion from the School or the University. Students are required to know and follow the UM Student Conduct Code, including the rules governing scholastic honesty. For complete information, visit the Office of Academic Integrity's web site at: http://www.osai.umn.edu.

If you have any question about when to cite the work of another or whether or not you are using the proper form of citation and reference, you should consult the Publication Manual of the American Psychological Association, available in the Bookstore, or a faculty member.

As the APA manual explains, there are a few simple rules for checking yourself on proper citation:

1. When using others’ material directly (a direct quote), you must enclose all quoted material in quotation marks and, using APA style, provide the citation with a page number (see below).

2. When paraphrasing another's work, use your own language and style. Don’t just rearrange words and sentences. You must still provide a citation for the source (see examples below).

3. Provide a citation, using APA style, for each borrowed item in a reference list at the end of your paper. A reference list is usually what is used in the papers you write; it provides the information that someone would need to look up the sources that you used for your paper. A reference list is different from a bibliography, which is more general to your subject, cites work for background reading or further reading and may include descriptive notes. You should check with your instructor if you are not sure whether they are talking about a reference list or a bibliography. However, your paper must document specifically the sources for your research materials.

The following examples may illustrate the problems that confront students when they write papers. Original material is given and cited (using APA style) and examples of writing using the original material are given. Two of the examples are plagiarized and two examples use acceptable documentation.

An example of original material that you might read and want to include in your paper is found in a book chapter:


“Causes of Continuing High Levels of Child Poverty. There are three main reasons why child poverty has remained high. First, because of increases in divorce and the rate of out-of-wedlock births, a larger proportion of children live in single-parent families. The parent is usually the mother. Such families are much more likely to be poor than two-parent families because a single mother’s earning power tends to be low, the absent fathers often fail to contribute child support and the public assistance benefits are low. This demographic shift has helped increase poverty among children. Second, during the past 20 years, an increasing proportion of heads of families have been unable to earn enough income to keep their dependents out of poverty. This is partly because the distribution of earnings has become more unequal. Third, real government income support benefits for children declined from the early 1970s to the early 1980s (Committee on Ways and Means, 1985, p. 182) and have not recovered in recent years. We will return to income support policy issues later.”

Examples of Plagiarism

One version of the unacceptable use of the original material is:
There are several reasons why poverty among children is high: increases in divorce and out-of-wedlock births; more heads of families have been unable to earn enough income in the past 20 years; and from the early 1970s to the early 1980s government support benefits for children have decreased.

The above example is unacceptable because the writer has just extracted from another's writing words and facts that are not his/her own. If this writer were an expert in child poverty and knew from his/her own research that the above reasons for poverty were true, this writer could probably produce such a paragraph. However, your instructor is unlikely to think that you are the original author of the above. What has been done here is paraphrasing of Plotnick's work and not acknowledging the original author.

Another unacceptable version:

There are several reasons for child poverty: divorce, out-of-wedlock births, low single mother's earning power, low incomes and decrease in government supports for children since the early 1980s. In addition average real income hasn't grown much in recent years and also income distribution has become less equal (Plotnick, 1992).

This example is also plagiarism. Although the writer has given a citation, it is not clear how much of the paragraph is from Plotnick, i.e., the whole paragraph or just the last sentence. The writer has also copied directly from the original material, changing a few things around, changing a few words, etc. Again, the writer would have to be an expert in child poverty to make the above statements without documentation.

Acceptable Uses of the Original Material

Researchers who study income support policies point to several reasons why child poverty in particular has remained high in recent years. Plotnick (1992) suggests three main reasons: increases in divorce rates and out-of-wedlock births which mean more single parents (usually women) with lower earning power; lower wages; and a decrease in government support benefits for children. To emphasize the latter, Plotnick points out that "...real government income support benefits for children declined from the early 1970s to the early 1980s (Committee on Ways and Means, 1985, p. 182) and have not recovered in recent years" (p. 64).

This version acknowledges the expert source at the outset and properly cites the material so that the reader could easily find it. A citation within a quotation should never be omitted (the Committee on Ways and Means, above), but you need not include it in your reference list. In fact, it would be dishonest to include it in your reference list unless you went to the original source (as given by Plotnick) and read for yourself what the Committee testimony had to say. Then, in your paper, you could quote the Committee data directly, again using proper documentation.

Another acceptable use of the material would be:

The discussion about child poverty often revolves around whether policy makers believe that it is caused by governmental policies or by the parents or guardians of the children. It is difficult to separate the causes. For example, Plotnick (1992) cites reasons for high child poverty rates that could be blamed on either or both individuals or governmental policies: more divorces and out-of-wedlock births which lead to lower incomes (single parents are usually women with low incomes); a low rate of increase in average earning power; and declining governmental benefits for children. Plotnick further comments that "absent fathers often fail to contribute child support," but also that "public assistance benefits are low" (p. 64).

The writer here not only correctly cited the authority but, in the writer's own words, has begun to analyze the arguments and material being used. This writing is what we strive for, that is, an understanding of the research for your paper and an effort to compare, analyze and synthesize it in your own words.

The authors you read and other sources of information (interviews, legislative hearings, reports, videos, etc.) should be partners that support your understanding and expression of your own ideas. Just be sure always to be clear about what is yours and what is theirs!

Prepared by Nancy Johnston
Appendix C

NASW Code of Ethics

Approved by the 1996 NASW Delegate Assembly and revised by the 1999 NASW Delegate Assembly

Preamble

The primary mission of the social work profession is to enhance human well-being and help meet the basic human needs of all people, with particular attention to the needs and empowerment of people who are vulnerable, oppressed, and living in poverty. A historic and defining feature of social work is the profession's focus on individual well-being in a social context and the well-being of society. Fundamental to social work is attention to the environmental forces that create, contribute to, and address problems in living.

Social workers promote social justice and social change with and on behalf of clients. "Clients" is used inclusively to refer to individuals, families, groups, organizations, and communities. Social workers are sensitive to cultural and ethnic diversity and strive to end discrimination, oppression, poverty, and other forms of social injustice. These activities may be in the form of direct practice, community organizing, supervision, consultation, administration, advocacy, social and political action, policy development and implementation, education, and research and evaluation. Social workers seek to enhance the capacity of people to address their own needs. Social workers also seek to promote the responsiveness of organizations, communities, and other social institutions to individuals' needs and social problems.

The mission of the social work profession is rooted in a set of core values. These core values, embraced by social workers throughout the profession's history, are the foundation of social work's unique purpose and perspective:

- service
- social justice
- dignity and worth of the person
- importance of human relationships
- integrity
- competence.

This constellation of core values reflects what is unique to the social work profession. Core values, and the principles that flow from them, must be balanced within the context and complexity of the human experience.

Purpose of the NASW Code of Ethics

Professional ethics are at the core of social work. The profession has an obligation to articulate its basic values, ethical principles, and ethical standards. The NASW Code of Ethics sets forth these values, principles, and standards to guide social workers' conduct. The Code is relevant to all social workers and social work students, regardless of their professional functions, the settings in which they work, or the populations they serve.

The NASW Code of Ethics serves six purposes:

1. The Code identifies core values on which social work's mission is based.
2. The Code summarizes broad ethical principles that reflect the profession's core values and establishes a set of specific ethical standards that should be used to guide social work practice.
3. The Code is designed to help social workers identify relevant considerations when professional obligations conflict or ethical uncertainties arise.
4. The Code provides ethical standards to which the general public can hold the social work profession accountable.
5. The Code socializes practitioners new to the field to social work's mission, values, ethical principles, and ethical standards.

6. The Code articulates standards that the social work profession itself can use to assess whether social workers have engaged in unethical conduct. NASW has formal procedures to adjudicate ethics complaints filed against its members.* In subscribing to this Code, social workers are required to cooperate in its implementation, participate in NASW adjudication proceedings, and abide by any NASW disciplinary rulings or sanctions based on it.

*For information on NASW adjudication procedures, see NASW Procedures for the Adjudication of Grievances.

The Code offers a set of values, principles, and standards to guide decision-making and conduct when ethical issues arise. It does not provide a set of rules that prescribe how social workers should act in all situations. Specific applications of the Code must take into account the context in which it is being considered and the possibility of conflicts among the Code's values, principles, and standards. Ethical responsibilities flow from all human relationships, from the personal and familial to the social and professional.

Further, the NASW Code of Ethics does not specify which values, principles, and standards are most important and ought to outweigh others in instances when they conflict. Reasonable differences of opinion can and do exist among social workers with respect to the ways in which values, ethical principles, and ethical standards should be rank ordered when they conflict. Ethical decision-making in a given situation must apply the informed judgment of the individual social worker and should also consider how the issues would be judged in a peer review process where the ethical standards of the profession would be applied.

Ethical decision-making is a process. There are many instances in social work where simple answers are not available to resolve complex ethical issues. Social workers should take into consideration all the values, principles, and standards in this Code that are relevant to any situation in which ethical judgment is warranted. Social workers' decisions and actions should be consistent with the spirit as well as the letter of this Code.

In addition to this Code, there are many other sources of information about ethical thinking that may be useful. Social workers should consider ethical theory and principles generally, social work theory and research, laws, regulations, agency policies, and other relevant codes of ethics, recognizing that among codes of ethics social workers should consider the NASW Code of Ethics as their primary source. Social workers also should be aware of the impact on ethical decision making of their clients' and their own personal values and cultural and religious beliefs and practices. They should be aware of any conflicts between personal and professional values and deal with them responsibly. For additional guidance social workers should consult the relevant literature on professional ethics and ethical decision-making and seek appropriate consultation when faced with ethical dilemmas. This may involve consultation with an agency-based or social work organization's ethics committee, a regulatory body, knowledgeable colleagues, supervisors, or legal counsel.

Instances may arise when social workers' ethical obligations conflict with agency policies or relevant laws or regulations. When such conflicts occur, social workers must make a responsible effort to resolve the conflict in a manner that is consistent with the values, principles, and standards expressed in this Code. If a reasonable resolution of the conflict does not appear possible, social workers should seek proper consultation before making a decision.

The NASW Code of Ethics is to be used by NASW and by individuals, agencies, organizations, and bodies (such as licensing and regulatory boards, professional liability insurance providers, courts of law, agency boards of directors, government agencies, and other professional groups) that choose to adopt it or use it as a frame of reference. Violation of standards in this Code does not automatically imply legal liability or violation of the law. Such determination can only be made in the context of legal and judicial proceedings. Alleged violations of the Code would be subject to a peer review process. Such processes are generally separate from legal or administrative procedures and insulated from legal review or proceedings to allow the profession to counsel and discipline its own members.

A code of ethics cannot guarantee ethical behavior. Moreover, a code of ethics cannot resolve all ethical issues or disputes or capture the richness and complexity involved in striving to make responsible choices within a moral community. Rather, a code of ethics sets forth values, ethical principles, and ethical

### Grievances

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### Grievances

*For information on NASW adjudication procedures, see NASW Procedures for the Adjudication of Grievances.*

The Code offers a set of values, principles, and standards to guide decision-making and conduct when ethical issues arise. It does not provide a set of rules that prescribe how social workers should act in all situations. Specific applications of the Code must take into account the context in which it is being considered and the possibility of conflicts among the Code's values, principles, and standards. Ethical responsibilities flow from all human relationships, from the personal and familial to the social and professional.

Further, the NASW Code of Ethics does not specify which values, principles, and standards are most important and ought to outweigh others in instances when they conflict. Reasonable differences of opinion can and do exist among social workers with respect to the ways in which values, ethical principles, and ethical standards should be rank ordered when they conflict. Ethical decision-making in a given situation must apply the informed judgment of the individual social worker and should also consider how the issues would be judged in a peer review process where the ethical standards of the profession would be applied.

Ethical decision-making is a process. There are many instances in social work where simple answers are not available to resolve complex ethical issues. Social workers should take into consideration all the values, principles, and standards in this Code that are relevant to any situation in which ethical judgment is warranted. Social workers' decisions and actions should be consistent with the spirit as well as the letter of this Code.

In addition to this Code, there are many other sources of information about ethical thinking that may be useful. Social workers should consider ethical theory and principles generally, social work theory and research, laws, regulations, agency policies, and other relevant codes of ethics, recognizing that among codes of ethics social workers should consider the NASW Code of Ethics as their primary source. Social workers also should be aware of the impact on ethical decision making of their clients' and their own personal values and cultural and religious beliefs and practices. They should be aware of any conflicts between personal and professional values and deal with them responsibly. For additional guidance social workers should consult the relevant literature on professional ethics and ethical decision-making and seek appropriate consultation when faced with ethical dilemmas. This may involve consultation with an agency-based or social work organization's ethics committee, a regulatory body, knowledgeable colleagues, supervisors, or legal counsel.

Instances may arise when social workers' ethical obligations conflict with agency policies or relevant laws or regulations. When such conflicts occur, social workers must make a responsible effort to resolve the conflict in a manner that is consistent with the values, principles, and standards expressed in this Code. If a reasonable resolution of the conflict does not appear possible, social workers should seek proper consultation before making a decision.

The NASW Code of Ethics is to be used by NASW and by individuals, agencies, organizations, and bodies (such as licensing and regulatory boards, professional liability insurance providers, courts of law, agency boards of directors, government agencies, and other professional groups) that choose to adopt it or use it as a frame of reference. Violation of standards in this Code does not automatically imply legal liability or violation of the law. Such determination can only be made in the context of legal and judicial proceedings. Alleged violations of the Code would be subject to a peer review process. Such processes are generally separate from legal or administrative procedures and insulated from legal review or proceedings to allow the profession to counsel and discipline its own members.

A code of ethics cannot guarantee ethical behavior. Moreover, a code of ethics cannot resolve all ethical issues or disputes or capture the richness and complexity involved in striving to make responsible choices within a moral community. Rather, a code of ethics sets forth values, ethical principles, and ethical
standards to which professionals aspire and by which their actions can be judged. Social workers' ethical behavior should result from their personal commitment to engage in ethical practice. The NASW Code of Ethics reflects the commitment of all social workers to uphold the profession's values and to act ethically. Principles and standards must be applied by individuals of good character who discern moral questions and, in good faith, seek to make reliable ethical judgments.

Ethical Principles

The following broad ethical principles are based on social work’s core values of service, social justice, dignity and worth of the person, importance of human relationships, integrity, and competence. These principles set forth ideals to which all social workers should aspire.

**Value: Service**

**Ethical Principle:** Social workers' primary goal is to help people in need and to address social problems.

Social workers elevate service to others above self-interest. Social workers draw on their knowledge, values, and skills to help people in need and to address social problems. Social workers are encouraged to volunteer some portion of their professional skills with no expectation of significant financial return (pro bono service).

**Value: Social Justice**

**Ethical Principle:** Social workers challenge social injustice.

Social workers pursue social change, particularly with and on behalf of vulnerable and oppressed individuals and groups of people. Social workers’ social change efforts are focused primarily on issues of poverty, unemployment, discrimination, and other forms of social injustice. These activities seek to promote sensitivity to and knowledge about oppression and cultural and ethnic diversity. Social workers strive to ensure access to needed information, services, and resources; equality of opportunity; and meaningful participation in decision making for all people.

**Value: Dignity and Worth of the Person**

**Ethical Principle:** Social workers respect the inherent dignity and worth of the person.

Social workers treat each person in a caring and respectful fashion, mindful of individual differences and cultural and ethnic diversity. Social workers promote clients' socially responsible self-determination. Social workers seek to enhance clients' capacity and opportunity to change and to address their own needs. Social workers are cognizant of their dual responsibility to clients and to the broader society. They seek to resolve conflicts between clients' interests and the broader society's interests in a socially responsible manner consistent with the values, ethical principles, and ethical standards of the profession.

**Value: Importance of Human Relationships**

**Ethical Principle:** Social workers recognize the central importance of human relationships.

Social workers understand that relationships between and among people are an important vehicle for change. Social workers engage people as partners in the helping process. Social workers seek to strengthen relationships among people in a purposeful effort to promote, restore, maintain, and enhance the well-being of individuals, families, social groups, organizations, and communities.

**Value: Integrity**

**Ethical Principle:** Social workers behave in a trustworthy manner.

Social workers are continually aware of the profession's mission, values, ethical principles, and ethical standards and practice in a manner consistent with them. Social workers act honestly and responsibly and promote ethical practices on the part of the organizations with which they are affiliated.

**Value: Competence**

**Ethical Principle:** Social workers practice within their areas of competence and develop and enhance their professional expertise.

Social workers continually strive to increase their professional knowledge and skills and to apply them in practice. Social workers should aspire to contribute to the knowledge base of the profession.
Ethical Standards

The following ethical standards are relevant to the professional activities of all social workers. These standards concern (1) social workers' ethical responsibilities to clients, (2) social workers' ethical responsibilities to colleagues, (3) social workers' ethical responsibilities in practice settings, (4) social workers' ethical responsibilities as professionals, (5) social workers' ethical responsibilities to the social work profession, and (6) social workers' ethical responsibilities to the broader society.

Some of the standards that follow are enforceable guidelines for professional conduct, and some are aspirational. The extent to which each standard is enforceable is a matter of professional judgment to be exercised by those responsible for reviewing alleged violations of ethical standards.

1. Social Workers' Ethical Responsibilities to Clients

1.01 Commitment to Clients

Social workers' primary responsibility is to promote the well-being of clients. In general, clients' interests are primary. However, social workers' responsibility to the larger society or specific legal obligations may on limited occasions supersede the loyalty owed clients, and clients should be so advised. (Examples include when a social worker is required by law to report that a client has abused a child or has threatened to harm self or others.)

1.02 Self-Determination

Social workers respect and promote the right of clients to self-determination and assist clients in their efforts to identify and clarify their goals. Social workers may limit clients' right to self-determination when, in the social workers' professional judgment, clients' actions or potential actions pose a serious, foreseeable, and imminent risk to themselves or others.

1.03 Informed Consent

(a) Social workers should provide services to clients only in the context of a professional relationship based, when appropriate, on valid informed consent. Social workers should use clear and understandable language to inform clients of the purpose of the services, risks related to the services, limits to services because of the requirements of a third-party payer, relevant costs, reasonable alternatives, clients' right to refuse or withdraw consent, and the time frame covered by the consent. Social workers should provide clients with an opportunity to ask questions.

(b) In instances when clients are not literate or have difficulty understanding the primary language used in the practice setting, social workers should take steps to ensure clients' comprehension. This may include providing clients with a detailed verbal explanation or arranging for a qualified interpreter or translator whenever possible.

(c) In instances when clients lack the capacity to provide informed consent, social workers should protect clients' interests by seeking permission from an appropriate third party, informing clients consistent with the clients' level of understanding. In such instances social workers should seek to ensure that the third party acts in a manner consistent with clients' wishes and interests. Social workers should take reasonable steps to enhance such clients' ability to give informed consent.

(d) In instances when clients are receiving services involuntarily, social workers should provide information about the nature and extent of services and about the extent of clients' right to refuse service.

(e) Social workers who provide services via electronic media (such as computer, telephone, radio, and television) should inform recipients of the limitations and risks associated with such services.

(f) Social workers should obtain clients' informed consent before audio taping or videotaping clients or permitting observation of services to clients by a third party.

1.04 Competence

(a) Social workers should provide services and represent themselves as competent only within the boundaries of their education, training, license, certification, consultation received, supervised experience, or other relevant professional experience.
(b) Social workers should provide services in substantive areas or use intervention techniques or approaches that are new to them only after engaging in appropriate study, training, consultation, and supervision from people who are competent in those interventions or techniques.

(c) When generally recognized standards do not exist with respect to an emerging area of practice, social workers should exercise careful judgment and take responsible steps (including appropriate education, research, training, consultation, and supervision) to ensure the competence of their work and to protect clients from harm.

1.05 Cultural Competence and Social Diversity

(a) Social workers should understand culture and its function in human behavior and society, recognizing the strengths that exist in all cultures.

(b) Social workers should have a knowledge base of their clients' cultures and be able to demonstrate competence in the provision of services that are sensitive to clients' cultures and to differences among people and cultural groups.

(c) Social workers should obtain education about and seek to understand the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, age, marital status, political belief, religion, and mental or physical disability.

1.06 Conflicts of Interest

(a) Social workers should be alert to and avoid conflicts of interest that interfere with the exercise of professional discretion and impartial judgment. Social workers should inform clients when a real or potential conflict of interest arises and take reasonable steps to resolve the issue in a manner that makes the clients' interests primary and protects clients' interests to the greatest extent possible. In some cases, protecting clients' interests may require termination of the professional relationship with proper referral of the client.

(b) Social workers should not take unfair advantage of any professional relationship or exploit others to further their personal, religious, political, or business interests.

(c) Social workers should not engage in dual or multiple relationships with clients or former clients in whom there is a risk of exploitation or potential harm to the client. In instances when dual or multiple relationships are unavoidable, social workers should take steps to protect clients and are responsible for setting clear, appropriate, and culturally sensitive boundaries. (Dual or multiple relationships occur when social workers relate to clients in more than one relationship, whether professional, social, or business. Dual or multiple relationships can occur simultaneously or consecutively.)

(d) When social workers provide services to two or more people who have a relationship with each other (for example, couples, family members), social workers should clarify with all parties which individuals will be considered clients and the nature of social workers' professional obligations to the various individuals who are receiving services. Social workers who anticipate a conflict of interest among the individuals receiving services or who anticipate having to perform in potentially conflicting roles (for example, when a social worker is asked to testify in a child custody dispute or divorce proceedings involving clients) should clarify their role with the parties involved and take appropriate action to minimize any conflict of interest.

1.07 Privacy and Confidentiality

(a) Social workers should respect clients' right to privacy. Social workers should not solicit private information from clients unless it is essential to providing services or conducting social work evaluation or research. Once private information is shared, standards of confidentiality apply.

(b) Social workers may disclose confidential information when appropriate with valid consent from a client or a person legally authorized to consent on behalf of a client.

(c) Social workers should protect the confidentiality of all information obtained in the course of professional service, except for compelling professional reasons. The general expectation that social workers will keep information confidential does not apply when disclosure is necessary to prevent serious, foreseeable, and imminent harm to a client or other identifiable person. In all instances, social workers should disclose the least amount of confidential information necessary to achieve the desired purpose;
only information that is directly relevant to the purpose for which the disclosure is made should be revealed.

(d) Social workers should inform clients, to the extent possible, about the disclosure of confidential information and the potential consequences, when feasible before the disclosure is made. This applies whether social workers disclose confidential information on the basis of a legal requirement or client consent.

(e) Social workers should discuss with clients and other interested parties the nature of confidentiality and limitations of clients' right to confidentiality. Social workers should review with client’s circumstances where confidential information may be requested and where disclosure of confidential information may be legally required. This discussion should occur as soon as possible in the social worker-client relationship and as needed throughout the course of the relationship.

(f) When social workers provide counseling services to families, couples, or groups, social workers should seek agreement among the parties involved concerning each individual's right to confidentiality and obligation to preserve the confidentiality of information shared by others. Social workers should inform participants in family, couples, or group counseling that social workers cannot guarantee that all participants will honor such agreements.

(g) Social workers should inform clients involved in family, couples, marital, or group counseling of the social worker's, employer's, and agency's policy concerning the social worker's disclosure of confidential information among the parties involved in the counseling.

(h) Social workers should not disclose confidential information to third-party payers unless clients have authorized such disclosure.

(i) Social workers should not discuss confidential information in any setting unless privacy can be ensured. Social workers should not discuss confidential information in public or semipublic areas such as hallways, waiting rooms, elevators, and restaurants.

(j) Social workers should protect the confidentiality of clients during legal proceedings to the extent permitted by law. When a court of law or other legally authorized body orders social workers to disclose confidential or privileged information without a client's consent and such disclosure could cause harm to the client, social workers should request that the court withdraw the order or limit the order as narrowly as possible or maintain the records under seal, unavailable for public inspection.

(k) Social workers should protect the confidentiality of clients when responding to requests from members of the media.

(l) Social workers should protect the confidentiality of clients' written and electronic records and other sensitive information. Social workers should take reasonable steps to ensure that clients' records are stored in a secure location and that clients' records are not available to others who are not authorized to have access.

(m) Social workers should take precautions to ensure and maintain the confidentiality of information transmitted to other parties through the use of computers, electronic mail, facsimile machines, telephones and telephone answering machines, and other electronic or computer technology. Disclosure of identifying information should be avoided whenever possible.

(n) Social workers should transfer or dispose of clients' records in a manner that protects clients' confidentiality and is consistent with state statutes governing records and social work licensure.

(o) Social workers should take reasonable precautions to protect client confidentiality in the event of the social worker's termination of practice, incapacitation, or death.

(p) Social workers should not disclose identifying information when discussing clients for teaching or training purposes unless the client has consented to disclosure of confidential information.

(q) Social workers should not disclose identifying information when discussing clients with consultants unless the client has consented to disclosure of confidential information or there is a compelling need for such disclosure.

(r) Social workers should protect the confidentiality of deceased clients consistent with the preceding standards.
1.08 Access to Records

(a) Social workers should provide clients with reasonable access to records concerning the clients. Social workers who are concerned that clients' access to their records could cause serious misunderstanding or harm to the client should provide assistance in interpreting the records and consultation with the client regarding the records. Social workers should limit clients' access to their records, or portions of their records, only in exceptional circumstances when there is compelling evidence that such access would cause serious harm to the client. Both clients' requests and the rationale for withholding some or all of the record should be documented in clients' files.

(b) When providing clients with access to their records, social workers should take steps to protect the confidentiality of other individuals identified or discussed in such records.

1.09 Sexual Relationships

(a) Social workers should under no circumstances engage in sexual activities or sexual contact with current clients, whether such contact is consensual or forced.

(b) Social workers should not engage in sexual activities or sexual contact with clients' relatives or other individuals with whom clients maintain a close personal relationship when there is a risk of exploitation or potential harm to the client. Sexual activity or sexual contact with clients' relatives or other individuals with whom clients maintain a personal relationship has the potential to be harmful to the client and may make it difficult for the social worker and client to maintain appropriate professional boundaries. Social workers—not their clients, their clients' relatives, or other individuals with whom the client maintains a personal relationship—assume the full burden for setting clear, appropriate, and culturally sensitive boundaries.

(c) Social workers should not engage in sexual activities or sexual contact with former clients because of the potential for harm to the client. If social workers engage in conduct contrary to this prohibition or claim that an exception to this prohibition is warranted because of extraordinary circumstances, it is social workers—not their clients—who assume the full burden of demonstrating that the former client has not been exploited, coerced, or manipulated, intentionally or unintentionally.

(d) Social workers should not provide clinical services to individuals with whom they have had a prior sexual relationship. Providing clinical services to a former sexual partner has the potential to be harmful to the individual and is likely to make it difficult for the social worker and individual to maintain appropriate professional boundaries.

1.10 Physical Contact

Social workers should not engage in physical contact with clients when there is a possibility of psychological harm to the client as a result of the contact (such as cradling or caressing clients). Social workers who engage in appropriate physical contact with clients are responsible for setting clear, appropriate, and culturally sensitive boundaries that govern such physical contact.

1.11 Sexual Harassment

Social workers should not sexually harass clients. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

1.12 Derogatory Language

Social workers should not use derogatory language in their written or verbal communications to or about clients. Social workers should use accurate and respectful language in all communications to and about clients.

1.13 Payment for Services

(a) When setting fees, social workers should ensure that the fees are fair, reasonable, and commensurate with the services performed. Consideration should be given to clients' ability to pay.

(b) Social workers should avoid accepting goods or services from clients as payment for professional services. Bartering arrangements, particularly involving services, create the potential for conflicts of interest, exploitation, and inappropriate boundaries in social workers' relationships with clients. Social workers should explore and may participate in bartering only in very limited circumstances when it can be
demonstrated that such arrangements are an accepted practice among professionals in the local community, considered to be essential for the provision of services, negotiated without coercion, and entered into at the client's initiative and with the client's informed consent. Social workers who accept goods or services from clients as payment for professional services assume the full burden of demonstrating that this arrangement will not be detrimental to the client or the professional relationship.

(c) Social workers should not solicit a private fee or other remuneration for providing services to clients who are entitled to such available services through the social workers' employer or agency.

1.14 Clients Who Lack Decision-Making Capacity
When social workers act on behalf of clients who lack the capacity to make informed decisions, social workers should take reasonable steps to safeguard the interests and rights of those clients.

1.15 Interruption of Services
Social workers should make reasonable efforts to ensure continuity of services in the event that services are interrupted by factors such as unavailability, relocation, illness, disability, or death.

1.16 Termination of Services
(a) Social workers should terminate services to clients and professional relationships with them when such services and relationships are no longer required or no longer serve the clients' needs or interests.

(b) Social workers should take reasonable steps to avoid abandoning clients who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, giving careful consideration to all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.

(c) Social workers in fee-for-service settings may terminate services to clients who are not paying an overdue balance if the financial contractual arrangements have been made clear to the client, if the client does not pose an imminent danger to self or others, and if the clinical and other consequences of the current nonpayment have been addressed and discussed with the client.

(d) Social workers should not terminate services to pursue a social, financial, or sexual relationship with a client.

(e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.

(f) Social workers who are leaving an employment setting should inform clients of appropriate options for the continuation of services and of the benefits and risks of the options.

2. Social Workers' Ethical Responsibilities to Colleagues

2.01 Respect
(a) Social workers should treat colleagues with respect and should represent accurately and fairly the qualifications, views, and obligations of colleagues.

(b) Social workers should avoid unwarranted negative criticism of colleagues in communications with clients or with other professionals. Unwarranted negative criticism may include demeaning comments that refer to colleagues' level of competence or to individuals' attributes such as race, ethnicity, national origin, color, sex, sexual orientation, age, marital status, political belief, religion, and mental or physical disability.

(c) Social workers should cooperate with social work colleagues and with colleagues of other professions when such cooperation serves the well-being of clients.

2.02 Confidentiality
Social workers should respect confidential information shared by colleagues in the course of their professional relationships and transactions. Social workers should ensure that such colleagues understand social workers' obligation to respect confidentiality and any exceptions related to it.
2.03 Interdisciplinary Collaboration
(a) Social workers who are members of an interdisciplinary team should participate in and contribute to decisions that affect the well-being of clients by drawing on the perspectives, values, and experiences of the social work profession. Professional and ethical obligations of the interdisciplinary team as a whole and of its individual members should be clearly established.
(b) Social workers for whom a team decision raises ethical concerns should attempt to resolve the disagreement through appropriate channels. If the disagreement cannot be resolved, social workers should pursue other avenues to address their concerns consistent with client well-being.

2.04 Disputes Involving Colleagues
(a) Social workers should not take advantage of a dispute between a colleague and an employer to obtain a position or otherwise advance the social workers’ own interests.
(b) Social workers should not exploit clients in disputes with colleagues or engage clients in any inappropriate discussion of conflicts between social workers and their colleagues.

2.05 Consultation
(a) Social workers should seek the advice and counsel of colleagues whenever such consultation is in the best interests of clients.
(b) Social workers should keep themselves informed about colleagues’ areas of expertise and competencies. Social workers should seek consultation only from colleagues who have demonstrated knowledge, expertise, and competence related to the subject of the consultation.
(c) When consulting with colleagues about clients, social workers should disclose the least amount of information necessary to achieve the purposes of the consultation.

2.06 Referral for Services
(a) Social workers should refer clients to other professionals when the other professionals’ specialized knowledge or expertise is needed to serve clients fully or when social workers believe that they are not being effective or making reasonable progress with clients and that additional service is required.
(b) Social workers who refer clients to other professionals should take appropriate steps to facilitate an orderly transfer of responsibility. Social workers who refer clients to other professionals should disclose, with clients’ consent, all pertinent information to the new service providers.
(c) Social workers are prohibited from giving or receiving payment for a referral when no professional service is provided by the referring social worker.

2.07 Sexual Relationships
(a) Social workers who function as supervisors or educators should not engage in sexual activities or contact with supervisees, students, trainees, or other colleagues over whom they exercise professional authority.
(b) Social workers should avoid engaging in sexual relationships with colleagues when there is potential for a conflict of interest. Social workers who become involved in, or anticipate becoming involved in, a sexual relationship with a colleague have a duty to transfer professional responsibilities, when necessary, to avoid a conflict of interest.

2.08 Sexual Harassment
Social workers should not sexually harass supervisees, students, trainees, or colleagues. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

2.09 Impairment of Colleagues
(a) Social workers who have direct knowledge of a social work colleague’s impairment that is due to personal problems, psychosocial distress, substance abuse, or mental health difficulties and that
interferes with practice effectiveness should consult with that colleague when feasible and assist the
colleague in taking remedial action.

(b) Social workers who believe that a social work colleague's impairment interferes with practice
effectiveness and that the colleague has not taken adequate steps to address the impairment should take
action through appropriate channels established by employers, agencies, NASW, licensing and regulatory
bodies, and other professional organizations.

2.10 Incompetence of Colleagues
(a) Social workers who have direct knowledge of a social work colleague's incompetence should consult
with that colleague when feasible and assist the colleague in taking remedial action.
(b) Social workers who believe that a social work colleague is incompetent and has not taken adequate
steps to address the incompetence should take action through appropriate channels established by
employers, agencies, NASW, licensing and regulatory bodies, and other professional organizations.

2.11 Unethical Conduct of Colleagues
(a) Social workers should take adequate measures to discourage, prevent, expose, and correct the
unethical conduct of colleagues.
(b) Social workers should be knowledgeable about established policies and procedures for handling
concerns about colleagues' unethical behavior. Social workers should be familiar with national, state,
and local procedures for handling ethics complaints. These include policies and procedures created by
NASW, licensing and regulatory bodies, employers, agencies, and other professional organizations.
(c) Social workers who believe that a colleague has acted unethically should seek resolution by
discussing their concerns with the colleague when feasible and when such discussion is likely to be
productive.
(d) When necessary, social workers who believe that a colleague has acted unethically should take action
through appropriate formal channels (such as contacting a state licensing board or regulatory body, an
NASW committee on inquiry, or other professional ethics committees).
(e) Social workers should defend and assist colleagues who are unjustly charged with unethical conduct.

3. Social Workers' Ethical Responsibilities in Practice Settings

3.01 Supervision and Consultation
(a) Social workers who provide supervision or consultation should have the necessary knowledge and
skill to supervise or consult appropriately and should do so only within their areas of knowledge and
competence.
(b) Social workers who provide supervision or consultation are responsible for setting clear, appropriate,
and culturally sensitive boundaries.
(c) Social workers should not engage in any dual or multiple relationships with supervisees in which there
is a risk of exploitation or potential harm to the supervisee.
(d) Social workers who provide supervision should evaluate supervisees' performance in a manner that is
fair and respectful.

3.02 Education and Training
(a) Social workers who function as educators, field instructors for students, or trainers should provide
instruction only within their areas of knowledge and competence and should provide instruction based on
the most current information and knowledge available in the profession.
(b) Social workers who function as educators or field instructors for students should evaluate students' performance in a manner that is fair and respectful.
(c) Social workers who function as educators or field instructors for students should take reasonable
steps to ensure that clients are routinely informed when services are being provided by students.
(d) Social workers who function as educators or field instructors for students should not engage in any
dual or multiple relationships with students in which there is a risk of exploitation or potential harm to the
student. Social work educators and field instructors are responsible for setting clear, appropriate, and culturally sensitive boundaries.

3.03 Performance Evaluation
Social workers who have responsibility for evaluating the performance of others should fulfill such responsibility in a fair and considerate manner and on the basis of clearly stated criteria.

3.04 Client Records
(a) Social workers should take reasonable steps to ensure that documentation in records is accurate and reflects the services provided.

(b) Social workers should include sufficient and timely documentation in records to facilitate the delivery of services and to ensure continuity of services provided to clients in the future.

(c) Social workers' documentation should protect clients' privacy to the extent that is possible and appropriate and should include only information that is directly relevant to the delivery of services.

(d) Social workers should store records following the termination of services to ensure reasonable future access. Records should be maintained for the number of years required by state statutes or relevant contracts.

3.05 Billing
Social workers should establish and maintain billing practices that accurately reflect the nature and extent of services provided and that identify who provided the service in the practice setting.

3.06 Client Transfer
(a) When an individual who is receiving services from another agency or colleague contacts a social worker for services, the social worker should carefully consider the client's needs before agreeing to provide services. To minimize possible confusion and conflict, social workers should discuss with potential clients the nature of the clients' current relationship with other service providers and the implications, including possible benefits or risks, of entering into a relationship with a new service provider.

(b) If a new client has been served by another agency or colleague, social workers should discuss with the client whether consultation with the previous service provider is in the client's best interest.

3.07 Administration
(a) Social work administrators should advocate within and outside their agencies for adequate resources to meet clients' needs.

(b) Social workers should advocate for resource allocation procedures that are open and fair. When not all clients' needs can be met, an allocation procedure should be developed that is nondiscriminatory and based on appropriate and consistently applied principles.

(c) Social workers who are administrators should take reasonable steps to ensure that adequate agency or organizational resources are available to provide appropriate staff supervision.

(d) Social work administrators should take reasonable steps to ensure that the working environment for which they are responsible is consistent with and encourages compliance with the NASW Code of Ethics. Social work administrators should take reasonable steps to eliminate any conditions in their organizations that violate, interfere with, or discourage compliance with the Code.

3.08 Continuing Education and Staff Development
Social work administrators and supervisors should take reasonable steps to provide or arrange for continuing education and staff development for all staff for which they are responsible. Continuing education and staff development should address current knowledge and emerging developments related to social work practice and ethics.
3.09 Commitments to Employers
(a) Social workers generally should adhere to commitments made to employers and employing organizations.
(b) Social workers should work to improve employing agencies’ policies and procedures and the efficiency and effectiveness of their services.
(c) Social workers should take reasonable steps to ensure that employers are aware of social workers’ ethical obligations as set forth in the NASW Code of Ethics and of the implications of those obligations for social work practice.
(d) Social workers should not allow an employing organization’s policies, procedures, regulations, or administrative orders to interfere with their ethical practice of social work. Social workers should take reasonable steps to ensure that their employing organizations’ practices are consistent with the NASW Code of Ethics.
(e) Social workers should act to prevent and eliminate discrimination in the employing organization’s work assignments and in its employment policies and practices.
(f) Social workers should accept employment or arrange student field placements only in organizations that exercise fair personnel practices.
(g) Social workers should be diligent stewards of the resources of their employing organizations, wisely conserving funds where appropriate and never misappropriating funds or using them for unintended purposes.

3.10 Labor-Management Disputes
(a) Social workers may engage in organized action, including the formation of and participation in labor unions, to improve services to clients and working conditions.
(b) The actions of social workers who are involved in labor-management disputes, job actions, or labor strikes should be guided by the profession’s values, ethical principles, and ethical standards. Reasonable differences of opinion exist among social workers concerning their primary obligation as professionals during an actual or threatened labor strike or job action. Social workers should carefully examine relevant issues and their possible impact on clients before deciding on a course of action.

4. Social Workers’ Ethical Responsibilities as Professionals

4.01 Competence
(a) Social workers should accept responsibility or employment only on the basis of existing competence or the intention to acquire the necessary competence.
(b) Social workers should strive to become and remain proficient in professional practice and the performance of professional functions. Social workers should critically examine and keep current with emerging knowledge relevant to social work. Social workers should routinely review the professional literature and participate in continuing education relevant to social work practice and social work ethics.
(c) Social workers should base practice on recognized knowledge, including empirically based knowledge, relevant to social work and social work ethics.

4.02 Discrimination
Social workers should not practice, condone, facilitate, or collaborate with any form of discrimination on the basis of race, ethnicity, national origin, color, sex, sexual orientation, age, marital status, political belief, religion, or mental or physical disability.

4.03 Private Conduct
Social workers should not permit their private conduct to interfere with their ability to fulfill their professional responsibilities.

4.04 Dishonesty, Fraud, and Deception
Social workers should not participate in, condone, or be associated with dishonesty, fraud, or deception.
4.05 Impairment
(a) Social workers should not allow their own personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties to interfere with their professional judgment and performance or to jeopardize the best interests of people for whom they have a professional responsibility.

(b) Social workers whose personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties interfere with their professional judgment and performance should immediately seek consultation and take appropriate remedial action by seeking professional help, making adjustments in workload, terminating practice, or taking any other steps necessary to protect clients and others.

4.06 Misrepresentation
(a) Social workers should make clear distinctions between statements made and actions engaged in as a private individual and as a representative of the social work profession, a professional social work organization, or the social worker’s employing agency.

(b) Social workers who speak on behalf of professional social work organizations should accurately represent the official and authorized positions of the organizations.

(c) Social workers should ensure that their representations to clients, agencies, and the public of professional qualifications, credentials, education, competence, affiliations, services provided, or results to be achieved are accurate. Social workers should claim only those relevant professional credentials they actually possess and take steps to correct any inaccuracies or misrepresentations of their credentials by others.

4.07 Solicitations
(a) Social workers should not engage in uninvited solicitation of potential clients who, because of their circumstances, are vulnerable to undue influence, manipulation, or coercion.

(b) Social workers should not engage in solicitation of testimonial endorsements (including solicitation of consent to use a client’s prior statement as a testimonial endorsement) from current clients or from other people who, because of their particular circumstances, are vulnerable to undue influence.

4.08 Acknowledging Credit
(a) Social workers should take responsibility and credit, including authorship credit, only for work they have actually performed and to which they have contributed.

(b) Social workers should honestly acknowledge the work of and the contributions made by others.

5. Social Workers' Ethical Responsibilities to the Social Work Profession
5.01 Integrity of the Profession
(a) Social workers should work toward the maintenance and promotion of high standards of practice.

(b) Social workers should uphold and advance the values, ethics, knowledge, and mission of the profession. Social workers should protect, enhance, and improve the integrity of the profession through appropriate study and research, active discussion, and responsible criticism of the profession.

(c) Social workers should contribute time and professional expertise to activities that promote respect for the value, integrity, and competence of the social work profession. These activities may include teaching, research, consultation, service, legislative testimony, presentations in the community, and participation in their professional organizations.

(d) Social workers should contribute to the knowledge base of social work and share with colleagues their knowledge related to practice, research, and ethics. Social workers should seek to contribute to the profession's literature and to share their knowledge at professional meetings and conferences.

(e) Social workers should act to prevent the unauthorized and unqualified practice of social work.
5.02 Evaluation and Research

(a) Social workers should monitor and evaluate policies, the implementation of programs, and practice interventions.

(b) Social workers should promote and facilitate evaluation and research to contribute to the development of knowledge.

(c) Social workers should critically examine and keep current with emerging knowledge relevant to social work and fully use evaluation and research evidence in their professional practice.

(d) Social workers engaged in evaluation or research should carefully consider possible consequences and should follow guidelines developed for the protection of evaluation and research participants. Appropriate institutional review boards should be consulted.

(e) Social workers engaged in evaluation or research should obtain voluntary and written informed consent from participants, when appropriate, without any implied or actual deprivation or penalty for refusal to participate; without undue inducement to participate; and with due regard for participants' well-being, privacy, and dignity. Informed consent should include information about the nature, extent, and duration of the participation requested and disclosure of the risks and benefits of participation in the research.

(f) When evaluation or research participants are incapable of giving informed consent, social workers should provide an appropriate explanation to the participants, obtain the participants' assent to the extent they are able, and obtain written consent from an appropriate proxy.

(g) Social workers should never design or conduct evaluation or research that does not use consent procedures, such as certain forms of naturalistic observation and archival research, unless rigorous and responsible review of the research has found it to be justified because of its prospective scientific, educational, or applied value and unless equally effective alternative procedures that do not involve waiver of consent are not feasible.

(h) Social workers should inform participants of their right to withdraw from evaluation and research at any time without penalty.

(i) Social workers should take appropriate steps to ensure that participants in evaluation and research have access to appropriate supportive services.

(j) Social workers engaged in evaluation or research should protect participants from unwarranted physical or mental distress, harm, danger, or deprivation.

(k) Social workers engaged in the evaluation of services should discuss collected information only for professional purposes and only with people professionally concerned with this information.

(l) Social workers engaged in evaluation or research should ensure the anonymity or confidentiality of participants and of the data obtained from them. Social workers should inform participants of any limits of confidentiality, the measures that will be taken to ensure confidentiality, and when any records containing research data will be destroyed.

(m) Social workers who report evaluation and research results should protect participants' confidentiality by omitting identifying information unless proper consent has been obtained authorizing disclosure.

(n) Social workers should report evaluation and research findings accurately. They should not fabricate or falsify results and should take steps to correct any errors later found in published data using standard publication methods.

(o) Social workers engaged in evaluation or research should be alert to and avoid conflicts of interest and dual relationships with participants, should inform participants when a real or potential conflict of interest arises, and should take steps to resolve the issue in a manner that makes participants' interests primary.

(p) Social workers should educate themselves, their students, and their colleagues about responsible research practices.
6. Social Workers' Ethical Responsibilities to the Broader Society

6.01 Social Welfare
Social workers should promote the general welfare of society, from local to global levels, and the development of people, their communities, and their environments. Social workers should advocate for living conditions conducive to the fulfillment of basic human needs and should promote social, economic, political, and cultural values and institutions that are compatible with the realization of social justice.

6.02 Public Participation
Social workers should facilitate informed participation by the public in shaping social policies and institutions.

6.03 Public Emergencies
Social workers should provide appropriate professional services in public emergencies to the greatest extent possible.

6.04 Social and Political Action
(a) Social workers should engage in social and political action that seeks to ensure that all people have equal access to the resources, employment, services, and opportunities they require to meet their basic human needs and to develop fully. Social workers should be aware of the impact of the political arena on practice and should advocate for changes in policy and legislation to improve social conditions in order to meet basic human needs and promote social justice.

(b) Social workers should act to expand choice and opportunity for all people, with special regard for vulnerable, disadvantaged, oppressed, and exploited people and groups.

(c) Social workers should promote conditions that encourage respect for cultural and social diversity within the United States and globally. Social workers should promote policies and practices that demonstrate respect for difference, support the expansion of cultural knowledge and resources, advocate for programs and institutions that demonstrate cultural competence, and promote policies that safeguard the rights of and confirm equity and social justice for all people.

(d) Social workers should act to prevent and eliminate domination of, exploitation of, and discrimination against any person, group, or class on the basis of race, ethnicity, national origin, color, sex, sexual orientation, age, marital status, political belief, religion, or mental or physical disability.
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