

2008-2009
Ph.D. Student Handbook
School of Social Work



Leadership for a Just and Caring Society

COLLEGE OF EDUCATION
+ HUMAN DEVELOPMENT

UNIVERSITY OF MINNESOTA

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Introduction

Welcome to the Ph.D. 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 Ph.D. 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 Ph.D. program. Other publications that you may need to consult during your time as a Ph.D. student are: Graduate School Bulletin (for Graduate School requirements and descriptions of courses) <http://www.catalogs.umn.edu/grad>; the Graduate Student Handbook, http://www.grad.umn.edu/current_students/handbook/, the Class Schedule are 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 that 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@tc.umn.edu).

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

Terry Lum
Ph.D. Program Director (Fall 2008)

Liz Lightfoot
Ph.D. Program Director (Spring 2009)

Jan Goodno
Assistant to the Ph.D. Program

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 history, theory and policy 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. Many graduates assume positions as university faculty. Consequently, the program offers opportunities for students to acquire skills in teaching and curriculum development.

SSW 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

Administrators	Peters Hall Room #	Phone Number	E-mail Address
James Reinardy, M.S.W., Ph.D. <i>Director</i>	105C	612-624-3673	jreinard@umn.edu
Megan Morrissey, M.S.W., Ph.D. <i>Associate Director</i> <i>Director, M.S.W. Program</i>	105D	612-624-4210	mmorriss@umn.edu
Heidi Wagner <i>Assistant to the Director</i>	105B	612-625-6122	hwagner@umn.edu
David Hollister, Ph.D. <i>Director of Graduate Studies, Fall Semester</i>	275	612-624-3695	dhollist@umn.edu
Terry Lum, Ph.D. <i>Director of Graduate Studies, Spring Semester</i>	287	612-624-4722	tlum@umn.edu
Rosetta Cheers <i>Field Support Staff</i>	105	612-624-4241	rchears@umn.edu

Graduate Studies Office – 140 Peters Hall

612-624-4905

Contact Person	Peters Hall Room #	Phone Number	E-mail Address
Steve Maxwell, M.S.W. <i>Director of Field Instruction</i>	140A	612-624-4287	maxwe003@umn.edu
Kate Walthour, M.S.W. <i>Director of Admissions</i>	140C	612-625-8712	kwalthou@umn.edu
Jan Goodno <i>Student Personnel Worker</i>	140B	612- 624-4258	jgoodno@umn.edu
Karen Borchardt <i>Graduate Studies Services</i>	140	612- 624-4905	kborchar@umn.edu
Rachel Grewell <i>Graduate Studies Services</i>	140	612-624-4704	grew0019@umn.edu

Centers and Institutes in the School of Social Work

Centers and Programs	Peters Hall Room #	Phone Number
Center for Advanced Studies in Child Welfare (CASCW) http://cehd.umn.edu/ssw/cascw/	205	612-624-4231
Center for Restorative Justice and Peacemaking (CRJP) http://cehd.umn.edu/ssw/rjp	284	612-624-4923
Minnesota Center Against Violence and Abuse (MNCAVA) http://cehd.umn.edu/ssw/cascw/	170	612-624-0721
National Institute on Domestic Violence in the African American Community (IDVAAC) www.dvinstitute.org/	290	612-624-5357
Youth Studies http://cehd.umn.edu/ssw/Programs/yost.html	140	612-624-3700
Gamble-Skogmo Land Grant Chair in Child Welfare and Youth Policy http://cehd.umn.edu/ssw/G-S/	233A	612-624-4721

Helpful Campus Phone Numbers/Web Sites

Most of the websites for these offices can be accessed from the One Stop site <http://onestop.umn.edu/>

Bookstore – Minneapolis	Coffman Union, 300 Washington Ave. S.E	612-625-6000
Bookstore – St. Paul	St. Paul Student Center, 140 Eckles Ave.	612-624-9200
Printing Services – St. Paul campus	St. Paul Student Center	612-625-4771
Boynton Health Service	Minneapolis: 410 10 Church Street, SE St. Paul: 109 Coffey Hall, 1409 Eckles Ave.	612-624-8400 612-624-7700
U Card Office	St. Paul Gym, 1536 N. Cleveland Ave Coffman Union, 300 Washington Ave. S.E	612-625-8283 612-626-9900
Disability Services	200 Oak Street Gateway Building, Suite 180	612-624-4037 (V/TTY)
Office of the Registrar – St. Paul Office	130 Coffey Hall 1409 Eckles Ave	612-624-3731
Center for Urban and Regional Affairs (CURA)	330 Humphrey Inst., 301 19 th Ave. S. West Bank – Minneapolis campus	612-625-1551
Scholarships & Financial Aid (U of M)	20 Fraser Hall, 106 Pleasant St. SE East Bank – Minneapolis campus	612-624-1111
Graduate School http://www.grad.umn.edu/	316 Johnston Hall, 101 Pleasant St. SE East Bank – Minneapolis campus	612-625-3490
Office of Information Technology	East Bank - 152 Shepherd Labs West Bank - 90 Blegen Hall St. Paul - 50 Coffey Hall	612-301-HELP (4357)
Residency and Reciprocity Office	240 Williams Hall 231 Pillsbury Drive SE, Minneapolis	612-625-6330 1-800-752-1000
Libraries Wilson Library McGrath Library Social Welfare History Archives	West Bank: 309 19 th Ave South St. Paul: 1984 Buford Ave West Bank: Elmer Anderson Library 222 21 st Ave South	612-624-0303 612-624-2215 612-624-4377
Computer Labs	The Office of Information Technology manages numerous computer facilities and learning spaces on the Twin Cities campus. Students from all colleges may drop in to use the facilities during open hours.	

Helpful Off-Campus Phone Numbers/Web Sites

Minnesota Board of Social Work www.socialwork.state.mn.us	2829 University Avenue SE, Minneapolis, MN 55414	612-617-2100
National Association of Social Workers National: www.naswdc.org Minnesota chapter: http://www.naswmn.org/	750 First Street NE, Suite 700 Washington DC, 20002-4241 1885 University Avenue West, Suite 340 St. Paul, MN 55104	202-408-8600 651-293-1935
Council on Social Work Education http://www.cswe.org/CSWE/	1725 Duke Street, Suite # 500, Alexandria, VA 22314	703-683-8080

Summary of Steps in the Doctoral Program

Coursework and Preliminary Examination Preparation

Social Work Major: Fulfill Social Work doctoral program requirements.

Minor or supporting program: Complete at least 12 semester credits. See Graduate School Bulletin.

Participate in annual reviews until Written 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.

Form a three-person Written Preliminary Examination Committee composed of graduate faculty to guide study for general area preliminary examination, to help guide and evaluate specialized written exam, and to assist with preparation for oral preliminary examinations.

Form a four-person Oral Preliminary Examination Committee. This committee must be approved by the Graduate School through filing of the Degree Program Form.

Preliminary Examinations

Written: Results to be reported to the Graduate School on “Preliminary Written Form.” Both the general social work knowledge and the specialized exam must be completed successfully before the written prelim has been passed.

Oral: Results to be reported to the Graduate School on “Preliminary Oral Form.”

Candidacy

Formation of Final Examination Committee.

Development of dissertation proposal. (For guidelines that are helpful in developing your dissertation proposal, see the Dissertation Proposition in this handbook.)

Presentation of dissertation proposal to members of the Final Examination Committee.

Approval of proposal by Final Examination Committee. Submit “Thesis Title Form” and statement to Graduate School no later than one term after passing Preliminary Oral Examination.

Continuing registration required hereafter; all requirements, including courses declared on the Degree Program Form and the dissertation, must be completed within five calendar years. The Graduate School requires registration for a minimum of 24 semester thesis credits for all students first registered in the Graduate School for Fall 1993 or later. Doctoral students may begin registering for doctoral thesis credits the term after passing the Preliminary Oral Examination.

Certify (by at least three members of the Final Examination Committee) **that the dissertation is ready for defense** before Final Oral Examination, on “Thesis Readers Report Form.”

Final Oral Examination

Register thesis with the Graduate School at least nine weeks before planned commencement date. Again, use “Thesis Readers Report Form.” See Graduate School Bulletin in “General Information” section, under “Ph.D. Thesis.”

Submit thesis to members of the examining committee **at least 30 days before** the Final Oral Examination.

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

Degrees are awarded at the end of each month. To qualify for graduation for a particular month, a student must submit the application for degree form on or before the first workday of that month and must complete the examination and all other requirements (including necessary forms and fees) by the last workday of that month.

Deposit Dissertation Copies

Deposit one copy of the dissertation, signed by the adviser, with the Graduate School, and one copy with the School of Social Work.

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

History of Social Welfare

SW 8851 History of Social Work and Historical Research Methods	3 cr
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Research Methods

SW 8871 Social Work Research Seminar I	3 cr
SW 8872 Social Work Research Seminar II	3 cr
SW 8875 Research Practicum (Total 4cr, 2 cr per semester)	4 cr

Social Welfare Policy

SW 8855 Social Policy Formulation and Analysis	3 cr
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Development of Social Work Practice Theory

SW 8861 Theory and Model Development in Social Work	3 cr
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Faculty Roles

SW 8863 Social Work Teaching Methods and Educational Issues	3 cr
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Total Credits 22 cr

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.)

Coursework and Skills Requirements continued on the next page

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, after 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) Ph.D. 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. (3credits; 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.

Coursework and Skills Requirements continued on the next page

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 Ph.D. 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).

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 with the 2003-2004 academic year.

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.

Critical Thinking continued

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.

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 continued

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

Timetable for Completion of Ph.D.

Course Requirements for Full-time Student – Option #1

Fall Semester – Year 1	Spring Semester – Year 1	Summer Session – Year 1	Fall Semester – Year 2	Spring Semester – Year 2	Summer Session – Year 2
SW 8871 (3 credits)	SW 8872 (3 credits)	Supporting Program (3 credits)	SW 8875 (2 credits)	SW 8875 (2 credits)	Supporting Program (3 credits)
SW 8855 (3 credits)	SW 8861 (3 credits)		SW 8863 (3 credits)	SW 8851 (3 credits)	
Statistics (3 credits)	Statistics (3 credits)		Supporting Program (3 credits)	Supporting Program (3 credits)	
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

Fall Semester Year 1	Spring Semester Year 1	Summer Session Year 1	Fall Semester Year 2	Spring Semester Year 2	Summer Session – Year 2
SW 8871 (3 credits)	SW 8872 (3 credits)		SW 8875 (2 credits)	SW 8875 (2 credits)	
SW 8855 (3 credits)	SW 8861 (3 credits)		SW 8863 (3 credits)	SW 8851 (3 credits)	
Statistics (3 credits)	Statistics (3 credits)		Supporting Program (3 credits)	Supporting Program (3 credits)	
			Supporting Program (3 credits)	Supporting Program (3 credits)	
9 total credits	9 total credits		11 total credits	11 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.

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.

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.
- Each student will lead one session of the proseminar, to be conducted as a research colloquium in which he/she presents the study on which he/she is working as an research intern, in terms of: research question; research method; sample; data (type of data; data gathering technique; data management and reduction techniques); data analysis; interpretation of findings; limitations; importance of findings in terms of original research question, direct practice, and subsequent research.

Research Practicum continued on the next page

The student will be prepared to entertain questions on any or all of these of these components, and to consider alternatives to the choices actually made. (E.g., “What do you think the findings would look like, if the project had used a sample that was twice as large?” “What do you think you might have found if you had handled questionnaire data by combining answers to all the qualitative items, rather than analyzing each question entirely separately?” “If you had tried to address the original question using qualitative participant-observation data, rather than administering standardized measures, how and where do you think the project would have unfolded differently?”)

Reading

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

Written 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.

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

Semester 1 136 Hrs

Research tasks: 7 1/2 hr/week

Research supervision with Supervisor: 1 hr x 14/2 weeks

Proseminar: 2 hrs x 14/2 weeks

Reading: .5 hr/week x 14 weeks

Writing

Journal: .5 hr/week x 14 weeks

End of semester practicum summary/synthesis: 3 hrs

Semester 2 136 Hrs

Research tasks: 7 1/2 hr/week

In this semester, research tasks explicitly include (but are not limited to) preparing the required co-authored manuscript.

Research supervision with Supervisor: 1 hr x 14/2 weeks

Proseminar: 2 hrs x 14/2 weeks

Research colloquium for Proseminar Preparation: 2-3 hrs

Reading: .5 hr/week x 14 weeks

Writing

Journal: .5 hr/week x 14 weeks

End of semester practicum summary/synthesis: 2-3 hrs

Co-authored manuscript with Supervisor (included in Research Tasks)

Implementation Mechanism

Placement Description

Faculty who are interested in serving as a Research Supervisor must submit a Placement Description to the SSW Doctoral Committee. Placement Descriptions must be approved by the Doctoral Committee by early Spring Semester, in order for faculty to serve as a Research Supervisor for the following academic year. Placements will be made during the Spring Semester for the following Fall Semester.

Research Practicum continued on the next page

Information to be included in description:

- Project name
- PI
- Research question
- Background
- Where in the research process this project will be during the Practicum Year (e.g., instrument design; proposal writing; data gathering; coding and data entry; data analysis)
- Specific information about project design, sample population, type of data and analysis, etc. -- relevant to the project's stage during the Practicum Year
- Specific 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; Windows 95 literacy).
- Specific learning outcomes the student can expect to achieve (skills; concepts; methods; techniques; field)
- Paid/unpaid
- Possibility for the student to "carve out" a piece of this project for subsequent dissertation work?
- Kinds of student time required (e.g., daytime interviewing time twice per week; must be willing to work on weekends; regular schedule required / impossible)
- 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)
- Description of how this particular research placement will enable students to meet the four course objectives
- Research Supervisor's name, address, phone number, and e-mail
- Placement Descriptions will be approved or disapproved based on the Committee's determination of how successfully the placement will enable students to meet the four course objectives.

Student Personal Information Form

Each prospective Research Practicum student will complete a Personal Information Form, including:

Research experience: List each research experience (past and current) along with:

- Project name, PI, and institutional home
- Project summary
- Specific tasks you conducted
- Research skills assessment:
- Enumerate the specific research-related skills you bring to the Practicum Placement
- Identify specific research weaknesses
- Goals for this Placement
- Skills
- Concepts
- Experiences
- Other

Matching Process

- Approved Placement Descriptions are stored for student perusal, in the Ph.D. Student Lounge (270 Peters Hall), on the Ph.D. Student website and, in a notebook located in 171 Peters Hall.

Research Practicum continued on the next page

- Students will interview prospective Supervisors (and vice versa), submitting the completed Personal Information form to the prospective Supervisor before the interview.
- Students and Supervisors arrange their own “matches;” students submit completed Practicum Assignment Forms (signed by both student and Supervisor) to the following year’s Practicum Instructor.

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 week 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 weeks #7 and 14 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 core, with the exception of SW 8863, Social Work Teaching Methods and Educational Issues, curriculum of the doctoral program before taking the exam.

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 SW 8863), 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) history; 2) research, 3) practice, and 4) policy. 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. The written exam's questions are based on those readings. Bibliographies will be updated once a year during the Spring semester for the following academic year's exams. Students' preparatory reading for the generalized exams need not be confined to these readings lists.

Preliminary Examinations continued on the next page

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. This 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. For each exam administration, one member of the graduate faculty representing each of the core areas represented in the exam questions given in that administration will be added to the committee to grade the exam answers. Among the faculty graders in each administration, at least two will be faculty who have taught in the Ph.D. 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. 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. The student

Preliminary Examinations continued on the next page

and his/her advisor will receive written notification of the results of the exam along with a copy of the committee's Consensus Statement, normally within about a month of completion. 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. 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 Written Exam

During the semester following the general knowledge written exam students will complete their specialized written exam. The goal of the specialized exam question 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 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.

Application of the New Policy to Students who Began the Exam Process under the Old Policy

Students who have retakes of general knowledge questions pending under the old policy will still be required to retake a question in all failed area(s). As under the old policy, students will be given two questions in each failed area from which they will choose one in each area to answer. Students will be allowed one week to answer each question (questions will be distributed at 9:00 a.m. on Monday and returned at 4:00 on Friday). The policy describing the number of retakes allowed under the old policy will apply to all students who began the exam process under that policy. Each exam answer will be graded by a committee of three faculty members with expertise in the area as described under the old policy. All other aspects of grading, administration, and submission of answers will be as described under the new policy. Students who have successfully completed the general knowledge area of the exam but have not yet completed their supporting paper, will be given the choice of completing the supporting paper under the old policy, or writing a specialized exam answer under the new policy.

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

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 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 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 Ph.D. Program the text from 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.

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.

Preliminary Oral Examining Committee

The examining committee will include a minimum of four members, three from the field of the major and one from the field of the minor or supporting program. The Doctoral Committee strongly encourages students to consider including more than one committee member from a minor field or supporting program. Students should consult closely with their adviser(s) when determining committee make-up and size.

Preliminary Examinations continued on the next page

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.

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.

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 Preparation

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. Also note that this chapter includes information that describes the Graduate School's guidelines for formatting and preparing your dissertation manuscript for microfilming. These must be followed or the Graduate School will not accept your dissertation.

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

Proposed Outline continued on next page

- 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

Faculty of Social Work, University of Toronto © 2000

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.

I. Topic		SA	A	U	D	SD	NA
A. Significance of Research							
1.	Topic is related to a body of knowledge recognized as broadly relevant to social work.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Topic is significant and will advance knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Topic is relevant to professional, practice or policy needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Scope							
4.	The scope of the study is manageable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Guidelines for Review of Doctoral Dissertations continued on the next page

II. Topic

A. Literature Review	SA	A	U	D	SD	NA
5. the pertinent literature, conceptual and research has been reviewed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. If there is limited literature on the problem, the writer has reviewed studies closest to the problem.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The candidate demonstrates a mastery of the literature in the field.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. The hypotheses or questions flow clearly from the problem statement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Theory						
9. An epistemological position is stated and expanded upon if necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. A theoretical framework or perspective is articulated (or developed).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Competing theories are identified and a rationale offered for the choice of the selected theory or why a new theory is being developed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. The strengths and weaknesses of the selected theory are identified (a critique using relevant literature).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Selected theory is appropriate to the research question	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Integration of theory and data is evident in the discussion and conclusion.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. A theoretical framework or perspective is articulated (or developed).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

III. Research Design

A. Research Question	SA	A	U	D	SD	NA
16. Research questions are derived from the review of the literature.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. The rationale and assumptions that underlie, the study questions are made explicit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. The research question(s) are clearly stated and sub-questions articulated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Guidelines for Review of Doctoral Dissertations continued on the next page

<u>B. Design</u>	SA	A	U	D	SD	NA
19. Design of the study is appropriate to the research question(s) asked.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. Methods of data collection are made explicit and justified as to their appropriateness.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. The use of multiple methods matches the purpose for combining the method types.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. Operational definitions are given for all, important terms and concepts.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. The strengths and limitations of the study are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. The variables being investigated in the in the research are clearly specified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25. If independent variables are to be manipulated, this has been clearly described.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. Confounding variables are indicated and the method of control is well described.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27. In replicative studies, special attention is given to maintaining equivalent conditions for all critical variables.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28. If applicable, control or comparison groups are used appropriately.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29. Issues related to internal validity/credibility and reliability/dependability have been addressed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>C. Population & sample</u>						
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.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31. The rationale for sample size (including a power analysis, if appropriate) is provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32. The sampling plan is consistent with the statistical model used for analysis of the data.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33. Procedures to enhance response rates are specified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34. Attrition rate is discussed and handled appropriately.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>D. Data Collection</u>						
35. Methods of data collection are clearly described.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36. Methods of data collection are appropriate to the population including relevance to gender, ethnicity and other diversities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37. If appropriate, psychometric information (reliability, validity) have been cited.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38. If appropriate, a pretest/pilot test has been conducted.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39. Procedures and instruments for the collection of data are clearly described.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<u>E. Data Analysis and Discussion</u>	SA	A	U	D	SD	NA
40. Analyses are consistent with the questions, design, sample and data collected.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
41. If assumptions of a statistical model are violated, protective measures are indicated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
42. The interpretation of the results is consistent with the raw data.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
43. In qualitative analyses, interpretive steps are explicitly identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
44. In multi-method studies, the interpretation of data addresses the shared or divergent biases of the methods.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
45. The interpretation and analysis is complete, conformable, and meaningful in context.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
46. Contradictory findings are discussed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
47. Alternative interpretations are provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
48. Whenever relevant, validation by the participants (member validation) has either been conducted, or discussed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49. Analysis of the generalizability/transferability of the findings is explicit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50. The conclusions reached in the study are defensible.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
51. Directions for future research are identified and discussed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

IV. Ethics

	SA	A	U	D	SD	NA
52. The research goals are consistent with social work principles of working toward improving the situation of individuals and/or groups in society.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
53. If the study involves human participants, the risks and benefits of participants, the risks and benefits of participation are clearly identified and understood.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
54. It is clear that the benefits outweigh the risks.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
55. If the study involves human participants, threats to free and informed consent are adequately addressed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
56. The researcher has made adequate provisions to ensure confidentiality of data.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
57. The researcher has made provisions to share the information with study participants.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

Guidelines for the Design of Qualitative Research continued on the next page

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

Guidelines for the Design of Qualitative Research continued on the next page

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

Preparing the Doctoral Dissertation: Formatting, Submitting Publishing

As a condition of graduation, students are required to publish their dissertation. The University of Minnesota Graduate School has assembled a packet of information to assist doctoral students in their understanding of what the Graduate School requires in order to successfully present the culmination of their efforts as a doctoral student. The packet can be found on the Web at http://www.grad.umn.edu/current_students/forms/gs16.pdf

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> 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 two weeks 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 Instructions continued on the next page

Graduation Checklist

All Graduate School requirements for graduation are listed below. Unless stated otherwise, you should submit all forms to 316 Johnston Hall. Note: all students must submit an Application for Degree to 200 Fraser Hall or 130 Coffey Hall on or before the first working day of the intended month of graduation.

1. Degree Program submission is based on departmental requirements (see Coursework and Skills Requirements in next section), but must be filed with The Graduate School no later than one term prior to your Preliminary Oral Exam.
2. After completion of all Preliminary Written Exams and at least one week before the Preliminary Oral Exam, submit the Preliminary Written Examination Report form.
3. Schedule the Preliminary Oral with The Graduate School at least one week in advance of the exam. The Prelim Oral must take place at least one academic term (15 weeks) before the Final Oral Defense.
4. Within one working day of completion of the Prelim Oral exam, submit the signed Preliminary Oral Examination Report form.
5. One term after passing the Preliminary Oral Examination submit a Thesis Proposal form.
6. Anytime after the Thesis Proposal has been approved by The Graduate School, request a graduation packet on this Web page http://www.grad.umn.edu/current_students/doctoral/, or by visiting 316 Johnston Hall. The Thesis Reviewer's Report form will be issued at that time.
7. Submit an Application for Degree to 200 Fraser or 130 Coffey by the first working day of the intended month of graduation.
8. Submit Final Oral Defense Scheduling form at least one week prior to the exam.
9. Return the signed Final Oral Examination Report form no later than one working day following completion of the Final Oral Defense.
10. The dissertation, forms and fees must be completed/submitted by the last working day of the intended month of graduation. Students are encouraged to submit the dissertation electronically.
[Electronic Dissertation Submission](#)
[Paper Dissertation Submission](#)
[Preparing the Doctoral Dissertation](#)

Graduate School registration requirement: *As a Graduate School student you are required to register every fall and spring term to maintain your active status up through and including the term in which you will officially complete your degree. Failure to maintain your active status will result in the discontinuation of your student status and require applying for readmission.*

For detailed information about doctoral degree completion requirements see http://www.grad.umn.edu/current_students/doctoral/index.html

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

There are two ceremonies each year. July through December graduates usually attend the Fall Commencement Ceremony. January through June graduates usually attend the Spring Commencement Ceremony. You are encouraged, but not required, to attend.

Commencement information, including deadlines and forms, can be found online at http://www.grad.umn.edu/current_students/doctoral/index.html. To make sure their names appear in the program distributed at the commencement ceremony, students must submit the commencement attendance form by the deadline specified. Degree completion procedures can be found online at www.grad.umn.edu/current_students/degree_completion/index.html. Attending commencement does not imply that you have officially graduated.

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 written, preliminary examination (including the specialized exam) 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, the Doctoral Program Director, and one other faculty member who either serves on the Doctoral Committee or is a full member of the Social Work graduate faculty. This third faculty member will be selected by 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. A brief, written report of each review will be kept in the student's file. The annual progress forms submitted by students not formally reviewed will also be placed in the student's file.
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

Degree Time Limits for Ph.D.

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. (Approved by the SSW Graduate Faculty, May 5, 1993.) All doctoral students are required to successfully defend their thesis in a final oral examination within five calendar years after passing the preliminary oral examination.

Advisors and Committees

Advisers for Ph.D. 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 Ph.D. 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 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 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.

Advisers and Committees continued on the next page

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. The final examination covers the dissertation research and relevant literature. The chairperson of the final examination committee cannot be the student's adviser, but must be a full member of the University of Minnesota graduate faculty. 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.

Registration

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

Graduate School Registration Requirement – Effective Fall 2002

Effective Fall 2002, ALL Graduate School students will be required to register in the Graduate School every fall and spring term. This is a change from the previous policy that required Graduate School registration once per year.

Effective Fall 2002, Grad 0999 - a zero-credit, zero-fee, non-graded registration option - is now an option for those Graduate School students who must register solely to meet the Graduate School's registration requirement.

If your last Graduate School registration was prior to Spring 2008, you will be required to seek readmission. Change of Status/Readmission forms are available in the Graduate School office (309 Johnston; 612-625-8060); graduate program offices; and online at <http://www.grad.umn.edu/forms/cos.pdf>. If your request for readmission is approved you will be required to register the term for which you are readmitted and every subsequent fall and spring term until you complete all degree requirements and graduate.

Confer with your adviser and/or DGS to determine what you should register for each term. You should consider the following in addition to any criteria outlined by your adviser and/or DGS:

- Do you have course credits or thesis credits that must be taken to complete graduate program and/or Graduate School degree requirements?
- Do you have to be registered part-time or full-time to meet any internal/external registration requirements in addition to the Graduate School's fall/spring registration requirement (for example, obtaining financial aid; holding an assistantship; maintaining legal visa status; deferring loans)? What number of credits (and what type of credits) will meet the requirements of those internal/external departments or agencies?
- If you have completed all coursework and (if applicable) thesis credit requirements, and you do not have to be registered to meet any requirement other than the Graduate School's fall/spring registration requirement to maintain active status, you may wish to confer with your adviser/DGS about Grad 0999 registration.

For questions about the readmission process, please contact Graduate School Admissions in 309 Johnston or by phone at 612-625-8060.

For questions about how this registration requirement will impact you, please contact the Graduate Student Services and Progress Office in 316 Johnston. Doctoral students may call 612-625-0168 or email m-freu@umn.edu.

Registration continued on next page

Online Registration

<http://onestop.umn.edu/registration/>

University of Minnesota students register for courses online through the University's Web site or on campus at the Office of the Registrar (130 Coffey Hall, St. Paul campus). Information such as tuition rates, class schedules, grades, and student financial accounts (financial information) is also available through One Stop. The One Stop system is available from 8 a.m. to 5:30 p.m. Monday through Thursday, 8 a.m. to 4 p.m. on Fridays (except on University holidays or for occasional maintenance). One Stop is not open on the weekend.

Preparing for Registration

- Talk with your adviser about planning your course of study, and annually, complete the **Pre-Registration Projection Form**. This form is internal to the School of Social Work and is used to estimate enrollment. It does not take the place of registration.
- Go to the OneStop Web site and click on Registration to determine your time and date to register, check to see if there are any holds on your record that would prohibit you from registering, and to access student accounts, the financial aid office, or information from the Office of the Registrar.
- The School of Social Work restricts registration in required classes at the beginning of each registration period. Students with weekend exclusive status can register only for classes offered on Friday evenings and Saturdays. Students without weekend exclusive status are not allowed to register for classes on Friday evenings and Saturdays. Once the designated period has ended, remaining seats in required classes are opened to all students, and the SSW no longer guarantees a seat for a student with special status.
- All students need permission numbers to register for required classes. Weekend exclusive students receive permission numbers from Jan Goodno (612-624-4258 / 1-800-779-8636 or jgoodno@umn.edu). Students who do not have weekend exclusive status receive permission numbers from Karen Borchardt (612-624-4905 / 1-800-779-8636 or kborchar@che.umn.edu).
- The Graduate School provides you with an Internet ID ("X500 username") and password with materials they send from the Graduate School Admissions Office. You will need these in order to register on-line or to access your University of Minnesota e-mail account. Please note that your Internet ID is not the same as your student ID number. If you do not know your ID or password, call the ADCS Help Desk (612-301-4357 or <http://www.umn.edu/adcs>).

You will find the most up-to-date course information online at OneStop. Print or copy class schedule information from the web prior to registering to be sure that seats are still available, time & location has not changed, etc.

Graduate students who register for six or more credits must demonstrate that they have health insurance, or they are billed for the University's hospitalization plan. To demonstrate that you have insurance you must provide the name of your health insurer and the policy number at the time of registration.

- If needed, update your address and telephone information when you log in.

The School of Social Work maintains an internal student database. If your personal identification information changes (address, phone number, e-mail, etc.) you should inform the Student Services Office in 140 Peters Hall in addition to changing information when you log onto OneStop.

ADCS Help Desk

612-301-4357 or <http://www.umn.edu/adcs>

The ADCS Help Desk provides technical information on setting/resetting IDs and passwords or accessing the system. Check their web site for hours, locations, FAQs & Internet hardware & software requirements.

Registration continued on next page

Using the Online Registration System

All students are encouraged to use the online registration system. To use the system, make sure 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 online 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 (<http://onestop.umn.edu/>). You should see the OneStop home page. Click on “Registration.”
4. In the center of the screen, under “Registration,” you will see a link for “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 information (e.g., SW 5051 – Human Behavior and the Social Environment) 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 “Registration.”
6. Under the “Registration” heading, choose the link for “Web Registration.”
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.
10. Type in the five-digit **class** number for the course and section in which you plan to enroll and choose “add a class.” You may be asked to select if you wish to pay non-mandatory fees. Once this is entered, be sure to check that the course title, day, time and number of credits appears for the desired course. (***Field is listed as a variable credit course, with the default set at 1 credit. Use the pull-down arrow to select the appropriate number of credits before adding another class or logging out.***)
11. The default setting for the grade 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. Field classes (SW 8010, SW 8020 and SW 8030) is always taken on an S/N basis and field credits do not count toward the total number of credits you are allowed on an S/N basis.
12. Repeat the process if you want to add another class.
13. When you are done 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 or jgoodno@umn.edu) for assistance.

Registration continued on next page

Other Information

Tuition

Tuition rates can be found at <http://onestop.umn.edu/>

Time Conflicts

Time conflicts need instructor approval so you will need approval from both instructors involved in the classes in conflict. Forms are available at <http://onestop.umn.edu>.

Definition of Full-Time Student

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, FAQs, and Internet hardware and software are at <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.

School of Social Work Policies and Guidelines

Plagiarism

Prepared by Nancy Johnston

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.

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 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:

Plotnick, R.D. (1992). Income support for families with children. In P.J. Pecora, J.K. Whittaker, & A.N. Maluccio (Eds.), *The child welfare challenge* (pp. 59-90). New York: Aldine De Gruyter.

“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

Plagiarism continued on next page

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.”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!

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.

Ph.D. 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 Ph.D. 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

Graduate School Policies

Mutual Responsibilities in Graduate Education at the University of Minnesota

Approved by the Graduate School Executive Committee 5/28/97; Amended 11/28/00

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, websites 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 Academic 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.

Mutual Responsibilities in Graduate Education continued on the next page

Principle 3: Research Contributions

Individual faculty as research directors are responsible for providing students with appropriate recognition for their contributions at conferences, in professional publications, or in applications 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.

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.

Mutual Responsibilities in Graduate Education continued on the next page

Principle 7: Safe Work 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.

Principle 8: Responsible Conduct of Research

Students are responsible for carrying out their research in a responsible manner.

The faculty and Graduate School are responsible for ensuring that students receive training and guidance in the responsible conduct of research as appropriate for each field.

Other University Documents

These documents may provide information and guidance relevant to the graduate education experience.

- * Board of Regents, Code of Conduct, adopted 7/12/96

- * Board of Regents, [Academic Freedom and Responsibility](#), adopted 9/8/95

University of Minnesota Policies

The following are some policies pertinent to Ph.D. students. Click on the links below to view the entire policy.

Student Conduct Code (Board of Regents policy) http://www1.umn.edu/regents/policies/academic/Code_of_Conduct.pdf

Academic Grievance Policy (University Senate policy) <http://www1.umn.edu/usenate/policies/>

Grading (University Senate policy) <http://www1.umn.edu/usenate/policies/gradingpolicy.html>

Sexual Harassment (Board of Regents policy) <http://www1.umn.edu/regents/policies/humanresources/SexHarassment.pdf>

Nepotism and Personal Relationships (Board of Regents policy) <http://www1.umn.edu/regents/policies/humanresources/Nepotism.pdf>

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 612-624-4372.

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 (612-624-3533). Questions about this policy as it affects employees should be directed to your human resources contacts in your individual units.

Other Important Links

National Association of Social Workers Code of Ethics

Forms

School of Social Work Forms

(These forms are found on the pages that follow.)

Student Personal Information Form

Agreement for Research Practicum

Report of Results of Supporting Paper/Specialized Written Exam

Annual Progress Report

Ph.D. Student Update Form

Directed study, Research Projects and Independent Study

Practicum Description Form

Ph.D. Contract for Completion for Incomplete Grades

Graduate School Doctoral Degree Completion Procedures

Graduate School Forms

All forms may be found at http://www.grad.umn.edu/current_students/doctoral/index.html

Student Personal Information Form

School of Social Work • University of Minnesota

Name: _____

Each prospective Research Practicum student will complete a Personal Information Form to assist the Doctoral Program Director in placing him or her. This information will include:

- Research experience: List each research experience (past and current) along with: project name, principal researcher on the project, and institutional home, project summary, and specific tasks you conducted.

- Research skills assessment: Enumerate the specific research-related skills you bring to the Practicum Placement and identify specific research weaknesses.

- State your goals for this Practicum, including the skills, concepts, and experiences you hope to gain.

Agreement for Research Practicum

School of Social Work • University of Minnesota

Doctoral Student Name: _____

Research Supervisor Name: _____

The above named Doctoral Student agrees to work with the above named 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 below. The student will also participate in a Research Practicum Seminar every other week during the academic year.

- The agreed research project will focus on (please describe in space provided):

- The projected product that will culminate from this Practicum will be (please describe):

Agreed between:

Doctoral Student Signature: _____

Research Supervisor Signature: _____

On this day, the _____ of _____, 20____.

Please submit a copy of this completed agreement to the Director of the Doctoral Program and a copy to the Practicum Seminar Instructor.

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)

Annual Progress Report

School of Social Work • University of Minnesota

Date: _____

Name: _____

Advisor: _____

Proposed Date for Completion of Dissertation: _____

Progress on Dissertation (Provide a paragraph or two describing your dissertation progress over the past year and your plans for completion):

School of Social Work Ph.D. Student Update Form

This form should be submitted to the Director of Graduate Studies. 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

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.

Practicum Description Form

School of Social Work • University of Minnesota
(Completed by Faculty Research Supervisor)

Project name: _____

Principal Investigator(s) : _____

- Research questions being investigated

- Background on project

- Where in the research process this project will be during the Practicum Year (e.g., instrument design; proposal writing; data gathering; coding and data entry; data analysis)

- Specific information about project design, sample population, type of data and analysis, etc. -- relevant to the project's stage during the Practicum Year

- Specific 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; Windows 95 literacy).

Continued on next page

Practicum Description Form (Page 2)

- Specific learning outcomes the student can expect to achieve (skills; concepts; methods; techniques; field)
- Is this placement paid or unpaid? Please explain.
- Possibility for the student to “carve out” a piece of this project for subsequent dissertation work?
- Kinds of student time required (e.g., daytime interviewing time twice per week; must be willing to work on weekends; regular schedule required / impossible)
- 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)
- Description of how this particular research placement will enable students to meet the four course objectives: 1) Build skills in diverse research activities; 2) Strengthen students’ understanding of research concepts operating in actual research practice; 3) Strengthen students’ ability to articulate linkages among research components; and 4) Enable students to conduct their doctoral research as competent early investigators.

Research Supervisor’s name, address, phone number, and e-mail

Name: _____ Phone: _____

Address: _____ Email: _____

Fax: _____

Placement Descriptions will be approved or disapproved based on the Doctoral Program Director’s determination of how successfully the placement will enable students to meet the four course objectives.

Ph.D. 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 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 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.

2008-2009 Academic Calendar

<http://www1.umn.edu/usenate/calendars/calendarpage.html>

Fall Semester – 2008

Labor Day Holiday	Monday, September 1
First day of classes	Tuesday, September 2
Thanksgiving Holiday	Thursday–Sunday, November 27-28
Last day of classes	Wednesday, December 10
Study Days	Thursday, December 11, and Sunday, December 14
Final Examinations	Friday–Saturday, December 12-13, and Monday-Thursday, December 15-18
Semester Ends	Thursday, December 18

Spring Semester – 2009

MLK Holiday	Monday, January 19
First day of classes	Tuesday, January 20
Spring Break	Monday–Saturday, March 16-21
Last day of classes	Saturday, May 9
Study Days	Saturday and Sunday, May 9-10
Final Exams	Monday–Saturday, May 11-16
Semester Ends	Saturday, May 16

May Session – 2009

May Session begins	Tuesday, May 26
Last day of classes	Friday, June 12

Summer Session – 2009

Classes begin	Monday, June 15
Independence Holiday	Friday, July 3
8-week session ends	Friday, August 7

All University offices and buildings are closed on these holidays:

2008

Monday	September 1	Labor Day
Thursday-Friday	November 27-28	Thanksgiving Holiday
Thursday-Friday	December 25-26	Christmas Holiday

2009

Thursday	January 1	New Year's Day Holiday
Monday	January 19	Martin Luther King Holiday
Friday	March 20	Floating Holiday
Monday	May 25	Memorial Day
Friday	July 3	Independence Day Holiday