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VII. Other Information ....................................................................................................................................18
The COSW PhD Student Handbook contains general information about the College of Social Work, its mission, policies, and organization. This handbook is intended to be a quick reference for students. It is not intended to be comprehensive or to address all the possible applications of, or exceptions to, the general policies and resources described.

The procedures and policies described here may be modified or discontinued from time to time. Every effort will be made to inform students of such revisions. It is the student’s responsibility to review college and university policies in detail and to request any clarification needed.

Students should consult the Graduate Bulletin, their academic advisor, or program director if they have further questions about any of the topics addressed.

We wish you a successful stay in the graduate program.

Natalie Pope, PhD
Director of Doctoral Programs
I. Introduction

In 1997, Kentucky's two largest universities joined together to bring doctoral education in social work to Kentucky. Two broad goals characterize the program: 1) to prepare doctoral graduates to serve as faculty members in social work programs in Kentucky colleges and universities and institutions nationally, and 2) to prepare top-level administrators, planners, policy analysts, researchers, and program evaluators for positions in a broad range of social service agencies.

II. History of Social Work Education in Kentucky

The University Of Kentucky Board Of Trustees established a department of social work within the College of Arts and Sciences in 1938. Courses were offered on the undergraduate and graduate levels with an emphasis on the master’s level program. Within four months of its creation, the social work program was accredited by the American Association of Schools of Social Work (the forerunner of the Council on Social Work Education). However, because of internal problems, the program was short-lived. An undergraduate program in social work was re-established in 1944 which is now a part of the College of Social Work. Since 1969, the College has offered both undergraduate (BASW) and graduate (MSW) programs. Both of these programs are the largest in the State and the College has produced over 3,500 social work professionals, a majority of whom are serving the Commonwealth and the region.

Mission Statement of the University of Kentucky

The University of Kentucky is a public, land grant university dedicated to improving people's lives through excellence in education, research and creative work, service and health care. As Kentucky’s flagship institution, the University plays a critical leadership role by promoting diversity, inclusion, economic development and human well-being. The University of Kentucky:
- Facilitates learning, informed by scholarship and research
- Expands knowledge through research, scholarship and creative activity
- Serves a global community by disseminating, sharing and applying knowledge

The University contributes to the economic development and quality of life within Kentucky's borders and beyond, nurturing a diverse community characterized by fairness and equal opportunity.

III. Mission and Objectives of the PhD in Social Work
The Faculty of the University of Kentucky College of Social Work recognizes the Commonwealth’s and Nation’s need for doctoral-level professionals who can design and implement socially relevant and translational research, and who can advance the education of undergraduate and graduate level social work professionals. The College’s PhD program guides students to develop the knowledge crucial for this mission through its emphasis on astute psychosocial inquiry, sophisticated theory analysis and construction, effective research design, acquisition of qualitative and quantitative analytical skills, and diverse pedagogical perspectives. Through course work in these domains, as well as the milestones of the preliminary and qualifying examinations, and dissertation development, students develop the capacity for scholarly inquiry and action that are the foundations for creative, independent, and meaningful scholarship. The successful completion of the PhD dissertation represents the capstone achievement that launches students toward their post-doctoral roles as researchers, educators, and policy experts. The College’s doctoral program continues to develop graduates who can meet the complex intellectual and scientific challenges facing the profession and society.

Accordingly, the PhD Program is committed to the preparation of intellectual leaders in social work. Building on the historic traditions of the land-grant research university, the programs offers a rich tapestry of educational opportunities that will support the social work profession’s purpose of promoting human dignity and community well-being. The PhD Program offers a curriculum based in the competing intellectual forces that are the hallmark of contemporary social and behavioral sciences and is aimed at educating persons who will contribute to the social work profession, higher education, and the welfare of individuals, groups, communities, and organizations through leadership in research and teaching.

The mission statement reflects the aim of doctoral education in social work as articulated by the Group for the Advancement of Doctoral Education in Social Work: “produce scholars with skills to expand and disseminate the base of tested knowledge that can guide the profession of social work in its efforts to address major social problems and concerns” (GADE, 1992, p. 5). These skills will come from acquiring and using analytical tools, rigorous study of social problems and their solutions, and experiential analytical research and teaching. Some of the university-based opportunities for developing the required skills are the core and individualized study courses, professional and research seminars, exposure to and participation in the on-going research and service projects of the social work program and associate faculty of both universities, and co-teaching courses in the baccalaureate and master’s programs.

**Program Objectives**

Students will attain knowledge and skills associated with:

1. A social problem that is addressed in the dissertation
2. Theories that underlie interventions and approaches to the social problem
3. Empirical research methodology, statistics, and other analytic techniques
4. Effective approaches to teaching and mentoring future social workers.
5. Expertise in a particular interest area
6. Creating publishable research and making scholarly contributions to the profession
Evidence of reaching these objectives is assessed via class assignments, preliminary exams, research practica, qualifying exams, students’ self-evaluations, various approval processes throughout the program, and the dissertation. Through training in the above areas, graduates of the Ph.D. Program develop the theoretical, conceptual, critical, and analytic skills that can be applied to social, organizational, interpersonal, and intrapersonal problems. They thus emerge from the program with the knowledge base for approaching problems, a systematic way of developing approaches to their solutions, and analytic skills for determining whether proposed solutions will work. In sum, graduates should become scholars who make significant contributions as researchers and educators, and thereby advance the profession, academia, and the public good.

IV. Program and Committee Structure

The Director of Doctoral Program in the COSW is Natalie Pope, PhD. The director is responsible for program implementation which includes oversight of student enrollment, coordination of the program faculty, scheduling of courses and selection of course instructors, approval and certification of students’ readiness to take qualifying examinations, supervision of program staff, management of program budgets, solicitation of external funding, and coordination of arrangements for periodic program evaluation and review.

V. Curriculum

The PhD minimum requirements include:
- 26 hrs-Core Curriculum  
  (Preliminary Exam-systematic review)
- 9 hrs-Individualized Study (specialized courses chosen with advisor’s approval)
- 6 hrs-Specialized Research/Teaching Practica
- 3 hrs-Teaching Course (Qualifying Exam)
- 4 hrs-Dissertation Research *
- 48 hrs-Minimum Credit Hours

*Note: students are required to register for (SW 767) a minimum of twice (two credits each time) to meet the dissertation research residency requirement. You must be registered for SW 767 in the semester that you are prepared to defend your dissertation proposal and then continuously (each Spring or Fall) until you defend your completed dissertation. You must be registered in the semester you defend your dissertation. Students cannot defend during breaks between semesters. The “Qualifying Exam” language used by the Graduate School is the dissertation proposal defense.

Core Curriculum

The pedagogical mission of the core curriculum is to help students understand, apply, and implement the most powerful analytic tools available from the human, behavioral, and social sciences to meet the challenges facing the doctoral level researcher, teacher, and practitioner. The ordering of course work moves the student from foundational principles and analytic skills necessary for scientific research, to the application of specific research design and statistical methods necessary for design and implementation of specific projects. Three courses focus on theory development, five on the mastery of research and statistical approaches, one on the theory and methodology of teaching; and two professional seminars introduce the students to the social welfare policy and practice-related research activities of social work and associated faculty.

Table 1: Summary of PhD in Social Work Course Requirements
Core Curriculum: (29 credit hours)

Theory Development in the Social Work Profession (3 credits)
Advanced Analysis of Social Welfare Problems (3 credits)
Human Behavior & Change Theories in Social Work Practice (3 credits)
Social Work Research I: An Overview (3 credits)
Social Work Research II: Advanced Research (3 credits)
Statistics for Social Work I (EPE/STA 557 OR 558) (3 credits)
Statistics for Social Work II (EPE/STA 660) (3 credits)
Introduction to Qualitative Methods for Social Work (3 credits)
Professional Seminar I (1 credit)
Professional Seminar II (1 credit)
Teaching Course (3 credits)

Preliminary Examination - systematic review

Individualized Plan of Study (15 credit hours)

Research/Teaching Practicum (6) – (Usually one research and one teaching practicum)
Elective course work in an area of scholarly study (9)

Note: some students develop independent studies (usually research related) in lieu of lecture-type courses. This is not always recommended as taking courses outside the College increases one’s exposure to other disciplines and possible committee members. While one or two independent studies may be approved by the Doctoral Program Director if they are substantial endeavors, in no instance shall all nine hours be of the individualized plan be met by independent studies.

Qualifying Examination (Dissertation Proposal Defense)

Dissertation (4 credit hours) * (see note on p. 5)

Table 2: Example of Doctoral Curriculum, Full Time

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fall</strong></td>
<td></td>
</tr>
<tr>
<td>SW 790 - Teaching &amp; Learning Seminar</td>
<td>3</td>
</tr>
<tr>
<td>SW 795 - Statistics I (EPE 557 OR 558)</td>
<td>3</td>
</tr>
<tr>
<td>SW 785 - Professional Seminar I</td>
<td>1</td>
</tr>
<tr>
<td>Individualized Area 1st course (Elective)</td>
<td>3</td>
</tr>
<tr>
<td><strong>Spring</strong></td>
<td></td>
</tr>
<tr>
<td>SW 773 - Statistics II (EPE 660)</td>
<td>3</td>
</tr>
</tbody>
</table>
SW 782 - Analysis of Social Welfare Problems 3
Practicum (either Research or Teaching) 3

**Summer**
Independent Study (Elective) 3

**Year 2**

**Fall**
SW 770 - Research I 3
Individualized Area 2nd course (Elective) 3
SW 781 - Theory Development in Social Work 3

**Spring**
SW 771 - Research II 3
SW 785 - Professional Seminar II 1
SW 783 - Human Behavior & Change Theories 3
SW 772 - Introduction to Qualitative Methods 3

**Summer**
Practicum (either Research or Teaching) 3

Preliminary Exam/Systematic Review (August)

**Year 3**

**Fall**
Dissertation Residency 2

Qualifying Exam (December)

**Spring/Summer**
Dissertation Residency 2

Total: 48 hrs

*Table 3: Example of Doctoral Curriculum, *Part Time*

<table>
<thead>
<tr>
<th>Year</th>
<th>Fall</th>
<th>Credit Hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Theory Development in the Social Work Profession</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Statistics I</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Professional Seminar I</td>
<td>1</td>
</tr>
</tbody>
</table>

**Spring**
Statistics II 3
Human Behavior & Change Theories in SW Practice 3
Professional Seminar II 1

**Year 2**

**Fall**
Research I 3
Advanced Analysis of Social Welfare Problems 3

**Spring**
Research II 3
Introduction to Qualitative Methods 3

**Preliminary Exam/ Systematic Review**

**Year 3**

**Fall**
Individualized Area 1st course 3
Teaching Course 3

**Spring**
Individualized Area 2nd course 3
Teaching Practicum 3

**Year 4**

**Fall**
Individualized Area 3rd course 3
Research Practicum 3

**Qualifying Exam**

**Spring**
Dissertation Research 2

**Year 5**

**Fall**
Dissertation Research 2

**Total:** 48 hrs

**Individualized Plan of Study**

An area of scholarly study is necessary to provide students with a distinctive area of expertise in social work. This area is viewed as an organizing principle that should help students, with their advisors' assistance, to develop coherent plans of study. This phase of the student's educational experience is largely individualized and tailored to each student's specific educational goals and dissertation topic.
Students complete their individualized plans of study by selecting from a range of graduate courses and/or initiating independent studies. Students must complete a minimum of 9 credit hours of regular courses or independent study in an individualized area. Major focus is placed on careful review and appraisal of the theories, practice principles and procedures, assessment methods, and relevant behavioral and social science foundation knowledge. Independent studies (SW 780) can be used to conduct pilot or exploratory studies that might lead to a manuscript publication or dissertation proposal. They can also be used to systematically review the literature in an area as long as a journal manuscript is generated. They may be used to acquire an expertise in a certain methodology via mentoring if a lecture course is not offered that semester. However, students are encouraged to use at least 3 to 6 hrs of their individualized area to schedule courses in other disciplines and to work with faculty outside of social work who are knowledgeable and have an interest in the same social problem. Students must also complete 3 credit hours each in a supervised research practicum and a teaching practicum related to their chosen area of study or 6 hours in either research or teaching practice. Note: please keep the Director of the Doctoral Program notified if you register for SW 780 as this must linked in the Registrar’s Office with a specific faculty member.

Students with their advisors’ assistance will begin developing their individualized curricula plans during their first year in the program. They will consider ways to obtain mastery of their learning goals through in-depth comprehensive explorations of areas through independent studies and regularly scheduled graduate courses from both universities.

It is expected that research or teaching practica and independent studies will require substantial academic interaction between the student and faculty during which substantive dialogue around the agreed-upon content area will occur. These courses will involve the review of a cohesive body of literature mutually agreed upon by the faculty advisor and the student. Independent studies should culminate in at least one written product of publishable quality. The requirements that must be met for an independent study course are shown in the Appendices. These agreements must be developed by the student and faculty member before the independent study will be approved by the Doctoral Program Coordinator.

**Transfer Credit Policy**

Students should consult with the UK Director of Doctoral Studies regarding transfer credits. Effective Fall 2008, a total of 9 hours may be transferred into a doctoral program upon request of the DGS. Course credits applied toward a previously awarded graduate degree cannot be transferred, nor can independent study courses be transferred and only those with a B grade or higher.
Preliminary Examination- Systematic Review

See Appendix D

Protocol for Preliminary Examination- Systematic Review

As of January 2019, the Preliminary examination has been changed to a systematic review with an oral defense.

After successful completion of the Preliminary Exam, the remaining courses in the curriculum such as individual area courses, or research practica should be taken in consideration of preparing the dissertation proposal (Qualifying Exam).
Pre-Qualifying Time Limit

Students enrolled in a doctoral program beginning in the Fall 2005 semester will now be required to sit for the **Qualifying exam within five years of entry** into the program. However, extensions of 12 months can be approved by the Dean of the Graduate School (with a supportive letter from the DGS). Longer extensions must go before the Graduate Council for approval and must have the support of the majority of the graduate faculty, the DGS, and the student’s chair.

The time clock does not start for students who take their first course as a post-baccalaureate student. **It is the Student’s responsibility to keep track of the length of time you are pre-qualifying!!!**

Qualifying Examination

Successful completion of the Preliminary Exam brings the student to the dissertation phase of the program. The Qualifying Exam consists of submitting a dissertation proposal to the student’s Advisory Committee and an oral defense of the proposal. The proposal defines the problem to be studied and justifies the choice of subject and its relevance to social work practice. It should contain an overview of the literature, the research questions or hypotheses, the proposed methodology, and an outline of the student’s anticipated time/work schedule. **You must resolve any outstanding “I” or “S” grades in credit-bearing courses in order to schedule the qualifying exam. You must also be vigilant as to the academic calendar deadlines posted on the Graduate School’s website. If their deadlines are not met, your needs (e.g., to graduate in May) may not be met!**

Protocol for Qualifying Examination at UK

1. The Qualifying Exam will consist of two parts - a written and an oral section.

2. Only students who have completed the Preliminary Exam are eligible to take the Qualifying Exam.

3. All doctoral students should have identified and worked closely with an advisor by this point. The advisor and/or Doctoral Program Director will assist with assembling an Advisory Committee. Note: the student must submit a **Doctoral Advisory Committee Request Form** to ensure UK Graduate School approval of the student’s committee. That form is available from the Graduate School’s webpage. (More information on committees follows this section.)

4. The Qualifying Exam may be taken during any semester (including summer) as long as the student’s chair and committee are in agreement that the proposal is ready to defend. The dissertation proposal (Qualifying Exam) is submitted to the Advisory Committee. The student must complete a **Request for Qualifying Exam form** at least two weeks prior to the scheduled date. Students **cannot** schedule Qualifying Exams during the breaks between the Fall and Spring semesters. Committee members need a minimum of two weeks to review the proposal.

5. The student’s advisor and Advisory Committee determine the appropriate length and
depth of the Dissertation Proposal. The Committee may require revisions in the written proposal. The student passes or fails this exam and this result is transmitted to the Graduate School.

6. At the dissertation proposal meeting, committee members should discuss students’ progress toward completing the Portfolio Requirements Checklist (Appendix H).

**Dissertation Proposal Protocol**

The proposal must provide a comprehensive overview of the proposed dissertation. The focus of the dissertation must fall within acceptable areas of social work research and practice and the question(s) asked in the dissertation should not have been satisfactorily resolved by existing knowledge. Dissertation research is normally organized around one or more testable hypotheses or questions. While the proposed dissertation may be exploratory in nature, the study should result in a meaningful contribution to existing knowledge. The proposal should also detail a plan for how data will be analyzed. The proposed dissertation must be feasible in terms of the candidate’s ability to complete the study, access relevant data, locate the resources required for the study, and establish a reasonable timeline for completion. The dissertation proposal must include the following:

1. A statement of purpose and the specific aims of the study;
2. A problem statement, inclusive of relevant theories, policies, and research;
3. The research hypotheses and or question(s);
4. Summary content of the existing relevant knowledge and a review of the significant literature;
5. The significance of the research problem, the potential application of findings, and a description of the anticipated implications for social work practice;
6. An outline of the plan of research, including major concepts; the research methodology and design; methods of data collection and analysis; the major variables, assumptions, and sources involved in the study; and a plan for analyzing the data;
7. If necessary, approval from the university’s Institutional Review Board; and
8. A proposed timetable for completion of the dissertation.

The dissertation proposal must be approved by the chair/advisor before being distributed to the Advisory Committee. The Advisory Committee will vote on the proposal in closed session. A majority of committee members must vote “pass” for the student to advance to candidacy. The Advisory Committee may require modification of the original proposal. In that event, the chair will be responsible for ensuring that the Committee’s concerns are reflected in the modified proposal.

At the proposal defense, students are typically expected to present a PowerPoint presentation highlighting the major features of your dissertation proposal. Students should aim for about 25 slides or a 25 minute presentation. Students must also complete the Program Planning/Assessment form (see the last page of this document) and provide copies to your committee members at your defense.
You should also plan about a 5 minute introduction of yourself.

Dissertation

After advancement to candidacy, students will proceed to conduct the research required for their dissertations. The dissertation must represent independent, original research and must comply with all requirements of the respective Graduate Schools. Students at UK should consult Instructions for the Preparation of Dissertations and Doctor of Music Arts Projects available from the Graduate School (POT 351) and on the Web. Beginning August, 2013, all dissertations must be submitted electronically to the Graduate School.

Advisory/Dissertation Committee

Upon entering the program, each student is advised by Doctoral Program Director until such time as another doctoral faculty member is chosen by the student; typically, this would be sometime in the second year. The advisor chosen by the student usually becomes the chair of the student’s dissertation (advisory) committee.

The major duties of the Advisory Committee are to 1) provide guidance for the student’s program of study, and 2) approve the dissertation proposal, and 3) guide the dissertation process and 4) administer the oral portion of the Final Exam (the dissertation defense). The Dissertation Chair has the major responsibility for assisting the student in planning a program of study that will meet degree requirements and address the student’s career objectives. Specific responsibilities are to assist the student, with input from the other members of the Advisory Committee, in formulating an educational plan; to assist the student with all curriculum related concerns or problems; and to direct the student to appropriate persons who may provide needed information and expertise; and, to supervise and direct the student’s dissertation research with significant input from the Advisory Committee.

All advisory committees must consist (at a minimum) of four graduate faculty members, one of whom must be from the University of Louisville. The Chair of the Advisory Committee must be a full-time, tenured member of the faculty of the College of Social Work and a full member of the Graduate Faculty. Three of the four committee members must be tenured and one member must be from outside of the College of Social Work. The Chair will be the student’s major advisor in conducting the dissertation research and preparing the final dissertation. Usually the advisor who has worked with the student in developing his/her dissertation proposal continues as the Dissertation Chair. If the student requests a change in this position, the Dissertation Chair should be selected from the existing members of the student’s Advisory Committee. Any selection of a new Dissertation Chair from outside of the Advisory Committee should only occur under unusual circumstances and should be discussed with the Program Director.

Create your committee here: Doctoral Degree Candidate Forms
Dissertation Standards

Generally, all dissertations will demonstrate the student's ability to conduct empirical research, adhering to canons of 1) logic in conceptualization and design, 2) valid and reliable measurement/data collection, 3) appropriate analytic techniques, and 4) appropriate interpretation of results. Dissertation studies should be based on a formal theoretical or a conceptually explicit framework for investigating a question or testing hypotheses relevant to the social work profession. This relevance should be demonstrated in the dissertation proposal and in a chapter of the final dissertation which relates the findings to the appropriate area of social work practice.

Detailed information about procedures and formatting for the dissertation is provided by the Graduate School’s Instruction for Preparation of Dissertation and Doctor of Music Arts Projects. The style and form of the dissertation must conform to the Graduate School instructions; students should consult the Graduate School for information and requirements. The dissertation is expected to adhere to all University requirements related to style, ethical conduct, and, when appropriate, to the protection of human subjects.

Dissertation Oral Defense (Final Examination)

When the Chair agrees that the dissertation is complete, a date can be set for the Final Exam (dissertation defense).

Academic Procedures

The Graduate School’s form (Notification of Intent to Schedule a Final Doctoral Examination) must be sent to the Graduate School at least 8 weeks before the end of the semester. The Graduate School then locates an outsider examiner and notifies the candidate and his/her advisor. The outside examiner represents the Graduate School and ensures that a rigorous and fair dissertation defense (final examination) has occurred. The student will be responsible for including this person in the scheduling process and providing a final copy of the dissertation no less than two weeks before the oral defense.

When the defense date is finalized, a second form must be sent onto the Graduate School (Request for Final Doctoral Examination) no later than two weeks before the oral defense.

The Dissertation Chair presides over the Advisory Committee for the defense. Following the defense, the Dissertation Committee will meet in closed session for formal action. The Dissertation Committee may vote in one of several ways: 1) approval in present form, 2) approval with minor revisions (the committee is not required to meet again), and 3) disapproval with major revisions needed. In the case of a disapproval or failure vote, the committee must meet again and the Final Examination scheduled with the Graduate School. All committee members must sign the examination card. In the event of an “approved with minor revisions” vote, the Dissertation Chair will be responsible for ensuring that the Committee’s concerns are incorporated in the revised dissertation. The Chair may choose to forward copies of the revised dissertation to Committee members for final approval.

Co-authorship with the Chair or Committee members of articles, books, or book chapters resulting from the dissertation is an expected outcome of the dissertation research. Any dissertation research which is not expected to produce at least one publication probably should not be passed by the Advisory Committee.
VI. Academic Policies

A satisfactory rate of progress toward the doctoral degree is required throughout a student’s enrollment. Doctoral students must at all times maintain at least a 3.0 grade point average in their course work. Students who fail to do this will be required to leave the program.

Assessment of Good Progress

Beginning in the Fall, 2005 semester, the Graduate Faculty are required to define good progress toward completion of the doctoral degree and each student’s doctoral progress will be reviewed at least annually by either the Graduate Faculty or the student’s advisory committee. Each student will be informed of writing of the results of that meeting by the DGS, the chair of the advisory committee, or their designee.

Poor progress is defined as any “Incomplete” or “Satisfactory” grade that is not resolved after the following semester; not taking classes two semesters in a row; not completing a dissertation proposal within two semesters of finishing required courses; and being awarded a “C” or lower grade in any course taken in connection with the Ph.D. degree.

The College has a two “C” policy for all graduate students. This policy means that if you receive two “C” grades, then you can be dismissed from the College for academic reasons. You may, however, choose to retake one course again using a repeat option when that course becomes available. If you retake the course and make a “C” grade or lower so that you still have two “C” grades even after using the repeat option, you will be dismissed from the Ph.D. program. Remember that Incompletes (“I” grades revert to “E” or failing grades after 1 year).

Leave of Absence

Each student taking a leave of absence must make a request of the Director of the Doctoral Program to go inactive and this request must be approved. Students may extend the leave of absence for two consecutive semesters and only have it granted for a total of 3 semesters. If you become inactive, (don’t take classes for a semester or two) then you will have to pay the $65 admission fee to the Graduate School again and will need to reapply to the Graduate School. Please request any Leave of Absence through the Doctoral Program Director.

Academic Grievance Procedure

The Graduate School follows the procedures for academic grievance as published in Students Rights and Responsibilities at UK. Any student considering filing such a grievance is advised to consult with their advisor, the Doctoral Program Director, and/or the UK Academic Ombud.

Academic Dishonesty Policies
Academic dishonesty is a serious offense because it diminishes the quality of scholarship, makes accurate evaluation of student progress impossible, and defrauds those in society who must ultimately depend upon the knowledge and integrity of the institution and its students and faculty. Academic dishonesty includes, but is not limited to, cheating, plagiarism, fabrication, falsification, multiple submissions, and complicity in academic dishonesty.

At a minimum, students found guilty of academic dishonesty in a course shall be awarded failing grades for that course. Plagiarism in a proposal or dissertation may result in permanent termination from the program. Blackboard now has the ability to check for plagiarism so be careful with each and every assignment that you turn in. All of your work has to be your work! Be sure you know how to paraphrase and cite accurately. Ask or seek information if you have questions.

VII. Other Information

Registration, Billing and Transcripts

Registration dates are posted on the University website and mailed to new students. Continuing students "advance register" several months prior to the next semester. At UK a load of 9 credit hours or more is considered to be full-time status. Teaching and research assistants are not required to pay tuition but may have fees assessed. Transcripts are available from the Registrar's Office.

Office Space

Students have access to office space on the 5th floor of P.O.T

Financial Assistance

Various forms of financial assistance may be available as doctoral students progress through the program. These can include graduate assistantships, teaching assistantships, and university and other stipends. Students requiring financial aid may consult with the Doctoral Program Director and/or with the University Financial Aid office.

Any student who receives a teaching or research assistantship receives free tuition and health insurance in addition to the stipend paid (which can vary depending upon the source of support). For those students who are RAs or TAs who wish to take classes in the summer, please note that there is no tuition waiver in the summer.

Assistantships

Research assistantships depend upon their availability from funded grants. Similarly, teaching assistantships are currently funded through the Graduate School. TAs will be provided with a contract stating the conditions and expectations associated with their position. RAs will have their duties defined either by a faculty member providing funding and supervision. So that appropriate plans can be made for you, please keep the Director informed of your plans to teach or serve as a RA at least 3 months prior to the start of the next semester.
Evaluation of Graduate Assistants

The Graduate School requires that each semester every teaching assistant is evaluated by observed by a faculty observer. Teacher Assistant Observation Form

College RAs may also be evaluated each semester; the supervising faculty member is responsible for completing these evaluations.

An electronic copy of the form is to be sent to the Graduate School and a paper copy provided to the Director of the Ph.D. program. Additionally, the supervising teacher may wish to observe more often than once a semester and student course evaluations are to be conducted at the conclusion of each semester in accordance with the College’s regular evaluation of courses. The Director of the Doctoral program may meet with the teaching assistant and/or the supervising teacher if evaluations or observations suggest a need for improvement. Teaching assistantships are not guaranteed to all PhD students; awarding TAships is based on availability (i.e., needs of the college), past teaching evaluations, student progress towards graduation, etc.

Policy effective 1/17/12: To keep the quality of teaching assistants high, the Doctoral Committee passed the following policy:

Doctoral students should have a GPA of 3.5 to qualify for a continued teaching assistantship as well as receive favorable ratings from students and satisfactory reports from faculty or peer observers.

Note: While doctoral students are generally discouraged from teaching their first semester, it is possible that a first semester doctoral student would, out of economic necessity, need to teach. This policy does not apply to first semester students.

Also note: students who are also UK employees who receive “free tuition” may find that there are income tax implications associated with this benefit.

Hiring-Our-Own Policy

It is generally agreed that education is strengthened if students are exposed to professors trained at different universities who tend to bring varied ways of examining critical issues. Therefore, the UK College of Social Work will not make a practice of hiring its own graduates into tenure-tract faculty positions. Students should not, therefore, enter the program with the expectation of securing a tenure track position at UK or UL after receiving the Ph.D. in Social Work.

Research involving Human Subjects

All proposals for research involving human subjects have to be approved by the Institutional Review Board. There are elaborate federal regulations governing the review of such proposals. Information on the paperwork and process of the IRB approval, at UK is available from the Research Subjects Office, 315 Kinkead Hall (#859-257-9428).
Leave of Absence

If you decide to take a semester off (Spring or Fall) and sit out, the Graduate School will view you as being inactive. To become “active” again you will need to complete the Graduate School’s electronic application and pay the admission fee once more. However, in many instances you can avoid this requirement by requesting a “leave of absence.” This status also allows you to register in preparation for the next semester.

To request a leave of absence, state your request to the Doctoral DGS in the semester prior to the semester in question. If approved, the DGS will contact the appropriate Graduate School admissions officer. You may request no more than two consecutive and four total semesters in leave of absence status. Post-qualifying doctoral students are not eligible for the leave of absence. Post-qualifying means that you have already passed the Qualifying Exam (successfully defended your dissertation proposal).
Appendix A

Proposal For Teaching Practicum

All practicum proposals must be approved by the Ph.D. Program Director, as well as the faculty member who will supervise the practicum. All signatures must be obtained prior to registration for the semester in which the practicum will be taken. Students should begin the process of developing and negotiating their proposal well in advance of the registration deadline.

Student: ____________________________ Faculty Member: __________________________

Semester: ____________________________ Date: __________________________

Instructions to Student: Please attach to this form a brief description of your proposed teaching practicum. Follow the specified outline when composing your proposal.

1. **Teaching Problem area/Topic:** What course are you planning to teach?

2. **Supervising Teacher:** What faculty member has agreed to meet with you on a regular basis to look over your assignments, exams, syllabi, etc? Note that you will need to be observed by the supervising teacher (or a faculty representative) on at least one occasion.

3. **SW 790:** Have you completed SW 790? If not, explain how you will prepare yourself for teaching this course.

4. **Unique Features:** Will there be anything unique about your teaching this course? For instance, will you be teaching online or focusing on a particular technique or using a unique approach that might result in a publication?

5. **Literature Review:** In addition to reading the required textbook, have you conducted a literature review to see what others have written about how to teach this content? At a minimum, what journal articles or books on teaching do you plan on reading to prepare you for the course?

6. **Reflective Journal:** Keep a class-by-class or weekly journal of the things you learn in teaching this course and reflect on your teaching experience. Think about the teaching process, and in particular any conflicts, dilemmas, preconceived notions or assumptions that have been changed as a result of your classroom experience. Consider issues related to problem solving, information gathering, seeking feedback that might have impacted your identity as a teacher.

7. **Manuscript:** Can you write a manuscript about what you’ve learned in this course? What have you got to share with others who might teach a similar course? What “aha” experiences did you have? How is teaching different than other roles you’ve had (e.g., clinician, student, supervisor)? Draw upon your reflective journal and work with the Doctoral Program Director for this manuscript.
Appendix B

Proposal For Independent Study or Research Practicum (SW 780 or SW 786)

All practicum proposals must be approved by the Ph.D. Program Director and the faculty member who will supervise the practicum. All signatures must be obtained prior to registration for the semester in which the practicum will be taken. Students should begin the process of developing and negotiating their proposal well in advance of the registration deadline.

Student: _____________________________  Semester: ____________________________

Instructions to Student: Attach a brief description of your proposed project which includes the following:

1. **Goals and Objectives:** What are the explicit objectives of the proposed independent study? (It might be good to state your research question or purpose)

2. **Rationale:** Why are you pursuing an independent study course rather than an established course? What skills do you hope to acquire?

3. **Procedure:** Explain in detail what you will do for this independent study. Will you be using secondary data or gathering your own? Projected sample size? How often you will be meeting with your supervising faculty member?

4. **Timeline:** What are the major tasks and time lines for completion of this project?

5. **Products:** What are the deliverables from this project? How will you disseminate the information you've gathered from this project? Note: The expectation is that you will produce a manuscript that will be of publishable quality. Explain any exception.

Agreement Signatures

Student _____________________________  ____________________________
 (Signature)                       (Date)

Faculty Mentor _____________________________  ____________________________
 (Signature)                       (Date)

Doctoral Program Director _____________________________  ____________________________
 (Signature)                       (Date)
Appendix C

Program Planning/Assessment Form

Student: ________________________  Student ID #: __________________

Current Date: __________________  Date of Admission: _________________

Date Started Program: _____________

Two Semesters of Full-Time Residency: ______ ______  Advisor: ______________________

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Appendix D

Preliminary Exam Procedures

Purpose: The Preliminary Examination process is designed to assess critical and analytical thinking as well as student assimilation of course content in preparation for the final stage of doctoral education. The exam process will create another opportunity for students to work with faculty on a meaningful intellectual product that may result in a publication for the student and faculty as co-authors. At a minimum, the Preliminary Exam process is designed to develop the student’s expertise and knowledge as a contributor to the profession while at the same time showcasing what the student has learned from his or her course work. Faculty will evaluate student preparedness to move on to the dissertation phase based on the production of a systematic review and successful completion of their coursework. The Preliminary Examination process consists of three stages: 1) preparation of an outline for a systematic review manuscript; 2) development of the systematic review; and 3) oral defense of the systematic review. Matriculation to SW 767 dissertation research work is contingent upon successfully passing all three stages of the Preliminary Examination Process.

Stage 1: After students have completed all core courses (SW 790, 795/EPE 557, 785, 773, 783, 770, 782, 771, 772, 781, 785), they will prepare a 3-5 page outline for a systematic review in consultation with a faculty member from the College of Social Work. This person will serve as the chair of your exam committee of three. (More about this below.) Before beginning to develop the initial outline, students are advised to read one or two systematic reviews to get an idea of the expectation for this effort and to read at least the resource documents referenced below with links (e.g., the PRISMA Statement, and the Preferred Reporting Items for Systematic Reviews) - Appendix E. The student’s initial outline will cover, at a minimum, the headings and points listed below although the chair may ask for additional information.

- **Title:**
- **Introduction:** Provide an introduction including: a) background/context of the problem, b) rationale for studying it, c) objectives to be accomplished with the systematic review
- **PICOS:** Identify:
  a) **population** of concern;
  b) **intervention**, problem, or issue that is the target of the investigation. *(Note that an intervention can be clinical, social, community, or economic)*;
  c) **control or comparison** *(e.g., will you be comparing the intervention against “usual” or “standard” care? If so, define that intervention for the reader.)*
  d) **reported outcomes** of the intervention. *(Note that if your project is not focused on a specific intervention, you might be reporting on other outcomes – e.g., the psychometrics obtained by other authors attempting to develop a new instrument).*
e) your study design (are you including only randomized trials or somewhat broader with observational studies, case reports, cohort studies, etc.) and specify a search methodology and time period to be covered.

The chair will read and provide feedback to the student on the initial outline. He or she may ask for additional details to be supplied. Or, the student may be given permission to proceed with the initial plan. The chair will also request the student to identify two other faculty members to be readers of the finished systematic review. The choice of other committee members is completely up to the student but he/she may discuss this issue with the chair. One member of the three committee members may come from outside of the College. If deemed necessary, the faculty member (chair) may ask all of the faculty committee members to meet with the student to provide additional guidance once the initial outline has been received. Please note that once the outline has been approved, the student should not expect regular meetings or feedback from faculty members regarding the project over the summer. In other words, there is to be no handholding. The end product is your opportunity to showcase what you are capable of doing as an academic.

Stage 2: Students will receive these instructions and begin preparing their systemic review in a professional manuscript style using the APA format on or about May 1. There is no set page requirement; the length of the paper will depend upon the topic and breadth of the literature being reviewed. The final product will be submitted no later than August 1 to the student’s committee and the Director of the Doctoral Program. The reviewing committee shall take no longer than three weeks to read the paper and render a verdict as to whether or not the systematic review is a creditable intellectual product that warrants a passing grade. If the paper is considered to need only minor revisions, the effort shall be judged a “Pass.” If, on the other hand, the paper is considered to be below expectations for a doctoral student who has completed all of his/her course work and reveals sloppy, incomplete work, or poor conceptualizing, poor grammar/organization, incorrect APA style or any significant problem, the paper will be considered a failure. The committee will then decide whether the student should continue working on the project or adopt a completely new topic. Students who receive failing marks on their papers will not be allowed to register for dissertation research until such time as they obtain a passing grade from their committee.

Evaluating the written exam: A committee of faculty members will read each student’s final product and evaluate it in terms of the criteria listed below.

1. the thoroughness of the literature covered. Any articles referenced in the paper may be read in their entirety by the faculty and this will serve as a check on the student’s ability to find relevant research, to summarize it accurately, and weave a synthesis with other salient articles.

2. the thoughtfulness and complexity of thought,; the critical analysis employed in the paper.

3. the professional writing style. It should be clearly written in a smooth style that makes good transition from one section to the next. Do not simply prepare an annotated bibliography. Appropriate APA formatting is expected.

4. the “best” paper will be one that looks as if it could be published with little additional effort. Students who receive the highest marks are encouraged to revise their paper and to submit it to a professional journal for publication with the chair and/or other committee members as co-authors, depending upon their contributions.
5. If a student has already completed a systematic review paper for any course at the College, that paper cannot be submitted for the Preliminary Exam. Resubmission of a previous paper used to meet any other course requirement will constitute an automatic failure.

Stage 3: The student will be asked to orally defend the systematic review to their committee. During this one hour defense, questions could be asked about not only the manuscript but also any core concepts from previous coursework including research methods or statistics. During the oral defense, committee members may remind students of the Doctoral Portfolio Requirements Checklist (Appendix H). All portfolio items will need to be approved by the student’s Advisory Committee.

Once you have passed the Preliminary Exam, you may retain or revise your exam committee for the purpose of serving as your dissertation committee.
(Please file the appropriate form with the Graduate School to create your dissertation/advisory committee)
Appendix E

Examples of Systematic Literature Reviews


Resources


Cochrane handbook for systematic reviews of interventions. [http://handbook.cochrane.org](http://handbook.cochrane.org)


http://www.bmj.com/content/339/bmj.b2700.pdf%2Bhtml

Appendix F

Course Descriptions

1. **SW 781: Theory Development in the Social Work Profession** - Explores the nature of knowledge, how it is generated and acquired. Students will distinguish explanatory from practice theory, understand paradigms as bases for ideas, recognize and formulate concepts, understand relational statements, theoretical statements, and how these relate to theory and data. Strategies for building knowledge will be discussed. Students will analyze theories into their components, construct mini-theories, and propose how they can be tested in social work practice. Prereq: Admission into the doctoral program or consent of the program director.

2. **SW 782: Advanced Analysis of Social Welfare Problems** - This course provides students with a theoretical and conceptual framework for understanding social problems and their implications for macro social work practice. Critical perspectives related to social science theory are identified, assumptions assessed, values examined, and empirical evidence analyzed. Theories covered will be drawn from sociological, socio-cultural, political, economic, historical, and other perspectives. Students are expected to develop their abilities to analyze and critique social problems and macro social work practice. Prereq: Admission into the doctoral program.

3. **SW 783: Human Behavior and Change Theories in Social Work Practice** - A critical analysis of theories which seek to explain human behavior and serve as foundations for current clinical change interventions; includes an examination of the empirical support for, and efficacy of, major treatment modalities used in social work practice. Prereq: Admission to the doctoral program.

4. **SW 770: Social Work Research I** - This course focuses on the role of research in the profession, the logic of research, the major strategies and techniques for conducting research in social work settings, and preparation of a research proposal. This is the first of a two-course sequence with a primary focus on quantitative methods. Prereq: Admission into the doctoral program.

5. **SW 771: Social Work Research II: Advanced Research** - In this second of two required research methods courses, students will conduct and report on the quantitative research project proposed in the first semester. They will also conduct a meta-analysis, test a research instrument’s reliability and validity, conduct an exercise using qualitative methodology, and explore large public databases. Prereq: SW 770.

6. **SW 795: Statistics and Analysis Methods for Social Work I (or EPE 557/558)** - The goal of this course is to help students understand and be able to apply basic statistical techniques and analysis methods to various types of data. The course focuses on introductory quantitative analyses of research data. Basic methods for quantitative analysis including parametric and non-parametric techniques are examined.

7. **SW 773: Doctoral Statistics II (or EPE 660)** - This social work course aims to help students understand and apply multivariate techniques in the fields of social welfare and social work research. Topics covered will include multivariate regression, factor analysis, path analysis, event history analysis, as well as logit and probit analysis. Prereq: STA 570 and SW 771 (SW 771 may be taken concurrently).
8 **SW 785: Professional Seminar I** - This seminar introduces beginning doctoral students to the research activities of the faculty and advanced students. Presentations will familiarize students with practice issues in the conceptual development and conduct of current research. May be repeated to a maximum of two credits. Prereq: Admission into the doctoral program.

9. **SW 785: Professional Seminar II** - This is the second of two 1-credit hour seminars, the purpose of which is to introduce doctoral students to social welfare policy and research interests of faculty and their current research activities.

10. **SW 790: Seminar in Teaching & Learning** - Students will facilitate seminar sessions drawing upon educational theory and relevant literature, create syllabi, observe each other teaching, and develop papers elucidating their grading practices and philosophy of teaching. Prereq: Admission into the doctoral program or consent of the instructor.

11. **SW 786: Doctoral Research Practicum (3-6)** - Provides the doctoral student opportunity to conduct social work research under the supervision of a chosen faculty member. This experience is expected to result in one or more reports suitable for submission to a scholarly journal at conclusion of the practicum. Prereq: Completion of first year of doctoral study.

12. **SW 787: Doctoral Teaching Practicum (3-6)** - Supervised teaching and other classroom experiences designed to prepare doctoral students to be social work educators. Prereq: Completion of first year of doctoral study.

13. **SW 772: Introduction to Qualitative Methods (3)** - The purpose of this course is to introduce students to the fundamental concepts, language, design, and implementation of qualitative research.
# Appendix G

**College of Social Work**  
**PhD in Social Work Course Requirements & Plan of Study**  
**University of Kentucky**

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## Core Curriculum: 29 Credit Hours

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**Total Credits:** 15

*Students must have completed all coursework & PhD Qual Exam before enrolling in Post Qual Dissertation Courses. Additionally, two consecutive semesters of 767 are required. See Grad School Bulletin for Residency requirement policies.

______________________ ________________  
Date _____________________

______________________  
Student Signature

______________________  
Advisor Signature

______________________  
Doctoral Program Director Signature

Date _____________________

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Appendix H

Doctoral Portfolio Requirements Checklist

College of Social Work Approved by Committee 11/29/2017

Publications

☐ Submit prelim exam manuscript (or another research-based manuscript) to a peer-reviewed journal following successful oral defense

Presentations

☐ Research presentation at department, school, college, or university research meeting
☐ Two research presentations at national or international scientific conferences
  - must be sole or first author on at least one presentation
  - paper or poster presentations only
  - both presentations must be based on studies that involve data analysis

Select one of the following (in consultation with advisory committee):

☐ Online presentation
☐ Guest lecture in a faculty member’s class about research
☐ Agency in-service or local/state presentation with faculty mentorship

Teaching

☐ Full responsibility for teaching a credit-hour class with faculty mentorship
☐ Teaching portfolio
☐ Committee-approved alternative: ________________________________

Leadership & Citizenship

☐ Maintain membership in a professional organization beginning the first year in doctoral program

Select two of the following (in consultation with advisory committee):

☐ Review conference presentation proposals
☐ Review manuscript submitted for publication to peer-reviewed journal
☐ Coordinate a departmental (or broader) research symposium
☐ Serve on a department, university, regional, or national committee
☐ Serve as a moderator or discussant at a state, regional, national, or international conference
☐ Hold a leadership role in a graduate student organization
☐ Committee-approved alternative: ________________________________

Note: All portfolio items must be approved by the student’s Advisory Committee