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SECTION I

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General Information
A. **INTRODUCTION**

1) **Welcome From the Program Director**

Welcome to the Ph.D. Program of the School of Social Welfare at The University of Kansas (KUSSW). This handbook is written for both students and faculty: it outlines how the program works, from admission to dissertation defense. It offers answers to many questions that arise as students progress through the program requirements.

We are pleased that you, the student, have chosen our program over the many other quality PhD programs in the country. You can expect to be intellectually challenged in new ways, and your thinking, writing, and research skills will improve as a result. With your PhD in Social Work, you will be primed to contribute to the knowledge base of the profession and to educate future social workers.

We are very proud of our PhD Program, which began in 1981. Most students in the past few years have taken 4-6 years to complete the degree. However, the program is structured so that students who make this their full time commitment can finish in about 3.5-4 years of intensive work. University of Kansas Graduate Studies sets a limit of 8 years unless an exception is granted.

The faculty and staff of the KUSSW PhD Program are committed to your success. There are numerous supports in place, from faculty who take extra time, to peer mentors, to KU Writing Center staff. Do not hesitate to ask for help from administrators, staff, and other students. Former and continuing students, faculty and staff have provided some ideas about **what it takes to be successful in the program**:

- Get to know as many faculty, staff and continuing students as you can.
- Foster relations with fellow students that are collegial, respectful, and mutually supportive.
- Be sure that you are immersed in the life and work of the School, which means that during your residency year and other times you spend as much time on campus as possible and that you always keep in regular touch with the program.
- Doctoral work should be your primary professional commitment throughout your time in the program.
- Get caught up in the excitement of learning and in the process of developing new knowledge and new perspectives.
- Keep in touch with the Program Director.
- Be familiar with all the requirements, policies, and petition procedures in this Handbook and the Graduate Studies catalogue.
- Use your Academic Advisor to your advantage by discussing your learning, any problems you may be having (and do this before they “fester”), your plans and your visions about your scholarly goals.
- Use opportunities for mentoring from instructors, advisers, qualifying and dissertation committee members, supervisors of assistanstships and other faculty.
- Realize that everyone stumbles a little at some time during the program and be gentle with yourself.
- Remember you are an adult learner.
- Don't forget why you are pursuing doctoral education.
- Don't forget to have fun and keep a balanced personal and family life.

Our students, thanks to faculty support as well as students’ own talents, are very productive, including publishing in peer reviewed journals. **In calendar year 2016, 12 different doctoral students produced 37 peer reviewed articles, with 13 different faculty serving as co-authors. In addition there were 30 National and 4 International conference presentations.**

Most of our students work as Graduate research Assistants (GRAs) and Graduate Teaching Assistants (GTAs) during their tenure here. By the time our students graduate, they have very impressive resumes. Most of our graduates have taken academic and/or research positions. Some are in leadership positions of public, non-profit, or for-profit agencies.

Again, welcome. We hope that you find this handbook helpful, and that your time spent here is challenging and rewarding.

2) **Graduate Studies Policies and Procedures**

The Ph.D. degree in social work is granted by Graduate Studies of The University of Kansas. **Doctoral students and faculty must be familiar with policies and procedures of Graduate Studies.** These are available online from the KU Graduate Studies Website ([http://graduate.ku.edu/](http://graduate.ku.edu/)). This Social Work Program Handbook incorporates some of this information; however, additional information and changes to Graduate Studies policies and procedures must be obtained from Graduate Studies sources.

**NOTE:** It is the student's responsibility to become thoroughly acquainted with all requirements for the degree, both the general requirements (of Graduate Studies) and those that are specific to our School of Social Welfare.

3) **Handbook Use and Revisions**

This publication is for informational purposes only and does not constitute a contract.

This Summer 2017 edition of the Handbook includes some important revisions from the 2011 edition. **It is essential that doctoral students and faculty involved with the doctoral program are familiar with the content.**

If corrections or updating occur, the Doctoral Program Office will supply announcements via email, and changes will be made to the electronic version of the Handbook that is posted on the School Website. The electronic version is the OFFICIAL version—print copies may be outdated and are NOT official.
4) **Communication with the Doctoral Program Office**

All doctoral students are required to provide the Doctoral Program Office with current and accurate contact information, including telephone and fax numbers, mailing address, and email address. In particular, all doctoral students must arrange to have their email address included on the automatic distribution list maintained by the KU Computing Services. Students are responsible to maintain regular contact with the Doctoral Office, the Program Director, and their Academic Advisor.

The mailing address for the Doctoral Office (and faculty) is:
Doctoral Program Office (or faculty person's name)
The University of Kansas
School of Social Welfare
1545 Lilac Lane
Lawrence, Kansas 66045-3129 USA

5) **Campus and Lawrence Resources for Graduate Students**

KU has numerous resources and supports, which can be found at www.graduate.ku.edu/resources.

See especially information on: Academic Achievement, Graduate, International, University Registrar, KU Libraries, Computing Resources, Day Care, Health and Safety, Living in Lawrence (including city resources, cultural/artistic events, student housing), KU Student Services, and Transportation.

6) **Student Rights and Responsibilities as Established by the University and Graduate Studies**

The *Code of Student Rights and Responsibilities* describes exactly what its title implies—protected rights of each and every student and responsibilities or expectations for student conduct. As such, it forms a significant part of the rules that govern the campus community. Included are rights to free speech, expression, assembly, pursuit of educational goals, privacy, and due process. It outlines how student and campus organizations may operate. The *Code* also describes non-academic misconduct such as threats and violence against persons, theft, vandalism, hazing, carrying firearms, falsely reporting bomb threats, forgery, fake IDs, disrupting University classes and events, and hearings when violations occur. The complete text of the *Code of Student Rights and Responsibilities* as well as standards for academic integrity can be found in the KU Student Handbook on the KU Human Resources Website.

7) **Student Petitions and Grievance Procedure**

a) **Petitions**

Students have the right to petition the Program Director and/or the Ph.D. Program Curriculum Committee for exceptions to any policies and procedures of the program. However, exceptions will only be made in unusually compelling circumstances, based on strong rationale and supporting evidence. In all cases, our academic and ethical standards will be maintained. Petitions that require a Ph.D.
Program Curriculum Committee decision are reviewed confidentially by faculty members of that committee.

b) **Grievance Procedure**

Students who have a grievance concerning their treatment in any aspect of the program should explore solutions, whenever possible, directly with the party concerned. If the student does not feel as if they can approach the party directly, the student can seek advice and assistance from their Academic Advisor and/or the Program Director, as needed. When these attempts fail, the student may consider the School of Social Welfare’s grievance procedure. Contact the program director for information and advice.

In cases in which the student feels a need to go outside the School of Social Welfare for consultation regarding a grievance, she or he may contact the Ombuds Office via [www.ombuds.ku.edu](http://www.ombuds.ku.edu).

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**B. PROGRAM MISSION AND OVERVIEW**

1) **Mission and Strengths of the Program**

The University of Kansas School of Social Welfare, rooted in the Strengths Perspective, aims to transform lives and social contexts and promote social, economic, and environmental justice in Kansas, the nation and the world. We do so by educating students to practice with integrity and competence; advancing the science and knowledge base of social work through scholarship and research; and participating in community-engaged service.

Six key values and guiding principles guide the school in fulfilling its mission:

1. **Relationship Building:** We engage in relationship building that fosters creativity, collaboration, and mutual learning. Relationship building is essential across practice, scholarship, education and service. We take a strengths approach as we serve our local, state, national, and global communities.

2. **Diversity, Equity and Inclusion:** We embrace the inherent worth of all people. By taking the position of cultural humility and applying the lens of intersectionality, we seek to develop and promote modes of anti-oppressive social work and dismantle structures of exclusion.

3. **Practice with Integrity:** We demonstrate our integrity and trustworthiness as scholars, educators, practitioners, and community members by promoting social work values, ethical practice, and the process of critical reflection.

4. **Multisystem Competency:** We recognize that social, economic, and environmental injustices are the root causes of inequities and multiple strategies are necessary to address these. Our work integrates micro/macro social work and builds collaboration across systems and disciplines to create multi-level change.
5. **Critical Perspective:** We engage in deliberate and continuing examination of social conditions and solutions. We use critical inquiry to analyze and challenge existing structures and systems in order to advance the field and promote social, economic, and environmental justice.

6. **Empirically Informed Social Work:** We rigorously advance empirical research that impacts the social work knowledge base. By translating and applying evidence, we continually transform practice and policy across multiple systems.

The program’s strengths include its distinctive mission and themes as described above; the good fit between faculty qualifications and the themes and curriculum structure of the doctoral program; the extensive amount of research projects conducted by faculty and their mentoring of doctoral students as research assistants; the numerous opportunities for doctoral students to gain experience in teaching with faculty supervision; a curriculum design that allows students to determine their own areas of specialization in terms of both research methods and fields of scholarly inquiry; and the extensive investment of faculty in mentoring and supporting students.

2) **Required Curriculum**

The required curriculum consists of 9 core courses taken within the School of Social Welfare, and at least 3 elective courses (one of which must be an advanced research skills course) taken either within our school and/or from other KU departments. Electives help students further hone their research skills and knowledge according to their chosen area of specialization. Coursework can be completed in two years of full time study.

Beyond coursework, students complete a Qualifying Paper, an Oral Comprehensive Exam (i.e., dissertation proposal defense), and a dissertation under the guidance of a faculty committee. These will be explained in this Handbook in Section II.

3) **Areas of Specialization or Emphasis**

Students may develop any specialization or emphasis of research methods and topics for inquiry as relevant to the field’s professional mission and values. We are especially interested in work that challenges and extends conventional thinking and knowledge.

C. **APPLICATION, ADMISSION, AND CANDIDACY**

1) **Application, Admission, and Candidacy**

A student seeking admission to the doctoral program submits an application to Graduate Studies following the instructions provided on-line via the School of Social Welfare’s Ph.D. website. The Admissions Committee, which meets soon after the January 15 application deadline, is composed of the faculty members of the PhD committee. Upon admission, the student is known as an aspirant for the degree and remains so designated until successful completion of the Oral Comprehensive Examination. After passing that exam the student is designated as a candidate for the degree.
NOTE FOR INTERNATIONAL APPLICANTS:

As explained in the full application materials, international applicants must comply with visa requirements and requirements of the International Student Services and Applied English Center.

Be sure to coordinate your application with policies and procedures of the Applied English Center and the Office for International Students.
Schedule for Admission to the Ph.D. Program

- Admission to the program begins in the Fall Semester (August).
- January 15 is typically the deadline for receiving applications for admission in the following Fall Semester. The Admissions Committee meets soon after this deadline and applicants are informed about decisions in February.
- Applications received between January 15 and May 1 will be reviewed on a “space available” basis only.

2) Transfer Credit

According to Graduate Studies policy, credits may not be transferred to a KU doctoral program from another institution or from a prior graduate degree from KU.

- In exceptional cases in which the applicant has already completed doctoral level coursework at another institution, the applicant may plan to petition after acceptance for a waiver of credits required for completion of the social work Ph.D. degree at KU. Admission to our doctoral program does not guarantee that such a request will be granted.

3) Non-Degree Seeking Status

Persons may apply to Graduate Studies to take KU courses as a non-degree seeking student. Such courses do not count toward Doctoral Program requirements. If former non-degree seeking students are admitted to the Doctoral Program, they may petition the Ph.D. Program Curriculum Committee to request counting non-degree KU courses for doctoral credit. There is no guarantee that the request will be granted. Contact the Program Director and see the Graduate Studies Handbook for information.

D. PROGRAM TIME CONSTRAINTS

NOTE: See the Graduate Studies Website for further information.

1) Minimum Tenure and Residence Requirement

The student must spend two semesters in doctoral resident study at this university. These two semesters need not be consecutive and may include one summer session. During this period, the student must be involved full time in academic pursuits, which may include a teaching or research appointment in this university. Typically, the residence requirement is satisfied by taking six credit hours of coursework and engaging in research or teaching assistantship activities each of the required semesters. It is also satisfied by enrollment in 9 credit hours of coursework in each of two semesters with no assistantship.
2) **Full-Time/Half Time/Part-Time Status**

Some scholarships, fellowships, and other financial aid require certification of enrollment status. Students are responsible to review all Graduate Studies policies and financial aid certification requirements. *International Students* should also meet the requirements of their visa status. They must consult with the Office for International Students in order to determine these requirements.

3) **Maximum Tenure and Satisfactory Progress in the Program**

Once admitted, by Graduate Studies policy, a doctoral student must complete all requirements for the degree within eight years. In cases in which compelling reasons recommend an extension of the normal eight-year limit, the student may petition the PhD Curriculum Committee who may recommend that Graduate Studies grant an extension.

Unless students petition the Ph.D. Program Committee for such an extension prior to the limit, they will be automatically dismissed from the program, regardless of the their progress or the status of their doctoral work.

In addition, the KUSSW highly encourages students to complete their degree within 5 years of admission. Should students not complete the program within 5 years, the PhD committee will conduct a formal review of student progress during or after 5 year.

Petitions for extensions in the program are considered very carefully and stringently by the Program Director and Doctoral Committee. Extensions are not granted routinely. Requests for repeated extensions are given even closer scrutiny and are granted only in exceptional cases.

4) **Leave of Absence**

Graduate Studies and the Doctoral Program discourage extended leaves of absence. A student may petition the Program Director for a leave of absence to pursue full-time professional activities related to the student’s doctoral program and long-range professional goals. A leave of absence may also be granted because of illness or other emergency. A leave of absence may be granted for up to one year, with the possibility of an extension upon request. After an absence of five years, however, a doctoral aspirant or candidate automatically loses status as such and, in order to continue, must apply for readmission to the program. Leave of absence is granted by a letter from the Program Director, given to the student and placed in their file.

Leaves of absence are not granted merely for pursuit of employment or vacation. Students on leave of absence are not eligible for Graduate Research or Teaching Assistantships or financial aid. Time during a leave of absence is not counted toward maximum tenure within the program.
E. ADMINISTRATION OF PROGRAM

1) Graduate Studies of KU

The Ph.D. degree in Social Work is granted by Graduate Studies of The University of Kansas. Most policies and procedures of our Doctoral Program are determined internally. However, our Doctoral Program is governed by Graduate Studies. Graduate Studies policies and procedures supersede those of our program if there are any discrepancies. Also, Graduate Studies has policies and procedures that are not covered in this handbook. Doctoral students and faculty must be familiar with these.

2) Program Director and PhD Program Committee

PROGRAM DIRECTOR

The PhD Program Director has primary administrative responsibility. The PhD director is appointed by and serves at the pleasure of the Dean, and coordinates with the School’s Associate Dean for Academics and Associate Dean for Research, as well as the Dean of KU Graduate Studies. The Director’s administrative performance is reviewed by the Dean every year. Although there is no regular limit on the Director’s term, the Doctoral Program Committee recommends that the Director serve between three and five years. Ideally, the last year of service can include transition and orientation for an incoming Director.

PH.D PROGRAM CURRICULUM COMMITTEE

This committee addresses questions of curriculum, procedure and policy, and acts on student petitions. In cases requiring major curriculum changes, all faculty vote on such matters after the changes have been approved by the Doctoral Committee. Elected student members have voting rights on all but confidential personnel matters, student petitions and admissions decisions.

The Director of the Ph.D. Program serves as the chair of the Ph.D. Program Curriculum Committee. The membership of the committee consists of 6 faculty members and 3 students. The six faculty members of the Ph.D. Program Curriculum Committee include the Ph.D. Program Director, 3 faculty elected for 2 year terms by the faculty as a whole, and 2 faculty appointed by the Dean in consultation with the Program Director. Faculty may serve consecutive terms.

The three elected student members of the Ph.D. Program Curriculum Committee include one enrolled representative from each of the following three cohorts: the entering class; students who have completed their first two semesters but have not yet finished coursework; students who have completed all coursework. Student representatives’ terms are for one year and may be consecutive.

Elected student members may vote on any issues other than student petitions, admissions decisions, and other confidential personnel matters. Elected student members represent their cohort’s views and interests, as well as their own. They may request items to be added to meeting agendas. Elected student members as well as other
students who choose to attend may contribute to committee discussions. The student member of the Curriculum Committee with most seniority is invited to attend the School Business Meetings as a doctoral student representative.

3) **Admissions Committee**

The Admissions Committee is composed of the 6 faculty members of the PhD Program Curriculum Committee. It meets soon after the January 15 deadline, ranks the applicants, and makes admission recommendations pending consultation with Dean and Associate Deans regarding available financial support. Graduate Studies offers admission based on recommendation from our Admissions Committee.

4) **Doctoral Student Organization**

The Social Work Doctoral Student Organization is a formal organization within the Doctoral Program. It provides forums for student discussions and invited presentations pertinent to any student interests and also may voice their concerns and suggestions and recommend topics for discussion to the student representatives on the Doctoral Committee, the Program Director, Dean, and others. The student members of the PhD Program Curriculum Committee will be responsible for continuing it year to year.

5) **Advisement, Educational Planning and Enrollment**

The primary purpose of the advising system is to provide advice, support, mentoring, and evaluation for students by faculty. The Doctoral Program Office also keeps a database for tracking student progress to help students and faculty to evaluate and guide students’ educational planning and progress.

a) **Types of Advisors**

There are two types of advisors: Enrollment Advisor and Academic Advisor.

1. The Enrollment Advisor helps the student to schedule classes, assures compliance with school and university regulations for scheduling, and gives enrollment permission. The Enrollment Advisor is the Director of the Doctoral Program for all students throughout their entire program of study.

2. The Academic Advisor provides advice, support, evaluation, and monitoring for the student. The Academic Advisor is responsible for notifying the Program Director whenever serious academic difficulty is identified for an advisee, so that appropriate supports and responses can be devised. The Program Director serves as Academic Advisor to incoming students, until they form a Qualifying Paper Committee or request an academic advisor after the first year.

   a. Once a student has formed a Qualifying Papers Committee, the chair of that committee serves in the capacity of Academic Advisor. Once a student has formed a Doctoral Dissertation Committee, the chair of that committee serves in the capacity of
b) Types of Mentors

There are two types of mentors: GRA Supervisor and Assigned Faculty Mentor.

For newly admitted students, a faculty mentor will be assigned to augment the mentoring students receive at the beginning of their program and to distinguish their GRA commitments from the mentoring needed to address their educational goals and future career plans. This mentoring can include, but is not limited to, assisting students in transitioning from being a practitioner to scholar, exploring a substantive area of interest and identifying potential research questions relevant to their area, discussing possible career plans (e.g., tenure track positions at different kinds of institutions), and facilitating connections to other faculty within the school, in other units on campus, and in the broader field. This mentoring will relieve a GRA supervisor from having to attend to all of a student’s mentoring needs and allow the student to focus on the tasks related to the PI’s project. This, however, does not mean that a GRA supervisor cannot attend to mentoring needs outside of their project, but rather helps to distinguish a student’s GRA responsibilities from other aspects of their educational development.

An assigned mentor will assist all students in developing relationships with faculty, but will be especially meaningful for students whose GRA appointments are not with faculty within the school.

Mentors will be assigned based on substantive fit and will be selected by the PhD Program Director in consultation with the Dean and the faculty member. The assigned mentor and student will develop a plan for meeting student’s mentoring needs.

Should the faculty-student match not be successful, the student may request a new mentor, without any consequence, from the PhD Program Director. The success of the match will be reviewed during enrollment advising sessions each semester.

c) Enrollment Procedure in Relation to Academic and Enrollment Advisors

Enrollment is completed online, and is the responsibility of the student. The Doctoral Program Office is not responsible for completing students’ enrollment procedures. Enroll & Pay “How To’s” tutorials may be found at: http://sis.ku.edu/enrollpay-student

Before enrolling, the student must consult with the Academic Advisor and Enrollment Advisor to confirm that the enrollment plan is consistent with university and doctoral program policies and procedures and that it supports the student’s academic goals.

d) Progress Toward Degree
Unless the student is approved for a Leave of Absence (LOA) as described above, the student should be continuously enrolled in courses or research hours or dissertation hours. Summer enrollment is not required if and when the student is still taking coursework and is not employed as a Graduate Research Assistant. Students who are not continuously enrolled may be discontinued from the doctoral program pending Program Director or Doctoral Committee review. Students who do not plan to enroll for a regular semester must apply for a leave of absence as explained above in section "D. Program Time Constraints."

Students who are Graduate Research Assistants during the summer must maintain at least one credit hour of enrollment to reflect the educational feature of the GRA. This can be fulfilled by a special one credit hour SW 99B Readings and Investigation (R&I) course) or enrollment in some other course at one or more credit hours as needed.

“Continuous enrollment” for post-comprehensive doctoral students (students who have passed their dissertation proposal defense): these students will be required to enroll in fall and spring semesters but not necessarily during the summer. (Doctoral students should consult with their advisors to determine whether any other policies require them to enroll during the summer. For example, students must be enrolled to hold a GRA position and there are other reasons to enroll in the summer as well.)

d) Annual Evaluation of Student's Progress

The annual evaluation of the student's progress, conducted by the Program Director, serves two basic purposes: 1) ensure accuracy of each student file (courses completed, grades received, Qualifying Papers passed, etc.), 2) identify academic problems and develop strategies with the student and Academic Advisor to resolve difficulties if necessary.

Students may track their progress on the Advising tab of MyKU, and they may use Appendix I as another option.

6) Academic Good Standing and Dismissal

The KUSSW requires that a student must maintain a 3.0 cumulative grade point average (GPA) in the 9 (27 hours) required KUSSW core courses. In addition, KU Graduate Studies requires a 3.0 overall GPA.

If the GPA falls below that standard, the student is placed on probation for the following semester. The student is notified in writing that the GPA must improve to at least the 3.0 minimum by the conclusion of the probationary semester or the student faces possible dismissal from the program.

Working closely with the Academic Advisor and the Program Director, as well as appropriate faculty, a student should develop a plan to return to “academic good standing” within the time limit. If this is not achieved, the student is dismissed from the program, unless the Doctoral Program Committee, in response to a petition by the
student, determines that the student may continue for an additional semester to achieve the plan.

Dismissal from the Program is made by the Dean, upon recommendation of the Program Director. Grounds for dismissal include failure to maintain the minimum GPA requirement, failure of the Qualifying Paper process, failure of the Oral Comprehensive Exam or Final Dissertation Defense, failure to maintain continuous enrollment, failure to adhere to the profession’s Code of Ethics, or engaging in any conduct which does not comply with School of Social Welfare, Graduate Studies, and University standards, policies and procedures.

7) Doctoral Faculty Roles and Eligibility Requirements

a) Graduate Faculty Status

According to Graduate Studies policy, all faculty hired in tenure track positions are automatically designated members of the graduate faculty. In the School of Social Welfare, all graduate faculty persons with a doctoral degree may teach, advise, serve on committees, and perform other functions in the doctoral program as long as they also meet other eligibility requirements that pertain to a specific role.

Qualified scholars who are not KU graduate faculty may apply to Graduate Studies via the Social Work Doctoral Program Office for special permission to teach or serve on Comprehensive Exam and Dissertation Committees. This includes retired former KU faculty or faculty from outside universities. In order to appoint a non-graduate KU faculty to a student committee, the student must submit the faculty member's CV along with a brief description of the purpose and need for this person to serve to the Program Director. The Program Director then submits a request to Graduate Studies for approval. Students seeking this option must plan in advance as the approval process can create delays.

b) Membership in and Chair of the Qualifying Paper Committee and Dissertation Committee

All graduate faculty at the KUSSW are eligible to be members of Qualifying paper and Dissertation Committees. All graduate faculty may chair Qualifying Paper Committees, but to be eligible to chair a Dissertation Committee, the faculty member must demonstrate continuing activity commensurate with being an established scholar in his or her field and involvement in the graduate education program as evidenced by graduate advising, teaching, and thesis and dissertation committee membership. Faculty who wish to seek dissertation chair status must apply to Graduate Studies via our Program Director.
c) Teaching in the Doctoral Program

Faculty are assigned to teach in the PhD Program by the Associate Dean for Academic Programs, in consultation with the PhD Program Director and PhD Committee.

General recommendations of PhD Committee regarding eligibility criteria for doctoral teaching: (1) graduate faculty status; (2) experience teaching content relevant to the particular course; (3) record of scholarly publications related to the course to be taught within the past five years; (4) average C&I evaluation scores in overall teaching effectiveness across all courses at or above the school mean for the past three years; and (5) familiarity with the content and teaching methods of the particular course, including discussion with the current instructor and participation in class sessions if requested.

The PhD committee also recommends that 5 years be the "standard" expectation for any one course, contingent on satisfactory performance, in order to provide wide opportunity for faculty to teach at the PhD level. The Committee also recommends that no faculty teach more than one PhD course per year, and that the Program Director teach one course per year to maintain familiarity with the program and the students.

NOTE TO STUDENTS: Doctoral Faculty are on nine month contracts with regard to curriculum activities. If you wish to work with faculty during the summer or their sabbatical leaves, please clarify their availability ahead of time. If a faculty person with whom you work plans to enter phased or full retirement, be sure to plan accordingly.
SECTION II

Components of the Curriculum
A. PURPOSE AND EXPECTATIONS

Coursework, the Qualifying Paper, the Oral Comprehensive Exam (Dissertation Proposal Defense), and the Dissertation prepare students to become knowledgeable about relevant concepts, methods, traditions, and intellectual skills necessary for a successful career as a scholar and steward of the discipline in social work. For students admitted in the Fall of 2015 or later, the required curriculum consists of 9 core courses taken within the School of Social Welfare, and 3 elective courses (one of which must be an advanced research skills course) taken either within the school and/or from other KU departments. (Prior to Fall, 2015, the required curriculum consisted of 8 core courses and 4 electives, as outlined in the previous, 2011 Handbook). Electives help students further hone their research skills and knowledge according to their chosen area of specialization. Coursework can be completed in two years of full time study.

Beyond required and elective coursework, students complete a Qualifying Paper, an Oral Comprehensive Exam (i.e., dissertation proposal defense), and a dissertation under the guidance of faculty committees.

First-year students are also required to attend a seminar held each week during the fall semester that orients students to the program and assists them in making a successful transition from practitioner to scholar. Sessions are led by the Program Director and include presentations from a wide range of faculty. Topics cover: Transitioning from practitioner to scholar; Developing research questions relevant for social work practice and policy; Understanding the publication process; Developing academic writing skills; Getting the most out of faculty mentorship; Developing an academic CV; Applying theory in qualitative and quantitative research; Conducting interdisciplinary research; and Infusing social justice into research.

B. FLOW OF THE CURRICULUM DESIGN

1) Curriculum Design

The curriculum is designed to provide standard core content for all students and also to give flexibility for students to develop particular expertise in chosen areas of inquiry and research methods. Required social work doctoral courses provide a common base of knowledge and skills. Electives, the Qualifying Paper, the oral comprehensive exam, and the dissertation allow greater focus and specialization. The cumulative effect of coursework and the Qualifying Paper should be to create a clear area of specialization or emphasis. The dissertation involves detailed scholarly investigation within this area. Students are not required to use the same or similar topic and methodology developed in the Qualifying Paper for the dissertation. However, doing so is the most efficient way to proceed through the program.

It is realistic to expect that the PhD Program can be completed in 4 years. Incoming students with GRA or GTA appointments of 50% or more may take a maximum of two courses (SW 978 and SW 980) in the first semester, and are highly encouraged to take only two core courses (SW 979 and SW 981) in the second, spring semester. Students
must plan carefully with their enrollment advisor, because core courses are offered only once per year. The following chart depicts the recommended schedule for completion of the program.

**Recommended completion schedule for all students with GRA or GTA appointments of 50% or more, which is Full Time for KU purposes.**

### YEAR 1

<table>
<thead>
<tr>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
</tr>
</thead>
</table>
| • SW 978 (mandatory) Research Design and Methods  
• SW 980 History and Philosophy of Social Work | • SW 981 Advanced Quantitative Research Methods  
• SW 979 Methods of Qualitative inquiry | • Elective (3 hours) |

### YEAR 2

<table>
<thead>
<tr>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
</tr>
</thead>
</table>
| • SW 983 Advanced Quantitative Research methods II  
• SW 982 Social Welfare Policy  
• SW 987 Teaching Social Work: Philosophy and Methods | • SW 985 Theory for Research  
• SW984 Social Work Practice: identifying and Improving Best Practices  
• Elective (3 hours) | • Begin work on Qualifying Paper (QP)  
• Elective (3 hours) |

### YEAR 3

<table>
<thead>
<tr>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
</tr>
</thead>
</table>
| • Submit QP for grading  
• Form Dissertation Committee  
• Enroll in Research Hours as needed | Defend Dissertation Proposal (Oral Comprehensive Exam) | Begin or continue Dissertation, and complete in spring or summer of Year 4. |

**NOTE:** Variations in the above recommended schedule can be made with approval of the Program Director. For example, due to employment or other obligations, some students take as few as one course in some semesters. These students need to assess their plan to graduation carefully. Other students may have less than 50% GRA or GTA appointments, and could take 3 courses in the first year, with approval.
2) **Tips for Efficient Progress**

Sometimes students ask how one can finish the program most quickly. So here are some tips for completing the program most efficiently and quickly, for those who wish to do so.

- Throughout all phases of the doctoral program, **keep doctoral study as your full time work** (meaning 40 hours per week, not just “full time enrolled student”) and primary commitment.
- If you engage in Teaching or Research Assistantships or other forms of employment, make sure that your total workload in all activities is realistic and that doctoral education does not suffer. Assistantships should enhance your educational experience.
- **Pay attention to your well-being** in personal life and find ways for the doctoral program to enhance your personal growth and satisfaction.
- Use the Qualifying Paper to **develop a dissertation idea**.
- Continue to utilize some members of the Qualifying Paper Committee on the Oral Comprehensive Exam Committees when forming the **Dissertation Committee**.
- Choose a dissertation topic that is focused and do-able, not your life’s work. Complete the **Dissertation Proposal** and defend it as soon as possible after the Qualifying Paper is completed.
- **Keep the dissertation study plan focused** on a well-developed and realistic timeline. Consider a written dissertation contract with your dissertation chair to help you stay focused.
- Throughout the dissertation process, make this your **full time** work and primary commitment.
- Think about how your doctoral study can **contribute to your long-term scholarly career** and personal life.

C. **REQUIRED CORE COURSES**

The nine core social work courses (see course descriptions below) are designed to **prepare students** to become leaders nationally and internationally in advancing social work practice and policy through research, teaching, and scholarship. To help prepare students for the first two quantitative research courses (SW 981 and SW 983), incoming students are required to complete a statistics assessment prior to or at the beginning of entering SW 981.

**SW978: Research Design and Methods**

This class is an in-depth introduction to the process of conducting research in an ethical and organized manner. This introduction provides the essential context for the qualitative, quantitative, and mixed methods research courses.

**SW 979: Methods of Qualitative Inquiry**

This course provides a detailed overview of knowledge and skills in qualitative inquiry. It examines issues in the philosophy of science and paradigms for qualitative inquiry in social work. It emphasizes principles and procedures for qualitative inquiry design,
including an introduction to data collection, analysis, report writing, while attending to criteria for establishing trustworthiness.

**SW 980: History and Philosophy of Social Work**

This course is designed to provide students with opportunities to examine the underlying conceptual frameworks of social work practice— their history and present manifestations. This course rests on the definition of social work practice that includes the interaction of knowledge, value, and skill around professional purpose and in the context of professional sanction.

**SW 981: Advanced Quantitative Research Methods I**

This course, which includes a lab, focuses on quantitative research methodology and related inferential statistics, emphasizing mastery of specific methodological and statistical knowledge and skills. The course will address the following topics: the framing of research questions; the selection of appropriate research methods and designs; the selection of appropriate statistics for data analysis; the principles of analysis; interpretation of findings; and the presentation of results.

**SW 982: Social Welfare Policy**

This seminar helps doctoral students learn to analyze social welfare policies and programs. After comparing and contrasting various policy analysis frameworks, students learn to analyze the ways in which social conditions, values, and ideologies shape the definitions of social problems as well as the development, implementation, and evaluation of social welfare policies that impact those problems.

**SW983: Advanced Research Methods II**

The purpose of this advanced research methods course is to help equip professionals to design and carry out research with direct implications for social work practice and social welfare policy. Building on the experience in SW 978 and SW 981, this course will focus on more advanced topics in research design and both experimental and correlational statistical analyses.

**SW 984: Social Work Practice: Identifying and Improving “Best Practices”**

The main focus of this seminar is on developing skills for conducting multi-dimensional, value critical inquiry about “best practices” relevant to social work practice, and applying the results of that inquiry toward extending and improving current “best practices”.

**SW 985: Theory for Research**

This course provides an introduction to interdisciplinary theory for applied social research, focusing on: (1) the roles and uses of theory in social inquiry (2) theory building and theory testing (3) induction and deduction (4) the articulation of common or related theoretical traditions in various social science disciplines.
SW 987: Teaching Social Work: Philosophy and Methods

The purpose of the course is to prepare doctoral students for effective teaching of Social Work courses at all levels of higher education. Doctoral students need practical skills, a theoretical base, experience, and confidence in order to improve their teaching performance.

D. ELECTIVES

General Requirements

Students must take at least three elective courses (9 hours). If a student does not choose the Foreign Language Skill option, at least one of these electives will be a Research Skills course, as explained below. Of the two remaining electives, at least one must be a regular course (not a Readings and Investigations course).

Electives may take several forms and have a variety of goals: to deepen study in an area which is likely to lead to the Qualifying Papers and/or dissertation topic; to explore areas of interest and research methods related to dissertation possibilities or other career interests; to experience the perspectives of other disciplines on issues of concern to the student; and/or to help integrate content from previous required courses. Electives should help shape the special area of expertise of the student. The student should discuss selection of electives with the Enrollment and Academic Advisors prior to enrollment.

We encourage students to take at least two courses outside the School to examine other disciplines’ and professions’ perspectives and research methods in areas of student interest. It can also be beneficial to take more than 3 electives, in order to increase research methodological skills and specialization area knowledge.

Research Skill or Foreign Language Options

Before completing the Oral Comprehensive Examination for the Ph.D., the student consults with the Academic Advisor and must satisfy one of the following options:

Option 1: Research Skills Elective

Students in this option must take at least one research skills elective (3 hours credit) as part of the 9 elective hours required. In consultation with the student's Academic Advisor, students develop competency in one area of research skill relevant to social work research. A student may choose from a variety of approved options, including but not limited to advanced statistics, computer language, historical method, ethnographic methods, psychometrics, advanced data management techniques, and content analysis. Approval is automatic if the course has been previously approved by the Program Director (See Appendix II).

Option 2: Research Related Second Language Competency

In consultation with the student's advisor, develop competency in one language other than English. A student must demonstrate reading, writing, or speaking knowledge of the chosen
language related to a specific area of social work research. If this option is chosen, the student’s Academic Advisor and the Doctoral Program Director must agree on the method of evaluation. These methods might include passing a Language Competency Exam administered at the university, completion of language courses, or documentation on transcripts of having completed university degrees in a non-English language based institution. Once the requirement is satisfied, the student is notified in writing by the Program Director.

**Readings & Investigations (SW 875)**

SW 875 Readings and Investigations, if taken under the tutelage of a member of the Graduate Faculty, meets the program requirement for elective hours. The course topic must meet the required outline criteria in Appendix III and the following conditions:

- Advances the student’s knowledge of a substantive area related to developing Qualifying Papers, dissertation study, and/or research competency for dissertation study.
- Advances a significant student career/intellectual interest.
- Does not duplicate the content of a graduate level course offered in the School.

A paper generated from an R&I may help the student move forward on preparing for Qualifying Papers or a dissertation proposal. However, it is not a replacement for them.

All R&I SW 875 proposals must be submitted to the Program Director for final approval after (1) preliminary discussion between the student, Academic Advisor, and instructor; (2) completion of the written proposal; and (3) approval by the instructor of the proposal in its final form, as indicated by signature on the proposal.

The Program Director must approve the completed proposal prior to the student’s enrollment in the course. If approved, the Program Director will sign a copy of the proposal provided by the student and return it to the student. Student must make copies of signed approved proposal and distribute to instructor, Academic Advisor, and Doctoral Program Office (for filing).

**Special Summer Readings and Investigations (SW 998) for GRA Enrollment**

The University requires doctoral students who have a Graduate Research Assistant appointment in the summer to be enrolled in at least 1 credit hour. This credit hour reflects the educational function of a GRA experience as well as faculty involvement in supervision. For SW 998, it is not necessary to follow the procedures for a regular R&I (i.e. SW 875).

The student only needs to enroll in 1 credit hour of SW 998. The course instructor should be listed as the faculty Principal Investigator. (If the PI is not a faculty member, then the Associate Dean for Research, Tom McDonald, is listed.) This course is graded as satisfactory or unsatisfactory. This credit hour does not count toward fulfilling the requirement for 12 hours of electives.
Graduate Studies Writing Courses. KU Graduate Studies may offer writing classes for graduate students, including dissertation seminars.

Electives Offered Within the KUSSW. The following course has been approved as an elective within the school. It may not be offered every year, so students must consult the Program Director for latest schedule. SW 988 counts as meeting the Research Skills requirement.

**SW 988: Mixing Methods in Social Science Research**

The purpose of this course is to provide an overview of mixed methods research, consisting of the history and philosophy of mixed methods research, the emerging literature on it, purposes and characteristics of mixed methods research, types of research problems addressed, the specification of mixed methods purpose statements and research questions, types of major mixed methods designs, data collection and analysis strategies, and reporting and evaluating results.

Study Abroad Courses for Social Workers SW 955

The KU School of Social Welfare occasionally offers courses in cooperation with the Office for Study Abroad that introduce students to social work and social welfare issues in various countries as well as international perspectives on social work. For example, courses have been offered for study in Costa Rica, India, Italy, Ireland, and the Republic of Korea. Doctoral students may enroll in such courses for credit if they advance their scholarly goals for doctoral study. When such programs are announced, contact the instructors and the Office for Study Abroad for more information. Scholarships to support study abroad participation are often available through KUSSW. The Office of Study Aboard may have other resources they can offer to support these experiences. Students should check with the Program Director for KUSSW funds and with the Office of Study Aboard for other sources of support.

MSW Electives Within the School

MSW-level courses within the School, if approved by Program Director, may be taken as electives. Student must consult with Academic Advisor for advice and approval prior to discussing with Program Director. Such courses may be appropriate if they advance knowledge pertinent to the student's doctoral goals and if such knowledge is unavailable within doctoral social work courses. However, since MSW courses are generally less advanced in knowledge and research methods than doctoral level courses, they are not routinely approved.

Special Note on Summer Enrollment:

Please see the following policy for further information on full-time enrollment for graduate students: [http://policy.ku.edu/graduate-studies/fulltime-enrollment](http://policy.ku.edu/graduate-studies/fulltime-enrollment)

Full-time enrollment for summer semesters:

- Enrollment in 6 credit hours;
- Enrollment in 3 credit hours plus a GTA, GRA, or GA appointment, regardless of percentage of appointment;
- Enrollment in 3 credit hours for graduate students using the Montgomery GI Bill – Active Duty (MGIB-AD) and Post-9/11 GI Bill – Active Duty;
• Doctoral candidates enrolled in dissertation hour(s). See Doctoral Candidacy (post-comprehensive enrollment).

3/4-time enrollment for summer semesters:
- Enrollment in 4.5 credit hours;
- Enrollment in 2 credit hours plus a GRA appointment*, regardless of percentage of appointment.

Half-time enrollment for summer semesters:
- Enrollment in 3 credit hours;
- Enrollment in 1 credit hour plus a GRA appointment*, regardless of percentage of appointment;
- Enrollment in 1 credit hour for graduate students using the Montgomery GI Bill – Active Duty (MGIB-AD) and Post-9/11 GI Bill – Active Duty.

GRA APPOINTMENT ELIGIBILITY
http://policy.ku.edu/graduate-studies/GRA-appointment-eligibility
During the summer session, the GRA must be enrolled in coursework related to the student's graduate program. The number of hours must be determined by the student's advisor and must reflect as accurately as possible the student's demand on faculty time and University facilities. Generally, an enrollment of three credit hours is appropriate for the summer session.

E. THE QUALIFYING PAPER

After completing the 9 core courses, the student may begin the Qualifying Paper (QP). Students can begin working on the QP prior to completing all elective credit hours. The goal of the QP and the Oral Comprehensive Exam (Dissertation Proposal Defense) is to help students develop competency and in depth understanding in an area of scholarly interest. The QP may set the stage for the dissertation proposal, but it is not required that the two be directly connected. Examples of successful Qualifying Papers are available from the Doctoral Office.

Qualifying Paper Process

Content. The qualifying paper is a single paper that has three sections or components. First, the student is required to write a section exploring a substantive area of inquiry that is of interest to social welfare policy and/or social work practice. This could be related to a current issue, problem, population or field of practice relevant to social work. Next, the student provides a comprehensive literature review of theoretical and empirical literature relevant to this area of interest. The third section is a critique of the existing theoretical propositions and research related to the topic, pointing to gaps or limits in the literature that require further investigation. In other words, the final section develops directions for improved research or investigation in the substantive area, including clear researchable questions and the general methodological issues to be considered in addressing those questions. The paper is limited to no more than 50 pages, excluding references. See Appendix IV for specific information on the QP requirements.

Procedure. The qualifying paper may not begin until student has completed core course work, at which time students and their committee members agree to an outline of key content that is
to be covered in the paper. This outline and a timeline for completion are submitted to the doctoral office. (See Qualifying Paper Procedures and Submission Form, Appendix IV) While this work could begin at the completion of core course work, students are required to form a qualifying paper committee during the final semester of all course work. The committee is comprised of three faculty members from the School of Social Welfare and a member from outside the school in a related discipline. The outside member is identified by the committee in consultation with the student. One member from inside the school serves as committee chairperson. The outside member on the committee would ideally be someone from the larger university community with some expertise in this substantive area and/or the theoretical and empirical literature covered in this section of the qualifying exam.

**Satisfactory progress and evaluation of the exam.** Students are allowed six months, excluding summers, following the submission of a qualifying paper plan to complete the qualifying exam paper. (Requests for extensions are considered by the Program Director.) The student works with their QP committee members to complete the paper and could submit the document at any time during the school year. After the student submits the paper to the committee, the committee determines either that it is “Pass” or “Revise and Re-Submit”. If the student receives a “Revise and Re-submit” on the initial submission, the student must resubmit a revised paper no later than 3 months (excluding summers) after receiving this feedback, and may first meet with committee members to fully understand the needed revisions. The committee then assigns a grade of “Pass” or “Fail” or the revised paper. (See QP Grade Form, Appendix V).

After successful completion of the Qualifying Paper, the student and academic advisor/chair are required to complete the “Dissertation Proposal Planning” form and submit to the PhD Program Office within one month of completion of the Qualifying Paper. A copy of successful paper should be forwarded electronically to PhD Program Office. Students are strongly encouraged to add language to their final QP Paper: DO NOT COPY OR REPRODUCE WITHOUT PERMISSION OF THE AUTHOR.

**F. DOCTORAL DISSERTATION**

1) **Steps to the Dissertation and Dissertation Committee**

   a) **Eligibility**

   Having completed course work and the Qualifying Paper, the student is eligible to form a dissertation committee. It is probable that the candidate has, by this point, contacted faculty who are eligible to serve as members or chairs. A list of faculty approved for dissertation chair status is available from the PhD Program Office. In many cases, faculty persons who served on the Qualifying Papers Committee are likely choices. However, the dissertation committee must be formed separately and may have different members from the qualifying paper committee.

   b) **Dissertation Committee**

   The dissertation committee serves as the Oral Comprehensive Exam Committee
and the Final Dissertation Defense Committee. The dissertation committee must have at least 5 members, including a chair from our School, at least two other faculty from the School, and one or two members from outside the School. The committee could have either a) four members from the School (one of whom is Chair) and one outside member; or b) three members from the School (one of whom is Chair) and two from outside the School. One outside member serves as the Graduate Studies representative and may or may not be involved substantively. One member of the committee other than the Chair should be designated as methodologist. It is also possible to have one member from another institution if that person meets Graduate Studies criteria and has been approved through application to the Program Director and the Dean of Graduate Studies.

Committee members are typically selected because of their areas of expertise, because students believe that they can work successfully with these faculty members, and because candidates anticipate that these faculty will be responsible and responsive during the dissertation process. The student submits the list of members to the PhD director for approval. See Appendix VI for the Dissertation Proposal Planning Form that asks for each member to be identified.

Changes in the make-up of the four regular members of the Dissertation Committee can be made through petitioning the Doctoral Committee. The Graduate Studies representative (5th member) does not need to be the same for both the Proposal Defense and the Final Defense. If a change of membership for the 4 regular members is required, but timing does not allow petitioning the Doctoral Committee, then the Doctoral Program Director must approve the change.

NOTE: There are support groups, courses, and writing skills resources for students working on dissertations. See the KU Writing Center and KU Graduate Studies websites for information. Contact KU Counseling and Psychological Services at Watkins Health Center for stress counseling.

2) Dissertation Proposal Defense (Oral Comprehensive Examination)

a) Nature of the Proposal

The student meets with the Dissertation Chair and methodologist to develop a proposal for the dissertation. Other members may be consulted as needed. In order to facilitate timely completion, students and their advisors are required to use the Dissertation Proposal Planning Form (Appendix VI) and to submit it to the Doctoral Program office within one month of completing the Qualifying Paper.

When the proposal is ready, committee members should be given at least two weeks to review it prior to the oral defense. The student and Chair will set a date, time and place for the committee to meet. Students must notify the PhD Program Office of these arrangements and committee member names via email in advance. The purpose of this Oral Examination is to evaluate the student’s development of
expertise in an area of scholarly interest as reflected in the proposal for a dissertation research project.

A satisfactory proposal includes:

- Demonstration of thorough knowledge of the substantive area through a coherent and clear discussion of the relevant literature.
- Explicit connections to related theories, conceptual schemes and perspectives.
- Explicit connections of the study to the improvement of social work practice, methods and approaches and/or the development of relevant social welfare policies, theories and perspectives.
- Presentation of a design and methodology that are both sound and relevant to the questions being asked.
- Plan for completion of the study that is feasible within time and resource constraints, including the maximum tenure policy of Graduate Studies.

Typically, the proposal consists of three components: (1) statement of the topic/problem to be studied; (2) literature review; (3) research methodology. The candidate and Dissertation Chair must agree on precise expectations for the proposal prior to the student’s submitting it to the Dissertation Committee for review.

NOTE: Some faculty prefer that the proposal be very detailed, equivalent to three tentative chapters of a dissertation. Others prefer a briefer prospectus. The chairperson in consultation with the committee and student should determine the specific expectations. Regardless of length, the proposal must meet all the criteria above.

b) Grading of the Proposal Defense/Oral Comprehensive Examination

The purpose of the Oral Comprehensive Examination is to evaluate the student’s development of expertise in an area of scholarly interest as reflected in the proposal for a dissertation research project. After the student’s 30-40 minute presentation, the committee will ask questions and offer suggestions. The committee will determine privately whether the proposal is satisfactory or not at the Oral Comprehensive Examination and report such in writing to the Doctoral Office and Graduate Studies. A grade of satisfactory, or unsatisfactory is given. The grade is determined by a majority vote of the Oral Comprehensive Exam Committee (i.e., 3 of the 5 members). (See Appendix VII). It is helpful for the committee to communicate clearly any revisions that may be necessary to proceed with the dissertation.

Successful completion of this Oral Comprehensive Examination qualifies the student as a Doctoral Candidate. In the event of an unsatisfactory grade, the student is dismissed from the program, unless the student successfully petitions...
that the defense should be repeated. The examination may be taken again only if the PhD Program Curriculum Committee approves a written petition and rationale submitted by the student, including a letter with recommendations from the chair of the Dissertation Proposal Committee. Under no circumstances can the exam be taken more than two times. At least 90 days must have elapsed since the last unsuccessful attempt.

The Oral Exam Evaluation Form (Appendix VII) must be provided to the committee by the student, completed by the committee, and returned to the Doctoral Office immediately after the meeting. The student must also provide the Graduate Studies representative Form to the representative, normally 3 weeks prior to the examination. See the following website for the form: [http://graduate.ku.edu/sites/graduate.ku.edu/files/docs/excon/Dean-letter-to-Graduate-Studies-Rep_COgaEdits.pdf](http://graduate.ku.edu/sites/graduate.ku.edu/files/docs/excon/Dean-letter-to-Graduate-Studies-Rep_COgaEdits.pdf)

c) The Final Dissertation Product

The student must develop a written dissertation product showing the planning, implementation, and results of original research and scholarship.

Purpose

*Quoted from the KU Graduate Studies Policy Website:*

“The doctoral candidate must present a dissertation showing the planning, conduct, and results of original research and/or scholarly creativity. The purpose of the dissertation is to encourage and ensure the development of broad intellectual capabilities and to demonstrate an intensive focus on a problem or research area. The dissertation itself should be an evident product of the candidate's growth and attainment of the ability to identify significant problems; organize, analyze, and communicate scholarly results; and bring to bear on an area of scholarly or scientific interest a variety of research skills and scholarly or creative processes. The dissertation must show some original accomplishment, but it should also demonstrate without doubt the candidate's potential to make future contributions to knowledge and understanding.

The dissertation is to be a coherent scholarly work, not a collage of separate, distinct pieces. Its unity of theme and treatment may still accommodate several subtopics by demonstrating their relationships and interactions. If previously published material by other authors is included in the dissertation, it must be quoted and documented. Final acceptance of the dissertation is subject to the approval of the dissertation committee”

The dissertation may employ any of several methodologies—for example, quantitative, qualitative, narrative, historical, or theoretical/conceptual analysis. The most important issue is selecting a methodology (or more than one) that is appropriate to the nature and focus of the research questions and theses.

**Format and Style**
The dissertation is to be a coherent, logically organized scholarly document. Dissertations should use American Psychological Association (APA) reference and bibliographic form. Please see Graduate Studies for further information on formatting and final submission requirements (http://graduate.ku.edu/etd-formatting-and-working-multimedia-files).

d) Other Dissertation Policies

• Dissertation Enrollment

After passing the Dissertation Proposal Defense (Oral Comprehensive Exam) the candidate is required by KU graduate Studies to enroll for at least 6 hours of dissertation credit (SW 999) in the fall and spring semesters and 3 during the summer. After 18 hours have been completed, the student should enroll in the number of hours that reflects the work and resources used (from 1 to 6 hours), and enrollment still must be continuous. A student may complete the dissertation in less than the 18 hours, in which case at least one month must pass between the completion of the Oral Comprehensive Examination (Dissertation Proposal Defense) and completion of the Final Oral Comprehensive Exam (Final Dissertation Defense).

If the defense and all other degree requirements are completed within the second week of a fall or spring semester or the first week of a summer session, enrollment for that term is not required.

• Policy on Multiple Dissertations from the Same Project

Multiple dissertations using data from the same research project are acceptable only if the main research questions and substantial portions of the literature review of each dissertation are demonstrably different.

e) Checklist When Planning Final Dissertation Defense

See Appendix X for Checklist of tasks to complete (begins 4 weeks prior to defense date).

f) School of Social Welfare Recognition and Graduate Studies Hooding for Doctoral Students

Students need to contact the PhD Program Office and Graduate Studies for procedures to prepare for graduation and Graduate Studies Doctoral Hooding. The School of Social Welfare has its own graduate student graduation recognition ceremony.

Doctoral students who have completed their degree during an academic year (fall-spring) or who complete their dissertation defense prior to the MSW Hooding and Ph.D. Recognition Ceremony are invited to participate in the School’s ceremony.

The student must also notify Graduate Studies if planning to participate in the university wide Doctoral Graduate Hooding Ceremony. The student must designate
a faculty member who will hood the student, who is usually (though not necessarily) the Dissertation Chairperson.

**NOTE:** Students are not expected to provide food or beverages for Qualifying Papers Committee Meetings, the Oral Comprehensive Exam, or the Final Dissertation Defense.

**NOTE:** The Dissertation Chairperson will send a congratulatory e-mail message to SW faculty and students upon successful completion of the Qualifying Papers, the Oral Comprehensive Exam, and Final Dissertation Defense, unless specifically requested not to do so by the student.

## G. FINAL DISSERTATION DEFENSE

1) **Readiness**

Students must be aware of Graduate Studies regulations and timing, especially for Final Dissertation Defense deadlines for May graduation. Dissertations must be submitted electronically. See the KU Graduate Studies webpage for information on preparation and submission of the dissertation.

At least one month must elapse between the successful completion of the Oral Comprehensive Exam (Dissertation Proposal Defense) and the date of the final oral Dissertation Defense.

**DISSERTATION COMMITTEE CHAIR**

The chair will determine when the student is ready for defense of the dissertation.

**CANDIDATE**

Send details of dissertation defense (time, place) to doctoral office four (4) weeks prior to defense. (See Appendix X).

Circulate dissertation at least two weeks in advance, to all committee members. It is advisable to circulate a complete dissertation draft at least to the Dissertation Committee Chair and methodologist (if not entire committee) in sufficient time for revisions to be made before giving the dissertation to the full committee for the defense.

Follow all instructions for completing and submitting the dissertation, available from
guidance from Graduate Studies is also available at https://graduate.ku.edu/graduation-
requirements.

Submit the dissertation document to the Committee Members either electronically or a
hard copy.

Dissertation Committee Member

Any member who judges that the student is not ready for defense of the dissertation will
relay this to the chair and to the student prior to the defense. The defense will not be
scheduled until the chair in consultation with the committee believes the student is
prepared.

Program Director and PhD Program Office

Ascertained that all degree requirements have been met. When request is approved, the
final oral defense will be scheduled at the time and place arranged by the candidate. This
information is published in a University news medium as prescribed by Graduate Studies.
The PhD Program Office may also announce the Dissertation Defense date. The PhD
Program Office processes the necessary forms with Graduate Studies.

2) Grading and Graduate Studies Evaluation

A grade of "honors*", "satisfactory", or "unsatisfactory" is reported for the candidate's
performance on the appropriate form. (See Grade Form, Appendix VII). The examination
grade is determined by a majority vote of the Dissertation Committee, that is, one vote
over fifty percent. Final grade on the transcript is assigned as a letter grade of "A" if the
defense was either "honors" or "satisfactory". The letter grade is assigned for the final
semester's hour(s) of SW 999 Dissertation.

Should the Dissertation Committee report "unsatisfactory", a grade of “P” for “progress”
or "U" for “unsatisfactory” appears on the transcript for that semester's SW 999, based on
the recommendation of the Dissertation Committee to the Dissertation Chair. If an
unsatisfactory grade is reported, the candidate may petition the PhD Program Committee
for permission to repeat the examination. The PhD Program Committee may consult with
the student, the Dissertation Committee Chair and Committee members prior to making
the decision.

Following the oral defense, the student is responsible to work with the Doctoral Office to
complete all forms and electronic submissions (See Doctoral Candidates Checklist,
Appendix X). The grade form should be signed by all Committee members at the
conclusion of the defense.

NOTE: Interested members of the University community are encouraged to attend these
examinations. Guests, including School of Social Welfare Faculty, University
Graduate Faculty, friends and relatives, may question the student only after the
Dissertation Committee has completed its examination in so far as time allows.
NOTE: *The use of honors is at the committee's discretion. For a grade of "honors", the Committee must consider whether the work is exceptional in all of the following aspects: conceptualization, implementation of methods and analysis, interpretation of findings, oral and written dissemination, and professional significance. A designation of "honors" is rare and thus only given in exceptional cases where the student’s dissertation exceeds all expectations on each section.

H. STUDENT PUBLICATION AND UNIVERSITY AFFILIATION

Students who publish material from coursework and research within the doctoral program and faculty who publish with students must comply with established standards for professional ethics in the NASW Code of Ethics and may wish to consult professional social work journals, the AAUP (American Association of University Professors) guidelines, and the APA (American Psychological Association) Publication Guide for guidance. Following are some suggestions and guidelines. They are not intended as legal advice, but rather reflect the experience of the Program Director and students who have shared their experiences. See Appendix IX for more information on co-authorship guidelines.

- It is advisable for students and faculty who research and publish together to make clear mutual understanding about such issues as ownership of data, order of authorship, credit for student and faculty contributions, payment for royalties, and copyright. Agreements in writing can avoid misunderstanding and are strongly recommended.

  The APA goes on to explain: "Authorship credit should reflect the individual’s contribution to the study. An author is considered anyone involved with initial research design, data collection and analysis, manuscript drafting, and final approval. However, the following do not necessarily qualify for authorship: providing funding or resources, mentorship, or contributing research but not helping with the publication itself.” See the following website for more information: http://www.apa.org/research/responsible/publication/

- Students are encouraged to publish while they are in the doctoral program, based on knowledge and research conducted as part of the program. This contributes to the profession and strengthens their qualifications for academic employment. Faculty are encouraged help students become not only co-authors, but also first and sole authors of manuscripts.

- Students who publicly present or publish material based on work at the university
should give appropriate credit and affiliation, including acknowledgement of funders if any.

- Prior to passing the Oral Comprehensive Exam, a student may identify as a Ph.D. student in the University of Kansas School of Social Welfare. After completing the Oral Comprehensive Exam, the student may identify as a doctoral candidate.

- Students who wish to publish from course papers, Qualifying Papers, or dissertation draft material should consider implications for copyright and dissertation planning. For example, if the student publishes something so that another person or company holds the copyright, any further use of that material in any form must comply with copyright law. A student may use his or her own previously published work to help form a dissertation, with appropriate citation and compliance with copyright law, as long as the dissertation is substantially original work.
SECTION III

_______________________

Doctoral Student Employment, Funding, and Academic Job Seeking
A. INTRODUCTION

The KUSSW currently guarantees four years of funding for all doctoral students who request it, based on good academic standing and satisfactory job performance. Normally, this financial aid comes in the form of a .50 appointment (20 hours per week) as a Graduate Research Assistant (GRA) or Graduate Teaching Assistant (GTA), or some combination of GRA and GTA. Pay varies depending on particular terms of grants and teaching assignments, and tuition for the 9-month academic year is paid in full for .50 appointments and above. In some cases, students can be appointed at more than .50 time as GRA/GTA, may work for other KU departments, and may be employed as research staff employees.

The Office for Grants and Research Support (and the Associate Dean for Research) can be contacted for current information on GRA opportunities and procedures. The Associate Dean for Academic Programs sends out a call for those interested in GTA assignments well before the start of each semester and makes assignments taking student interests into consideration. Advance planning is necessary and "late" requests to teach are not considered. Students may also wish to discuss issues related to student employment with their student representatives on the PhD Program Curriculum Committee and student representatives in the University of Kansas Teaching Assistants Union. The doctoral program intends that all employment situations support student educational success and include fair and equitable pay and other benefits.

In addition, many students receive additional aid in the form of scholarships and fellowships. Some of these are obtained from within KU, and others are from external sources.

B. TIPS FOR DOCTORAL STUDENT EMPLOYMENT

• Students should carefully consider the advantages and disadvantages of particular employment positions for their educational success in the doctoral program.

• Graduate Research Assistants and Graduate Teaching Assistants are considered by Graduate Studies as educational positions since they contribute to learning of research and teaching skills consistent with doctoral education. In addition, these positions require meeting obligations of productivity under direction of Principal Investigators or faculty Teaching Mentors and by contract with funders. Students and their PIs should consider how to integrate both the educational and contractual expectations of these positions.

• It is advisable for students to obtain clear mutual agreements with relevant faculty and administrators about work expectations, pay, and other benefits when accepting new positions and when continuing appointments. Sometimes the nature of grants, funding patterns, and work involves some uncertainty and flexibility for both faculty and students. This can be considered in the discussion.
The doctoral program supports flexibility and part-time or full-time student status. The main issue is how to best match employment with student educational goals, long-term scholarly goals, and university policies on such matters as full time residency requirement and maximum tenure (see relevant portions of handbook).

C. **TEACHING ASSISTANTSHIPS AND PREPARATION FOR TEACHING**

1) **Overview**

Teaching Assistantships provide excellent opportunities for students to learn how to develop courses and teach them under the guidance of faculty resource people. Since teaching is one of the functions expected of scholars in academic settings, it is good for students to gain this experience at some time during their doctoral study. The School of Social Welfare typically has GTAs available in most areas of the curriculum at the BSW and MSW levels. Faculty mentors provide guidance for teaching particular courses.

2) **Policies and Procedures**

As a function important to the teaching mission of the University of Kansas, there are many university and school based policies and procedures regarding Teaching Assistantships, including agreements between KU and the GTA Union. Check the KU Graduate Studies Website for most recent KU policies.

In addition to these policies, GTAs are required to attend a seminar conducted by the Associate Dean for Academic Programs and the PhD Program Director that is held throughout the fall and spring semesters. GTAs must attend during the semester that they are teaching a course. Additional requirements may include attending outside workshops hosted by the KU’s Center for Teaching Excellence or Graduate Studies. These activities are required and failure to attend may result in termination of the GTA and affect future appointments.

3) **Preparation for Teaching**

- All Graduate Teaching Assistants (GTA), except those who are already experienced college level teachers, must attend the University’s GTA Training at the beginning of the Fall Semester. All GTAs will be matched with resource faculty (mentors) who will provide guidance, instruction, skill-building activities and feedback in the student’s first semester of teaching. These faculty may attend the GTAs classes. They will review mid-term and final class evaluations with the student every semester.

- A required course on SW 987: Teaching Social Work: Philosophy and Methods is usually taken in the Fall semester of the second year, normally prior to or concurrent with the first GTA assignment.

- Students may wish to take other courses on teaching methods from the School of
Education as electives.

- The KU Center for Teaching Excellence offers many workshops on teaching.
- International and other students for whom English is a second language must also comply with university regulations for demonstrating language ability for teaching. (Contact the Applied English Center for further information.)

4) Performance of Duties

GTAs shall perform their duties in accordance with the instructions of the Associate Dean for Academic Programs, resource faculty, supervisors, departments, and/or schools and in adherence to University and Board of Regents policies.

5) Evaluation

GTAs shall obtain course evaluations from students enrolled in their courses in accordance with department, school, University and/or Regents policies or requirements. In addition to the procedures established by the KUSSW, GTAs will be evaluated each semester in accordance with the provisions in the KU/GTA contract.

D. RESEARCH ASSISTANTSHIPS

1) Overview

Graduate Research Assistantships (GRAs) are usually available within the school in various fields of study, depending on availability of funded projects. Students sometimes find GRAs in other departments as well. Students who are interested in GRA positions within KUSSW should contact the Associate Dean for Research.

GRAs are an excellent opportunity to learn and apply research and training related knowledge and skills under close supervision and support from faculty. They also may provide opportunities for professional presentations, publications, networking with other scholars in the field, and ideas for dissertation research. Graduate Studies requires that GRAs have an educational purpose. GRAs provide various amounts of pay and benefits, including payment for all or part of tuition.

2) Policies and Procedures

GRA Employment Guidelines are described in Appendix VIII. A student should check with the principal investigator for the research project about policies, procedures, and expectations in the particular position. For other general policies, procedures, and benefits on School based Assistantships, contact the Associate Dean for Research. If the student has further questions about university wide policies and procedures for Assistantships, contact Graduate Studies.

The student should become familiar with all aspects of university and academic
standards for ethical conduct in research, including institutional review board procedures for human subjects protection. The faculty supervisor can provide guidance about this.

E. OTHER FUNDING OPPORTUNITIES

Tips for Seeking Funding

There are many types of funding from outside the school that can support doctoral education, even without work commitment. These include awards, scholarships, and fellowships from the KU Graduate Studies, external funding not specific to a dissertation (e.g. Council on Social Work Education Doctoral Fellowships), and external funding for dissertation research (e.g. Fulbright grants or Hartford Foundation Fellowships). See the Graduate Studies website at https://graduate.ku.edu/funding for their funding opportunities.

Students are encouraged to seek funding, such as scholarships and fellowships, in support of their doctoral education. KU Graduate Studies and the KUSSW have a travel fund to support doctoral students in making presentations at national and international conferences. Please contact the Dean’s Assistant for the latest information and processes for obtaining funding. Students should take the initiative in identifying sources of support, preparing applications, and notifying the PhD Program Director and other relevant faculty if there are ways we can help (such as providing letters of support or nominations).

F. AFTER GRADUATION: JOB SEARCH

Graduates of KUSSW’s PhD program are prepared for employment as teachers, researchers, and scholars. Most academic positions combine teaching, research, and scholarship, but some are almost exclusively teaching and some are almost exclusively research. In addition, outside of academia, PhDs qualify for employment in federal, state, and local agencies as administrators and research staff.

Tips for Academic Job Searches are presented in Appendix XI.
SECTION IV

Appendices
## APPENDIX I

### ACADEMIC PROGRESS FORM

Note: Update for discussion with Academic Advisor and bring to Enrollment Advisor for each enrollment period. Student may choose to exceed these requirements, e.g. with more than 3 electives.

Students admitted prior to Fall, 2015 should consult the Spring, 2011 Handbook.

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<th>PhD Student Tracking</th>
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<tr>
<td>Student Name:</td>
<td>Began Program: ________</td>
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<tr>
<th>Coursework</th>
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<th>Grade</th>
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<tr>
<td>SW 978 Research Design/Methods</td>
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<tr>
<td>SW 980 History and Philosophy</td>
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<td>SW 979 Methods Of Qualitative Inquiry</td>
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<td>SW 981 Advanced Research Methods I</td>
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<td>SW 983 Advanced Research Methods II</td>
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<td>SW 982 Social Welfare Policy Analysis</td>
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<td>SW 987 Teaching Social Work: Philosophy and Methods</td>
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<td>SW 984 Social Work Practice</td>
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<td>SW 985 Theory for Research</td>
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| Qualifying Paper Planning Form/Date Approved | | |
| Qualifying paper Grade Assigned | | |
| Dissertation Proposal Defense Date (Oral Comprehensive Exam) | | |
| SW 999 Dissertation | | |
| SW 999 Dissertation | | |
| SW 999 Dissertation | | |
| SW 999 Dissertation | | |
| Final Dissertation Defense | | |
| Dissertation Title: | | |
GRA appointments  Date/Supervisor

GTA appointments  Date/ Courses taught

Publications: (full citations)

Awards/Fellowships:

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<th>Student Petitions/Descriptions</th>
<th>Requested</th>
<th>Date of Result (Y/N)</th>
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Advisor Comments (Date):

Student Comments (Date):
To meet the Research Skills elective requirement, students may take one of a variety of research courses offered at KU, including the Mixed Methods course (SW 988) offered by KUSSW. One important parameter is that the course content must not duplicate one of the 3 required research courses offered within our school. The choice of research elective must be discussed and approved by the PhD Program Director as part of enrollment advising.

The following are among the courses that have been approved in the past to fulfill the Research Skills Elective requirement. Course numbers and titles may change over time.

**Quantitative Courses - Statistics**

Educational Psychology  
EPSY 810 – Regression Analysis  
EPSY 811 – ANOVA  
EPSY 812 – Meta-Analysis  
EPSY 814 – Nonparametric Statistics  
EPSY 822 – Educational Scales, Questionnaires, and Sampling  
EPSY 905 – Multivariate Analysis  
EPSY 906 - Latent Trait Measurement and Structural Equation Models  
EPSY 908 - Structural Equation Modeling II  
EPSY 914 – Generalized Linear Mixed Models  
EPSY 922 – Item Response Theory  
EPSY 926 - Hierarchical Linear Modeling  
EPSY 941 – Bayesian Statistics  
EPSY 980 - Advanced Topics in Research, Evaluation, Measurement, and Statistics

Psychology – Quantitative Psychology  
PSYC 879 – Applied Nonparametric Statistical Methods  
PSYC 881 - Proseminar in Quantitative Behavioral and Social Sciences  
PSYC 887 - Factor Analysis  
PSYC 893 - Multivariate Analysis  
PSYC 894 – Multilevel Modeling  
PSYC 895 – Categorical Data Analysis  
PSYC 896 – Structural Equation Modeling  
PSYC 990 – Methods for Clustering and Classification  
PSYC 991 - Longitudinal Data Analysis

**Qualitative Courses**

Curriculum and Instruction  
C&T 808 – Qualitative Research: Curriculum Inquiry

Preventive Medicine and Public Health
PRVM 856 - Community Based Participatory Research

**Sociology**
SOC 813 – Field Methods and Participant Observation

**Anthropology**
ANTH 783 - Doing Ethnography

**Research Design Courses**

**Psychology**
PSYC 815 - Design and Analysis for Developmental Research

**Applied Behavioral Science**
ABSC 716 - Experimental Problems in Community Settings
ABSC 719 - Experimental Field Work in Community Settings

**Political Science**
POLS 708 Advanced Qualitative Research Methods

**Educational Psychology**
ESPY 902 – Research Methodology in Education

**Sociology Department**
SOC 810 – Sociological Inquiry
SOC 814 – Health Services Research: Epidemiology, Evaluation, and Survey Methods

**Social Welfare**
SW 988 – Mixed Methods Research

**Special Education**
SPED 990 – Small Sample Empirical Research Methods

**Women, Gender, and Sexuality Studies**
WGSS 802 – Feminist Methodologies
**APPENDIX III**

**SW 875 READINGS AND INVESTIGATIONS (R&I) REQUIRED OUTLINE FOR COURSE PROPOSAL**

I. Names of student and instructor.

II. Name/Topic of R&I.

III. Brief rationale, consistent with curriculum objectives (approx. 1-2 pages)
~ Indicate that this R&I does not duplicate an existing Social Welfare course; consistency with your scholarly goals; and particular rationale for this topic. Explain how this course will help you develop expertise building toward your special area of interest and dissertation; as relevant to social work.

IV. Specific learning objectives, itemized (approx. 1 page).

V. Assignments to be pursued to meet the objectives that are consistent in scope with credit hours requested (i.e. 3 credit hours R&I should have similar workload to regular 3 credit hour doctoral course)*.

VI. Time allocation (in average hours per week) for both student and instructor, including anticipated number of meetings (e.g. in person, “virtual” email meetings, telephone, etc.) that is consistent in scope with credit hours requested.

VII. Credit hours proposed,

VIII. Semester/Year for enrollment (i.e., Fall 2017)

IX. Anticipated Completion Date

X. Signature lines for student, instructor, and Ph.D. Program Director.

**Must be approved, signed and dated by student, instructor, and Ph.D. Director prior to enrollment.** See instructions in handbook. Suggestion: See required doctoral courses for examples of course outlines.

Note: The proposed instructor should review a draft of the proposal, make editorial revisions, and approve the revised draft by signature prior to submitting to the PhD Program Director. The student and instructor must ensure that every element and requirement in this outline is included in the proposal.

*Assignments typically including reading, written products, such as analytical literature reviews, research reports, and publishable manuscripts. Other assignments are also possible. For example, students may use R&I to develop knowledge and skills for teaching under faculty mentorship. In any proposal, each assignment must be linked explicitly to specific learning objectives.
APPENDIX IV

QUALIFYING PAPER PROCEDURES AND SUBMISSION FORM

Approved 11/13/2009 by PhD Committee
Revised December 03, 2010 by PhD Committee
Revised March 1, 2013 by PhD Committee

STUDENT NAME: (Print)______________________________

QP TOPIC/AREA OF INQUIRY
________________________________________________________________________________________________________________________________________
________________________________________________________________________________________________________________________________________

OUTLINE OF COMMITTEE EXPECTATIONS: In each section below, the committee and student list the content to be covered. The content should be specific enough so that there is a clear understanding of what is expected in the final Qualifying Paper product. This content on this Submission Form (not to exceed 5 pages total) describes the detailed plan that is agreed to, so that all know what content is to be included in the final Qualifying Paper. The length is not to exceed 50 pages, excluding references and tables. Although percentages will vary by topic, a guideline is that Section 2 will probably be the longest (50-60%), and Sections 1 and 3 roughly equal (20% each)

Section 1: Final QP expectation: Explore a substantive area of inquiry which is of interest to social work/social welfare, including the policy and practice context.

For Plan/submission form: The committee identifies subtopics that are expected to be addressed, and potential sources to address the subtopics, if known. Subtopics may include: What is the problem of concern? Why is this relevant to social work? What are the characteristics of the population affected? What state and/or federal policies are relevant?
________________________________________________________________________________________________________________________________________
________________________________________________________________________________________________________________________________________

Section 2: Final QP expectation: Comprehensive literature review of theoretical and empirical literature relevant to this area of interest.

For Plan/submission form: If known, the plan may identify the most relevant and seminal sources to be consulted and summarized. The plan also identifies the format in which the empirical studies are to be summarized and discussed
________________________________________________________________________________________________________________________________________
________________________________________________________________________________________________________________________________________
________________________________________________________________________________________________________________________________________
Section 3: Final QP expectation: First, the student provides a critique of the existing theoretical propositions and empirical literature, pointing to gaps or limits in the literature which require further investigation.

Next, the student identifies at least two research questions that would address the identified gaps in the literature: at least one research question using quantitative methodology and at least one question using qualitative methodology.

Finally, for each research question, the student discusses, in broad terms, the broad methodological issues that would need to be considered in addressing each question. This is not a specific and comprehensive methodological plan as would be expected in a dissertation proposal, but a discussion of how the student would begin to address issues of sampling, data collection, and data analysis, such as: What specific type of quantitative/qualitative methodology would be most appropriate? Who/what might constitute an adequate sample, and where might the sample be found? What barriers might exist to obtaining an adequate sample? What measurement tools or interview questions might be asked to collect data? What might be some anticipated barriers to data collection? What data analysis strategies would be useful, in broad terms?

For Plan/submission form: Committee identifies clear expectations regarding such issues as:
For the methodological critique, is the expectation that each study will be critiqued according to a set of criteria? Or some sort of table/summary? How many research questions, of which type, are expected? How far does the committee expect the student to go in discussing the methodological issues for each question?

GRADING. Committees are encouraged to use a grading rubric or other aid to facilitate the identification of minor versus major issues with the QP manuscript. The committee can then more clearly articulate the requirements of a passing grade. For example, some minor issues are to be expected, but the presence of one or more major issues could require a Revise and Resubmit.

TIMELINE: In order to provide guidelines which facilitate and support timely completion of the Qualifying paper, complete the following schedule.

Target DATE that a QP Draft will be submitted to Chair for feedback (Chair review is mandatory, other committee members optional as determined by committee.)

Target DATE that Chair (and other members if indicated) will return written feedback (not later than 3 weeks from Draft submission).

FINAL DUE DATE (not to exceed 6 months, excluding summer months May 15-August 15, from the date that QP form was completed and submitted to PhD office.)
[ *NOTE: If the paper is not completed by this date, the student is required to submit a new written plan for completion to the PhD Director signed by all QP Committee members.]

The Chair of the Committee will inform the student and PhD office, in writing, of the QP grade within 10 working days of the submission (see QP Grade Form). On first submission, the grade will be either “Pass” or “Revise and Re-submit”. **The Chair is responsible for convening and/or polling the committee members regarding the grade.** Although a meeting is not required, it is recommended when a face-to-face discussion among committee members would help committee members arrive at a grade. Normally, students would not participate in the meeting because the Qualifying Paper is intended to be written only--it is not to include an oral defense/examination.

**Committee members should communicate their assigned grade directly with the Chair, not the student.** (A passing grade requires votes of 3 of the 4 members). If the Committee decision is “revise and re-submit”, the chair will provide the student and the PhD office with specific written guidelines for the revision, including the number of pages above the normal 50 that will be allowed for the Re-submission. The student may then consult with Committee members, and has 3 months from the decision day to re-submit the paper. The Committee then arrives at a final grade of Pass or Fail within 10 working days.

Once the QP receives a passing grade, student should be instructed to add language to the successful QP: ‘DO NOT COPY OR REPRODUCE WITHOUT PERMISSION OF THE AUTHOR” and send an electronic copy of final paper to the SSW Doctoral office. (The Doctoral Office may ask permission to share some QP’s as examples for other students.)

After successful completion of the Qualifying Paper, the student and advisor are required to complete the “Dissertation Proposal Planning” form and submit to the PhD Program Office within one month of completion of Qualifying Paper.

**COMMITTEE MEMBERS:**

1. **Chair** ________________________________ (Print Name)  
   ________________________________ (Signature)

2. **SSW Internal Member** ____________________________ (Print Name)  
   ________________________________ (Signature)

3. **SSW Internal Member** ____________________________ (Print Name)  
   ________________________________ (Signature)

4. **KU External Member** ____________________________ (Print Name)  
   ________________________________ (KU department)  
   ________________________________ (Signature)

**DATE QP FORM COMPLETED/SUBMITTED TO PHD OFFICE:**  
________________________ (month/day/year)
APPENDIX V
GRADE FORM—QUALIFYING PAPER
KU SCHOOL OF SOCIAL WELFARE PHD PROGRAM

STUDENT NAME: ________________________________
DATE: ________________________________________

The Chair of the Committee will inform the student and PhD office, in writing, of the QP
grade within 10 working days of the submission. The Chair is responsible for convening and/or
polling the committee members regarding the grade. (A passing grade requires votes of 3 of the
4 members—recorded below). If the Committee decision is “revise and re-submit”, the chair
will provide the student and the PhD office with specific written guidelines for the revision. The
student has 3 months from the decision day to re-submit the paper, and the Committee then
arrives at a final grade of Pass or Fail within 10 working days.

GRADE ASSIGNED: First Submission:
_____ PASS
_____ REVISE AND RESUBMIT (Attach specific written guidelines for revision)
Date resubmission is due to committee _______________

GRADE ASSIGNED: Re-submission:
_____ PASS
_____ FAIL

COMMITTEE MEMBERS:

1. Chair ________________________________
   Grade assigned ________________________ (Print Name)

2. SSW Internal Member ____________________
   Grade assigned ________________________ (Print Name)

3. SSW Internal Member ____________________
   Grade assigned ________________________ (Print Name)

4. KU External Member ____________________
   __________________________ (Print Name)
   Grade assigned ________________________ (KU department)

__________________________________________
Signature of Committee Chair

NOTE: This completed form must be returned to the Doctoral Program Office upon completion
of the examination.
APPENDIX VI

DISSERTATION PROPOSAL PLANNING FORM
FROM QUALIFYING PAPER TO DISSERTATION PROPOSAL DEFENSE
TASKS AND TIMELINE

After successful completion of the Qualifying Paper, the student and advisor are required to complete this form and submit it to the PhD Program Office within one month of completion of the Qualifying Paper. Although some flexibility is needed regarding individual circumstances and expectations, this form assumes that the dissertation proposal will essentially be the first 3 chapters of the dissertation:

1. Statement of the topic/problem to be studied
2. Literature review
3. Research methodology.

Student Name: __________________________________________

Target date for dissertation proposal defense (usually 4-6 months after completion of the Qualifying Paper):
________________________________________________________________

Tasks and target dates for completion:

What is the Research Question? Ideally this will be one of those research questions identified at the end of the Qualifying Paper.
Date to complete: __________________________

Who will be members of the Dissertation Committee?
Date to complete: __________________________
Submit list of Dissertation Committee Member names and roles to Director of SSW PhD program for approval. Note: Chair and Graduate Studies Representative cannot hold “Special” status with Graduate Studies. Check policy regarding composition at:
http://policy.ku.edu/graduate-studies/doctoral-student-oral-exam-committee-composition
Date Completed: ____________

With the Research Question in mind, what parts of the QP remain relevant and what additional literature needs to be reviewed and summarized?
Date to complete new lit review (Chapters 1 and 2) __________________________

With the Research Question in mind, what methodological literature needs to be reviewed?
Date to complete this lit review (first part of Chapter 3) ______________________

What is the specific methodology for the study? (sample, data collection, measurement, data
Date to complete methodology (Chapter 3): ______________________

Timeline for Drafts of Proposal:
Date draft to chair and/or methodologist: _______________________
Date first draft to full committee: _______________________
Date final draft to full committee: (1-2 weeks prior to proposal defense)
_________________________________________________________________

_______________________________ ________________________________
Student Signature Dissertation Chair Signature

DATE submitted to PhD Program Office (within one month ofQP completion)
_______________________________
APPENDIX VII

EVALUATION FORM FOR ORAL EXAMINATIONS

(check the one that applies to this exam)

Dissertation Proposal Defense _____
Final Dissertation Defense _____

_____________________________ has completed the Examination on this day

We hereby certify the grade to be:

Honors*(Final Dissertation Only) _____
Satisfactory _____
Unsatisfactory _____

Committee Members:

_______________________________________
_______________________________________
_______________________________________
_______________________________________,
Chair

*The use of honors is at the committee’s discretion. For a grade of honors to be awarded, the committee must consider whether the written work and oral presentation are exceptional in all of the following aspects: conceptualization, implementation of methods and analysis, interpretation of findings, oral and written dissemination, and practical significance. The committee chair cannot initiate a discussion on awarding honors for the final dissertation defense. This discussion must be initiated by another committee member.

Note: This completed form must be returned to the Doctoral Program Office upon completion of the examination. For an Oral Comprehensive Examination or Final Dissertation Defense, the Program Office will notify Graduate Studies of the result. When a Doctoral Dissertation Final Defense is concluded successfully, all title pages must be signed immediately by committee members in blue ink only.
APPENDIX VIII
SCHOOL OF SOCIAL WELFARE
GRA Employment Guidelines and Procedures
2014-2015

Graduate Research Assistant Levels and Salary Ranges

MSW GRA - has responsibility for specific tasks within a project directed and conducted under close supervision. Examples: data collection, data coding and entry, assisting with data analysis and assisting with literature reviews. Salary: $24,960 - $33,000 (Annualized FTE) ($12.00 - $15.86/hr. equivalent)

GRA I – has responsibility for specific tasks within a project directed and conducted under close supervision. Examples: data collection, data coding and entry, data analysis, student unit supervision, conducting and writing a literature review. Salary: $33,575 - $38,664 (Annualized FTE) ($16.14 - $18.58/hr. equivalent)

Ph.D. GRA II – may perform functions similar to a Research Assistant I with additional responsibilities for planning, conducting, and implementing project activities. Operational responsibility for project remains with faculty or senior staff. May be viewed as contact or liaison to external groups. Examples: curriculum development, training, targeted technical assistance and consultation, project/program evaluation. Salary: $38,665 - $43,751 (Annualized FTE) ($18.59 - $21.03/hr. equivalent)

Ph.D. GRA III - has responsibility for the planning and operation of a project or projects in a more autonomous fashion than Research Assistant I or II with only broad guidance from a faculty supervisor. May supervise other students on the project and takes the lead in working with external parties necessary to the project. Examples: operational responsibility for entire project. Salary: $43,752 – $48,839 (Annualized FTE) ($21.04-$23.48/hr. equivalent)

Procedures

1. Graduate Research Assistantships must be structured to meet educational needs of the student and cannot be treated as staff positions. According to the Student Employee Handbook, in order to be eligible for a (GRA) appointment, the following criteria must be met: 1) be a degree seeking graduate student, admitted to a graduate program during the current semester (fall/spring); 2) meet the enrollment requirements (outlined in elsewhere in the Student Handbook); 3) perform research in his/her field (or related field) of study; 4) perform work that is integral to the student’s education (e.g. thesis/dissertation topic); and 5) funded from an appropriate source. Graduate Research Assistants should be evaluated and provided guidance on an on-going basis because their research is a part of their academic program. In addition, it is recommended that supervisors conduct at least one formal evaluation per year.
2. Consider the functions and responsibilities outlined above when making new appointments and budgeting for new and continuing projects. Please consult with the Associate Dean for Research if problems arise.

3. The Office of the Associate Dean for Research will conduct an annual review of GRA salaries and produce a report providing average, minimum, maximum and median salaries by GRA level and gender. The report will be available to faculty, PI's and graduate students.

Check the following link for updates to School of Social Welfare GRA pay matrix.

http://research.ku.edu/gra_salary_guidelines_proposals
APPENDIX IX

AUTHORSHIP, OWNERSHIP AND ACKNOWLEDGMENT

Guidelines for Authorship and Joint Authorship Between Students, Research Staff, and Faculty in Social Work
(Approved 4-26-07 by the Doctoral Committee)

These guidelines are based on recommendations and ethical standards set out in the 2005 PhD Program Handbook, the NASW Code of Ethics, the APA Manual (2005), and an article in the APA Monitor (“The authorship dilemma: who gets credit for what?” by Bridget Murray, vol. 29., no. 12. December 1998. Suggestions based on faculty and doctoral student input are also included. Input was sought through 2 meetings of the School’s PIs, a meeting of doctoral students, and email inquiries.

General Guidelines

- Named authors must contribute substantially to the project
- Senior or managerial status alone does not justify author credit
- Authorship order should reflect the degree of contributions of the authors
- Substantial contributions meriting author credit might include the following:
  - Actual writing of a major portion of the publication
  - Supervising writing plans in connection with research projects that lead to publication
  - Formulating the problem, hypothesis, question
  - Structuring the design
  - Conducting the analysis
  - Interpreting the results
  - Lesser contributions may be acknowledged in a note

Further Expectations:

- Principal Investigators, dissertation chairs, or others in senior or supervisory positions should discuss these guidelines along with their rules and expectations for authorship with students, staff, or other colleagues clearly at the outset of collaborations that may lead to publication
- Mutual agreement among collaborators should be established in writing early in the writing project; if revisions in author roles occur, changes in authorship order should be mutually agreed in writing prior to submission for review of a paper presentation, article or other publication
- When substantial content in an article is derived from a previous research report, major contribution of senior or managerial staff to the original report constitutes contribution to the publication
- The principal investigator for a research project leading to publication may determine the plan, roles, and order of authorship for the article, in consideration of these guidelines, and convey that to co-authors prior to development of the publication
• With the agreement of the principal investigator, another author (especially non-PI first authors) may play this role

• If contribution is roughly equal, order may be alphabetical
• Percent of effort or contribution could be stated in writing along with author order agreement, for use in applications for promotion or for explaining reasons for authorship order
• All potential authors should clarify who holds ownership of data and right to publish from the research (for example, funders, Principal Investigators, employees) and whether this has bearing on authorship credit
• If serious disagreements arise that cannot be resolved by discussion of these guidelines, the School’s procedures for grievance should be followed

Joint authorship on Dissertation Related Publications

• All of the above guidelines and expectations apply to work on dissertations, with the following clarifications:
• Students should discuss authorship and joint authorship issues with members of their dissertation committee, especially the chairperson, early in the dissertation process, in order to make plans for publication; these plans should be revisited periodically and updated as circumstances evolve
• Students must be credited as first author on publications derived from dissertations

  o Faculty qualify for second author only if made a substantial contribution
  o Second authorship may be considered obligatory if the faculty member designates primary variables or makes major interpretive contributions or provides the data
  o Second author is a courtesy if the faculty member designates the general area of concern or is substantially involved in the development of the design or write up of the publication
  o Second authorship is not acceptable if the faculty member only provides encouragement, facilities, financial support, critiques, or editorial contributions
APPENDIX X
DOCTORAL CANDIDATES CHECKLIST

NAME: ____________________________________________________________
KUID: __________________________

_____ Send email to SSW Doctoral Office of defense date, time, location, title, and Committee
members at least four weeks in advance. ________________

Note: Link to “Dissertation Assessment Rubric” will be sent to faculty members early – at least
2 weeks before defense

_____ On-Line Application for Degree completed (Apply for Graduation in E & P, by early March)

_____ Submit graded & signed “Evaluation Form for Oral Examinations” to SSW Doctoral Office.

Note: take extra copy if you wish to keep an original forms found online in PhD Student
Handbook

_____ Submit a Title Page, signed by committee, to SSW Doctoral Office

________________________ Submit an Acceptance Page, signed by your adviser, to SSW Doctoral
Office

_____ Submit the completed “Electronic Theses and Dissertations (ETD) Release Form” to the
SSW Doctoral Office. Found at: https://graduate.ku.edu/graduation-requirements

_____ Complete the “Doctoral Completion Survey” on Graduate Studies website & send copy of
certificate via email to SSW Doctoral office.

_____ Submit electronically dissertation (to UMI-ETD) See Graduate Studies site

_____ Submit signed NASW Permission Form for Abstracts of Dissertations” plus copy of
abstract to SSW Doctoral Office. Permission form at: https://www.naswpress.org/students/dissertation.html

_____ Email name of faculty person who will hood you to graduate@ku.edu and copy to SSW
doctoral Office by first week of May (see http://graduate.ku.edu/graduation for the most
current “academic calendar”).

_____ After defense submit via email attachment to SSW Doctoral office

1. Using APA format, attach list of all publications (books, peer reviewed journal articles,
book chapters) that have been published or are currently accepted and in press, during
your tenure as a PhD student here.

2. Using APA format, attach list of all paper and poster presentations made at national or
international conferences during your tenure as a PhD student here.
3. You may attach a copy of your current resume with the above highlighted and easily identified.

Candidate must submit: Diploma mailing request through the Registrar's Office
APPENDIX XI

ACADEMIC JOB SEARCHING

Strategies for Successful Social Work Academic Job Searches

a. Preparing to Go on the Job Market
   - Identify important characteristics for potential job sites (e.g., geographic region, university size, themes/special foci of school of social work).
   - Consult our faculty and the dean to learn more about other institutions and the job search process.
   - Network through conferences and faculty mentor connections.
   - Formulate thinking about your strengths & personal approach (e.g., research agenda/experience and teaching philosophy/experience).
   - Prepare to explain research/scholarly agenda and goals with examples.
   - Prepare to explain teaching philosophy, methods, and experience.
   - Develop polished campus visit presentation.

b. Job Postings
   - Council on Social Work Education Career Center (http://careers.cswe.org/)
   - Society for Social Work and Research Job Center (http://sswr-jobs.jobtarget.com/)
   - KU SSW’s bulletin boards and GADE notices forwarded by PhD director
     - Chronicle of Higher Education
   - National Association of Social Workers.
   - Websites of individual institutions.
   - Conferences.

c. Helpful Hints on the Nuts and Bolts
   - Apply early!
     - Plan for job searching and interviewing at the CSWE Annual Program Meeting (often October) and the Society for Social Work Research Conference (often January)
     - Direct cover letter and information to specifics of job announcement.
     - Include a sample of your written work (e.g., preferably a published article—or an excellent example of academic work).
     - Consider sharing your teaching evaluations
     - Publications not only strengthen your application but often are required, particularly for research intensive schools.
Know about the school/department before applying/interviewing (e.g., read website & print information), including mission, curriculum, administrative structure, etc.

Be able to articulate how your scholarship will contribute to the life of the school.

Identify school’s recruitment process, e.g., reviewing applications, preliminary interviews by phone or at conferences, campus visits, making job offer.

d. Details of the Position

- Inquire about the number of classes you’ll be required to teach.
- Research expectations, including expectations for publications and grant funding.
- Service expectations, including committee workload and community service (i.e., other work in addition to teaching and research)
- Specific information about the tenure process, for example:
  - Publication and funded research requirements
  - The degree of emphasis placed on teaching, research, and service.
  - Tenure decision making process (i.e., who makes the recommendation for tenure? Just the school and university (2 layers of authority), or the department, college, and university (3 layers of authority).
  - Record of faculty getting tenure (i.e., the percent of faculty who are granted tenure)

- Salary.
  - 9 or 12-month contract?
  - Expectations/opportunities for work in summer?
  - Fringe benefits, including insurance, retirement, partner/family benefits, etc.

- Faculty supports.
  - Research start up funding
  - Administrative support
  - Infrastructure for grants support (e.g., assistance with budgeting, grants administration, etc.)
  - Computer equipment and software
  - Campus resources to support scholarship
  - Opportunities for multidisciplinary research collaboration
  - Travel support
  - Sabbatical
  - Office supplies
  - Accommodation for 1st year, by reduced teaching load
  - Course buyout rate for grant funded research
e. Negotiating

- Always be polite.
- Step lightly—sometimes there is no room for negotiation and other times friendly negotiation is in order.
- Identify tenure and promotion expectations and process.
- A number of things may be negotiable.
  - Salary
  - Office space
  - Teaching load
  - Summer money
  - Research assistance (GRA)
  - Equipment (computer, LCD projector)
  - Moving expenses

- Make sure agreements are unambiguous.
- Don’t “burn other bridges” until you have a signed contract.

f. Process Hints—Finding The Right Match & Making the Decision

- Learn about the university as a whole, in addition to learning about the social work school/department. Schools tend to view candidates favorably when they’ve done their homework about the school.
- Ask about support available for research at the university level (e.g. university grants for start-up research, money for US and international travel, conference funding).
- Consider talking about your spousal/family situation (e.g., if you note that you have a partner who will need to find work also, the faculty may be able to share contacts with people in that field).
- While the interview process is formal—be yourself.
- Overall, look for mutual enthusiasm.
  - “Are people here enthusiastic about me joining the faculty?”
  - “Am I excited about the possibility of working here?”
  - Remember that you are looking for a good fit with the school, both according to your perspective and the school’s perspective.

- Tailor your campus visit presentation to present your strengths and match the school’s interests. Be prepared for a range of questions by presenting a mock job talk ahead of the interview.
- Maintain professional yet personable and friendly style during campus visits.