

University of Connecticut
School of Social Work
PhD Program Policies & Procedures Manual

Last revised 9/10/2025

Student Responsibility and University Policies

By accepting admission to the University of Connecticut School of Social Work, students assume responsibility for understanding and complying with all regulations and procedures outlined in the Graduate Catalog, this Policies & Procedures Manual, and any subsequent updates. These resources, along with the [School of Social Work](#) and [Graduate School](#) websites, provide essential information on academic programs, course descriptions, and university policies.

This Manual is not a contract and is subject to change without notice. Updates will be communicated to students via email.

Please refer to the [Graduate Catalog](#) for the following information:

- University Accreditation
- Non-Discrimination Policy
- Academic Regulations
- Admission
- Advisory System
- Appeal and Hearing Procedures
- Assistantships, Fellowships, and Other Aid
- Scholarly Integrity and Misconduct
- Tuition and Fees
- Directory of Courses
- Academic Calendar

Refer to the [School of Social Work website](#) for the following:

- Mission Statement
- Accreditation
- Faculty & Staff Directory
- DEI & Anti-Racism Resources

Sites specific to PhD students at the School of Social Work:

- [Resources](#)
- Funding Opportunities
- PhD Student Profiles

Table of Contents

DOCTORAL PROGRAM MISSION STATEMENT	9
DOCTORAL PROGRAM OBJECTIVES	9
DOCTORAL PROGRAM DESCRIPTION.....	9
<i>The Doctor of Philosophy Degree</i>	9
Program Requirements.....	9
<i>Student Timeline</i>	11
<i>Program Time Limits</i>	12
<i>Advisory Committee</i>	12
<i>Changes to the Advisory Committee</i>	13
Major Advisor.....	13
Associate Advisor	13
PROGRAM MILESTONES	13
<i>Plan of Study</i>	13
<i>General Examination (Comprehensive Examination)</i>	13
Integrative Specialization Essay & Oral Review	13
Format of the Integrative Specialization Essay.....	13
Format of the Oral Review	13
Evaluation	14
Timeline.....	14
Instructions for Integrative Specialization Essay	14
Recommended Outline	14
<i>Focus and Conduct of Dissertation Research</i>	15
<i>Dissertation Proposal</i>	15
<i>Dissertation Proposal Defense</i>	16
<i>IRB Review and Approval</i>	16
<i>Candidacy and Dissertation Preparation</i>	17
<i>Role of the Major Advisor and the Advisory Committee</i>	17
<i>Preparation for the Doctoral Dissertation</i>	17
<i>Dissertation Formats</i>	17
Traditional Format	17
Article Dissertation Format.....	18

<i>Scheduling the Dissertation Defense (Final Examination)</i>	19
<i>Dissertation Defense (Final Examination)</i>	19
POLICIES & PROCEDURES	20
<i>Evaluation of Performance</i>	20
<i>Monitoring Student Course Progress</i>	20
<i>Annual Progress Review for Doctoral Students</i>	20
<i>Doctoral Educational Review Committee</i>	20
Purpose	20
Membership	20
Procedures for Educational Review (When Initiated by Student's Advisor or the PhD Program Director)	20
Procedures for Educational Review (When Initiated by a Student)	21
Student's Rights and Responsibilities	22
Procedures for the Educational Review Committee Meeting	22
Decision-Making	22
<i>School of Social Work Class Policies</i>	22
Class Attendance	22
Students Filming or Recording Classes without Permission	23
Use of Personal Mobile Electronic Devices	23
<i>Assistantships, Fellowships, and Other Aid</i>	23
Graduate Assistantships	23
External Funding	24
STUDENT/FACULTY SCHOLARSHIP AND RESEARCH COLLABORATION	24
<i>Policies and Procedures</i>	24
<i>Faculty Member as Paid Consultant</i>	25
<i>Faculty Member on Externally and Internally Funded Grants</i>	25
<i>Unfunded Scholarship and Research</i>	25
<i>Grievance Procedures</i>	25
<i>PhD Student/Faculty Collaboration Agreement</i>	25
STUDENT RESOURCES	26
<i>PhD Student Office</i>	26
<i>PhD Student Mailboxes</i>	26
<i>PhD Student Shared Drive</i>	26

DOCTORAL PROGRAM MISSION STATEMENT

The UConn School of Social Work Doctoral Program prepares students to be national leaders in social work research and education. We are committed to developing students' scholarly expertise to address contemporary and emergent social problems and to promote social justice and human rights.

DOCTORAL PROGRAM OBJECTIVES

Upon successful completion of the PhD Program, students will demonstrate competencies in:

1. Critical analysis of the social work knowledge base, founded on empirical validation of existing theories and practice in various social work approaches.
2. Methodological sophistication and rigor for planning, implementation, analysis, and evaluation of social work interventions, social policies, and program administration.
3. Dissemination of new knowledge and analytical tools to guide social work professionals.

DOCTORAL PROGRAM DESCRIPTION

The program provides a rigorous curriculum designed to prepare students for careers as social work educators, researchers, policy analysts and planners, and high-level administrators in public and private social service organizations. The curriculum reflects the unique role of research in the field of professional social work.

In addition to the core SSW courses, students can take electives in other University graduate programs, including Sociology, Economics, Anthropology, Psychology, Human Development and Family Studies, Education, and Law.

In consultation with their Advisory Committee, students will develop a Plan of Study. During the first two years, students complete required classes in preparation for the general examination that occurs in the summer of the second year. Following the successful completion of the general examination, students begin dissertation research.

The Doctor of Philosophy Degree

The PhD is the highest degree offered by the University. The program leading to its attainment is intended to give persons of outstanding ability the opportunity to become creative contributors in a scholarly field. The award of the degree testifies to broad mastery of an established subject area, acquisition of acceptable research skills, and a concentration of knowledge in a specific field.

Further information about degree requirements and University Policies and Procedures is available in the [University of Connecticut Graduate Catalog](#). This Manual includes modifications to University requirements specific to the PhD Program in Social Work.

Program Requirements

Students complete a total of 57 graduate credits. Eleven core courses in social work provide students with competency in:

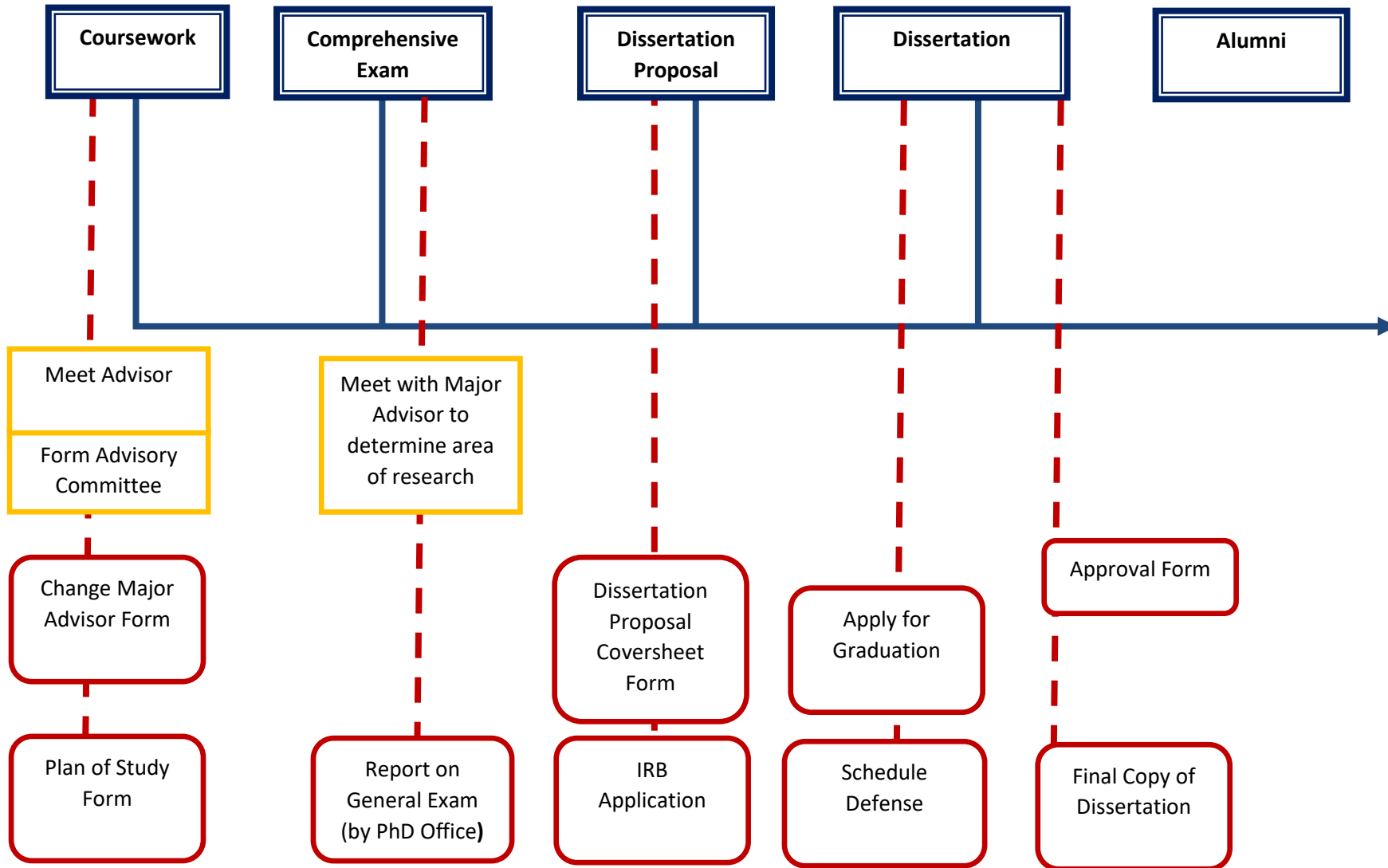
- Advanced research methods
- Social science theories
- Social welfare history
- Policy analysis
- Theories of teaching and learning

Students also complete two electives and 15 credits of dissertation research.

Students complete 20 credits in their first year and 19 credits during the second year, including 6 credits of electives. Students will also take one course in the Fall semester of their third year.

Following completion of coursework and defense of the dissertation proposal, students must complete a minimum of 15 credits of dissertation research as they engage in their independent dissertation research.

Student Timeline



Program Time Limits

Indication by student of preferred Major Advisor

By the end of the second year of study

Formation of Advisory Committee

By the Spring Semester of second year of study

Submission of Plan of Study

No later than the completion of 18 credits. The Plan of Study must be approved before taking the Comprehensive Exam.

Passing of General Examination

The report on the General Exam must be submitted to the Graduate School before the submission of the Dissertation Proposal to the Graduate School.

Submission of Approved Dissertation Proposal to the Graduate School

By the end of year four of study Individual students will be able to petition the Co-Directors of the PhD Program for an exemption/extension of this deadline based on extenuating circumstances.

Passing of Dissertation Defense

No more than eight years after the beginning of study

Work for doctoral degrees must be completed within eight years of the beginning of the student's matriculation. Failure to complete the work within the specified time limit or failure to maintain registration will require re-evaluation of the entire program and may result in a notice of termination.

An extension of the student's terminal date is considered only when there is substantial evidence that the student has made regular and consistent progress toward completion of program requirements. A detailed recommendation to extend the terminal date must be signed by the major advisor and submitted to the Dean of The Graduate School for approval no later than one month before the student's current terminal date.

Advisory Committee

A PhD Advisor is assigned to each student when they begin the doctoral program. The PhD Advisor assists the student in orientating to the School of Social Work, its faculty, and the program, and assists in the selection of a Major Advisor (Dissertation Committee Chair). The Major Advisor helps to identify other potential faculty members to serve on the dissertation committee, known as the Advisory Committee.

Each Advisory Committee comprises two members from the School of Social Work faculty and a third member from outside the School of Social Work. The Major Advisor and at least one Associate Advisor must be appointed by the Graduate School as doctoral faculty from the School of Social Work. Each committee member must have a PhD, JD, or MD, and at least two members must have a faculty rank appointment at an institution of higher education.

If the third committee member is chosen from a department within the University of Connecticut, they do not need University authorization. If the third member is chosen from outside the University, University authorization is required. To request authorization, the outside member's curriculum vitae must accompany the submission of the Plan of Study.

A student must submit a Change of Major Advisor Form to declare their Major Advisor. The additional members of the Committee are declared by listing their names on the Plan of Study form.

Changes to the Advisory Committee

Major Advisor

If a change of Major Advisor becomes necessary for any reason, the student must fill out and submit an **unsigned** Change of Graduate Major Advisor form to Natalie O'Connor Maddox at natalie.oconnor@uconn.edu, who will obtain the proper signatures on their behalf and will submit the form to the Office of the Registrar for processing. The form can be found on the [Office of the Registrar's form website](#) under "Graduate Student Forms."

Associate Advisor

If there is a change of Associate Advisor, please notify Natalie O'Connor Maddox via email at natalie.oconnor@uconn.edu.

PROGRAM MILESTONES

Plan of Study

To become a candidate for a graduate degree, the student must have a plan of study that has been approved by their Advisory Committee. Before the General Exam, the student must fill out and submit an **unsigned** Doctor of Philosophy Plan of Study form to Natalie O'Connor Maddox at natalie.oconnor@uconn.edu, who will obtain the proper signatures on their behalf and will submit the form to the Office of the Registrar for processing. The form can be found on the [Office of the Registrar's form website](#) under "Graduate Plans of Study."

Any requests for changes to the plan of study should be sent to Natalie O'Connor Maddox via email at natalie.oconnor@uconn.edu.

General Examination (Comprehensive Examination)

Integrative Specialization Essay & Oral Review

The purpose of the Comprehensive Examination is for the student to demonstrate integration of social work knowledge and the capacity for producing independent and systematic scholarship consistent with the standards and expectations of PhD education. The exam provides an opportunity for the student to synthesize and integrate content in required and elective courses into a critical examination of the literature in the student's specialized area of interest. The exam is intended to show the student's critical thinking abilities in examining and synthesizing empirical evidence and contributing to knowledge building.

The written exam and Oral Review constitute the Comprehensive Examination of the student's command of their topic relevant to the field of social work. Together, they should:

- Demonstrate that the student has acquired a sufficiently broad understanding of the field.
- Demonstrate the student's proficiency in the required curriculum.
- Determine the student's preparedness to continue work toward the dissertation and their capacity to contribute to the field through an in-depth study of a topic relevant to the practice of social work.

Format of the Integrative Specialization Essay

The format of the written exam should be a Word document in the APA style, with 12-point font (double-spaced), and include page numbers. The written exam should be 45-50 pages long (references not included).

Format of the Oral Review

The Oral Review will be conducted by the Dissertation Committee, the Director of the Doctoral Program, and one external reviewer from the School of Social Work to be chosen by the Director of the Doctoral Program in consultation with the Dissertation Committee Chair, for a total of five reviewers. During the (90 minute) Oral Review, students will have the first 20 minutes to respond to reviewer feedback and questions. A summary of the paper by the student is not required, given that all reviewers will have read the exam. Following the presentation, reviewers will pose questions to

the student as part of a discussion of the written exam. At the conclusion, the student will be asked to leave, and reviewers will decide if the written exam merits a pass, pass with revisions, or fail.

Evaluation

The Comprehensive Examination will be evaluated as a “pass,” “pass with revisions,” or “fail” at the end of the Oral Review process. If a student’s written exam is deemed a “pass with revisions,” the student will have two weeks to revise the exam. The reviewers must agree if the revisions are sent only to the Dissertation Committee Chair or to all reviewers for final approval. If a student’s written exam is deemed a “fail,” the student has one additional opportunity to re-write their exam and have an Oral Review by the end of the academic year.

Timeline

- The written exam will adhere to the framework below, to be modified by a student’s Dissertation Committee.
- In mid-May (date to be identified based on the calendar), students will receive the exam.
- Students will not be able to consult with their Dissertation Committee on drafts of the written exam or any substantive questions regarding the written exam.
- The written exam is due by the last Friday in August before the start of classes in the fall semester and is to be submitted to the Director of the Doctoral Program.
- The written exam will be reviewed by a student’s Dissertation Committee, the Director of the Doctoral Program, and one external reviewer from the School of Social Work to be chosen by the Director of the Doctoral Program in consultation with the student’s Dissertation Committee Chair, for a total of at least five reviewers.
- Written feedback from reviewers will be submitted to the Dissertation Committee Chair approximately four weeks after the student submits their written exam. The Chair will have approximately one week to summarize key points of the feedback and provide it to the student and all reviewers approximately the last Friday in September. After the Oral Review, detailed feedback from each reviewer will be provided anonymously to the student.
- The Dissertation Committee Chair should be the only person discussing reviewer feedback with a student before the Oral Review.
- The Oral Review will occur approximately by the end of October.

Instructions for Integrative Specialization Essay

The purpose of the Comprehensive Examination is for the student to demonstrate integration of social work knowledge and the capacity for independent and systematic scholarship consistent with the standards and expectations of PhD education. The Chair of the student’s Dissertation Committee will draft the Comprehensive Examination question(s) in consultation with other members of the Dissertation Committee based on knowledge of the student’s research interests. In the written exam, the student will address an issue or problem of importance for social work related to their likely dissertation topic and discuss significant historical, theoretical, policy, and research issues associated with the topic. This discussion and analysis should demonstrate readiness to begin work on the dissertation.

Recommended Outline

Statement of the Substantive/Problem Area (10 pages recommended)

Define and demonstrate familiarity with the substantive problem area or topic. Discussion should demonstrate an understanding of the prevalence, nature, historical antecedents, and recent trends associated with the problem area or topic. Biases, prejudices, and omissions, especially those relevant to vulnerable populations, should be explicated.

Analysis of Theoretical Frameworks for Examining the Problem Area (8-10 pages recommended)

Identify and critically review two to three social theories that provide a context for understanding the onset and/or persistence of the identified social problem/topic. Discussion in this section should also include an assessment of the utility of the selected theories for informing social interventions aimed at addressing the problem/topic.

Review of Key Practice and Policy Approaches in the Problem Area (8-10 pages recommended)

Identify key practice and policy approaches aimed at preventing or ameliorating the problem. One major practice and policy approach should be selected and described in detail. Effects and limitations of this practice and policy approach should be identified and discussed. Suggestions for policy and practice changes and/or interventions should be noted.

Critical Review of Relevant Research (10-12 pages recommended)

Discuss and critically analyze relevant empirical evidence and research related to the problem/topic. This review should include a discussion of the dominant methodological approaches used to examine the problem/topic. Important gaps in the knowledge base should be identified. The section should conclude with the identification of two or more research questions that the student views as necessary to advance knowledge pertinent to the problem/topic.

Conclusion and Implications (6-8 pages recommended)

Summarize the problem/topic and identify the proposed next research steps. Briefly (in approximately three pages) identify a research project that addresses gaps in existing research, including strengths and limitations of the research project given the proposed methodology.

Focus and Conduct of Dissertation Research

The dissertation is an opportunity for students to identify gaps in current knowledge, to pose relevant research questions, and to conceptualize and carry out independent research in an area of particular interest and significance.

Any research design, including quantitative, qualitative, and mixed methods approaches, may be used for dissertation research. Students should select a research methodology appropriate to the research question(s) and their intended focus of study. Selected research approaches must adhere to accepted standards for scientific rigor and the ethical conduct of research.

The student, under the supervision of the Major Advisor, assumes primary responsibility for all phases of the research. Students assume an active and instrumental role in recruitment and screening of research subjects, in conducting interviews and carrying out all data collection strategies, in data entry (including transcription of interviews if narrative data is collected), and in data analysis.

In some limited circumstances, students may obtain assistance with or be exempt from carrying out some specific research tasks. For example, circumstances that might occur include:

1. A student affiliates with a senior researcher in the conduct of a larger research project from which the student “carves out” an independent investigation.
2. A student designs an agency-based research project in which employees of that agency are primary agents of data collection.
3. A student identifies an existing data set to use for secondary analysis.

If other personnel are involved at any stage of the research, the student must obtain IRB approval and the approval of their Advisory Committee.

Dissertation Proposal

Students, in consultation with members of their Advisory Committee, prepare a dissertation proposal describing the research problem, relevant literature, and methodology. Specific content guidelines, suggested formats, and instructions for completion of the proposal may be found in Appendices A - C.

The student submits the finalized draft of the Dissertation Proposal to the Advisory Committee and to the Director of the PhD program and Natalie O'Connor Maddox at natalie.oconnor@uconn.edu:

Dissertation proposals are reviewed with the following questions in mind:

1. Is the proposal well written, well organized, and well argued?
2. Does the proposal describe a project of appropriate scope?
3. Does the student demonstrate knowledge of the subject and an understanding of the proposed method of investigation?
4. Does the student show awareness of relevant Social Work and other research?
5. Does the student demonstrate how the proposed investigation contributes to Social Work research, education, and practice?

Dissertation Proposal Defense

Dissertation proposal defense dates may be scheduled between the first week in September and May 22. A request to schedule the proposal defense should be made by the Major Advisor to the PhD Program Director. The dissertation proposal is sent to the PhD Program Director at least two weeks before the defense date. The proposal will be distributed to the Doctoral Program Committee members.

All members of the student's Advisory Committee, two Faculty Reviewers, and members of the Doctoral Program Committee will be in attendance for the Dissertation Proposal Defense. The student may request inclusion of one support person who is a student at the school. The student can choose whether other doctoral students can attend. The proposal defense is chaired by the PhD Program Director, unless the Director is on the student's Advisory Committee; in that event, the proposal defense is chaired by a senior ranking member of the Doctoral Program Committee.

The proposal defense begins with the student's 20-minute summary presentation of the Dissertation Proposal. Members of the Advisory Committee, Reviewers, and the Doctoral Program Committee may then question the student. After the questioning, the Advisory Committee and Reviewers deliberate. The Advisory Committee must vote; approval must be unanimous. The student is informed of the decision by the PhD Program Director.

The student will be informed of one of the following determinations.

- *Accept*
The student can proceed with the research after receiving IRB approval (if required).
- *Accept with Minor Revisions*
The student must make the required revisions and resubmit the proposal to their Advisory Committee for review. The student's Major Advisor notifies the PhD Program Director of the student's satisfactory completion of the required revisions. The student proceeds with the dissertation research after receiving IRB approval (if required).
- *Accept with Significant Revisions*
The student makes the necessary revisions and resubmits the proposal to their Advisory Committee and the PhD Program Director for review. When the proposal is approved, the student proceeds with the dissertation research after receiving IRB approval (if required).
- *Not Accept*
The student is required to rewrite the proposal and, with Advisory Committee approval, resubmit it for a second defense with the full Doctoral Program Committee.

At the conclusion of a successful defense, the Dissertation Proposal for Doctoral Degree form will be signed by the student, all members of the Advisory Committee, and the PhD Program Director. Once the final proposal is completed and has IRB approval, this form will be forwarded to the Graduate School, along with the two prior documents.

IRB Review and Approval

The student is required, if relevant, to obtain approval from the University of Connecticut Institutional Review Board (IRB) as part of the dissertation proposal review and approval process. IRB approval is required before the dissertation

proposal may be forwarded for final review and approval by the Graduate School. Final approval of the Dissertation Proposal from the University of Connecticut Graduate School must be received at least three (3) months before the scheduled date of the student's Oral Defense of the Dissertation (Final Exam).

After IRB approval or exemption is received, the student forwards it along with a copy of the final dissertation proposal (approved by the Advisory Committee) to Natalie O'Connor Maddox via email at natalie.oconnor@uconn.edu. These two items along with the signed Dissertation Proposal for Doctoral Degree form will be forwarded to the Registrar's Office for final approval by the Graduate School.

Candidacy and Dissertation Preparation

Upon acceptance of the Dissertation Proposal by the Executive Committee of the Graduate School, the student becomes a candidate for the degree of Doctor of Philosophy. Prior to this, the student must have passed the General Examination as well as completed any remaining courses on the Plan of Study and fulfilled the supporting-area requirements of the doctoral program.

Role of the Major Advisor and the Advisory Committee

The preparation of the dissertation is under the supervision of the student's Advisory Committee and must meet all standards prescribed by the Advisory Committee, the PhD Program and by the Graduate School. The Major Advisor oversees the student's progress in initiating and carrying out research, in conducting data analysis, and in writing the final dissertation. Associate Advisors provide input on methodology and/or content at various stages of the process. The student and Major Advisor will determine, with the Associate Advisors, the roles, and the extent of input of all Committee members.

Preparation for the Doctoral Dissertation

It is the student's responsibility to be certain that the dissertation conforms exactly to the specifications prescribed by the student's Advisory Committee. Technical specifications for preparation of the dissertation can be found the [Office of the Registrar's Doctoral Degrees website](#) under "Dissertation Specifications."

Dissertation Formats

There are two dissertation formats available in the School of Social Work: the Traditional Dissertation format and the Article Dissertation format. The candidate and the Major Advisor should discuss which format works best with the candidate's research question(s).

Traditional Format

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

Quantitative/Mixed Methods Proposal:

Chapter 1	Problem Statement
Chapter 2	Literature Review and Theory
Chapter 3	Methods
Chapter 4	Findings
Chapter 5	Discussion of Recommendations

Qualitative Proposal:

Chapter 1	Introduction (including theory)
Chapter 2	Methodology
Chapters 3-4 or 3-5	Substantive Findings/Themes (including links to theory)
Chapter 6	Conclusion (Implications for Social Work)

Article Dissertation Format

Introduction

The Article Dissertation offers an alternative format. Under this model, a student writes a minimum of articles for publication in peer-reviewed journals. If a student is interested in pursuing the Article Dissertation format, it would be helpful to contact their Major Advisor and Advisory Committee to discuss the feasibility of this option with their research topic.

I. Number and Nature of Articles

1. The student will write a **minimum** of 3 articles under the Article Dissertation format. Each article is treated as a separate chapter, i.e., they will comprise Chapters 2, 3, and 4 of the dissertation.
2. The articles should form a cohesive body of work that supports a theme or themes that are expressed clearly in the introduction to the dissertation (Chapter 1). Two articles must be based on the student's data analysis (quantitative or qualitative). One of the articles may be conceptual in nature but must be based on the themes of the dissertation overall.
3. Articles that have been previously published prior to the dissertation proposal may be included upon approval of the student's Advisory Committee and the PhD Program Director. Not more than one article may be previously published prior to the dissertation proposal; this article must represent work undertaken and published while the student is enrolled in the PhD program, must contribute to the identified themes of the dissertation, and be approved by the student's Advisory Committee at the time of the student's proposal.
4. Articles are to be formatted following the style requirements of the journal that has been identified for potential submission. However, in the dissertation, the articles **must** follow Graduate School guidelines in terms of formatting and presentation.
5. If the Advisory Committee approves a previously published article, the student will be responsible for securing necessary permissions (i.e., from the copyright holder and other authors). If an article is published between the dissertation proposal and the dissertation defense, students are also responsible for securing necessary permissions from the journal. An original letter from each journal that grants permission for the inclusion of the photocopied article in the dissertation is necessary to assure that there are no permission issues or violations of copyright. In requesting a letter of permission, it is important to tell the journal that Digital Commons will be posting the dissertation to third party search engines. The journal usually requires that the journal be the first publisher of the article. Please retain a copy of all permissions granted for your personal file. Copyright issues frequently arise with previously published material. Students need to obtain permission to duplicate copyrighted material (and, possibly, multiple author releases).

II. Journals

1. In consultation with their Major Advisor and Advisory Committee, students will identify journals to which their articles may be submitted. The Advisory Committee should help select journals that will challenge the student and offer a reasonable chance of publication success.
2. Prior to the dissertation defense, the student and Advisory Committee should agree that all unpublished articles included in the dissertation are ready for potential submission to the identified journal.

III. Authorship

1. Students must be first author on all articles submitted as part of their Article Dissertation.
2. Only one article in a student's Article Dissertation may be co-authored. Members of the student's Advisory Committee will not permit co-authorship, unless the student is working with data originating from a larger

study of which an Advisory Committee member is a Principal Investigator. A co-authored article may only be in one student's dissertation.

IV. Organization of the Dissertation

1. The dissertation must include an abstract that synthesizes the articles, as well as an introduction (Chapter 1) and a conclusion (Chapter 5, assuming 3 articles are presented).
2. The introduction should include:
 - a. A definition or statement of the problem.
 - b. The importance of the problem, i.e., why it is worth researching, why it matters to the field of social work.
 - c. The theoretical foundation(s) supporting the problem/issue.
 - d. An overview of the important literature (overview, because each article submitted for the Article Dissertation will have its own unique literature review).
 - e. The research questions.
 - f. The methodology to be used to answer those questions.
3. The conclusion will briefly summarize the dissertation's major findings, discussion, and recommendations. The student will also present and discuss linkages (i.e., similarities and differences) between the separate manuscripts that are included in the dissertation, striving as much as possible to present the document as representative of a coherent body of work.
4. The dissertation will be formatted and bound consistent with University of Connecticut guidelines.

V. Dissertation Proposal and Defense Procedures

1. Dissertations prepared using the Article Dissertation format will be subject to proposal and dissertation defense procedures as specified by program policy. The Article Dissertation format should be chosen in consultation with the student's Advisory Committee during the proposal process.
2. For the dissertation defense, students will present a final document that includes all the elements required by the University of Connecticut Graduate School for a traditional dissertation (e.g., abstract, table of contents, appendices); any previously published article(s); article(s) submitted for publication; and a concluding chapter. Students are encouraged to submit their articles for publication upon completion of their dissertation.

Examples of the Table of Contents for the dissertation can be found in Appendices D, E, & F.

Scheduling the Dissertation Defense (Final Examination)

The PhD Program Director in consultation with the Major Advisor will set a date for the dissertation defense (final examination). The dissertation defense may be scheduled between the first week of September and May 22. There is the possibility to schedule the dissertation defense outside the academic year if approved by Major Advisor and PhD Director. The timeline for dissertation defense preparation allows the student to make revisions and submit a "working" copy of the dissertation at least two weeks before the dissertation defense. The student should email an electronic copy of their dissertation to the PhD Program Director and Coordinator. An invitation to attend the examination is sent to the University and School of Social Work community. The defense will need to be announced in the [UConn Events Calendar](#) at least two weeks before the date of defense. Posting guidelines below can be found on the [Office of the Registrar's Doctoral Degrees website](#) under "Step 6: Prepare for oral defense."

Dissertation Defense (Final Examination)

The dissertation defense is chaired by the PhD Program Director, unless they are a member of the student's Advisory Committee; in that event, the defense will be chaired by a senior ranking member of the Doctoral Program Committee. The examining committee consists of a minimum of five members: the student's Advisory Committee and one or two additional examiners chosen from the faculty of the UConn School of Social Work.

The student has 20-30 minutes for the presentation. After the presentation, guests will be asked to leave or will be virtually separated. Members of the Advisory Committee pose questions and are followed by the Examining Committee members, Doctoral Committee members, and, finally, other attendees. At the completion, the Advisory Committee, in consultation with Examining and Doctoral Committee members, votes on the outcome of the defense. The decision regarding whether a candidate has passed, conditionally passed, or failed the examination rests solely with the Advisory Committee, which will consider the opinions of other participating faculty members. The vote of the Advisory Committee must be unanimous. At the conclusion, the PhD Program Director will invite the student (and support person) to return to the room for more detailed feedback and will inform the student of the outcome.

POLICIES & PROCEDURES

Evaluation of Performance

The advisory committee continually evaluates the student's performance. Any graduate student whose scholastic record does not meet the minimum requirements of either the program and/or Graduate School may be subject to dismissal.

Monitoring Student Course Progress

A student who receives less than a "B" grade in a course will be brought to an informal ad hoc educational review. The committee will be selected from members of the Doctoral Committee, and will consist of the PhD Program Director, Major Advisor, and another faculty member. During the review, the committee and the student identify areas of concern and plans for improvement.

Annual Progress Review for Doctoral Students

The purpose of this review – marked *Appendix H* – is to provide a method to facilitate interaction and communication between doctoral students and their Advisors or Major Advisors. More specifically, it:

- Provides a vehicle for students to reflect on their progress and accomplishments during the previous academic year and plan their activities and efforts for the following year.
- Allows students to provide a review of their professional activity during the past year.
- Aid Advisors in providing their doctoral students with feedback.

Doctoral Educational Review Committee

Purpose

The Doctoral Education Review Committee reviews the academic record of students who are in academic difficulty or charged with academic or nonacademic misconduct in accordance with the School and University's policies. This Committee also reviews cases of contested allegations of academic and nonacademic misconduct. While the committee does have the ability to recommend dismissal from the program to the primary advisor, its aim is to enable students to successfully complete the program. It also has the responsibility to ensure that student rights are respected, and that appropriate due process is followed.

Membership

Three faculty members, without a direct role with the student, are appointed to the Committee by the PhD Program Director in consultation with the Dean. The Doctoral Student Organization will identify one doctoral student, post-comprehensive examination, to serve on the committee as a student representative. The student being reviewed will determine whether the student representative participates in the review deliberations. The student's Major Advisor attends the meeting with the student. The student also has the right to be accompanied by a current student in the Doctoral Program as a support person.

Procedures for Educational Review (When Initiated by Student's Advisor or the PhD Program Director)

A student may be referred for educational review by the student's advisor or the PhD Program Director due to academic difficulty or charges of academic or non-academic misconduct in accordance with School and University policies.

- A. The student's advisor informs the student, in writing, of the referral and the reason(s) for the educational review. The PhD Program Director informs the student of the date, time, and place of the meeting. The student's Major Advisor is provided with a copy of the letter.

A written request to convene the DERC is sent by the PhD Program Director to the committee members. The written request contains the date, time and place of the meeting and a brief description of the reason(s) for the review.

- B. The student's advisor submits in writing a brief summary of the reason(s) for the student's referral to the Doctoral Educational Review Committee. The summary should include supporting documentation that will help the committee to understand the difficulties the student is experiencing.

Supporting documentation may include, but is not limited to, the following:

1. Reports from instructors regarding class participation, attendance, grades, etc.
2. Copy of the student's current transcript.
3. Any other materials deemed necessary.

A copy of the materials is distributed to the student being reviewed, members of the DERC, the student's Major Advisor and the PhD Program Director. The DERC student representative, if participating, can review the materials on file in the PhD Program Director's office, but will not be provided with a hard copy of the materials.

Procedures for Educational Review (When Initiated by a Student)

A student may initiate the Doctoral Review Education Committee to examine their doctoral education.

- A. The student informs their advisor and the PhD Program Director in writing the reason(s) for the requested educational review. If the PhD Program Director approves the student's request, the student and Major Advisor are informed of the date, time, and place of the meeting.

A written request to convene the DERC is sent by the PhD Program Director to the committee members. The written request contains the date, time and place of the meeting and a brief description of the reason(s) for the review.

- B. The student's advisor submits in writing a brief response to the student's referral to the Doctoral Educational Review Committee. The summary should include supporting documentation that will help the committee to understand the issues the student is experiencing. In addition, the advisor should make recommendations that the committee should consider.

Supporting documentation may include, but is not limited to, the following:

1. Reports from instructors regarding class participation, attendance, grades, etc.
2. Copy of the student's current transcript.
3. Any other materials deemed necessary.

The advisor's response is presented to the student. The DERC student representative, if participating, can review the materials on file in the PhD Program Director's office, but will not be provided with a hard copy of the materials.

Student's Rights and Responsibilities

The student is informed of their rights as follows:

- The student has the right to be accompanied only by a current student in the Doctoral Program. The role of the support student in the educational review process is to help the student understand the issues involved in the review, help the student prepare for the meeting, and assist the student in clarifying the situation to the committee. The support student is not provided with a copy of the written documents for the meeting, however, the student being reviewed may share their written documents with the support student for discussion in advance of the meeting. The student must inform the PhD Program Director, at least two days prior to the meeting, the name of the support student who will be attending the meeting.
- The student being reviewed determines participation by the "student representative." The student must inform the PhD Program Director of this decision at least two days in advance of the meeting. If the student representative participates in the meeting, they must be present for the entire meeting through the final deliberations.
- The PhD Program Director may allow others to be in attendance based on the circumstances, e.g., Coordinator of Disabilities Support Services.

Procedures for the Educational Review Committee Meeting

- Fifteen minutes prior to the meeting, the DERC meets briefly to review the situation; subsequently the student, student support person (if desired), and advisor then join the meeting.
- The DERC Chair assures that all parties have reviewed the documents supplied to them.
- Introduction of all persons is made as well as the specific role they will play in the meeting.
- The chair clarifies with the student that they received written notice of the meeting and its procedures, as well as the packet of materials detailing the reasons for the referral and supporting documentation; and that the student was given an opportunity to submit a written response to the materials if they choose.
- The student's advisor summarizes the reasons for the referral and provides recommendations for a possible solution. When the student initiates the DERC, the student summarizes the reasons for the initiation and provides recommendations for a possible solution.
- The student provides comments regarding their understanding of the situation; possible solutions to the problem, and information that might help the committee to better understand the circumstances.
- The DERC members are provided opportunities to raise questions or concerns to further their understanding of the situation. If appropriate, the student's support person is also permitted to make comments.
- The student, support person and Major Advisor are excused from the meeting. The DERC members discuss the situation and make possible recommendations regarding an educational plan.
- After committee deliberation, the student, student support person, and major faculty advisor return to the meeting and the DERC Chair reports a summary of the meeting and details regarding the committee's recommendations.
- The DERC Chair provides the PhD Program Director with a written summary.

Decision-Making

The committee offers its advice directly to the student and Major Advisor.

School of Social Work Class Policies

Class Attendance

While the University of Connecticut Graduate School has no official policy on allowed absences from class, individual instructors are permitted to consider class attendance in relation to class participation in determining the final grade for a course. The instructor describes the computation of the grades and the relation between grades and attendance at the beginning of the semester and may be noted in the course syllabus. Where grades depend on classroom participation,

absences may affect the student's grade. However, if a student was absent and the instructor reduced the grade, the reduction would be due to lack of class participation, not the student's absence. Instructors have final authority in permitting students to submit assignments late or make up examinations.

Students Filming or Recording Classes without Permission

Student filming or recording classes cannot occur without the permission of the instructor. According to the University, please refer to the following: As an instructor, "my lectures are protected by state common law and federal copyright law. They are my own individual expression, and I have either recorded them (in a fixed and tangible medium of expression) or am recording them while I deliver them in order to obtain protection. Although you are authorized to take notes in class, thereby creating a derivative work from my lecture, the authorization extends only to making one set of notes for your own personal use and no other use, or in the case of a student with a disability (if the Center for Students with Disabilities has determined that it is a reasonable accommodation). As a student, you are not authorized to record my lectures, to provide your notes to anyone else, or make commercial use of them without express prior permission from me."

Use of Personal Mobile Electronic Devices

While the University of Connecticut Graduate School has no official policy on the use of personal mobile devices in the classroom, individual instructors are permitted to establish their own guidelines for usage. The instructor should describe these guidelines at the beginning of the semester and include boilerplate policy language in the syllabus and/or the course HuskyCT site. Guidelines should consider the manner in which these devices support or interfere with the student's learning and the classroom environment, and how these are used as educational tools. Students are encouraged to consider norms of professional demeanor related to the use of personal electronic tools. Consistent disregard of these guidelines may result in a consultation between the student, instructor and MSW Program Director, and/or Associate Dean for Academic Affairs.

Assistantships, Fellowships, and Other Aid

In addition to the information found in the Assistantships, Fellowships, and Other Aid section of the Graduate Catalog, please refer to the [Funding Opportunities | School of Social Work](#) website and the information below on Graduate Assistantships specific to the SSW.

Graduate Assistantships

There are several steps involved in the assignment of Graduate Assistantships (GA). The School of Social Work has a limited number of GAs to assign. Thus, not all doctoral students are guaranteed to receive a GA during their entire tenure at the school. Per university guidelines, Graduate Assistantships are awarded on the basis of student merit. See the [Graduate School's website](#) for a full description of Graduate Assistantships.

Graduate students who meet the criteria listed below are eligible for Graduate Assistantships. Appointments as a GA are made for the nine-month period, August 23 through May 22. Recipients serve as teaching assistants and research assistants. To be appointed, to retain an appointment, or to be reappointed, a student must have been accorded Regular (not Provisional) status, must maintain a cumulative grade point average of at least B (3.00) in any coursework, must be eligible to register (i.e., must not have more than three viable grades of Incomplete on their academic record), must be enrolled in a graduate degree program scheduled to extend through the entire period of the GA appointment or reappointment, and must be a full-time student, counting coursework and/or its equivalent together with assistantship duties throughout the period.

The holder of a full Graduate Assistantship devotes 20 hours per week to assistantship duties; the holder of a half Graduate Assistantship devotes 10 hours per week to assistantship duties. Assistantships are not available for less than 10 hours per week.

The PhD Program Director and the Dean of the School of Social Work make decisions about which students will receive a Graduate Assistantship. Priority is given to students in their first four years. Depending on the number of remaining GAs available, students in the fifth and subsequent years (in that order) may be eligible. Requests for consideration for a Graduate Assistantship for fifth and subsequent year students should be submitted to the PhD Program Director by March 15. Preference will be given to students who are not engaged in full-time employment.

For Graduate Assistantships that involve teaching, an effort is made to match a student's experience (practice/teaching) to available courses in the MSW and BSW curricula. Students are provided appropriate teaching supports (a lead contact person for their course, teaching process and didactic courses, classroom observations, and individual conferences). While a student in this role will function similarly to an adjunct instructor, as a Graduate Assistant, the guiding principle is the education/training of the doctoral student.

For Graduate Research Assistantships, an effort is made to craft a relevant educational experience for each student. Matches with individual faculty are based on a student's identified topic area interest and research methodology interest. An assessment is made based on recent faculty publications, current active research projects, and research funding about faculty who are in a position to provide this experience.

External Funding

The School's [Office of Research & Scholarship \(ORS\)](#) has materials on, and can provide support in a doctoral student's search for external support opportunities.

STUDENT/FACULTY SCHOLARSHIP AND RESEARCH COLLABORATION

Policies and Procedures

The University of Connecticut School of Social Work primarily prepares doctoral students for careers as social work scholar/researchers, educators, and leaders. Central to this mission is the creation of a culture of excellence and support and opportunities for students to be mentored in their roles as educators, empirical and theoretical scholars, and organizational leaders.

In addition to participation in courses and seminars, students have opportunities to increase their knowledge and skills through individualized collaboration with a faculty member(s). The collaboration may be with the student's Major Advisor, or with other faculty who may provide opportunities for students in ongoing empirical and theoretical scholarly projects. Such opportunities may include but are not limited to literature reviews, development of conceptual frameworks, interviewing, data gathering, data entry, and statistical analysis. These opportunities augment coursework, familiarize students with professional standards of scholarship, and may provide the possibility of solo or jointly authored publications. These policies and procedures share the fundamentals of [University of Connecticut Graduate Advising Policies](#), and specifically pertain to those scholarly activities which do not earn academic credit. These policies and procedures pertain as well to DMHAS faculty who may work with students in other than Graduate Assistantship arrangements. Long term data sharing will be managed in accordance with University IRB policies and procedures.

In keeping with the values and standards of the profession and the University, certain guidelines must be followed in order to ensure equity and fairness in support of the graduate student's role as a student. For example, participation by any student on a research faculty project is voluntary and the student's contribution to any forthcoming publications should be acknowledged through authorship (see [National Statement | CSWE](#) guidelines for ethical research and [APA guidelines for authorship](#)). Any relevant authorship arrangements should be clear and explicit when the student and faculty member negotiate the student contribution at the outset of the project.

In the case of human subjects research, the [University's standards on research integrity and compliance](#) and all policies and procedures must be followed. For example, the faculty member, as Principal Investigator (PI), must file the IRB

paperwork to add personnel to the study and the student must be CITI certified. In addition, the faculty member should complete a PhD Student/Faculty Collaboration Form which both student and faculty member will keep on file. This form includes a brief description of the project, expected timeline, tasks assigned to the student, and any remuneration or authorship considerations. The form can be found on the [PhD Student/Faculty Collaboration Agreement](#) Website. Prior to the commencement of the collaboration between faculty and student, the PhD Program Director is advised of the arrangement.

In addition to the guidelines above, certain situations may arise that create potential ambiguities or ethical questions. The following scenarios provide examples of ways in which students and faculty members may collaborate, as well as any special circumstances and precautions necessary for the ethical protection of students.

Faculty Member as Paid Consultant

In these instances, faculty members are paid a consultation fee by an outside entity. In order to avoid the position of a faculty member being financially compensated, in part, on the basis of a student's work, the faculty member should provide a stipend to the student. It is preferable that this stipend be made by the consulting agency directly to the student.

If this is not possible and the faculty member is hiring the student directly in a non-University (consulting) activity, the faculty member "must disclose the intent to do so in writing, prior to employing the student. This disclosure should be made in writing to the Department Head/Dean or the appropriate University official." In these cases, the faculty member will deposit funds in an account specified and managed by the UConn SSW Finance Director, for the sole purpose of paying a doctoral student for the agreed upon scholarly activity. Payment should be in accordance with prevailing student labor rates as designated by the University.

All consultant work should conform to the [University's Faculty Consulting Policies and Procedures](#).

Faculty Member on Externally and Internally Funded Grants

If a grant has funding for student labor, these funds should be used in accordance with University's policy to compensate doctoral student workers at the prevailing student labor rate, per the Finance Office.

Unfunded Scholarship and Research

In these instances, the faculty member does not receive any compensation for the project beyond their usual salary as a faculty member and the scholarship is considered part of their faculty workload. In these instances, students who are interested in gaining skills, knowledge and/or experience in the area of study may participate in the faculty project. It should be made clear from the outset that funds are unavailable for compensation for the student's involvement. The faculty member and student should keep on file a record of the PhD Student/Faculty Collaboration Form.

In those instances, in which a faculty member does not receive any compensation for the project beyond their usual salary as a faculty member (via consulting work or grant activity) students who are eligible can use their work study monies toward work on a faculty project.

Grievance Procedures

The policies and procedures, including the PhD Student/Faculty Collaboration Form are designed to protect doctoral student rights. In the event that a disagreement ensues, the complainant is encouraged to address this directly with the other party. The complainant can also bring this to the PhD Program Director and the Doctoral Committee.

PhD Student/Faculty Collaboration Agreement

The form can be found on the [PhD Student/Faculty Collaboration Agreement](#) website.

STUDENT RESOURCES

Please visit the [Graduate School's Resources for Current Students website](#) for the most up to date information on the resources that are available to you as a doctoral student. In addition, please note the items below which are specific to the School of Social Work.

PhD Student Office

The PhD Student Office is located in Room G01.

PhD Student Mailboxes

Doctoral student mailboxes are located in the Faculty and Staff Mailroom on the first floor in Room 103.

PhD Student Shared Drive

Doctoral students are given access to the "SSW PhD Director-Student Materials" shared drive which includes materials on advising, conferencing, job market, mentoring resources, alumni, and more.

APPENDIX A: GUIDELINES FOR WRITING THE DISSERTATION PROPOSAL

General Instructions

The text of the dissertation proposal should be 20-25-pages (excluding cover page, abstract, table of contents, references, and appendices), double-spaced. Use a 12-point font with 1-inch margins; citations and references should follow APA format. Each proposal should include an abstract. A title page and table of contents should be placed at the front of the proposal. All key areas, as outlined below, need to be addressed. These components apply equally to all research designs that may be used in completion of the dissertation.

Proposal Outline

- I. Introduction/ Problem Statement
Describe your intended research focus, including a summary of the social problem/issue to be addressed. Provide a detailed description of the background, significance, and rationale for your proposed research.
- II. Literature Review
This section should include each of the following elements in the order that is appropriate to your research focus:
 - Identify your conceptual framework. This section should identify the major theoretical ideas that will guide your study.
 - Provide a concise review of relevant literature. Place the study in the context of existing research.
 - Summarize your literature review, identify gaps and/ or limitations in the existing literature, and develop a rationale for the proposed study. Include within this rationale an answer to the “so what?” question, i.e. why your proposed research is important and/ or relevant to social welfare/ social work practice.
- III. Methodology
Provide a complete description of your proposed study.
 - Begin this section with a statement of your research question(s) and/ or hypotheses.
 - Describe your research design. Address issues and concerns that are appropriate to the design selected.
 - Describe your sampling plan. Provide a rationale for the plan selected.
 - Describe the data collection strategies, and instrumentation if relevant, that you plan to use. Provide nominal (conceptual) and operational definitions of each of your major independent and dependent variables (if quantitative); describe major conceptual areas to be examined (if qualitative). Include a discussion of the validity and reliability of any measurement instruments to be used.
 - Briefly describe your plan to obtain University of Connecticut IRB approval for your proposed research. Specify how you will protect confidentiality or anonymity of research subjects (when appropriate). A draft of your IRB application form should be attached as an appendix.
 - Identify conditions that could affect your ability to implement your research design. Describe your plan to deal with these concerns.
- IV. Data Analysis Plan
 - This description of your data analysis section should be guided by your hypotheses/research questions. For each hypothesis/research question, specify the dependent and independent variables and describe what statistical analytic procedures you plan to use.

- If a qualitative design is used, specify the analytic approach (e.g, constant comparative method, content analysis, thematic analysis, etc.) and what, if any, qualitative software will be employed.
- Describe briefly the limitations your study will have in terms of generalizability, reliability, validity, etc.

V. Summary

- Note the importance of your study, relevance to social work, potential implications for practice and education, etc.
- Provide a brief summary of anticipated outcomes of your study.

VI. References

- Include cited references as a separate section.

VII. Appendices to be Included (no page limit):

- Copy of your C.V.
- Timeline of dissertation activity
- Copies of recruitment materials and an informed consent form (if human subjects are involved); IRB form and approval; letters of agreement; interview guides; questionnaires and other instruments; and other relevant documents should be included as appendices.

APPENDIX B: SAMPLE FORMAT – DISSERTATION PROPOSAL COVER PAGE

TITLE

By

STUDENT FULL NAME

Dissertation Proposal

Submitted in partial fulfillment of the requirements for completion of
the Degree of Doctor of Philosophy
in the Graduate School, University of Connecticut

Date Submitted

APPENDIX C: DISSERTATION PROPOSAL TABLE OF CONTENTS

Section headings are illustrative.

TABLE OF CONTENTS

ABSTRACT

Problem Statement

Literature Review

 Conceptual Framework

 Significance, Rationale, and Justification

Methodology

 Research Question

 Research Design

 Sampling

 Data Collection

 Protection of Human Subjects

 Potential Challenges

Data Analysis

 Data Management

 Validity/ Reliability; Evidence of Scientific Rigor

 Study Limitations

 Anticipated Outcomes

Summary

References

Appendices (listed in order of presentation within text)

 1. Recruitment Materials

 2. Screening Materials

 3. Instruments/ Interview Guides

 4. Informed Consent

 5. Timeline

 6. Budget

 7. Curriculum Vitae

Institutional Review Board (IRB) Application

APPENDIX D: SAMPLE TABLE OF CONTENTS FOR DISSERTATION – QUANTITATIVE

Section headings and page numbers are illustrative.

Table of Contents

Copyright Page	ii
Approval Page	iii
Acknowledgements**	iv
Table of Contents	v
List of Figures and Tables	vi
Introduction/ Overview	1
Chapter One: Literature Review	
Subheading A: Theoretical/ Conceptual Framework	
Subheading B: Research Questions and Related Hypotheses	
Chapter Two: Methodology	
Subheading A: Design and Rationale	
Subheading B: Sampling	
Subheading C: Instruments	
Subheading D: Data Collection/ Context	
Subheading E: Data Analysis	
Subheading F: Verification	
Subheading G: Ethical Considerations	
Chapter Three: Results	
<i>(Number of Results chapter may vary depending upon research methodology.)</i>	
Subheading A: Findings related to Hypothesis 1	
Subheading B: Findings related to Hypothesis 2	
Chapter Four: Discussion	
Subheading A	
Subheading B	
Chapter Five: Implications	
Subheading A	
Subheading B	
References	
List of Appendices	
Appendix A	
Appendix B	

**** Acknowledgements Page should not be included until after the candidate has successfully completed the Dissertation Defense.**

See <https://registrar.uconn.edu/graduation/doctoral-degrees/#dissertation-information> under “Dissertation Specifications” for samples of the **Abstract**, the **Title Page**, the **Copyright Page**, and the **Approval Page**.

APPENDIX E: SAMPLE TABLE OF CONTENTS FOR DISSERTATION – QUALITATIVE

Section headings and page numbers are illustrative.

Table of Contents

Copyright Page	ii
Approval Page	iii
Acknowledgements**	iv
Table of Contents	v
List of Figures and Tables	vi
Introduction/ Overview	1
Chapter One: Literature Review	
Subheading A: Theoretical/ Conceptual Framework	
Subheading B: Research Questions and Related Hypotheses	
Chapter Two: Methodology	
Subheading A: The Qualitative Paradigm/ Rationale for the Research Design	
Subheading B: Qualitative Methods/ Approach to Data Collection	
Subheading C: The Researcher’s Role/ Subjectivity of the Study	
Subheading D: Data Sources	
Subheading E: Data Collection/ Context	
Subheading F: Data Analysis	
Subheading G: Verification	
Subheading H: Ethical Considerations	
Chapter Three: Results	
<i>(Number of results may vary depending upon research methodology.)</i>	
Subheading A: Findings related to Research Question 1 or Hypothesis 1	
Subheading B: Findings related to Research Question 2 or Hypothesis 2	
Chapter Four: Discussion	
Subheading A	
Subheading B	
Chapter Five: Implications	
Subheading A	
Subheading B	
References	
List of Appendices	
Appendix A	
Appendix B	

**** Acknowledgements Page should not be included until after the candidate has successfully completed the Dissertation Defense.**

See <https://registrar.uconn.edu/graduation/doctoral-degrees/#dissertation-information> under “Dissertation Specifications” for samples of the **Abstract**, the **Title Page**, the **Copyright Page**, and the **Approval Page**.

APPENDIX F: SAMPLE TABLE OF CONTENTS FOR ARTICLE DISSERTATION

Section headings and page numbers are illustrative only, although they do reflect the overall organization of the final dissertation document. Section heads are picked up in the Table of Contents so that a clear outline of each section of the dissertation is made visible to the reader in a way that illuminates its organization.

Table of Contents

Abstract	i
Acknowledgements	ii
Approval	iii
Table of Contents	
List of Figures and Tables	
Chapter One: Introduction/ Overview	
Rationale and Theoretical Background	
Review of Chapters/ Articles	
Chapter Two: (Article 1)	
Introduction	
Methods	
Results	
Discussion	
References	
Chapter Three: (Article 2)	
Introduction	
Methods	
Results	
Discussion	
References	
Chapter Four: (Article 3)	
Introduction	
Methods	
Results	
Discussion	
References	
Chapter Five: Conclusions and Future Direction	
Major Findings	
Limitations	
Implications for Theory	
Implications for Policy/ Practice	
Implications for Research	
Conclusions	
References	

APPENDIX G: PhD STUDENT/ FACULTY COLLABORATION AGREEMENT

**Ph.D. Student/Faculty Collaboration Agreement
University of Connecticut School of Social Work**

Faculty Member Name:

Doctoral Student Name:

Date Form Completed:

Date Form Submitted to Doctoral Office:

Description of the Project:

Timeline:

Doctoral Student Roles, Responsibilities and Tasks:

Anticipated Work Product:

Location for Doctoral Student Work:

Protection of Human Subjects where applicable:

Completion of CITI training. Yes____ No____

Benefits for Doctoral Student:

Benefits for Faculty Member:

Risks for Doctoral Student:

Describe any authorship or presentation goals and plans:

Describe any long-term data sharing agreement:

Describe any remuneration amounts and sources:

Faculty Signature _____

Doctoral Student Signature _____

APPENDIX H: ANNUAL PROGRESS REVIEW FOR DOCTORAL STUDENTS

General Information	
Name of Student	Click or tap here to enter text.
Date of Matriculation	Click or tap to enter a date.
Anticipated Conferral Date	Click or tap to enter a date.
Major Advisor	Click or tap here to enter text.
Associate Advisors	Click or tap here to enter text.
	Click or tap here to enter text.
	Click or tap here to enter text.
	Click or tap here to enter text.

Part I: Milestones and Self-Evaluation

To be completed by student by April 26, 2024

Please mark achieved and enter date.

Milestones		
Achieved	Milestone	Date
☐	Plan of Study on file with the Registrar’s Office	Click or tap to enter a date.
☐	Passed Comprehensive Examination	Click or tap to enter a date.
☐	Defended dissertation proposal	Click or tap to enter a date.
☐	Other (Indicate milestone and date completed)	Click or tap to enter a date.

A. Scholarly Activity (Dissertation Research Activity)

1. Provide a description of the progress you have made on your dissertation research in the past year.

Click or tap here to enter text.

2. Provide an outline of the dissertation research and writing you plan to undertake and complete over the next year.

Click or tap here to enter text.

3. If you have not made demonstrable progress in your dissertation research over the past year and/or do not anticipate making demonstrable progress over the next year, please explain.

Click or tap here to enter text.

B. Notable Accomplishments

1. List any notable accomplishments or recognition you received over the past year (e.g., awards, scholarships/fellowships, completed or scheduled conference paper or poster presentations, grant applications submitted or funded, manuscripts completed, submitted, accepted, or published, etc.).

Click or tap here to enter text.

C. Teaching and Communication Experience

1. List any experiences you have had over the past year that have enhanced your teaching skills (for example, as an instructor of record, attended workshops).

Click or tap here to enter text.

2. Describe any experiences you have had over the past year that have enhanced your communication skills (such as conference presentations, workshops, or other public events).

Click or tap here to enter text.

D. Professional Development

1. List any professional development activities you have been involved in over the past year, either at UConn or through other organizations.

Click or tap here to enter text.

2. Describe any service-related activities in which you have been involved. Indicate any leadership roles you played in those activities.

Click or tap here to enter text.

E. Interaction with Major Advisor

1. What academic support would you like your Major Advisor to provide over the next year and in what form (e.g., regular meetings, email correspondence)?

Click or tap here to enter text.

2. Other comments.

Click or tap here to enter text.

Part II: Evaluation by Major Advisor

To be completed by Major Advisor by May 3, 2024

- A. Please provide your evaluation and any comments you have about the student's academic progress to date and over the past year.

Click or tap here to enter text.

- B. Please comment on the student's dissertation research plans for the coming year as articulated above. Do these plans seem realistic? Please describe any concerns or suggestions for the student's goals and plans for the upcoming year.

Click or tap here to enter text.

- C. What are reasonable check-in points or deadlines within the next year for feedback/progress checks with the student? What are your expectations of the student regarding effective communication?

Click or tap here to enter text.

- D. Other comments.

Click or tap here to enter text.

Part III: Signatures

Signatures		
Student		Date: Click or tap to enter a date.
Major Advisor		Date: Click or tap to enter a date.
DGS/Program Director		Date: Click or tap to enter a date.