PhD and MS-PhD Programs HANDBOOK

UNIVERSITY OF ROCHESTER

SCHOOL OF NURSING

2021-2022

This handbook is published by the PhD Programs Office of the School of Nursing as a supplement to the *Student Handbook* published by the Office of Student Affairs. It was prepared in the summer of 2019. The School of Nursing reserves the right to change, at any time and without notice, any of its degree requirements, policies, course descriptions and requirements, and any other information contained in this handbook.

The University of Rochester School of Nursing (URSON) is accredited by the Commission on Collegiate Nursing Education (CCNE), 655 K Street NW, Suite 750, Washington, DC 20036-1120 (202-887-6791). The University of Rochester is accredited by Middle States Commission on Higher Education, 3624 Market Street, Philadelphia, PA 19104. The URSON PhD programs are registered with the State Education Department, University of the State of New York, Deputy Commissioner for the Professions, Office of Professions, Albany, New York 12230 (518-474-3862).

Equal Opportunity: The University of Rochester values diversity and is committed to equal opportunity for all persons regardless of age, color, disability, ethnicity, marital status, national origin, race, religion, sex, sexual orientation, or veteran status. Further, the University complies with all applicable non-discrimination laws in the administration of its policies, programs, and activities. Questions on compliance should be directed to the particular school or department and/or to the University's Equal Opportunity Compliance and Title IX Coordinator, Morgan Levy, at Morgan.Levy@rochester.edu, Phone (585) 275-7814.

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THIS BOOK IS INTENDED TO SUPPLEMENT THE SCHOOL OF NURSING'S *STUDENT HANDBOOK*.

School of Nursing Administrative Structure

Administrative Responsibility for PhD Programs

Administrative leadership for SON PhD programs rests with the PhD Programs Director, who reports to and shares responsibility with the Dean of the School and the Associate Dean for Education and Student Affairs.

The PhD programs are subject to all the rules and regulations for graduate study within the University under the leadership of the University Vice Provost and Dean of Graduate Education.

PhD curricula, courses, policies, and procedures are developed, guided, and evaluated by a PhD Programs Subcommittee of the Curriculum Committee. The PhD Programs Director chairs the Subcommittee, and the School of Nursing Dean and Associate Dean for Education and Student Affairs are *ex officio* members. The PhD Programs Subcommittee members are elected faculty with experience in the program, and non-voting student representatives. Meetings consist of an open portion in which policy is discussed with participation of student representatives and a closed portion, held without the student representatives, in which individual students and applicants are discussed.

This committee makes policy and procedural recommendations about the program curriculum, admissions, and requirements for progression and academic performance; responds to students' issues and concerns; and makes recommendations on individual student admission and progression. Working within existing University and School of Nursing policies, new PhD course offerings and revisions of existing course objectives, course descriptions, titles, prerequisite credits, course offerings, and course content are recommended to the Curriculum Committee. Policy regarding student admission and progression is recommended to the Student Affairs Committee.

For administration of the MS(NP Specialties)/PhD and MS(MNE)/PhD combined accelerated programs, the PhD Programs Director and the PhD Subcommittee work in conjunction with the Master's Program Directors and the Subcommittee for the Master's Programs.

PhD and Combined PhD Program Student Representation within SON

The PhD Student Forum (or Doctoral Forum) was formed by PhD students in the School of Nursing who wanted an organization tailored to their specific needs. The functions of the PhD Student Forum are to:

1) Provide non-voting representation for PhD students to School of Nursing standing committees (Curriculum Committee, Research Council, PhD Subcommittee, and Student Affairs Committee);
2) Facilitate an exchange of ideas and information among PhD students; and
3) Coordinate and facilitate interchange among PhD students, the PhD Programs Director and faculty, including guests and faculty from outside of the School.

Overview of the PhD, MS/PhD and MNE/PhD Curricula

Coursework phase The programs begin with 2 (PhD) to 3 (MS/PhD or MNE/PhD) years of intensive full-time coursework, which becomes increasingly specialized based on individual clinical (MS/PhD) or teaching (MNE/PhD) tracks and planned research directions. The semester-by-semester plan of study is mapped out with the academic advisor before starting coursework (samples of program degree plans can be found in the PhD Programs Office. All students complete a total of 360 hours of RA/TA work, which requires about 6 hours per week if completed over 4 academic semesters. Each student also is required to complete an Individual Development Plan (IDP) in consultation with his/her academic advisor.

MS/PhD and MNE/PhD students have intensive accelerated programs that include summer coursework and, for MS/PhD students, clinical preceptorships of 1-3 days per week in addition to coursework in the 2nd and 3rd years. MS/PhD students should not plan to be employed beyond 8 hours a week at the most.

Full-time PhD students may be able to manage 1-2 days per week of employment at the most.

PhD students with fellowships, either federal or SON, are restricted to 10 hours per week of non-research work. All students should plan for several days per week for reading and writing outside of class hours.

New students should note that graduate study at the PhD level, especially in the rigorous programs at UR, will probably require much more thinking and writing time than in BS or MS programs. It is important to take time to adjust to this kind of work as you build skills in logical thinking, writing, and oral expression.

The Qualifying Exam is administered in August after student completion of the first year of coursework. It consists of a time-limited written portion followed later by a 1-hour oral defense of the written exam.

Proposal development phase After students complete their coursework, they finalize and defend their dissertation research proposals. The proposal may be written during final coursework; otherwise, this phase can be completed in 1-2 semesters. For the duration of this phase, students must register for NUR 590, Dissertation Workshop, in which faculty and students meet to discuss and critique developing research ideas. The more work the student has done on the proposal during the coursework phase, the more rapidly he/she will be able to complete and defend it.

Students who maintain full-time registration should consider this phase a full-time effort. History shows that students who return to full-time employment and attempt to do the proposal in their spare time have difficulty maintaining momentum toward program completion.

With the academic advisor's guidance, the student selects a dissertation advisor from among designated SON faculty. (The dissertation advisor may or may not be the originally assigned academic advisor.) The primary dissertation advisor + an additional qualified SON faculty member + a qualified UR faculty member outside of the SON constitute the dissertation committee.

The dissertation proposal is a written document that is developed by the student and revised in response to critique by the primary advisor and committee members. When the proposal is judged ready for defense, the student prepares a public presentation of the proposed research, which is followed by a critique and oral defense conducted in private with the dissertation committee. Additional changes in the written proposal may be requested at that time.

The dissertation research may involve collecting psychological, behavioral, experiential, and/or biophysical data from individuals, families, and communities; testing clinical interventions developed or refined by the student; analyzing previously collected data from local or faculty research projects or national datasets; or a combination of these.

Dissertation research phase This phase can be completed in 6-24 months depending on the nature of the planned research. Once the proposal has been successfully defended and research review board approval has been secured, the student conducts the dissertation research project independently under guidance of the committee. The final dissertation is then written, revised with critique from the committee, and presented publicly, followed by a private defense.

Getting Started: Practical Information

Program Office

The PhD Programs Office is staffed during business hours daily. Denise Wofford, the Doctoral Programs Assistant, has access to the PhD Program Director's calendar, manages student mail and other communications, and manages and maintains supplies for the students' shared space.

University ID Card

The ID card not only identifies you as a legitimate presence in the School and Medical Center but can be used to store funds for photocopying, sign out library books, and other purposes. It can be obtained from the ID Office in the Medical Center with documentation such as a letter of acceptance to the program. See Student Handbook.

Parking

Once you have your ID card, you may go to the parking office and get a parking permit. The Parking Management Center, located at 70 Goler House, is open by appointment only, Monday through Friday. For more information contact parking@rochester.edu or (585) 275-4524. Do not park in the small HWH parking lot at any time. UR Parking Authority regularly tickets cars without HWH lot stickers.

Faculty Advisors and Program Planning

The PhD Programs Director assigns each student an academic advisor soon after admission. Students meet regularly (at least once a month is recommended) with their advisors to: (a) complete a program plan; (b) create, regularly review, and update, as needed, an Individual Development Plan (IDP); (c) discuss ongoing academic progress and development of dissertation research ideas; (d) seek out enrichment opportunities, such as interdisciplinary seminars, conferences, and research collaborations; (e) identify suitable RA and TA opportunities; and (f) utilize resources available for academic and personal support.

It is the student's obligation to initiate contact with the advisor on an agreed upon regular basis, as well as whenever help or guidance is needed, and to take responsibility for his/her own progress and success in the program. Students and faculty advisors are encouraged to download, and use for their own purposes, copies of an Academic Advising Agreement that outlines what students can expect from their advisors and what will be expected of them by their advisors in order to ensure positive progression toward their goals.

If a student desires a change in advisor during the program, or the advisor leaves the School or becomes unable to continue, the student should discuss alternatives with the current advisor and with the PhD Programs Director, who makes the final decision.

Student Work Space and Equipment

Shared doctoral student areas The 4th floor of HWH has several spaces dedicated to doctoral student use. Both PhD and DNP students have access to these areas. They include a kitchen and eating area, a room for mail, printers, and copier, and a large conference room. Students are responsible for protecting and caring for the valuable equipment and furnishings in these areas. This includes maintaining the security of the limited-access entry, discipline in the use of food and drink, keeping kitchen areas clean to prevent pest infestation, and properly shutting down the shared computers.

Student offices As with the common shared areas, students are expected to maintain the security and cleanliness of their assigned offices. Changes in assigned offices will be permitted if space is available and all involved parties agree to the change.

Students will receive a user name and password in the URMC which will provide access to online library resources, intranet resources, and email. All campus internet resources can be accessed remotely (including from home with your own internet service provider). Peter Moore of the SON's Information Technology Services department (room 3w320, extension 5-6717) assigns these resources and can provide instructions for access from campus and home. Assistance can also be provided with the configuration of mobile devices to access University resources. **Students should check their university**

email daily during the academic year and at least weekly during summer months for important messages from the Program Director and administrators.

Printers Paper and toner for the printers is very expensive. Because much course material is online, PhD students are at risk of printing a great deal of material that may not be essential. Due to the extremely heavy use of the PhD suite printer and materials, a printing fee may be instituted at any point to offset the increasing cost to the school for these resources. Please think before you print. Work on becoming comfortable skimming your search results and electronic articles on the computer screen. Use the printer only when a hard copy is needed.

Color printing The program office has a color printer and can print one copy of student documents that must be in color.

Photocopying Copiers are available for student use in Helen Wood Hall and Miner Library. All copiers require a pre-paid copy card, which can be purchased in Miner Library. The UR ID card also may be used to store funds for copying.

Business cards PhD students may have business cards made by contacting Denise Wofford and completing a university requisition form. Students are charged for cost of the cards.

Keys If you lose or do not return a key that is assigned to you, you will incur a charge of $15 or the current cost to replace that key.

Campus security The *campus police emergency number is x13.* The Advisory Committee on Campus Safety will provide upon request all campus crime statistics as reported to the United States Department of Education (USDOE). The statistics are available from the USDOE at http://ope.ed.gov/security/ and from the University at http://www.security.rochester.edu. You also can obtain a hard copy of the most recent report, *Think Safe*, by contacting University Security Services at 585-275-3340.

Registration Procedures and Requirements

Individual program plans A program plan should be developed in conjunction with the advisor before the first semester of study and registered in the SON Data Base. Denise Wofford will keep copies of each student's program plan in the PhD Programs Office. She should be notified of any program plan changes or updates (e.g. course numbers and names of cognates, once identified).

Course registration Course registration is generally completed in November for the spring semester, in April for the summer semester, and in June for the fall semester. There is a fee for late registration. Late registration dates are posted by the Registrar.

"Holds" preventing registration are:

O = need to have a copy of a current insurance card on file (Proof of alternative insurance coverage is needed each year to waive additional University student health insurance fees)
5 = need to have a degree plan on file
6 = need to have copy of CPR completion on file (for MS-PhD students)
7 = need to have copy of med exam on file (for MS-PhD students)
8 = need to have HIPAA statement completed
9 = first time hold for web registration
B = Bursar hold for unpaid account balance
J = need to have health update forms completed
Y = transcript hold
! = need to complete city-wide test (or mandatory employee in-service test)
= need to submit a copy of RN license
& = need to have a signed ADA tech standards form completed

Full-time and part-time status Full-time status requires registration for 12 or more credits per semester, UNLESS the student is also involved in lab or clinical experiences, research or teaching assistantships, or dissertation credits, in which case 9 credits constitutes full-time enrollment. (When coursework is completed and a student has completed all available credits for that phase of the program, the credit requirement for full-time status changes. See below.)

Full-time status carries with it several fees that are not required of part-time students, including activity fees and health insurance unless the student demonstrates s/he has other coverage. The SON covers the mandatory health service fee. Proof of alternative insurance coverage is needed each year to waive additional University student health insurance fees.

Residency requirement A minimum of one year (two consecutive semesters excluding summers) of full-time study is required by the University for all students. NUR 999 (see below) cannot be used to satisfy this requirement. Part-time students may meet this requirement by registering for 9 dissertation credits in each of the 2 semesters including and following the proposal defense. During that year they are required to pay all fees associated with full-time status (evidence of health insurance, activity fee).

Dissertation research credits (NUR 595) The PhD, MS/PhD, and MNE/PhD programs include a total of 18 dissertation research credits (NUR 595). These can be taken in varying amounts each semester until the required number of credits is met. A contract is completed for each semester and a grade is issued, supported by the completed contract (see expectations below). Students in dissertation phase should consult the program office about numbers of credits of NUR595 to register for each semester. Students may not use more than 12 hours of dissertation credit before completing the dissertation proposal defense.

A typical plan is to register for 6 credits in the first two semesters after coursework, defend the proposal before the end of the 2nd semester, and then register for 2-4 of the remaining 8 credits each semester, based on the time needed for dissertation completion and defense, to reach the required total of 18. For any semester with fewer than 9 credits, students desiring full-time status must also register for NUR999. If coursework has not been completed, program director approval is needed to use NUR999.

Continuation of PhD enrollment, NUR 995, NUR 999, and related fees The University of Rochester requires continuous enrollment from matriculation through completion. Students who have not completed the dissertation proposal defense after registering for 12 hours of dissertation credit, or have not completed the final defense after using all 18 dissertation credits, can maintain full-time status by registering for NUR 999 or part-time status by registering for NUR995. Students register for these (neither carries credit) under their advisor's name and pay a continuing enrollment fee each semester until the dissertation proposal defense or final defense is completed. As for dissertation credits, a contract is completed for each semester and a grade is issued, supported by the completed contract (see expectations below).

If the final dissertation is submitted early in a semester, part of that semester's fee may be refunded. NUR999 carries no credit and is used to maintain fulltime status when fewer than 9 credits are registered in a semester. The expectation of full-time effort will be maintained. Registering for NUR 999 preserves eligibility to defer student loan repayment and to purchase student health insurance.

NUR 995 (0 credits) is a place-holder that preserves the student's status as enrolled with part-time status. NUR 995 does not preserve eligibility to defer student loan repayment or purchase student health insurance.

The continuation fee for NUR 999 or NUR 995 for 2022-2023 is $1070 per semester. For students who are employees of the University, tuition benefits will cover only one semester of non-credit continuation fees. Students funded under an NRSA can use the grant's tuition funds to pay the fees.

Expectations for satisfactory completion of NUR595, 999, and 995 In order to support a grade of S (satisfactory) in NUR 595, NUR 999, or NUR 995, students and advisors must complete a contract each semester in which they document their goals and progress toward those goals. A form for this purpose is on G-public, and a sample is found in the back of this Handbook. A student registered for both NUR595 and 999 or 995 completes only one contract. Dissertation defense replaces the contract in the final semester.

The goals set by advisor and student may be modified by mutual agreement, but absence of progress by mid-semester will warrant an Academic Alert, indicating a risk of failure. "Incomplete" grades may be issued only when illness or other *unforeseeable* events prevent completion of the work. Employment responsibilities are not sufficient reason for a grade of "Incomplete." If work demands are a significant impediment to progress, a Leave of Absence should be considered. This contract signed by both student and advisor must be submitted to Denise Wofford in the PhD Programs Office for filing with the Registrar at the end of each semester. An E grade (failure) is treated as are other unsatisfactory grades, leading to academic probation after the first such grade and risk of dismissal from the program after the second.

Individual Development Plan (IDP) Policy

Each PhD, MS/PhD, and MNE/PhD student in the UR School of Nursing is required to create an Individual Development Plan (IDP) in consultation with his/her advisor. The IDP will help guide and organize career development and training goals. The IDP should map out the general career path the student wants to take and maximize training opportunities to meet individual development needs and achieve career goals. Since needs and goals will evolve over time, the IDP should be revised and modified on a regular basis, no less than annually.

The SON IDP consists of two parts: (1) selection of a career path, based on assessment of skills, values, and interests, and (2) creation of a development and training plan matching career goals.

The form to use for documentation of the IDP is available on G:\Education\PhDInfo (See also a blank form in the back of this Handbook.)

Policies on Good Academic Standing and Progression in the Program

Unless specified otherwise, all policies and procedures for both the Master's program and the PhD program apply to the MS(NP Specialties)/PhD and MS(MNE)/PhD combined programs.

Professional and academic honesty Academic integrity is of paramount importance at the University and in professional life. Students are obligated to know the expectations for academic integrity upon entry into the program and will be held to these expectations in all academic activities. Suspected violations will be reported to a review panel, and serious penalties will be assessed for violations of these expectations. Please become familiar with this section in the School of Nursing Student Handbook.

Disclosure of potential conflict of interest University of Rochester faculty, students, post-PhD fellows, residents and staff must complete and sign forms indicating compliance with the University conflict of interest policy. This will ordinarily be completed once a year at fall registration. Forms are kept in a confidential file and attached when a student submits a research proposal. University policy and guidelines are available at http://www.rochester.edu/orpa/policies/

Satisfactory academic performance A satisfactory grade is B- or higher, or S in courses in which letter grades are not issued. A "C" grade will be cause for review of the student's academic performance by the PhD Subcommittee and the Student Affairs Committee, and warrants academic probation. A C grade is grounds for loss of the Dean's Fellowship, which requires satisfactory academic performance. Failure to pass the PhD Qualifying Examination is another example of unsatisfactory academic performance that is grounds for loss of the Dean's Fellowship.

A grade of "C" may remain on the record for one non-required course such as a cognate, but if it is a required course, the student must repeat the course with a grade of B- or better. Academic progression is often delayed due to the need to repeat a required course. Probation status will be removed when the student receives grades of B- or higher for 9 credit hours of subsequent graduate study and when the course is successfully repeated if required.

A PhD, MS/PhD, or MNE/PhD student who receives a second grade of C has raised the question of his or her ability to succeed in the program. A second C grade may result in a requirement to repeat the course(s), temporary suspension from the program, or separation (involuntary withdrawal) from the program. The PhD Subcommittee (and MS Subcommittee if relevant) will make a recommendation to the Student Affairs Committee, which will base a decision on the student's total academic performance.

If a PhD, MS/PhD or MNE/PhD student receives a grade of E (failed) or WE (withdrawn-failing) in a course required for the program, including NUR 590, 595, 999, or 995, the PhD Subcommittee will make a recommendation to either (a) initiate or continue academic probation and allow the student to repeat the course or (b) separate the student from the program. Reapplication is permitted after involuntary separation but readmission is unlikely unless substantial change in academic approach can be demonstrated.

MS/PhD and MNE/PhD students are subject to MS policy requirements for the MS courses in the curriculum, and questionable academic performance is reviewed by both MS and PhD program subcommittees. See Student Handbook for more detail on MS grading.

Please note that failure to maintain satisfactory academic progress may result in the loss of eligibility for federal, state, and/or institutional aid. We recommend that students work closely with their advisors and course instructors to achieve a positive record in the future.

Grades of "Incomplete" A student who anticipates difficulty in completing the work for a course within the semester can request from the course instructor an extension of time to complete the course requirements. The request must be initiated by the student prior to the assignment deadlines. Granting of an Incomplete Contract is at the discretion of the course instructor. Incomplete Contract forms are available from Student Affairs and on G-public. The form includes the date by which all work will be completed and must be signed by the student, instructor, and Program Director. The instructor will enter a grade of "I" for the semester. When the work is completed, the grade will be changed to IA, IB, etc., indicating that a grade of Incomplete has been resolved. If the student anticipates being unable to meet a previously negotiated extension date, a Request for Extension on Previous Incomplete Contract form may be submitted using the same process. Incomplete grades must be resolved before a student can complete program milestones, including the MS Comprehensive Examination, the PhD Qualifying Examination, and the dissertation proposal defense.

Extension of time to complete the PhD program Per University policy, students have 7 calendar years after entry with a BS degree or 6 years after entry with an MS degree to complete the PhD program. This time limit applies regardless of whether they have been enrolled full-time or part-time or have taken leaves of absence. Students that are readmitted after withdrawal are handled on an individual basis.

If the dissertation is not defended by the end of the final allotted year, a request for an extension of time to complete the program must be submitted to the PhD Programs Director by the student with supporting comments by the student's advisor. Requests for extension should describe progress to date toward degree requirements and a detailed plan and timetable for completing degree requirements. Forms to request an extension are available on G: public or by contacting Denise Harris in the PhD Program office.

All requests for extension must be approved by the PhD Subcommittee and are subject to review by the SON Dean. The approved extension duration will vary depending on the individual student's situation and may be limited to a few months. Requests for additional extensions are contingent on continuous progress toward degree completion, in line with the student's detailed plan. Failure to meet milestones over several program extensions can be (and has been) cause for separation from the program. Students who continue in the program for 12 or more years are reported to the University Dean of Graduate Studies.

Leaves of absence Leave may be granted for personal or professional reasons, for a maximum of two semesters. If a student does not foresee being able to return to the program in one year, voluntary withdrawal (see below) is the better option. As noted above, according to University rules, time spent in a leave of absence is counted toward the time limit for completion of the program.

A leave of absence requires completion of a Change of Status form and signature of the PhD Programs Director and the student's advisor. If approved, students should register for NUR 985 and pay the associated fee ($60/semester). The fee is waived if the student provides documentation of registration at another university for coursework to be applied to the University of Rochester degree. Students registered for NUR 985 are not eligible for student health insurance and should explore the effects on loan deferment.

Voluntary and involuntary withdrawal **<u>Voluntary withdrawal</u>** is an appropriate action if a student's plans change, or the student feels unable to achieve satisfactory performance, has exhausted the option for a leave of absence, or does not foresee being able to return to satisfactory performance within one year. The student may reapply to the program after withdrawal. The application for re-admission will be judged with the student's prior academic performance taken into account. **<u>Involuntary withdrawal</u>**, or administrative separation, may be incurred as a result of persistent failure to achieve satisfactory academic performance or progression based on program requirements listed above, failure to pass the qualifying exam for the second time, or as a result of a serious violation of School or University policy.

Please see the SON Student Handbook for further information.

Readmission and Re-matriculation after Withdrawal from the PhD program Students who have previously matriculated and have withdrawn from work toward the PhD degree may apply for readmission. If readmitted, the student will be expected to reformulate a degree plan with the assistance of the advisor and will be required to pay the stated re-matriculation fee plus any indebtedness previously incurred. Graduate courses completed successfully by the student prior to withdrawal may be counted as partial fulfillment of the requirements of the degree, provided: (a) the courses form an integral part of the student's new program and are approved for inclusion by the advisor and (b) the courses were completed not more than five years prior to the date of application for re-matriculation. (Regulations and University Policies Concerning Graduate Studies **https://www.rochester.edu/GradBulletin/**(p.6). Readiness of an applicant for readmission who was at the dissertation stage no more than five years prior to the date of application will be evaluated using criteria and materials determined to be relevant to that applicant's situation, including (a) evidence of scholarly progression in the interim that demonstrates the applicant's readiness to return and (b) the fit of the dissertation topic with the program's currently available mentors and resources. Students must complete the program that is in place at the time of their readmission. The maximum time for a re-matriculated student to complete the program for the degree will be based on the credit hours remaining to be completed, computed at a rate of at least six credit hours a year. This does not negate the maximum time limit for the degree.

The PhD Curriculum

PhD Program Goals, Objectives, and Evaluation Data Sources

The goals of the PhD Program are to produce:	After successful completion of the PhD Program, the graduate will be able to:	Achievement of objectives will be evaluated by audit of:
I. Scholars who develop and refine the evidence base for culturally congruent collaborative health care of individuals, groups, and populations.	1. Critique, synthesize, and apply theory and research evidence on clinically relevant issues and problems. 2. Articulate the contributions of the graduate's own research and that of his/her discipline.	1. Dissertation (literature review and significance) 2. Dissertation (discussion section)
II. Scientists who design, conduct, and critique research for the improvement of health care and the advancement of theory and practice.	3. Design, execute, and disseminate clinical research that is: • Rigorous • Ethical • Theoretically congruent • Clinically and socially significant	3a. Qualifying exam b. Dissertation (methods and results) c. Publication of dissertation, per curriculum vitae
III. Leaders and mentors who contribute to the dissemination, teaching, and advancement of research in academic and clinical settings and in national and international arenas.	4. Demonstrate progression toward a leadership role in health science research, education, and policy. 5. Recognize importance of mentoring students and facilitating professional advancement of colleagues in clinical and educational settings. 6. Disseminate information through scholarly presentations and publications to promote the growth of the profession.	4. Curriculum vitae after 5 years 5. Curriculum vitae after 5 years 6. Curriculum vitae after 5 years

Approved Spring 2006

PhD Program Requirements

The University of Rochester requires a minimum of 90 credit hours for completion of the PhD degree. A maximum of 30 credit hours from a Master's degree can be applied toward the 90 credit hour minimum. The remaining 60 credits usually must be taken at the University as a matriculated student. If a required course has been taken prior to matriculation with a grade of B- or better, it will satisfy the course requirement, but not the credit requirement. Additional credit hours will be required to meet the 60 credit hour minimum after matriculation.

Courses required for the PhD students entering in the 2021 fall semester are:

COURSE #	COURSE NAME	CREDITS
NUR 560	Role of the Clinical Researcher	0
NUR 505	Epistemology and Concept Development	3
NUR 506	Epistemology and Theory Construction	3
NUR 507	Research Appraisal and Synthesis	3
NUR 508	Writing and Publishing in the Health Sciences	2
NUR 510	Applied Statistics I	3
NUR 512	Applied Statistics II	3
NUR 511	Basic Principles of Quantitative Research Design	3
NUR 555	Basic Principles of Qualitative Research Design	3
NUR 513	Research Measurement	3
NUR 514	Research Integration and Proposal Development	3
IND 501	Ethics and Professional Integrity in Clinical Research	1
Cognate Courses [selected individually by student]		12
NUR 590	Dissertation Workshop	0
(Required following completion of NUR 514 until dissertation proposal defense)		
NUR 595	Dissertation	18
TOTAL		60

Cognate Courses
Cognate courses are chosen with the assistance of the advisor and Program Director to advance the student to the cutting edge of his or her chosen research area. These courses may be focused on topical content or research methods. Students are encouraged to gain interdisciplinary exposure by taking cognates outside the SON. These courses may be chosen from among those carrying PhD credit anywhere in the University or elsewhere* with prior permission of the advisor and PhD Program Director. For courses offered by University departments, consult the *Graduate Studies Bulletin*, available on the Graduate Studies website at http://www.rochester.edu/gradstudies/publications.html.

*Within the 90 credits required for a PhD degree, the SON PhD program only includes 60. The remaining 30 are transferred in from the MS degree. However, the UR limits credits transferred in from other universities to 30, so *students whose MS degrees were taken outside the UR have generally used all 30 credits to fulfill the MS component of the PhD. In these cases, any further courses taken outside the UR must be approved in advance by the Dean of Graduate Studies*.

The SON courses listed below have been approved as cognates. Course offerings are subject to change and cancellation for low enrollment. Inquiries related to the availability of any of these courses, for a given year, should be made well in advance

NUR 541 Theory and Research on Health Behavior (3cr)
NUR 545 Research Using Existing Data (3cr) (510-512 prereq. and 513 preferred)
NUR 556 Advanced Qualitative Research Methods: Qualitative Description (3cr) (555 prereq)
NLX 466 Epidemiology and Population Health Research

University of Rochester courses at the doctoral level outside the SON are an ideal source of cognates. For students *who have not yet transferred in 30 credits*, cognates may be taken at Syracuse University or Cornell University through the University's Exchange Scholar Program, with tuition coverage, if an equivalent course is not available at the University of Rochester. A form is completed for approval.

A minimum of 12 credits of cognates is required. Based on the advisor's judgment, additional cognates may be required for adequate preparation to conduct a dissertation in the student's chosen area.

MS/PhD and MNE/PhD Curriculum Notes

The objectives and requirements above AND the MS program objectives and requirements BOTH apply to the MS/PhD and MNE/PhD programs, with the following exceptions:

1. One or more PhD cognates (varies by specialty track) are replaced by select master's-level courses.
2. The master's programs research requirement (ordinarily NUR 400) is met by taking the PhD research courses NUR 510, 511, and 512. If an MS/PhD or MNE/PhD student decides not to continue PhD study before completing these courses, the research requirement for the Master's degree can be met by taking NUR 400.

Independent Study Courses

When no cognate is available in the University in a student's area of interest, and a University faculty member with the appropriate expertise is willing to supervise an independent study course, such a course may serve as a cognate. Independent study courses, if taken, should comprise only a small portion (3-6 credits) of the student's program of study. Convenience of scheduling is not sufficient rationale for an independent study course if a course on the same content is offered.

Prior to registering for an independent study course, a "Summary of Proposed Activity for NUR 591 Reading Course/Independent Study" form (on G-public) should be completed by the student and supervising faculty and approved by the PhD Program Director. A sample form is provided at the end of this Handbook.

Prerequisites and Recommended Course Sequencing

NUR 505 has no pre-requisites
NUR 506 has no pre-requisites (but NUR 505 as pre-requisite is preferred)
NUR 507 co-requisites are NUR 510 and 511
NUR 507 is pre-requisite to NUR 508
NUR 510 is prerequisite to NUR 512.
NUR 511 has no pre-requisites
NUR 505, 506, 507, 510, 511, and 512 are prerequisite to NUR513.
NUR 555 is prerequisite to NUR 556.
Passing the Qualifying Exam is prerequisite to NUR 514.
NUR 514 is pre-requisite to NUR 590.

All required courses, IND 501 and all RA/TA hours must be completed prior to the dissertation proposal defense. Students may not register for more than 12 credits of NUR 595 prior to completing the dissertation proposal defense. See above for use of NUR 999 and NUR 995 for continuation status.

Dissertation Workshop (NUR 590)

The purpose of the 0-credit Dissertation Workshop is to help students who have completed their course work sustain momentum toward proposal defense. It provides a regular, organized opportunity to present work on the dissertation research design and to receive feedback from faculty and fellow students.

Registering for NUR 590 alone does not meet the continuous registration policy requirement. If no other credits are taken, a student must register for NUR 995 (part-time) or NUR 999 (full-time) in conjunction with NUR 590.Continuous registration and participation in NUR 590 is required from the semester following completion of NUR 514 through the dissertation proposal defense.

Research and Teaching Assistantship Requirement

Assistantships prepare students to conduct their dissertation research and assume roles as academic faculty. Every PhD and MS/MNE-PhD student is required to engage in 360 hours of paid or unpaid teaching and research assistant work as part of his/her program of study. The requirement must be completed before proposal defense and advancement to candidacy. Engagement in TA or RA hours or dissertation research along with 9 credits of coursework constitutes full-time enrollment, which otherwise requires 12 credits per semester.

At least half (180 hours) must be RA hours, and students may use all 360 hours for RA experience. Students funded by GAANN fellowships for any period of time must complete 180 hours of TA experience regardless of the number of RA hours completed. Assistantship experiences are selected with the guidance of the faculty advisor and completed under the guidance of a faculty mentor. Advisors must approve in writing (forms available electronically and sample at back of Handbook) each RA or TA experience before it is begun. Paid RA or TA experiences must be approved in advance by the PI or course instructor to validate their awareness that this is an educational experience and will involve learning opportunities and skills that the student has not yet mastered.

Before RA or TA work is begun, the student, academic advisor, and research supervisor or course instructor complete and submit a form to the PhD Programs Office on which they identify the nature of the research or teaching assignment and describe the planned research or teaching activities. **After RA or TA work is completed,** the student documents, on another form that also is submitted to the PhD Programs Office, the number of hours completed for each activity along with the total number of hours completed. Students then have the hours and activities signed off by the supervising researcher or instructor. The hours are entered into PhD Program records and into the student's academic transcript maintained by the Student Affairs Office. Students are responsible for keeping a personal record of hours and activities completed for each RA and TA experience. This documentation may be requested to validate the total number of hours recorded on the summary form. Forms and skills logs are available electronically and in the back of the Handbook. The skills logs are used by the student to track the distribution of RA and TA experiences (these logs are not handed in and are for student/advisor use only). Students should use these to guide selection of experiences and maintain a cumulative record.

RA hours The goal of the required RA hours is to gain familiarity with the full scope of activities of clinical research. Students should seek exposure to as many aspects of research as possible, both to prepare for the dissertation and to gain essential skills that will not be practiced in the dissertation project. Research Assistantships are identified by the student and/or academic advisor. Open opportunities are publicized at least once each year via email by the PhD Program Director, and new opportunities are also publicized by email as they become available. Students may also approach faculty and inquire about unpublished opportunities. RA hours may be done with faculty outside the SON who agree to supervise the student in the learning experience, if the advisor and PhD Programs Director approve and if the advisor is willing to maintain contact with the outside research supervisor to insure a productive experience. The range of research activities desirable for assistantship experiences are identified on the RA Work forms and on the log at the back of this Handbook. Students should use these.

TA hours The goal of the TA experience is to provide some experience for students who anticipate future roles as members of academic faculty. Students with experience as course faculty need not complete TA hours unless receiving funding that requires it (e.g., GAANN), but instead must complete 360 hours as RAs. Teaching assistantships are assigned by the Associate Dean for Academic Affairs in conjunction with the Director of the PhD programs. Assignments are typically for an average of 6 hours per week or a total of 90 hours in a semester. As with RA experience, students should seek out a variety or course formats and levels to gain a broad exposure to teaching. TA work may include lectures, grading of papers and exams, leading discussion groups, and other experiences. The list on the TA Work forms and skills log at the back of this Handbook provide a guide to the activities students may be asked to perform. Instructors may ask students to be involved in other aspects of teaching as well. Students should maintain a cumulative checklist of research experiences using the TA Hours log form.

Resources to Enhance Your PhD Learning Experience

Income Tax Status of Funds Received for Education and Research

In general, stipends and reimbursements paid by the University are reported to the IRS. Funds used for tuition, fees, books, and supplies can be subtracted from reported income on tax returns, but funds used for cost of living expenses, research, and travel are taxable. Details can be found at:
https://www.irs.gov/taxtopics/tc421 Students who receive funding for their dissertation work that includes research expenses as part of the approved budget should meet with the research accounting office prior to incurring any expenses to learn about the tax status of types of research expenses. The mechanisms used to reimburse students for research expenses, regardless of funding source, may include the UR payroll system.

Funding for Tuition and Cost of Living Support

Paid research and teaching assistantships. Assistantship opportunities for pay may be available. These are funded by the research grants of individual faculty (RA work) and by the SON for teaching assistantships (TA work). TA salary is determined by the Associate Dean for Education and Student Affairs. Salary ranges for paid RA positions are determined by the research administration and investigator.

Information on open paid RA positions may be obtained from the Program Director or Associate Dean for Research and for paid TA positions from the Associate Dean for Education and Student Affairs. PhD students engaged in part-time teaching responsibilities, whether for required hours or for payment, are designated as teaching assistants.

Tuition awards Program resources permitting, the School provides full tuition awards for full-time PhD and MS-PhD students for up to 60 credits at the SON tuition rate. Pre-registration for courses is required to enable budgeting of funds. Tuition award forms will then be sent to the Bursar's Office to cover these credits (students will receive a copy of the award form). If any changes are made in the number of credits taken each semester, such as when a course is added or dropped, the student must notify the PhD Programs office immediately. *The SON will not pay tuition costs for credits registered after the 6 years allotted for completion of the PhD (7 years for MS-PhD). Students will be responsible for tuition costs after that.*

Employee tuition benefits. Students (both fulltime and part-time) who are eligible for employee tuition benefits are expected to use these benefits toward tuition costs. Please notify the PhD Programs office of eligibility or loss of eligibility for this benefit. The website for SMH benefit information is: http://www.rochester.edu/working/hr/benefits/tuition/

Stipends for cost-of-living support
Full-time PhD and combined Master's/PhD program students will be eligible for a cost-of-living stipend of $25,000/year for up to 4 years. Students receiving this stipend are expected to:

- Limit non-research employment to 10 hours per week during the academic year
- Maintain full-time enrollment and satisfactory academic performance (grades B- or better in all courses and pass the PhD Qualifying Examination on first offering) throughout the funded period.
- Co-author 2 publications with faculty by the end of the' 3rd year of study
- Apply for external funding by the end of the 3rd year of study, with the understanding that the stipend will be reduced by the amount of the stipend grant received

Students who fail to meet these expectations may be placing future stipend support in jeopardy.
If a student receives another stipend award from any source (NRSA, University fellowship, etc.) the SON stipend will be reduced by that amount.

Limitations and restrictions of PhD stipends Since the main goal is to enhance recruitment of top-quality applicants who will progress to the PhD within 4 years (MS/PhD and MNE/PhD within 5 years) or soon thereafter, stipend support is not open to students who are re-matriculated or who enter part-time and then decide to become full-time.

Stipends will be verified by letter to the students, and checks may be picked up from the program office or directly deposited into the student's account.

University fellowships Entering PhD students in the School of Nursing may be eligible for one of two highly competitive University fellowships for PhD students—the Sproull and Provost's Fellowships. The SON submits applications on behalf of eligible applicants in February before entry into the program.

Loretta C. Ford Fellowship The Loretta C. Ford Fellowship is awarded to an RN student by the PhD Program Director. It was established in 1987 in honor of the School's first dean, Loretta C. Ford, RN, EdD, PNP, FAAN, FAANP, who is internationally renowned as a practitioner, teacher, and scholar and the co-creator, with Henry Silver, MD, of the nurse practitioner role. She is the recipient of numerous awards and honors, including the Gustav O. Lienhard Award from the Institute of Medicine, National Academy of Sciences. In 2011, she was inducted into the National Women's Hall of Fame in Seneca Falls, New York, the birthplace of the American Women's Rights Movement. The Ford Fellowship is awarded each year to a nurse entering the program for full-time study who demonstrates the highest potential for academic and professional success. The recipient is recognized at the fall Convocation.

Limits on Full-time Teaching While Enrolled in the PhD Program
Students who are also fulltime employees face difficult conflicts of interest because they must comply with employment expectations levied by the same faculty who are encouraging them to progress toward the PhD. As of May 2007, SON PhD students, whether enrolled full-time or part-time, may not simultaneously hold full-time teaching positions in the SON. From that time forward, no PhD students may accept fulltime

employment in the SON, and no full-time SON employees may enroll in the PhD program (either part-time or full-time) without reducing their employment status to half-time or less.

Faculty associate titles (Senior Associate) are used for full-time University employees who have been ranked faculty or preceptors prior to PhD study and continue their full-time employee responsibilities during PhD study. The title accommodates University rules that prohibit simultaneous PhD study and employment as ranked faculty. The number of individuals holding this title is small because PhD students' full-time faculty employment in the SON is prohibited, with the exceptions noted above.

Awards and Funding Sources for Research Expenses

The PhD program strongly supports and facilitates student applications for a wide range of funding for PhD study and research. Funding sources for our students have included: Nurses Educational Funds, Inc.; Sigma Theta Tau International (and local chapters); nursing specialty organizations such as the Oncology Nursing Society; and non-profit organizations such as the American Cancer Society. You are encouraged to contact the Center for Research Support (CRS) Administrator (x5-8055), to determine funding opportunities in your area of research interest, including procedures for registering on the Global Expertise Network for Industry, Universities and Scholars (GENIUS) and Spin Matching and Researcher Transmittal System (SMART) http://infoedglobal.com/. In addition, notices of funding opportunities that come to faculty are sent to PhD students via email.

Jill Thayer Dissertation Award The Jill Thayer Dissertation Award is given to a PhD candidate from the School of Nursing, or a School of Nursing faculty member who is pursuing a doctorate elsewhere. The purpose of the award is to support dissertation research in the area of nursing practice or education as it relates to personalizing/humanizing either of those vital encounters. Students whose proposals have been defended and approved by the student's PhD committee are eligible to apply. Applications are made in the spring semester, and the award is presented each fall at Convocation. This cash award is to be used for dissertation research expenses.

Katharine Donohoe PhD Student Scholarly Practitioner Award The PhD Student Scholarly Practitioner Award, created in 1999, was renamed the Katharine Donohoe PhD Student Scholarly Practitioner Award after its first recipient. Katharine Donohoe was, at the time of her death, a PhD candidate, clinician, and clinical faculty member internationally known for her practice, research, and educational contributions to the care of patients with neurological diseases, especially multiple sclerosis. This award recognizes PhD students, prepared as nurse practitioners, who have undertaken research focused on improving the well-being of the population served in their practice roles. The student's performance will exemplify clinical excellence, outstanding scholarship, and professional leadership. This cash award is given annually to a student nominated by the PhD Programs Director and the Dean and is presented at the fall Convocation.

The Susan B. Anthony Dissertation Awards Students across the University may apply for these research grants of up to $1000, which are awarded to the University of Rochester PhD candidates having completed (or nearly completed) dissertation research related to women's and/or gender studies. The awards are made in the spring semester.

Ruth L. Kirschstein National Research Service Awards (NRSA) for Predoctoral Fellows (F31)
Federal funding is a major milestone for a new researcher. The Individual National Research Service Award (NRSA) F31 training grant award provides tuition support, funds for research and scholarly expenses, and a stipend of over $24,000/year. Applications may be submitted from the point of acceptance into the PhD program through the start of the final year (at least 9 months of funding must be requested). All students who are able to pursue fulltime study and are US citizens or permanent residents are encouraged to apply for an NRSA from the National Institutes of Health or AHRQ.

The applications are electronically submitted through the Center for Research Support pre-award staff. The application package can be downloaded from http://grants.nih.gov/grants/funding/424/index.htm. The pre-award staff in the Center for Research Support will provide an overview of the application and assist in the preparation as outlined below. Information sessions about the application and review process may be facilitated by the Program Director, on request.

Readiness for NRSA application. The first and most important consideration in planning an NRSA submission is the availability of a sponsor whose research is closely linked to the student's interest and who is willing to collaborate on preparing the application. Students should meet with their advisors to discuss sponsorship and co-sponsorship options.

The second consideration is whether the student's research ideas are developed enough to submit a proposal. The application includes the research proposal (aims, literature review, design and methods of the proposed study) and a detailed training plan, with courses and experiences that support the student's preparation to do the proposed research. Both parts need to be detailed and well coordinated. Students applying in the first year of study are expected to have a clearly identified topic and a strong, well-integrated review of the research literature on that topic, with a general indication of the methods to be used to pursue the research question. During the 2nd year of study, the methods should become more complete and refined, and by the time coursework is completed, the entire research plan should be close to finalized. NIH reviewers judge the applications with the student's stage in the program in mind.

The third consideration is the timeline. There are 3 submission dates each year (April, August, and December). The Center for Research Support (CRS) orients potential applicants and their sponsors to the process and timelines for preparing and sending the NRSA application. Students should inform CRS staff Dana St Aubin of the intent to apply for funding at least three (3) months before the deadline, to arrange an orientation session and have time to take full advantage of CRS resources in collaboration with the sponsor. Upon notification, Ms. St Aubin will schedule an orientation meeting to review the guidelines, outline support that will be provided by CRS, and create a timeline for proposal submission.

The lag time between submission and the results of review is 3-4 months. Applicants then receive a priority score and a detailed critique from 2-4 reviewers. NRSAs are rarely funded on the first submission and may be revised and resubmitted once using suggestions from the critiques. About 25% of NRSA applications are funded overall, but the success rate increases with each revision. Students should have the "long view" in mind and be prepared to revise the application to increase their chances of success. After receiving a fundable score, it still may be up to 12 months before funding is actually awarded, so students' personal budgets should take that into account. **Conditions of NRSA fellowship:** Students receiving NRSA Fellowships should be familiar with the conditions of the award as described in the NIH Guide. http://grants1.nih.gov/grants/guide/pa-files/PA-11-111.html. Recipients are expected to pursue their program of study full-time (40 hours per week) for the calendar year. **School of Nursing policy permits only 10 hours per week of non-research employment (such as a clinical job) outside the school for students funded by NRSAs or SON stipend support.** Research-related employment (such as paid RA work) may be considered part of the program of study or may need to be counted as outside employment, as determined by the CRS and PhD Programs Director on an individual basis in light of NIH guidelines. **NRSA funding generally terminates when the final version of the dissertation is submitted after defense.**

Applying for External Funding and Managing Award Funds
All applications for external funding must go through required School of Nursing and University sign-off procedures. The PhD Programs Director and CRS Administrative Assistant, Dana St. Aubin, should be notified of intent to apply for external funding as early as possible. An organizational meeting for the student and sponsor is scheduled with the CRS pre-award staff to review potential support and required sign-off procedures.

CRS provides administrative support to students in the development of research proposals, including interpretation of application guidelines, identifying support to be provided, assembling the sections of the application, securing all required sign-offs, and mailing or electronic submission of the proposal. Contact CRS staff for assistance in formatting and preparing grant applications.

The timeline for securing required approvals or signatures (both University and School) as coordinated by the CRS staff is:

1. Sponsor and/or mentor: must approve final proposal prior to submission to CRS
2. Associate Dean for Research and PhD Programs Director, receives proposal from CRS, 8 business days prior to agency due date
3. Office of Research & Project Administration (ORPA): receives and processes 5 days prior to agency due date.

Students' management of research accounts from NIH or other grant sources. When PhD students receive funds from agencies, foundations, or associations in support of their research, the funds are distributed through the SON research office (CRS). University policies and procedures are strictly observed because as a recipient of federal funds, the University is subject to strict accounting regulations.

When a student has received acknowledgement that his or her proposal has been approved for funding, the first step is to provide the Administrator for CRS a copy of this notification. Upon receipt of this notification, the administrator will request that a grant account be established. The administrator and the student will receive documentation of the established account. At that time, a meeting should be scheduled between the administrator, staff accountant assigned to this award and the student to review and discuss University policies and procedures for purchasing.

All research materials must be purchased through selected University vendors using established paperwork and forms and must be countersigned by the administrator for CRS. If a student makes a purchase or commitment prior to the administrator's review and signature, or fails to follow the University's established procedure, the student may be held liable for that expense.

When transactions involve hiring personnel, at least one month's lead time before the process of hiring can begin may be required for the preparation and approval of appropriate paperwork, which will confirm an appointment and initiate paychecks to be processed by other divisions within the University.

The student will receive monthly financial ledger reports, which reflect expenses to date, along with a cover sheet. The student is required to review the ledger for accuracy of the expenses and then sign and return the cover sheet indicating that the expenses listed on the ledger are accurate, or indicating any errors. This procedure is important as it meets many audit requirements. In addition, it is the student's responsibility to stay within the established budget.

Most research projects are awarded for a specific time period. When an award is reaching the expiration date, the student will be notified by the CRS administrator and/or the staff accountant that the account is about to expire unless an official extension from the funding agency is requested. If funds remain in the account and an extension is permitted by the funder, the student is responsible for submitting a request for extension in a timely fashion. This request should be coordinated through the CRS Administrator's office and like the initial grant proposal is co-signed by the Office of Project and Research Administration (ORPA).

All questions or concerns regarding the spending of research dollars, process to be utilized, or financial status should be reviewed with the Administrator for CRS.

Travel Funds for Scholarly Work

The School of Nursing supports and encourages student participation in professional meetings. Funds must be applied for and approved before the trip. Students who are presenting a paper or a poster may request reimbursement up to $2500 per academic year to attend conferences of their choice. **Thirty days before the trip**, students must complete a "graduate student/post-doc off-campus activity and travel fund request" form (in PhD folder on G-public), have it signed by the PhD Programs Director and turn it in to Denise Wofford (4w122A). **After the trip**, students complete the "student expense report for university business" form (in PhD folder on G-public), and bring the form and original receipts to the PhD Program Office for processing. Please allow several weeks for the reimbursement process.

Funds and Instructions for Preparation of Poster Presentations. Production costs for posters are supported. Extra costs associated with "rush" orders, however, will not be supported. Students will acknowledge on the posters that support was received from the University of Rochester School of Nursing. Instructions for preparing posters and templates using official logo and colors are available electronically in the PhD folder on G:public.

Additional Travel Funds for ENRS

ENRS (Eastern Nursing Research Society) is the regional nursing research association for New England and the mid-Atlantic states. ENRS holds an annual research conference in March or April, which includes events and awards oriented to PhD students. Attendance and presentation each year is an outstanding scholarly opportunity for all UR School of Nursing PhD students and is highly recommended. Visit www.enrs-go.org for more information. Students selected to attend the ENRS annual conference will be fully supported.

Additional Travel Funds for CANS State of the Science Congress

CANS (Council for the Advancement of Nursing Science) is the research policy and facilitation arm for the

American Academy of Nursing. Faculty and student attendance and presentation at the annual State of the Science Congress on Nursing Research in September are strongly encouraged. Students selected to attend the annual CANS State of the Science Congress will be fully supported.

Learning Opportunities to Enrich your Academic Research Training Experience

Events Sponsored by the School of Nursing

The SON sponsors clinical and research Grand Rounds and other research-related events, including discussions of research design issues and funding processes and presentations by visiting faculty and faculty candidates. PhD students are welcome at these events, as are faculty, post-docs, multidisciplinary colleagues, advanced practice nurses, and other interested persons. Notices are distributed by email.

Seminars and Presentations throughout URMC and wider University

Research interest groups can be found throughout the University and Medical Center, and PhD students are welcome at most of these. Advisors and faculty can direct students to events on topics of interest.

Starting Your Scholarly Career: Presentations, Publications, and Funding

The Importance of Scholarly Productivity

The most significant professional contributions of PhD-prepared individuals are the results of their scholarly work, disseminated in presentations and publications, which become part the scientific foundation for clinical practice. Typically the work is first presented at a research conference to gather feedback from scholarly peers and then submitted for publication in a peer-reviewed journal. Funding for research and scholarship is also highly valued, both because it enables the work to be completed and because it is a mark of the importance of the work. Scholarly productivity of students during and after completion of the program is one of the main measures of quality in PhD programs and is carefully tracked by the SON.

A *curriculum vitae*, or CV, is a scholar's record of all his or her scholarly work, and takes the place of a resume as a career-long record of these achievements. During the PhD program, students should begin building their CVs and establishing track records as active scholars. A template for a CV is in the back of this Handbook and on G:\Education\PhDInfo. A CV must be attached to each Annual Progress Report.

The main activities to focus on are research-focused presentations, publications, and grants. RA experiences offer ideal opportunities to contribute to preparation of presentations and publications about the ongoing faculty research. Students also are encouraged to prepare presentations and manuscripts for publication from their course assignments, including integrative literature reviews, theoretical analyses, and papers on problems and solutions related to research methods. Faculty can provide guidance as to which work is suitable for further development into a presentation or manuscript for publication.

Grant funding can be sought for scholarship support of PhD and post-doctoral study, and for completion of the dissertation research. As described above, grant funding is awarded by professional associations, charitable foundations, local organizations such as churches and community groups, and the offices and institutes of NIH. Even small awards are considered important achievements for PhD students. Most require an application, sometimes quite detailed, and most accept applications only a few times each year. Students are encouraged to seek out these opportunities in advance of finalizing the dissertation proposal, so that deadlines can be anticipated.

The PhD Programs Office keeps track of students' scholarly achievements for program evaluation purposes and to support requests for funding. Students should notify the program director when a paper or poster is accepted for presentation or publication.

Authorship of Faculty-Student Jointly Authored Publications

All individuals contributing to a manuscript for publication should be acknowledged. Major conceptual and writing contributions must be recognized by inclusion of the individual's name as an author. For research publications, substantial input to the formulation of the problem, creation of the design or intervention protocol, organization and conduct of the analyses, or interpretation of the results; or writing of a major portion of the publication constitute such a contribution.

Students should be listed as co-authors on faculty papers for which they have made such contributions. When the work is originated by the student and the development of the manuscript has been led by the student, and when the focus of a publication is a student's original thesis work, the student should be listed as first author. Students may be sole author on publications developed independently if faculty contributions do not reach the level of authorship based on the criteria above.

Accepting authorship for a publication entails accepting responsibility for the accuracy, originality, proper acknowledgement, and ethical implications of the content of the publication.

Other contributions to the conduct of the work being described in the publication do not necessarily warrant authorship but should be acknowledged in the text or a footnote. Such contributions may include: literature searches; data collection, coding or entry; recruiting participants; or running requested analyses.

Acknowledgments on Student-Authored Publications

Manuscripts on which the author is identified as a UR student should be discussed with a member of the faculty prior to submission. When the results of the dissertation are published, the main advisor and possibly other committee members are likely to have made contributions that warrant authorship, and at least should be noted in the acknowledgments.

Students whose work is supported by NIH funding either to themselves or mentors must acknowledge that support, using NIH-approved language, and notify the publisher on submission that the work if published must be submitted to the federal public access source according to federal requirements.

Publication of Work Involving URMC Staff or Clinical Data

Papers, posters, or presentations in which URMC staff have served as authors or research participants, in which protocols or clinical data including program evaluation data are presented, or in which SMH or URMC is identified must be reviewed by the Director of Nursing Research of SMH before submission for presentation or publication.

PhD Program Milestones: Policies and Guidelines

HSPP Certification

To be eligible to conduct or work on research as a member of URMC, students must be certified as having received training on protection of human research participants. The University of Rochester has two programs that are available to investigators: Human Subjects Protection Program (HSPP) (https://www.citiprogram.org), for research considered greater than minimal risk, and Ethical Principles in Research Program (ERPR), for research considered minimal risk.

PhD students must complete the HSPP and provide a copy of the certification letter to the PhD Program Office by the start of the 2nd semester. The ERPR (human subjects certification for lower risk studies) is not acceptable for this requirement.

Certification and recertification (every 3 years) involves completion of a series of short on-line refresher modules with a brief quiz after each module.

Human subject protection training is required
http://www.rochester.edu/ohsp/education/certification/initialCertification.html)

PhD Research Day

In May, following the end of classes, in a day-long event, each student presents a short presentation to an audience of fellow students and faculty, followed by brief discussion and critique. The purposes of PhD Research Day are to facilitate student progress toward proposal defense by encouraging them to work with their advisors to plan their brief presentations; showcase the areas of student research interest for SON faculty and fellow students; provide a forum for exchange of ideas and suggestions to strengthen students' proposals; create a conference-like venue to develop presentation and critique skills; and serve as an annual milestone to inspire continued clarification and refinement of dissertation plans. ***Research Day is tentatively planned, May 4th, 2022.***

Benefits of PhD Research Day specifically for students are:

1. Students have a target date by which to pull together a summary of their progress in planning the proposal
2. Students work closely with advisors to develop their presentations, which moves both of their thinking forward
3. Advisors and students hear other faculty's thoughts on the students' plans
4. Students get input from and exposure to a wide range of faculty to consult or add to their committees
5. Students hear from their colleagues in other cohorts
6. Faculty are brought together in dialogue and can role model effective critique.

Participation is required of each student, full-time and part-time, who has not yet defended her/his dissertation proposal. Students on Leave of Absence are excused. The student presentation is required but not graded. Advisors are also expected to attend at least their advisees' presentations, and all faculty and students are welcome. The day includes an informal luncheon, at which entering students may interact with those already in the program and meet their future advisors.

Presentation length is determined based on the number of presenters and is generally 8-12 minutes with a similar amount of time for questions. The schedule of presentations is sequenced starting with first year and progressing to second year and later students. The presentation (PowerPoint slides are expected) should reflect the student's thinking to date on his or her projected dissertation proposal. Students' topics or plans may change from one year to the next. Possible levels of development follow, recognizing that variations will occur:

1. First year PhD students should describe a problem and its significance, highlights of literature to date, and propose a research question with possible design to answer the question. First year MS-PhD students should at least be able to identify a problem, question, and literature highlights.
2. 2nd year PhD students should have a complete design, with sample, recruitment plan, etc., which they would have developed in NUR 514. 2nd-year MS-PhD students will be partway to this goal.
3. 3rd year presenters would be MS-PhD students at the 2nd year above-described level. Other 3rd time presenters should have a well-developed proposal and be on the brink of proposal defense.

Tips for students on preparing for Research Day. It is expected that some points of your research plan are not yet finalized. The earlier you are in the program, the less you are expected to have decided. The point of this day is to give a snapshot of where you are and get helpful input from your peers and especially from faculty you may not have discussed this with before.

You will be asked to email your PowerPoint presentations to the office the day before so we can load them. Plan on about one slide per minute of your talk. Decide the main points that you will be making and divide your content into those slides. The area that usually needs to be synthesized the most is the literature review—the maximum would be 2-3 slides. Use traditional research headings like: Problem and Significance, Purpose, Background Literature, Research Questions, Methods. Do not put full sentences on the slides—use phrases that you will then expand on. (DO NOT have any animation or sound effects in your slides unless you are demonstrating a research procedure.)

Do not prepare a script to read unless absolutely necessary. It is much more effective to summarize the content on the slide in your spoken language rather than your written language. Practice your presentation at a normal pace to be sure you can do it in the time limit, including acknowledgments and side comments. It is VERY frustrating to be cut off for running out of time. The timekeeper is empowered to cut off both students and faculty who go beyond the time limits for the presentation and the critique.

Meet with your advisor to plan your slides and practice your presentation. This is essential for these reasons:

1. your advisor needs to agree with what you are planning to do for your research
2. your advisor will be your main defender when you get questions you cannot answer, and so he/she needs to be thoroughly aware of what you plan to say
3. doing the presentation in front of your advisor is the best simulation of what it will feel like to give it in front of more faculty.

Plan to attend the full day. You are your fellow students' main and most supportive audience, and it will be very exciting to hear what colleagues from other cohorts are planning for their research. Advisors know that they are expected to be there for your presentation or make other arrangements for someone to support you and take notes. Other faculty will come in and out, as in a real research conference, attending the topics they are interested in.

PhD Student Annual Progress Report

At the end of each spring semester, each PhD and MS-PhD student submits to the PhD Programs office:

- a **current Curriculum Vitae** (template in back of Handbook and on G:/public) and
- a **progress report** which has been discussed and cosigned by the advisor.
    - Students who are pre-proposal defense and are not registered for dissertation credit complete the form, in back of the Handbook and on G:/public, entitled **PhD and MS-PhD Student Annual Review.**
    - Students registered for any NUR 595 credits or for PhD continuation status (NUR 995 or NUR 999) dissertation credit complete the so-designated **Goals and Progress Report** form, in back of Handbook and on G:/public. The PhD Programs Assistant will turn the form in to the Registrar at the time the advisor enters a grade for the semester

PhD Qualifying Examination (reviewed and approved 2016)

The written exam will be administered mid-to late August, 2022 and the oral portion will be conducted in approximately two weeks. Students should clarify their plans to take the examination with the PhD Programs Director no later than May 2022. Students entitled to accommodations for disabilities should insure that the Program Director receives the appropriate notice from the ADA Coordinator well in advance of the exam. Students are eligible to take the Qualifying Examination after all of the following first year PhD courses are completed: NUR 505, NUR 506, NUR 507, NUR 510, NUR 511, NUR 512, NUR 555. "I" grades in any of these courses must be cleared by July 1 preceding the August examination date.

Purpose. The goal of the Qualifying Exam is to tap into students' ability to apply principles of qualitative and quantitative design and think theoretically and philosophically about research design and knowledge development. The purposes of the examination are to assess students' ability to:

1. understand and interpret key concepts from first year courses that are foundational to the various quantitative and qualitative research methodologies and their epistemological underpinnings;
2. synthesize and integrate the content across first year courses in application to research problems, and
3. use both written and oral forms of expression to present ideas both logically and succinctly.

The exam serves as an indicator to faculty of potential student difficulties in program completion. It provides students with feedback about their overall program progress and areas that may need strengthening. Copies of old exam questions are available in the PhD program office but should be viewed with the knowledge that the types of questions have changed considerably over the years.

Format. The qualifying examination consists of written and oral portions. The written portion is completed in two 3-hour time blocks (in one day or two half days). It is "open book." The written exam can be completed in a School of Nursing office or received and returned by email from a location of the student's choice. The time limits are the same for both options.

A committee of three faculty selected by the PhD Programs Director is responsible for reading the written portion, conducting the oral portion of the exam, and providing an overall evaluation of the student's performance. The oral portion consists of a one-hour oral examination by the committee and is held approximately one week after the written portion.

Written exam structure. The exam consists of essay responses to several questions. There will be 1 or 2 questions for each of the two writing sessions. Each question will call for an integration of learning from 2 or more first-year courses and may ask for application of that learning to a hypothetical research situation. Not all phases of research design (design, sampling, data collection, data analysis) or all epistemological standpoints will be covered every year, but students should be prepared in all these areas because the topics will not be announced ahead of time.

You will not be expected to have specialized knowledge of the literature on any clinical, biological, or psychosocial topic named in the questions; any errors of fact related to clinical topics you are asked to write about will not factor into the evaluation of your performance. Again, the exam focuses on your grasp of design concepts and their underpinnings, and how to design a research study.

You may bring any materials you wish to the written exam if you take it at the SON, but remember you have only 3 hours in each session to plan, outline, and write. Your class notes and handouts and, especially, your review notes are essential as quick references to concepts or principles. Textbooks and core readings are also useful. Be very careful about using text from previous papers you've written-- it is often best to write from scratch, to be sure you are answering what is being asked, and there is only a remote chance you will be asked for exactly what you have written. Be sure to email your finished exams to yourself or save them on a flash drive.

You are not expected to use perfect APA format or include full citations, but you ARE expected to double space your document, use headings and numbers to indicate the questions and their parts, and credit authors for ideas that are not your own. For example, you might say that Husserl wrote X about intersubjectivity, or that Trochim noted Y about quasi-experimental designs, but you do not need to give a full reference. The clarity and logic of your writing and your demonstration of the ability to apply the concepts you have learned are most important. You may want to go through and put the citations and references into your exam in the interim week, in case you are asked.

A grading rubric, the ***PHD Qualifying Examination Guidelines*****,** is used to evaluate performance on the exam. Always remember that the exam is evaluated as a package of both your written and oral responses. Therefore, preparation for both parts is essential.

Suggestions for Qualifying Exam preparation

1. Retrieve and organize your first year course materials (syllabi, readings, notes, and your papers)
    a. Because the quals are general and not about your own interest area, include assignments and test options you did not choose.
    b. Look at the course objectives. Did you meet them?
    c. Look at the papers and exams you wrote. Critique them for yourself, and be sure you understand your instructors' critiques as well.
    d. Focus on major principles and topics. In other words, you may not know every idea from every philosopher, but you should know the major perspectives that have been applied to scientific knowledge. You may not know the name of every kind of dummy coding, but know what the process is used for and why it matters which approach is chosen.
2. Find your weak areas.
    a. Identify the areas you were unsure about or did not do well on.
    b. Locate the study materials on those topics, including suggested or non-required readings.
3. Plan a general review with your cohort.
    a. Meet and discuss your preferences for working together.
    b. Find out individuals' strengths and weaknesses in the content areas.
    c. Make a plan to review each course as a group, with meetings on a regular basis.
        i. Consider volunteering to lead the review on topics on which you are most unsure, and thoroughly work through that material to have a strong grasp of it.
    d. AFTER you do the course reviews, discuss sample questions as a group.
        i. brainstorm on the many possible ways each of you might answer the questions
        ii. write your answers individually as if you were taking the exam (see below)
        iii. come up with as many critiques as possible that could be raised against your individual answers
        iv. take turns being in the hot seat and defending your written answers to a "committee" of your peers
        v. review knowledge of key concepts with different combinations of flash cards that identify themes and topics used in past exams
    e. Try to make up new questions that bridge 2 or more courses; then try to answer them.
4. Ask for faculty help on focused topic areas on which there is general group insecurity.
    a. Find these areas sooner rather than later—by late May-early June, before faculty become hard to reach.
    b. Ask course faculty or reliable proxies to meet with the group to discuss these topics.
5. Study on your own.
    a. Review your course materials in preparation for each group discussion- don't rely on the person assigned to lead the review to address all the areas you may need help with.

   b. Try writing answers to the sample questions.
   c. Ask your advisor or another PhD-involved faculty member to look at your written answers after you go over them with the group.
   d. Plan faculty interactions for early in the summer—do not expect them to be available after July 1 (the Program Director is here part- time in summer; other faculty may not be)
6. Decide which exam format is best for you individually, and let the PhD Programs office know.
   a. 1 or 2 day format (2 mornings, or AM and PM on first day)
   b. Off campus (send and receive by email) or assigned SON faculty office
   c. Honor system applies; you may sign an affidavit that this was independent work

Preparing for the oral exam

1. Format of exam
   a. Day and time will be booked well in advance
   b. 1 hour will be allotted for the interaction, followed by 30 minutes for the committee to meet privately and then discuss the results with you.
   c. For students for whom English is not a first language, while it is expected that the oral exam will last 1 hour, if language issues have prevented completion of the exam within the hour, the faculty team leader has the discretion to extend the time by 15 minutes.
   d. Committee questions will focus on areas of limitation or inconsistency in the written exam, but they may ask for expansion or examples from your stronger answers as well.
2. Preparation between written and oral exam
   a. Prepare to NOT talk to your colleagues about the exam questions or your answers. This is extremely difficult but ethically mandatory.
   b. Step back from your writing for a day or so, then study it with a fresh perspective
   c. Read each question again and read your answers again, trying to read it as the committee would, looking for any possible weak spots
   d. Go through and add the full citations and references to specific works you cited, in case a reader wants to know the exact source
   e. If you discover major problems or errors (i.e., if you misunderstood a whole question) call the PhD Programs Director in case she wants to let the committee know you have realized this, and prepare to provide your new answer verbally in the oral exam
   f. Sometimes a committee will invite you to start the oral exam by briefly critiquing your own written exam or explaining any areas you believe need clarification.
   g. Prepare brief, clear written notes for yourself on areas you want to change or explain.
      i. Do not expect the committee to read these—they are for your own use
      ii. Refer to these notes during the exam if given the opportunity to correct, explain, or expand on your written answers.

Faculty Guidelines for Conducting the Oral Portion of PhD Qualifying Exam (approved 2016)

<u>Oral Exam Format</u>. The oral examination by a committee of 3 faculty is held within one to two weeks after the written portion. One hour is allotted for the exam itself, followed by 30 minutes for the committee to meet privately and, then, to briefly discuss the results with the student. The committee will inform the student whether s/he has passed or failed and verbally summarize strengths, weaknesses, and suggestions for further strengthening knowledge and skills. A copy of the completed grading rubric (*PhD Qualifying Examination Guidelines*) is sent to the Program Director by the examining team leader to accompany a formal notice of the exam outcome that is sent to the student and advisor.

Note: *The exam is a two-part process that is viewed as a whole in determining whether a student has passed or failed. If a student's written exam is scored such that it is impossible for the student to pass the whole exam, the student will be given the option to partake in or forgo the oral examination.*

Review of the written exam: Each committee is composed so that to the extent possible it includes expertise in philosophy and theory as well as qualitative and quantitative designs. If a member feels unsure about a certain content area, a more expert member probably will be able to critique that section more thoroughly. Faculty should read the written exam questions and students' responses carefully and note areas of the responses that are missing, unclear, inaccurate, or not logically defended, keeping in mind that the exam tests knowledge of basic principles, not complete mastery of the nuances of research design. Passing the qualifying exam represents a minimal level of mastery and does not necessarily signify total control of the material.

Faculty should form independent opinions of the written work. After doing so, they are free to discuss confidentially their general impressions of the written exam within the committee before starting the oral exam. This sharing can be done by email or by taking a few minutes just before the exam begins. The goal is to determine preliminary agreement on written exam scores, stronger parts of the exam and priorities for further exploration in the oral exam. If a student's written exam is scored such that it is impossible for the student to pass the whole exam (i.e. a "Not Achieved" in either or both of the quantitative and qualitative exam components), the student should be given the option to partake in or forgo the oral examination. The wording of the "Weak" score on the written component will be sufficient to move the student forward for the oral part of the exam, even if both the quantitative and qualitative components are scored as "Weak."

Faculty may well have preliminary opinions of the student's abilities through contact with the student during courses or based on word of mouth, but otherwise strong students may be found to have difficulty with synthesis of material across courses, and previously struggling students may succeed on the exam thanks to great effort in review and preparation. Every effort should be made to treat the exam as a stand-alone demonstration of ability and to avoid being influenced by pre-existing positive or negative experiences.

Role of the team leader and members: The team leader checks in with the other 2 members before the oral exam and facilitates a brief discussion or email exchange; provides the introduction, leadership, and timekeeping during the questioning; and ends the oral exam. S/he facilitates the team's discussion of the student's performance after the exam, determines consensus on passing or failure, and writes notes of strengths and weaknesses for a report to the student and program director. S/he presents the results of the exam to the student and the program director and forwards the completed grading rubric. All team members have responsibility to give a careful reading of the written exam and base their questioning on the strengths and weaknesses as they perceive them. Faculty new to the process should feel comfortable asking questions and raising issues with the team leader.

Conducting the oral exam: The committee may wish to start the exam by asking the student to comment briefly (5-10 minutes) on the written exam. The student is entitled to reframe or correct any of the written answers during the oral exam but should not expect committee members to read new written responses at the oral exam. The student should bring a brief list of references or source materials cited but not completely referenced in the written exam.

The student will be anxious to hear an appraisal of the written exam, to know where s/he stands at the outset and to be able to put the subsequent questions into perspective. If they have agreed on this in advance, the team leader is free to give preliminary impressions of the written exam's strengths and areas in need of further exploration before starting the questioning.
The initial questioning process is best conducted section by section in the order of the exam as written. Committee questions usually focus first on limitations or inconsistencies in the written exam, but they may ask for expansion or examples of stronger answers as well. The team leader should insure that each committee member has the opportunity to raise issues or pose questions about each section, but one faculty member's question often produces an answer that addresses concerns of others.

If a response is incorrect or inconclusive, faculty may ask for further detail or specific examples, point out inconsistencies in logic and ask for clarification, or describe alternative scenarios in which the answer becomes problematic and invite the student to reconsider or rework the response. To the extent possible within the time limits, the student should be given every opportunity to express a satisfactory answer.

Correct application of not only terms but principles should be taken into account and weighed. For example, incorrectly naming a type of sampling may be less important than being unable to identify a design to answer a common type of research question.

The tone of the exam. The tone of the interaction should be one of scholarly dialogue. Questions should be posed as one would to a colleague during a peer critique session, with an effort to set a tone that is supportive yet rigorous. Wording can include, "Could you explain…" "I wasn't clear on what you meant by…" "Can you say more about…" "There seems to be an inconsistency…" "Can you give an example of how this idea could be applied in a specific study…"

Students appreciate verbal or nonverbal feedback as the exam goes along. Individual faculty should feel free to indicate when they are satisfied with an answer or when they feel more explanation or clarification still is needed. A failing evaluation at the end of the oral exam should not be a surprise. When answers are incomplete or incorrect, the student should be told this appraisal in a gentle way and have the opportunity to expand on or discuss the answers. If s/he is repeatedly unable to provide a satisfactory answer despite rephrasing of the question, coaching, and simplification, it may be helpful for a faculty member to ask that the exam move on.

Faculty must recognize the pressure students feel during this exam, even when the exam is going well. For most, this will be their first experience of being required to perform in this way with such significant consequences. If a student becomes so stressed or upset that s/he has difficulty answering questions, faculty can offer a brief break or provide emotional support. If extreme nervousness or physical illness severely impairs a student's ability to participate in the oral examination, such that his/her true ability cannot be determined, this should be brought to the attention of the Program Director and an alternate oral exam date can be discussed. When all of the faculty are satisfied or when an hour has elapsed, the exam should be brought to a close and the student invited to step out of the room while the faculty discuss and confirm their impressions.

Evaluation of Qualifying Exam performance and notification of student and program director. When the student has left the room, faculty should come to agreement as quickly as possible on whether the exam is a success or a failure, keeping in mind that ability to meet all 3 goals of the exam (grasp of basic principles and synthesis along with adequate written and oral expression) is the required level of achievement.

The team should agree on strengths and weaknesses, which the team leader should record. Then the student should be asked back into the room, and the team leader should convey to the student verbally whether s/he has passed or failed and briefly summarize the rationale, along with any suggestions for further strengthening the student's knowledge and skills.

After the student has been informed of the outcome, the team leader should contact the Program Director that day to pass along the news and should forward a copy of the grading rubric within 48 hours. In cases of failure, the Director and advisor in consultation with the team leader will use this appraisal to set up a remediation plan.

Post-Exam Outcomes for Students

Consequences of Failure.

1. A remediation plan will be developed with the advisor and the program director.
2. This may include revisiting courses or classes or working on writing or oral skills
3. The student may not progress to NUR 514 until (s)he passes the qualifying exam
4. The student may ask for a make-up exam in December, after very careful deliberation with his or her advisor and only if there are very limited weaknesses s/he needs to remedy. This is a major decision because a 2nd failure results in separation from the program.

Consequences of Passing.

1. The student has achieved a milestone toward PhD candidacy (the others are completion of all classroom courses, RA/TA hours, and the dissertation proposal defense)
2. The student has been advised of identified weaknesses to attend to—passing is a minimal level of mastery and does not necessarily signify total control of the material.

Students are encouraged to consider saving their exams in case next year's students are looking for an example of a satisfactory written exam. Their questions and topic areas will be different but, as we well know, just having a model can be helpful.

Policy, Principles, and Procedures for School of Nursing PhD Dissertations (approved 2016)

<u>Policy</u>

The basic rules for dissertations are found in the University of Rochester Manual for Graduate Students "Formatting the Thesis and Preparing for Final Defense." This manual is prepared by the Office of the University Dean of Graduate Studies and is updated annually. The most current

edition of the manual may be found at G:// Public Education link in the PhD Info folder and at http://www.rochester.edu/theses/ThesesManual.pdf.

Principles Governing School of Nursing Dissertations

1. Forming a Dissertation Committee

PhD students invite at least 3 faculty members to serve on their dissertation committees based on the potential of the faculty to guide the proposed research. This selection may be made as early as desired and must be made in advance of finalizing the dissertation proposal, to enable committee members to contribute to the proposal. The academic advisor assists the student to select the dissertation committee. The academic advisor may or may not serve on the dissertation committee, and if s/he serves on the committee, it may or may not be as the primary dissertation advisor. The primary dissertation advisor becomes (or continues as) the academic advisor. Assuming membership on a SON PhD dissertation committee becomes part of the faculty members' teaching assignment.

The minimum of 3 members includes 2 internal and one external member. The internal members are a minimum of two School of Nursing full-time faculty members at the rank of Assistant Professor or higher, one of whom serves as the primary dissertation advisor. Students are strongly advised to seek a primary advisor first, before seeking out other committee members. Selecting additional faculty to serve on the dissertation committee should be done with guidance by the person who has agreed to fulfill the primary advisor role. **Guidelines for selecting a primary SON dissertation advisor include the following**:

a. Associate or Full Professor on the tenure track with primary dissertation advisor experience
b. A tenure track Assistant Professor may be eligible, given strong evidence of an actively emerging program of research that includes, (a) first-authored data-based publications; (b) extramural research funding as PI; (c) three years on the tenure track; and (d) previous membership on a completed PhD dissertation committee.
c. An Associate or Full Professor of Clinical Nursing (PhD or DNSc) may be eligible, given strong evidence of an established program of research and current active involvement in research that includes, (a) first-authored data-based publications; (b) extramural research funding as PI or Co-PI; and (c) previous membership on a completed PhD dissertation committee.

The external member is a full-time University faculty member from outside the School of Nursing who holds the Assistant Professor rank or higher. Students should consult the Program Director if there are questions about faculty eligibility.

Committee members may continue to serve on the committee up to 1 year after leaving or retiring from the University, if they have agreed to continue working with the student and agree to attend the final defense. After the 1-year mark, a former or emeritus faculty member may not continue as one of the 3 "counted" members but may be retained as a member in addition to the three full-time faculty required. The Dean of Graduate Studies must approve exceptions.

A holder of a secondary or adjunct appointment in the School of Nursing who has a primary appointment in another UR school may serve as the member from outside the SON. With approval of the SON Dean and the Dean of Graduate Studies, the outside member may be from outside the University (see *Official University Bulletin, Regulations Concerning Graduate Study,* available online at UR Graduate Studies).

When committee members have been chosen, the student notifies the PhD Programs Assistant, who prepares a memo from the PhD Program Director and SON Dean that, pending their approval, is forwarded to the proposed committee members, with a copy to the University Dean of Graduate Studies, confirming that they will officially constitute the committee. A *Curriculum Vitae* from the proposed outside member should accompany the memo if the faculty member has not previously served on a dissertation committee in the University. Ultimately, committee membership is subject to approval by the Dean of Graduate Studies.

2. Preparing the Dissertation Proposal

The student, with input from the members of the dissertation committee, will determine what format to use for the dissertation by choosing one of the two below-described options.

Regardless of the chosen format, the dissertation proposal consists of content typically found in the first three chapters (*or equivalent) of the traditional 5-chapter dissertation monograph, which comprise (a) the **statement of the problem**, (b) **the literature review and theoretical orientation** if relevant, and (c) the **study methods**. The written proposal should be written in the future tense and demonstrate a synthesis and application of philosophy of science, theory, elective courses, and scientific methods in the student's research area. (*For example, if committee members are in agreement, an NRSA proposal might be considered to be an equivalent preliminary version of the first three chapters.)

The proposal topic and outline should be approved in advance by committee members. The student writes the proposal in close consultation with the dissertation advisor, who has the final authority on the content and organization of the proposal. Former students' hints on proposal development may be found in a document on G-public in the PhD folder.

<u>The following documentation (FORM A) is required for the proposal defense of students who have chosen the 3-paper dissertation option</u>. Form A outlines the preliminary plans for the proposed papers which have been agreed upon by the student and dissertation committee. It lists for each proposed paper (#1 #2 & #3): content area/focus, proposed authors, potential journal, and anticipated date of submission.

3. Procedures and Options

Dissertations from SON students may be done in one of two formats: (a) a traditional 5-chapter monograph format or (b) the 3-paper dissertation option, wherein to fulfill the dissertation requirements students must write three full-length manuscripts that are submitted to, accepted for publication, or published in a scholarly peer-reviewed journal approved by the student's dissertation committee.

While the work of the dissertation is the same for either option, students may use the 3-paper option format as a way to enhance dissemination of their scholarship. ***Students select the dissertation format in consultation with their committee members prior to the Proposal Defense.**

*Students who have completed the proposal defense and then decide, with their advisors, to change from one dissertation option to the other will forward a written request to the PhD Programs Director that explains the rationale for the change in plans. Students choosing a change from the traditional 5-chapter dissertation option to the 3-paper option should include, in their rationale, how use of the 3 papers in this approach will sustain the focus on a single coherent research topic (not a series of unconnected topics). Form A will be completed at this time, identifying submitted, published and/or planned for manuscripts that will be part of the dissertation.

<u>Option #1</u>

The student, with input from his/her dissertation committee, may choose the traditional 5-chapter dissertation option. The sketch of dissertation chapters below may be used as a general framework for most dissertations, although the primary advisor has the final say on chapter content and format. All description of the planned project should be in the future tense, ending with a timeline, and the references and appendices. In the completed dissertation, the first three chapters are updated and converted to the past tense, chapters 4 and 5 are added, and the timeline is removed.

General Guidelines

Chapter I: Problem and Significance. In this chapter you describe the phenomenon you will study and make the case for the seriousness of the issue you hope to help with. Focus on a practice problem that is researchable and clearly identified as an area of interest and relevance to your profession. To convey its importance, include details on the incidence or prevalence of the illness or condition and its effects (physical, psychosocial, economic). Then, after a very brief summary of current knowledge about or response to this problem (brief because you will do this in depth in Chapter II), conclude with an introductory statement of the purpose and overall design of the planned study.

Chapter II: Background and Orientation to the Problem. In this chapter, you can begin by explaining your orientation to the problem (the philosophical, theoretical, and/or epistemological view that will direct your choice of question and design). You may opt to take a biophysical approach, an epidemiologic one, a political one, a psychological or family-level one, etc. In some cases this will be a clear choice, and in others you should defend your chosen approach over other theoretical perspectives. For example, health behavior phenomena can be explained genetically, epidemiologically (viewing drug use or obesity as epidemics), or with a variety of psychological and psychosocial frameworks, ranging from pure behaviorism to self-determination. If you are planning a qualitative study, you can still review the main theoretical orientations that have been brought to bear on the issue, and then defend your choice to start over with an open-ended exploratory approach, based on evidence that existing frameworks have not sufficed to understand the problem.

In the main body of the chapter, you present your literature review: what is known about the influences on the problem and any solutions to date. Ideally, it should be organized according to your chosen framework. If there is no theory or framework covering your topic, create subtopics to reflect the areas of inquiry that touch on your focus. Synthesize current knowledge rather than describing a list of studies. You may include a table of the main studies you are drawing on, to avoid having to give the design, sample and results of each study in the text. Address not just the topics and findings of the research to date, but also the adequacy of the methods that have been used across disciplines to address the problem. If you have done a pilot study or instrument development study that revealed relevant *findings*, describe it here, concluding with how the main study will build on the pilot work. (If you did pilot work that was mainly to test your *methods*, describe it in the next chapter.) Conclude the synthesis with a tight summary of what is known and not known about the phenomenon, and indicate the gap in knowledge you will fill with the proposed study.

Chapter III: Methods. Use the traditional headings of Design, Sample, Instruments (unless qualitative, in which case describe your methods under data collection), and Procedures (with subheadings for recruitment and data collection, protection of human subjects, and data analysis). Conclude with a timeline for study completion.

Under Design, defend your choice of study design based on the literature to date. This includes your choice of a particular qualitative approach or a particular quantitative approach. For a quantitative study, you may provide a model of how variables are proposed to relate to one another.

Under Sample, describe your target population, accessible population, inclusion and exclusion criteria, and sample size. Include power analysis if appropriate.

Under Instruments, list variables to be measured (they should measure the concepts in the diagram or model in Chapter II if one has been included) and describe each one, as well as the support for your choice of tool or measurement approach. (Provide copies of tools in an Appendix.)

Under Procedures, describe recruitment, data collection plans, and steps to be taken for protection of human subjects (or refer readers to RSRB application in an Appendix).

Both qualitative and quantitative proposals should describe the planned steps for data analysis. Include very specific information about the quantitative analyses: the specific variables and specific statistical procedures to answer each study question. This level of detail is very helpful to guide the later analysis and insures that the student and committee are in agreement about what the findings of the research will consist of. For qualitative proposals, describe specifically how text will be prepared and analyzed to reach the desired final product for that type of qualitative approach. You may need a section after Data Analysis on how rigor will be maintained and validity of findings will be optimized.
If you've done pilot work, refer to your experiences when describing your planned procedures, and explain which methods will be the same and which will be different. Conclude the proposal with a timeline for completion of the phases of the project and dissertation writing.

When converting this chapter for the final dissertation, in addition to changing everything to past tense, quantitative studies should have the analysis section modified to include any ancillary or exploratory analyses and the rationale. Qualitative studies will need most of this chapter thoroughly rewritten to describe and explain the decisions that were made along the way during sampling and analysis.

Chapter IV: Results. This is written after completing the research. Opinions differ as to whether you refer to other literature in your Results chapter. Most nursing dissertations save any comments about the relationship of findings to existing literature for Chapter V. Another difference of opinion is on whether the final sample's demographics and characteristics should be described in Chapter III under Sample, or as results in Chapter IV.

For a quantitative study, after presenting the sample description (if not added to Chapter 3) and any initial descriptive results, go through your research questions/hypotheses one by one and present the answers.

Avoid going into detail on the analytic steps, which should have been detailed in Chapter III. In the body of the chapter, present only those tables necessary to demonstrate the answers to your research questions. Preliminary analyses (such as correlation matrices or interaction tests) may be included as appendices if the advisor sees fit.

For a qualitative study, present the overall integrated findings first and then lead the reader through the sub-parts of the main findings. For example, if a theory has been developed, present the theory and then provide description and supporting evidence for each component and relationship. If a qualitative description has been developed, present the integrated description and then describe the thematic components.

Chapter V: Discussion. Here you place the findings into context, including how they relate to existing literature and theory, and how they contribute to practice, education, and policy. These topic areas may be used as headings in the chapter. Limitations are acknowledged. Implications for future research are presented, including specific studies that logically follow from this one. Indicators of validity of qualitative findings should be discussed using criteria appropriate to the particular qualitative approach.
Avoid long repetitions of your findings from Chapter 4, providing only brief reminders of the main points as needed.

References. List all references cited in all preceding chapters. (These can be single spaced with blank lines between them.)

Appendices. These include tables of ancillary literature, IRB application and approval, consent forms, preliminary findings or case examples if appropriate, instruments and their permissions, and other material that is useful but not essential to the presentation of the research. (Note that ProQuest will not publish an instrument without specific permission from the copyright holder, who is usually not its author, but the publisher of the instrument or of the journal article in which the instrument appeared.)

<u>Option #2</u>
The student, with input from his/her dissertation committee, may choose the 3-paper dissertation option. Using this format, the PhD dissertation requirement is fulfilled by writing a minimum of three full-length papers in line with the manuscript expectations of recognized journals. Each paper must be submitted to scholarly peer-reviewed journals approved by the student's dissertation committee prior to the student's dissertation defense, and are subject to the following conditions.

1. The dissertation must form a coherent body of research in a particular scholarly area. Thus, the three papers must represent a single coherent research topic, not a series of unconnected topics.

2. The student must be the first author on these papers and must be prepared to defend how the papers are based on his/her own dissertation research.

3. <u>At the discretion of the dissertation committee</u>, up to two of the three papers may have been written, submitted, or published by the student <u>prior to proposal defense</u> if: (a) the student is first author on the paper; (b) all co-authors attest that the student did most of the work and most of the writing of the paper; (c) the work was completed while the student was enrolled in the PhD program; and (d) the dissertation committee <u>unanimously</u> agrees that the papers <u>satisfy condition #1 as described above: the papers represent a single coherent research topic. The committee is under no obligation to accept previously published, accepted, or submitted papers as meeting the requirement of the dissertation.</u>

4. The dissertation must strictly adhere to University of Rochester Graduate Studies and ProQuest/UMI formatting requirements. The published work appearing in the dissertation should be in double-spaced manuscript format (A typeset article will not reproduce well when UMI/ProQuest shrinks it to half-size).

5. Copyright permission from the publishing journal must be obtained in order to use content from already published articles. The student must obtain a waiver from the copyright owner (usually the publisher) and include it as an appendix in the final dissertation. The student should inform the publisher about the intent to include content from the paper in a dissertation prior to signing a copyright agreement for publication.

1. The dissertation must form a coherent body of research in a particular scholarly area.

[EXAMPLE]

- Chapter 1: Introduction
- Chapter 2: Paper/Manuscript #1
- Chapter 3: Paper/Manuscript #2
- Chapter 4: Paper/Manuscript #3
- Chapter 5: Conclusion

Following this format, **in Chapter 1,** the student introduces and conveys the importance of the research question that is the focus of the investigation and the specific objectives of each individual study report (i.e. each piece of logic or the story undergirding the dissertation that papers #1, #2, #3 will address). This overview of the papers should include purpose and scope of each paper, the methodologies employed, and how the papers are integrated to represent a coherent body of research. Chapter 1 is the tie that binds the several manuscripts together by describing their collective meaning and combined contribution to the field. Without it, the dissertation would resemble a loose collection of papers that fails to clarify, for the reader, the deliberate manner in which these manuscripts are linked to one another. In similar fashion, **Chapter 5,** the concluding chapter, brings everything together, anchoring the research by situating it within current literature and theory and helping the reader understand how the papers, collectively, contribute to a particular knowledge field. Similar to Chapter 5 in the traditional dissertation format, limitations are acknowledged and implications for practice, education, policy, and future research are discussed, as well. **[The number of chapters and placement of the papers is not cast in stone.** For example, a student's choice to write a traditional literature review and/or methods chapter in order to elaborate on aspects of the research in greater detail than many journals will allow may result in papers being introduced in a different order. This presentational choice could result in the dissertation having more than 5 chapters, based on judgments about the clearest and most effective way to manage the content and sustain the logical flow of the research report.]

2. The three papers must be distinct and conform to page length and other constraints of the identified journals. The three papers form the dissertation's core and may include a literature review or meta-analysis, a methods paper (if methods are sufficiently novel), or multiple data-based manuscripts with the literature and methods integrated into each paper. **At least one should be based <u>on data generated through the dissertation study as specified in the approved proposal</u>.** Content must be consistent with the stated missions of identified professional journals to which papers will be submitted. Paper options include manuscripts that are either *<u>ready for submission, in review, in press, or published/in print</u> and the student must be listed as first author, with the advisor and committee members as co-authors. Authorship should be negotiated between student, primary advisor, and committee members in advance and be consistent with academic standards and journal submission requirements.

> *****<u>Ready for submission</u> is defined as being relevant to the content and written in the style, substance, and required format of a specific peer-reviewed professional journal that has been chosen for the imminent submission of the manuscript.

All three papers must be submitted or be ready for submission to journals approved by the dissertation committee prior to the student's final defense. <u>The primary advisor, in consultation with other committee members, may decide to reject or limit the ready for submission option by requiring that, at least, two or all three papers must be submitted and in review</u>.

3. The student and dissertation committee should discuss expectations for each chapter and paper in advance. *Agreement should be documented in a signed memo with copies retained by the student and each committee member. A similar process of documentation and distribution of agreed-upon expectations should be followed whenever any substantive points or issues arise that require re-thinking or re-negotiation of anticipated chapter/paper content.

> *For information on determining authorship on papers submitted for publication, students and their dissertation committee members should refer to the Uniform Requirements for Manuscripts (URM) guidelines provided by the International Committee of Medical Journal Editors (ICMJE) or similar guidelines provided by the Committee on Publication Ethics (COPE).

4. Papers submitted for publication prior to the final defense of the dissertation need to have approval of all dissertation committee members if they are to be included in the dissertation; and **papers not yet submitted at the time of the final defense** should be approved by all committee members as ready for publication.

5. <u>The following documentation (FORM B) is required by the PhD Programs Office for students registering their dissertations for final defense</u>. Form B lists for each paper (#1 #2 & #3): title, authors, journal, and date of publication or submission.

Dissertation Proposal Defense

Successful completion of the qualifying examination and all coursework and RA/TA hours is required before the defense of the dissertation proposal because this milestone will trigger advancement to candidacy for the PhD degree.

Before a date is planned for the proposal defense, all members of the committee should have confirmed with the main dissertation advisor that the proposal is ready to be defended. Members should receive a final draft well in advance of the defense date (preferably 2 weeks) so they can make notes and be prepared to discuss that version. Revisions may be made after the defense, as discussed below.

The student and advisor should discuss the procedures on the day of the defense and prepare for them. The advisor determines the plan of events, but the usual steps are as follows. The date, time, and room should be scheduled by the student at least two weeks in advance, with help of PhD program staff, so an announcement can be sent to faculty and students. The staff will prepare a proposal defense memo to be signed by all committee members after a successful defense.

The student prepares a formal presentation, usually including PowerPoint slides, to last no more than 30 minutes. Advisor and student should carefully review this presentation to be sure it is no longer than this and clearly represents the proposed project. Generally, the methods of the dissertation research should receive at least half the allotted time. Background literature should be summarized very briefly in only a few slides.

At the appointed time, the advisor welcomes the attendees and introduces the plan for the time, which usually includes introduction of the committee members, introduction of the student by the advisor including highlights from the student's CV, the proposal presentation by the student, a period for questions from attendees other than committee members, and then a closed session for committee members' questions and discussion. The discussion in which the student defends his/her dissertation plans usually lasts one to one and one-half hours and concludes with a brief meeting of the committee without the student, to determine the success of the defense. If the defense is successful, a signed memo is returned to the PhD Programs office.

If the committee deems the proposal not yet satisfactory, revisions may be required before the memo is signed. If major revisions are required, especially if they affect the planned methods, the student may be held back from starting the research until the revisions are complete. If required revisions are minor, the advisor may allow them to be completed while the student moves forward with the research. A final copy of the proposal should be provided for the PhD program office, as well as to committee members if they wish.

After successful defense of the proposal, the student works closely with the advisor throughout the institutional research approval process (described below), the data collection process, and the preparation of the written dissertation.

PhD Candidacy

Following successful completion of all program requirements to date (including RA and TA hours) and the dissertation proposal defense, it is assumed that the student is a candidate for the PhD degree.

Note: It is permissible to describe oneself as a "PhD candidate" or "doctoral candidate" in words, but not to use PhD(c) after one's name. The MS credential should be used until completion of the program. PhD(c) is equivalent to saying "I am on the way to a degree," as it would be if an undergraduate described himself as "BS (c)." It is not an official designation or credential of any kind. It should not be used in email, business cards, presentations, or publications.

Institutional Review Board Approval for Research

<u>Before or after the proposal defense, students must obtain Institutional Review Board approval prior to conducting any research involving human or animal subjects. The application is submitted electronically with</u>

the advisor as PI and student as project coordinator. The UR IRB is the Research Subjects Review Board, or RSRB. Their web page contains all the information required to obtain approval for the conduct of research involving human subjects, as well as other guidelines and links (www.urmc.rochester.edu/rsrb/). If students require assistance in completing the application, they should contact the RSRB office (275-3050) directly and speak with a Human Subjects Protection Specialist.

Guidelines for protection of *animal* subjects may be found at http://www.urmc.rochester.edu/ucar/.

All RSRB or UCAR applications for Research Review must have internal review for scientific merit before submission, using the following process.

1. Reformat the pilot proposal or dissertation proposal as a research protocol per RSRB instructions, shortening the background sections to a paragraph or two at most and detailing the design and methods. Be sure to clearly indicate when the "project coordinator" or "student researcher" is acting and when the PI (advisor) is referred to.

Before final submission,

2. Doctoral students' RSRB protocols may be reviewed by a member of their committee, excluding the Chair (who is officially the PI for the study). If the PI is a dissertation advisor who wants another member of the committee to perform the review, or if a very fast turn-around is essential), the PI may directly approach and ask an eligible faculty member to perform the review.

    a) Only ONE (1) SON scientific review per protocol is necessary.
    b) Eligible reviewers must be doctorally prepared with HSPP or EPRP certification.
    c) They must also be SON faculty (full-time or part-time; tenure-track or clinical).
    d) Reviewers may not include study co-investigators, consultants, or the Associate Dean for Research.
3. Prepare consent forms and recruitment documents, which require RSRB approval.
4. Complete the online RSRB application, using the same language as in the protocol whenever possible to avoid confusion. Upload the final protocol and other materials. *Do not select "this application is complete" until the advisor/PI reviews it, and do not submit the application.*
    a. The dissertation advisor should be listed as the official Principal Investigator (PI) on the application form, and the student should be listed as the study coordinator, in order to receive all communications from the RSRB.
    b. The advisor must carefully review the application and take responsibility for the ethical conduct of the research.
5. The advisor as PI electronically submits the RSRB electronic application.
6. RSRB emails the School of Nursing faculty member responsible for verifying scientific merit review that the application has been received and is ready for scientific merit signoff.
7. If the protocol and 1 scientific merit form is satisfactory, the RSRB verification will be signed off electronically by the SON designated faculty member and the review of the application then begins.

RSRB approval can take well over a month. Students should plan ahead for this likelihood and work with their advisors to respond promptly to all requests for information and clarification. Students can check the RSRB application website to see current status of the protocol review.

Completing the PhD Dissertation and Dissertation Defense

Dissertation Format

Students preparing their final dissertation need to consult *Formatting the Thesis and Preparing for Final Defense – A Manual for Graduate Students,* which is housed in the PhD folder on G-public. The Manual includes rules for formatting which must be adhered to. These include such things as the Title Page, margins, pagination, order of front matter, etc.

Completed dissertations from the SON that may serve as examples are available in Miner Library. The SON preferred editorial format is APA 6th Edition. Students may use other formats under the guidance of the dissertation committee, but the dissertation advisor will be responsible for identifying any formatting errors.

Registering the Dissertation in Preparation for Final Defense

Prior to its final defense, the dissertation must be registered in the Office of the University Dean of Graduate Studies. Doctoral Programs Assistant, Denise Wofford, is the graduate coordinator responsible for managing the registration process, which is exclusively online.

The student and graduate coordinator, together, create a record in the UR Graduate Studies PhD Completion Site which includes the student's degree information, past degrees, important contact information, and attachments, including the defense version of the thesis in pdf format, and other relevant documents. The version of the thesis attached to this online record is considered the registration copy.

The University Graduate Studies Office may make corrections to the pdf of your thesis. This annotated copy of the thesis, along with the original version, will be stored in the PhD Completion website for you to reference at the conclusion of the defense. You must incorporate any corrections in the final copy after the defense before uploading it to ProQuest, under the graduate coordinator's supervision.

"The registered version of the dissertation is <u>not a draft</u>…
Although the examining committee may require revisions, the thesis should be submitted for registration in final form. [Any dissertation].that is insufficiently edited or carelessly formatted may be turned back, at any time, and the defense will be postponed. It is in your best interest to produce a polished, carefully edited and well-written document for evaluation by the dissertation defense committee and chair" (Preparing your thesis: A manual for graduate students. University of Rochester, page 1).

Lead time for submission of the dissertation to the Graduate Studies Office
Time management and attention to deadlines is critical to successful planning of the final defense. Defenses may be held on any University working day with the exception of the mid-December and New Year holiday two week Winter break. Students need to check the current year's PhD calendar, posted and in the back of this Handbook, for University non-working days and for the last days to submit final documents to ProQuest and complete requirements for either an August, October, March, May, or December degree conferral date. <u>SON lead time for registration of the dissertation is at least 10 working days before the defense</u>. This includes 5 working days for PhD Program Office Review and the 5 working days that University Graduate Studies requires for receipt of the registered thesis and for the Dean of Graduate Studies to review and confirm that the oral examination may proceed as scheduled. Programs Office review includes checking a hard copy of the manuscript for compliance with University regulations, as described in the Thesis Manual, and includes a read-through by the Programs Director. Insufficiently edited and/or incorrectly formatted manuscripts will be returned to and discussed with the dissertation advisor.

Lead time for committee member approval of the registered thesis
Before it may be registered, all committee members must read the dissertation and confirm with the primary advisor that it is ready for final defense. If major revisions are requested by any member, they should be completed before that member signs off. <u>Students are required to provide the thesis they expect to be defending to their committee members at least 2 weeks before the graduate coordinator (Denise Wofford) finalizes the PhD Completion record</u>. When the PhD Completion record is finalized by the graduate coordinator, the student's committee members will receive emails with links to access the record and provide approval for the thesis to progress to defense. <u>They also will be asked to confirm that they have had at least two weeks to review the defense version of the dissertation</u>. It is the student's responsibility to provide copies of the registration version of the dissertation to all members of the committee as well as to the dissertation chair (see below information about selection of the dissertation chair). Some faculty may prefer to receive this as a pdf while others may choose a hard copy. The chair should receive a copy of the dissertation at least two weeks prior to the defense. **You are not permitted to distribute updated versions of the registered thesis prior to the defense.**

Selection of a dissertation chair for the defense
Finalization of the PhD Completion record includes identification of the dissertation chair. Dissertation Chairs may be chosen from inside or outside of the School of Nursing in accordance with the following criteria: (a) the Chair is uninvolved in the student's/advisor's work; (b) the Chair is administratively independent from inside committee members (i.e. has minimal influence over committee members' tenure or status); and (c) the Chair has had prior experience serving on dissertation committees. The role of the Chair is to monitor and promote fairness and rigor in the conduct of the defense. The Chair's status as a nonmember of the advisor's and student's working group enables distance from previously established judgments on the candidate's work. <u>When the student, in consultation with his/her advisor, has a potential chair in mind and a general idea about when they would like to schedule the defense, their nomination is forwarded to the Program Director for approval. If approved, the Program Director will initiate the request</u>.

Dissertation Defense
According to the University's Graduate Studies administration, the purpose of this oral examination is to ascertain whether or not the candidate has proposed a significant dissertation topic and whether or not he or she has defended the dissertation adequately by offering appropriate and effective arguments and by marshaling relevant and convincing evidence. The presentation and defense of a significant dissertation is the capstone of the work for the PhD degree. Further regulations are found in the "red book" of graduate regulations on the university Graduate Studies webpage.

The committee for the final examination for the PhD consists of the student's dissertation committee and Chair. Once final approval is completed, the Chair receives guidelines for leading the final defense. As with the proposal defense, the final defense begins with a public presentation of approximately 30 minutes, after which all but committee members are excused. The committee members, led by the appointed Chair, then conduct the final examination, usually lasting an hour but occasionally 2 hours or more. The instructions given to Chairs for the oral examination can be found on G-public in the PhD Information folder.

Post-Defense Instructions and Final Submission of the Dissertation
After a successful defense, you will receive a "Successful PhD Defense Notification" email to your personal email account from the Office of University Graduate Studies. You will be instructed to log in to the PhD Candidate Processing system to access post-defense instructions and forms. You will be advised to read all documents carefully and respond as requested. All steps must be completed as described in order to fulfill the requirements for the PhD degree. Check with your PhD coordinator (see also PhD calendar) to confirm the date by which all steps must be complete in order to avoid registering for the next semester, as well as the last date to complete the requirements in order to receive your degree at the next conferral date.

When you are logged back into the PhD Processing system to retrieve post-defense instructions, you must also go back to your record and review the registered copy of your dissertation for any formatting corrections which were noted by University Graduate Studies (UGS). These changes/corrections must be incorporated in your final thesis along with any changes/corrections noted by your defense committee.

The dissertation must be uploaded to ProQuest in PDF format when it is in its approved final form. The Graduate Studies Office should have received from the Chair the signature form indicating a successful defense. The Graduate Studies office will release your dissertation submission to ProQuest when the Trustees have granted the degree.

It is a customary courtesy to give bound copies of the final dissertation to committee members. You may use the binding machine in the PhD shared area for dissertation binding.

If you need a document verifying completion of the PhD (such as for an employer) before approval, contact Graduate Studies.

Choices for Electronic Access to your Dissertation from ProQuest and UR Research
ProQuest will ask you to select among several choices for electronic access. Note that open access (without cost to readers) requires that you pay a fee in advance. URResearch will provide open access without charge regardless of your ProQuest selection.

The UR Research access options were developed to parallel the options offered by ProQuest/UMI. The dissertation will be stored and catalogued on the UR Research database and will be accessible to scholars worldwide. Options are:

1. Release the work immediately for access worldwide.
2. Release the work for UR access only, for 1 or 2 years, after which it will be accessible worldwide.
3. Embargo the entire work for 6 months, after which it can be either released for access worldwide or made accessible to the UR community only for 1 or 2 years, before worldwide access. This is rarely appropriate (see below).

Embargo of highly confidential or proprietary material. Some dissertations involve use of materials or compounds that are still investigative and/or pending patents or commercial release. This situation is unlikely to arise in SON dissertations and is mainly limited to technological innovations or analyses involving trade-secret reagents or techniques. It is suggested that as you prepare your final copy of the dissertation, move any materials that are absolutely not to be seen outside the department (such as proprietary trade secrets or materials for which copyright permission has not yet been granted) to a separate appendix. List in your final document the contents of the appendix and note that they are available on request, but do not include the actual documents or materials when you submit your final copy.

When to Use "PhD" After Your Name

The University policy is not to use the PhD designation after your name until after the Board of Trustees has formally awarded the degree. The degree is awarded by the Trustees at their next meeting after the defense (August, October, March, May, or December). After that date, the degree credential PhD may be used.

Commencements

Students are expected to participate in the Commencement ceremonies the May following their defense. This includes two ceremonies: a Friday afternoon SON ceremony in which PhD graduates are presented and acknowledged with a gift, and a university-wide Doctoral Degree ceremony Saturday morning, in which graduates are hooded and receive diplomas. Graduates should plan to attend both. Both events are held in the Kodak Hall of the Eastman School of Music, and are followed by receptions for graduates, faculty, friends and family.

Life after the PhD

Please keep the PhD Programs office informed of your contact information and current position. Alumni achievements are critically important indicators of the effectiveness and quality of the PhD program. We will contact you periodically for your evaluative comments about the program as well as your news.

LIST OF FOLLOWING APPENDICES

1. Full-time PhD Program Plan
2. Part-time PhD Program Plan
3. Academic Advising Agreement
4. Individual Development Plan (IDP)
5. Guide to Writing an Academic CV
6. CV Template
7. Student Annual Review Form
8. RA and TA Forms ("before" work has begun and "after" work has been completed)
9. Student Logs of Completed RA and TA hours
10. Goals and Progress Report (NUR595, NUR995 & NUR999)
11. NUR591 Reading Course/Independent Study at the PhD Level
12. Forms A&B for 3-paper dissertation option
13. PhD CALENDAR FOR FALL 2021, AND SPRING 2022

PhD Program by Semester, Full-time Enrollment (2021-22)

Fall Semester Year 1 (12 credits)	Spring Semester Year 1 (9 credits)
NUR505 Epistemology and Concept Development (3cr) NUR507 Research Appraisal and Synthesis (3cr) NUR510 Applied Statistics I (3cr) NUR511 Basic Principles of Quantitative Research Design (3cr) NUR560 Role of the Clinical Researcher (0cr)	NUR506 Epistemology and Theory Construction (3cr) NUR512 Applied Statistics II (3cr) NUR555 Basic Principles of Qualitative Research Design (3cr) RA/TA (90 hours) **August Year 1** Qualifying Examination
Fall Semester Year 2 (12 credits)	**Spring Semester Year 2 (9 credit hours)**
IND501 Research Ethics (1cr) NUR508 Writing and Publishing in the Health Sciences (2cr) NUR513 Research Measurement (3cr) Cognate Coursework (6cr) RA/TA (90 hours)	NUR514 Research Integration and Proposal Development (3cr) Cognate Coursework (6cr) RA/TA (90 hours) **Summer Year 2** RA/TA (90 hours)
Fall Semester Year 3 (6 credit hours)	**Spring Semester Year 3 (6 credit hours)**
NUR595 PhD Research (6cr) NUR999 Doctoral Dissertation (0cr) NUR590 Dissertation Workshop (0cr)	NUR595 PhD Research (6cr) NUR999 Doctoral Dissertation (0cr) NUR590 Dissertation Workshop (0cr) (until proposal defense) Dissertation Proposal defense (when ready)
Fall Semester Year 4 (3 credits)	**Spring Semester Year 4 (3 credits)**
NUR595 PhD Research (3cr) NUR999 Doctoral Dissertation (0cr)	NUR595 PhD Research (3cr or remainder, 18 total) NUR999 Doctoral Dissertation (0cr) Dissertation defense (when ready)

University of Rochester School of Nursing

Degree Plan Templates and Worksheets for PhD and MS/MNE-PhD students are available on: G:\Education\PhDInfo\Forms\DegreePlansNew\PhD

PhD Program by Semester, PART-TIME Enrollment

YEAR 1	**Fall Year 1 (6 credits, 2 courses)**	**Spring Year 1 (6 credits, 2 courses)**
	NUR505, Epistemology/Concept Dev (3 cr) NUR510, Applied Statistics I (3 cr) NUR560, Role of Clinical Researcher (0 cr)	NUR506, Epistemology & Theory Constr. (3 cr) NUR512, Applied Statistics II (3 cr)
		Summer Year 1- *RA/TA hours if desired*
YEAR 2	**Fall Year 2 (6 credits, 2 courses)**	**Spring Year 2 (6 credits, 2 courses)**
	NUR507, Research Appraisal & Synthesis (3cr) NUR511, Basic Principle Quantitative Research Design (3 cr) *RA/TA (90 hours)*	NUR555, Basic Principle of Qualitative Research Design (3 cr) *Cognate #1* (3 cr) *RA/TA (90 hours)*
		End Summer Year 2- ***Qualifying Examination***
YEAR 3	**Fall Year 3 (6 credits, 2 courses)**	**Spring Year 3 (6 credits, 2 courses)**
	Cognate #2 - (if a F-S course series) **<u>or</u>** NUR513, Research Measurement (3 cr) NUR508, Writing & Publishing in Health Sci (2 cr)	*Cognate* (3 cr) *Cognate* (3 cr) *RA/TA (90 hours or as needed to total 360)*
YEAR 4	**Fall Year 4 (4 credits, 2 courses)**	**Spring Year 4 (9 credits, 2 courses)** ***EXAMPLE FULL-TIME SEMESTER 1***
	NUR513, Research Measurement (3 cr) if not done IND503, Research Ethics (1 cr) *RA/TA (90 hours or as needed to total 360)*	NUR514, Res Integration & Proposal Devel. (3 cr.) NUR595, PhD Research (6 cr,)
		Summer or fall: ***Proposal defense***
YEAR 5	**Fall Year 5 (9 credits, 1 course)** ***EXAMPLE FULL-TIME SEMESTER 2***	**Spring Year 5 (4 credits, 1 course)**
	NUR595, PhD Research (9 cr) NUR590, Dissertation Workshop if not defended yet **Summer or fall:** ***Proposal defense***	NUR595, PhD Research (3 cr,)
YEAR 6	**Fall Year 6** and beyond (as needed)	**Spring Year 6** and beyond (as needed)
	NUR995 Continuation, part-time **(final defense when ready)**	NUR995 Continuation, part-time **(final defense when ready)**

Academic Advising Agreement

Academic advising is a two-way interaction where students and advisors work together to achieve a common goal – the student's successful transition into and graduation from the PhD Program. This advising agreement outlines what you can expect from your advisor and what will be expected of you by your advisor to ensure positive progression toward your goals.

Student Responsibilities

- Ask questions – about anything! Be sure to get to know your advisor on a personal level. While advisors can be excellent sources of information, you can learn a lot from their personal experiences, as well.
- Make appointments to see your advisor and keep it consistent. If you cannot meet in person at least every two weeks, call or send emails. Build a relationship and try not to let it lapse.
- Be proactive. If your advisor hasn't responded to you in awhile, don't be shy about calling or emailing him or her again.
- Learn the university, school, and program policies and procedures. Become familiar with how to complete the appropriate paperwork. Make friends with the PhD and MS-PhD Handbook.
- Do preliminary planning (e.g. career goal setting, course selection) prior to the advisor appointment.
- Understand that the ultimate responsibility for meeting curriculum requirements and meeting with an advisor is yours.
- Complete and submit, in consultation with the advisor, the following required forms: Annual Review Form and updated CV (in May of each year); RA/TA Forms (2 times: before work has begun and after work is completed); NUR595/NUR995/NUR999 Form (2 times: at the beginning and the end of each semester in which a student registers for any number of NUR595 credits or for PhD continuation status (NUR995 or 999); and Extension Request Form as directed for students in need of extra time to complete the program.

Advisor Responsibilities

- Demonstrate a caring and open attitude.
- Be available on a walk-in or appointment basis.
- Answer questions regarding policies, procedures, and program planning.
- Be knowledgeable about university and SON resources.
- Be knowledgeable about the core curriculum in order to be able to answer questions about it.
- Understand university and school policies and procedures that affect students and be able to communicate the information to students.
- Keep accurate student records and maintain confidentiality.

We both voluntarily enter into this partnership. We wish this to be a rewarding experience, spending most of our time discussing the student's academic and developmental goals and activities. We will meet at least once every __________ weeks. At the end of each meeting, we will agree on a date for the next meeting.

The advisor agrees to be honest and provide constructive feedback; and the student agrees to be open to the feedback.

Advisor's Signature: ____ Date: ___________

Advisee's Signature: ____ Date: ___________

Date for Re-Review of this agreement: ______________________________

Individual Development Plan

Each PhD and MS/PhD student in the UR School of Nursing is required to create an individual Development Plan (IDP) in consultation with his/her advisor. The IDP will help guide and organize career development and training goals. The IDP should map out the general career path the student wants to take and maximize training opportunities to meet individual development needs and achieve career goals.

The SON IDP consists of two parts: (1) selection of career path, and (2) creation of development and training plan matching career goals.

Career Path: (based on assessment of skills, values and interests, select a career path; e.g., academic research career)

Development and Training Plan: (plan includes core and elective course work, research assistant and teaching assistant experiences, and other activities matched with career path)

Guide to Writing an Academic CV

At the end of each spring semester, students are asked to submit an updated CV to the PhD Programs Office. A Curriculum Vitae (CV) details all your academic credentials and professional accomplishments. A CV is not the same as Resume.

Resume vs Curriculum Vitae

Resume: A personal statement

- Emphasizes skills, personal interests, and personal accomplishments
- Used when applying for a particular job or position
- Is a highly customizable, short, and concise document
- Does not have to cover one's whole career
- Does not have to be ordered Chronologically

Curriculum Vitae (CV): A history of academic achievement

- Emphasizes academic accomplishments
- Used when applying for positions in academia, fellowships, and grants
- Has a standardized format. Length depends on experience.
- Contains a high level of detail about accomplishments
- Organized chronologically to present a full overview of one's entire working career

Structuring Your CV

Heading: Name and credentials, business mailing address, business phone and email

***<u>Do not</u> include personal details** such as home address, birth date, marital status, or Social Security Number

Education: List academic degrees in progress or most recently earned first

Order the information as follows: (a) the year in which the degree was awarded; (b) the degree type and major; and (c) the name and location of the institution awarding the degree

***<u>Do not</u> include** courses taken at an institution for which a degree was not awarded. (Also nurses should be aware that a BSN or an MSN is not the same as a BS or an MS in nursing. Find out what your actual degree was. The University of Rochester grants BS and MS degrees.)

Professional Licenses and Certifications:

List the license type, issuer, state or states that accept it and issuance and expiration dates.

Professional Experience: List most recent work experience first and order the information as follows: (a) start and finish dates; (b) full job title; (c) name and location of institution

***<u>Do not</u> include** details on responsibilities or activities. You may include student assistantships if early in career and relevant. As time goes on, you may collapse similar roles into "staff nurse positions" or other summary descriptions.

Research Experience: List most recent experience first. Both paid positions and RA roles can be listed here. Students and early career scholars can list their own unfunded research.

Format: Your role, project or grant title, % effort (if a paid position), PI if not self, source of funding and grant number, years covered by the grant

Pending

Use the same format as above when listing research proposals under review

Current

Using the same format as above, list all current work and funding sources

Completed

Using the same format as above, list all past research

Publications:

Articles

Using a standard reference format, list most recent first (**<u>Note</u>:** Published abstracts in conference proceedings are NOT considered publications. Also, do not list works in preparation. When a manuscript has been submitted for review, it may be listed, with "in review" used in place of the date <u>BUT</u> do not name the journal. When the work is in press, put (in press) in place of (in review), and then you can list the name of the journal but not the date.

Books (as per the above directions)

Book Chapters (as per the above directions)

Other: dissertation or thesis, commercial pamphlets or clinical writing, etc.

Research Presentations (Refereed): List all in standard (e.g. APA) format for presentations, with the most recent first. You can list those submitted or accepted but not yet given, using the status instead of the year, as you do with publications.

Invited Research Presentations: These presentations are about your research; but they are on the order of are rounds, keynote speeches, and the like…and they are not peer reviewed.

Honors and Awards: These can include scholarships as well as honors and awards

Professional Service: Volunteer roles for professional organizations apart from your main employment

Manuscript Review Panels: List journals

Professional Board and Committee Roles:
List committees or boards, with officer roles if held, and years of service

Professional Society Memberships: List associations you belong to

Community Service: List roles and years of service

Academic Service: You can put teaching and TA work here as well as committee

Curriculum Vitae

Name and credentials

Business contact address, business phone and email
(You may use the SON address and the PhD Programs office phone: 275-5121)

Education

Year most recent degree, degree program, institution, location
Year previous degree, degree program, institution, location
Year [continue through all degrees—do not list if courses taken but no degree]

Licenses and Certifications

Professional Experience

20xx-present Current job title, institution, location
20xx-present secondary job title, institution, location, if needed
20xx-20xx previous title, institution, location
Continue to first professional position

Research Experience

List from most recent experience: Your role, project or grant title, % effort (if a paid position), PI if not self, source of funding and grant number, and years covered by the grant

Publications

Using a standard reference format, list most recent first

Research Presentations (Refereed)

List from most recent to earliest presentations

Invited Research Presentations

List from most recent, non-peer reviewed research presentations (e.g. rounds, keynotes addresses)

Honors and Awards

These can include scholarships as well as student awards.

Professional Service

These are volunteer roles for professional organizations that are outside your main employment.

Community Service

(Community Boards and Volunteer Roles)
20xx-present List roles and years of service
20xx-20xx Continue through list of service roles
.

Academic Service

20xx-present (You can put teaching and TA work here, and committees if relevant)
20xx-20xx Continue through list of service roles

PhD and MS-PhD Student Annual Review

The student completes this form, meets with advisor to review and discuss progress, and submits completed and signed form to PhD program office with CV.

Name________SAMPLE______________________ Academic Year of Report ________

Advisor___________________________ Expected Year of Graduation __________

1. Previously agreed upon goals for the year:

2. Progress made toward goals:

3. Courses taken during the academic year, grades, and titles of course papers

4. RA and/or TA experiences in past year (provide brief descriptions of roles)

5. Scholarly activities not reflected in CV (e.g., manuscripts in preparation, guest lectures, course design, etc.)

Please continue to page 2

6. Progress toward Proposal Defense (order of completion may vary; check as applicable)

- ☐ Research topic/problem selected
- ☐ Review of literature completed
- ☐ Conceptual/theoretical framework identified
- ☐ Research questions or hypotheses articulated
- ☐ Research design selected
- ☐ Dissertation committee formed
- ☐ Access to data or research sites confirmed
- ☐ Sampling plans finalized
- ☐ Data collection methods selected (e.g., instruments, interview, observation)
- ☐ Human Subjects protections planned
- ☐ Proposal full draft written
- ☐ RSRB application completed
- ☐ Proposal defense scheduled

7. Goals for next year with target dates:

8. Comments by Student:

9. Comments from Advisor:

Signature: Date:

Student:________________________________ __________________

Advisor:________________________________ __________________

Student, advisor, and PI/research supervisor complete and submit this form to the PhD Programs Office

BEFORE RA WORK IS BEGUN

Student Name: ____

Semester and Year: ____________________ **Please indicate:** ☐**Paid** ☐**Unpaid**

Project Title or Focus: ____

____

PI or Research Supervisor: ____

Planned Research Activities: (Maximum of 90 hours of credit suggested for activities in any given research phase)

RESEARCH PHASE	ACTIVITY	√ Check all that apply	RESEARCH PHASE	ACTIVITY	√ Check all that apply
Conceptualization and Planning	Proposal planning and writing		**Data Management and Analysis**	Data coding	
	Literature search for grant proposal			Data entry, cleaning and verification	
	RSRB application and ethics planning			Audio file transcription	
	Design and validation of instruments			Quantitative analysis and interpretation	
Recruitment, Data Collection, Intervention	Recruitment of participants			Qualitative analysis and interpretation	
	Screening of potential participants		**Dissemination**	Preparation of reports/manuscripts	
	Obtaining informed consent			Preparation of presentations	
	Data collection via interview		**Research project management**	Participation in research team meetings	
	Use of structured instruments			Project coordination/oversight	
	Web-based data collection			Education of project staff/data collectors	
	Record review for data extraction			Safe storage of data files	
	Field work/ participant observation		**Other Activities**	*As indicated below	
	Focus group facilitation				
	Implementation of clinical intervention				

***Other Activities**

I agree that this experience will contribute to the student's learning:

Advisor Signature: ____

These activities are intended as a learning experience and I agree to be available for instruction and questions as needed:

PI/Research Supervisor Signature: ______________________________________

For RA work outside the SON

Signature of the PhD Program Director indicates that this experience is not available in the SON.

PhD Program Director Signature: ______________________________________

Student, advisor, and PI/research supervisor complete and submit this form to the PhD Programs Office

AFTER RA WORK IS COMPLETED

Student Name: ______________________________________ **Semester and Year: ____________**

PI/research supervisor: _______________________________ **Please indicate: ☐ Paid ☐ Unpaid**

Project Title or Focus: ____

____

No more than 90 hours or 1 semester of activities in any one research activity should be counted for program credit.

RESEARCH PHASE	ACTIVITY	HOURS	RESEARCH PHASE	ACTIVITY	HOURS
Conceptualization and Planning	Proposal planning and writing		**Data Management and Analysis**	Data coding	
	Literature search for grant proposal			Data entry, cleaning and verification	
	RSRB application and ethics planning			Audio file transcription	
	Design and validation of instruments			Quantitative analysis and interpretation	
Recruitment, Data Collection, Intervention	Recruitment of participants			Qualitative analysis and interpretation	
	Screening of potential participants		**Dissemination**	Preparation of reports/manuscripts	
	Obtaining informed consent			Preparation of presentations	
	Data collection via interview		**Research project management**	Participation in research team meetings	
	Use of structured instruments			Project coordination/oversight	
	Web-based data collection			Education of project staff/data collectors	
	Record review for data extraction			Safe storage of data files	
	Field work/ participant observation		**Other Activities**	*As indicated below	
	Focus group facilitation				
	Implementation of clinical intervention				

***Other Activities**

Total RA Hours: ______________

Student Signature: ____

Date: ____

PI/Research Supervisor Signature: ______________________________________

Date: ____

Advisor Signature: ____

Date: ____

Submit this form to PhD Programs Office.

PhD Student Log of Completed RA Hours
(For student & advisor use, and program office documentation)

The student maintains this log, electronically or in hard copy, using data from forms for each completed experience, and shares with advisor regularly. Every activity need not be completed, but student and advisor should look for a range across research phases appropriate to student interests and needs. It is suggested that no more than 90 hours be credited for a single activity.

RESEARCH PHASE*	ACTIVITY	# Hours	√ Check if paid	Date form submitted to PhD office
Conceptual-ization and Planning	Proposal planning and writing			
	Literature search for grant proposal			
	RSRB application and ethics planning			
	Design and validation of instruments			
Recruitment, Data Collection, Intervention	Recruitment of participants			
	Screening of potential participants			
	Obtaining informed consent			
	Data collection via interview			
	Use of structured instruments			
	Web-based data collection			
	Record review for data extraction			
	Field work/ participant observation			
	Focus group facilitation			
	Implementation of clinical intervention			
Data Management and Analysis	Data coding			
	Data entry, cleaning and verification			
	Audio file transcription			
	Quantitative analysis and interpretation			
	Qualitative analysis and interpretation			
Dissemination	Preparation of reports/manuscripts			
	Preparation of presentations			
Research project management	Participation in research team meetings			
	Project coordination/oversight			
	Education of project staff/data collectors			
	Safe storage of data files			
Other Activities				
TOTAL HOURS				

* maximum of 90 hours of credit suggested for activities in any given research phase

Student, advisor, and course instructor complete and submit this form to the PhD Programs Office

BEFORE TA WORK IS BEGUN

Student Name: ____

Semester and Year: ______________________ **Please indicate:** ☐ Paid ☐ Unpaid

Course Title: ____

____

Course Instructor: ____

Planned Teaching Activities: (Maximum of 90 hours of credit suggested for activities in any given teaching phase)

TEACHING PHASE	ACTIVITY	√ Check all that apply	TEACHING PHASE	ACTIVITY	√ Check all that apply
Designing Educational Offerings Course preparation and planning	Participate in curriculum planning and evaluation		**Classroom management**	Facilitate in-class activities	
	Assist in setting class/course objectives			Facilitate student attention and interaction	
	Assist in determining course requirements			Maintain class records (attendance, participation)	
	Assist to develop syllabus			Verify that each student has handout(s)	
Course Preparation and planning	Place textbook order			Deliver lecture	
	Arrange for reserves online and/or in CERC			Lead discussion or group work	
	Design handouts			Oversee laboratory and/or clinical activities	
	Develop audiovisual course materials			Provide feedback on drafts of assignments	
	Prepare lectures			Conduct content review session	
	Design assignments		**Evaluation**	Grade and comment on papers and class assignments	
	Design quizzes and examination questions			Grade clinical worksheets	
	Post course materials on Blackboard			Grade examinations	
	Design specialized evaluations			Review course evaluations with faculty member	

Other Activities:

I agree that this experience will contribute to the student's learning:

Advisor Signature: ____

These activities are intended as a learning experience and I agree to be available for instruction and questions as needed:

Course Instructor Signature: ____________________________________

Student, advisor, and course instructor complete and submit this form to the PhD Programs Office

AFTER TA WORK IS COMPLETED

Student Name: ____________________________________ **Semester and Year:** _________________

Course Instructor: _________________________________ **Please indicate:** ☐ **Paid** ☐ **Unpaid**

Course Title: ____

____

***No more than 90 hours or 1 semester of activities in any one <u>teaching activity</u> should be counted for program credit.**

TEACHING PHASE	ACTIVITY	HOURS	TEACHING PHASE	ACTIVITY	HOURS
<u>Designing Educational Offerings</u> **<u>Course preparation and planning</u>**	Participate in curriculum planning and evaluation		**<u>Classroom management</u>**	Facilitate in-class activities	
	Assist in setting class/course objectives			Facilitate student attention and interaction	
	Assist in determining course requirements			Maintain class records (attendance, participation)	
	Assist to develop syllabus			Verify that each student has handout(s)	
<u>Course Preparation and planning</u>	Place textbook order			Deliver lecture	
	Arrange for reserves online and/or in CERC			Lead discussion or group work	
	Design handouts			Oversee laboratory and/or clinical activities	
	Develop audiovisual course materials			Provide feedback on drafts of assignments	
	Prepare lectures			Conduct content review session	
	Design assignments		**<u>Evaluation</u>**	Grade and comment on papers and class assignments	
	Design quizzes and examination questions			Grade clinical worksheets	
	Post course materials on Blackboard			Grade examinations	
	Design specialized evaluations			Review course evaluations with faculty member	

Other Activities:

Total TA Hours: ____________

Student Signature: ____________________________________

Date: ____________________________________

Course Instructor Signature: ____________________________________

Date: ____________________________________

Advisor signature: ____________________________________

Date: ____________________________________

<u>Submit this form to PhD Programs Office.</u>

PhD Student Log of Completed TA Hours
(for student & advisor use, and program office documentation)

TA hours are optional sources of program credit and may constitute up to 180 hours of the required 360 hours of RA and TA work. The student maintains this log, electronically or in hard copy, using data from forms for each completed experience, and shares with advisor regularly. Every activity need not be completed, but student and advisor should look for a range across teaching phases appropriate to student interests and needs. It is suggested that no more than 90 hours be credited for a single activity.

PHASE	TEACHING ACTIVITY	# Hours	√ Check if paid	Date form submitted to PhD office
Designing Educational Offerings	Participate in curriculum planning and evaluation			
	Assist in setting class/course objectives			
	Assist in determining course requirements			
	Assist to develop syllabus			
Course preparation and planning	Place textbook order			
	Arrange for reserves online and/or in CERC			
	Design handouts			
	Develop audiovisual course materials			
	Prepare lectures			
	Design assignments			
	Design quizzes and examination questions			
	Post course materials on Blackboard			
	Design specialized evaluations			
Classroom management	Facilitate in-class activities			
	Facilitate student attention and interaction			
	Maintain class records (attendance, participation)			
	Verify that each student has handout(s)			
	Deliver lecture			
	Lead discussion or group work			
	Oversee laboratory and/or clinical activities			
	Provide feedback on drafts of assignments			
	Conduct content review session			
Evaluation	Grade and comment on papers and class assignments			
	Grade clinical worksheets			
	Grade examinations			
	Review course evaluations with faculty member			

* suggested maximum of 90 hours or 1 semester of credit for a single activity

8/12 dh

NUR595 (Research for Doctoral Dissertation),
NUR995, and NUR999 (Part-time and Full-time Doctoral Dissertation)
Goals and Progress Report
Page 1

Registration for any number of credits of NUR595 or for PhD continuation status (NUR995 or NUR999) indicates that the student is working with the advisor on the dissertation proposal, the dissertation research, or the completion of the written dissertation.

The advisor and student should agree on goals to be accomplished during the semester proportionate to the student's full-time or part-time enrollment and indicate their agreement on the form below. Copies of the form should be kept by the student and advisor for reference during the semester. No copies need to be turned in at that time.

Advisor and student should be in contact on a regular basis (at least once per month). An advisor may submit an academic warning if there is no contact or no progress at mid-semester.

At the end of each semester, the student is responsible for documenting progress toward the goals on Page 2 of this form and submitting both parts of the form to the advisor for signature. If the proposal defense or dissertation defense has occurred that semester, this can be noted in place of more detailed progress. It is understood that research directions may change, obstacles may emerge, and not all goals may be met as planned. These issues should be briefly summarized in the progress report.

The advisor must submit a grade of Satisfactory (S) or Unsatisfactory (E) for each semester. To earn a grade of Satisfactory, the student must have made measurable and satisfactory progress toward goals. If the advisor has not received the student's progress report, a grade of E should be entered for the semester. Both pages of the completed and signed form should be turned in to the Registrar at the time the advisor enters a grade for the semester.

Student Name: ______________________________

Semester: _________________________________

Goals for the Semester:

Student Signature ________________________________

Advisor Signature ________________________________ Date ____________________

NUR595 (Research for Doctoral Dissertation),
NUR995, and NUR999 (Part-time and Full-time Doctoral Dissertation)
Goals and Progress Report
Page 2

Student Name: ______________________________

Semester: __________________________________

Student's Statement of Progress Toward Goals During this Semester:

Student Signature: ____________________________________ Date______________

Advisor Signature: ___________________________________ Date______________

Statement of Proposed Activity for
NUR 591 Reading Course/Independent Study at the Ph.D Level

Instructions: The student and the faculty complete this statement. The faculty member is responsible for meeting with the student as needed, grading any written assignments, evaluating the student's progress, and filing the final grade. The student, faculty, PhD programs Director, and Associate Dean for Academic Affairs sign the completed form. The form is submitted to the SON Registrar's Office (HWH 1W-126). When this form is properly completed and signed, then the registration for NUR 591 is processed. Once the registration is processed, the NUR 591 course may begin.

Name ____ Student ID# ____________________

Phone Number ____

Total Credit Hours ____ Date NUR 591 Starts ______ Date NUR 591 Ends _____________

Title ____

Objective(s): (Please attach course objectives if this is designed to meet the objectives of an existing course).

Instructional Methods/Requirements: ____

____

Method of Evaluation: ____

____

Grading System: (check one) (A reading course/independent study may be graded pass/fail at the discretion of the faculty member. A grade of pass is required to progress in the academic program. When using the letter grade system, a grade of B- or above is needed for satisfactory progression. See the *Student Handbook* for additional information on grading policies.)

☐ Letter Grade ☐ Pass/Fail

Required Signatures:

Student ____ Date ______________

Faculty ____ Date ______________

Ph.D. Program Director____ Date ______________

Associate Dean for Academic Affairs ________________________________ Date ______________

University of Rochester
School of Nursing

PROPOSED PUBLICATIONS FOR DISSERTATION (THREE ARTICLE FORMAT)

FORM A*

Student Name: ____________________

Dissertation Title: ____________________

PAPER #1

Content area of focus: ____________________

Proposed Authors: ____________________

Potential Journal: ____________________

Anticipated date for submission: ____________________

PAPER #2

Content area of focus: ____________________

Proposed Authors: ____________________

Potential Journal: ____________________

Anticipated date for submission: ____________________

PAPER #3

Content area of focus: ____________________

Proposed Authors: ____________________

Potential Journal: ____________________

Anticipated date for submission: ____________________

Committee

Primary Advisor: ____________________

Member: ____________________

Member: ____________________

Member: ____________________

Program Director: ____________________ Date: ____________________

*This form should be submitted to the PhD Programs Office at the time of the Proposal Defense for processing.

University of Rochester
School of Nursing

PUBLICATIONS FOR DISSERTATION (THREE ARTICLE FORMAT)

FORM B*

Student Name: ______________________________

Dissertation Title: ______________________________

<u>PAPER #1</u>

Title: ______________________________

Authors: ______________________________

Journal: ______________________________

Date of publication or submission: ______________________________

<u>PAPER #2</u>

Title: ______________________________

Authors: ______________________________

Journal: ______________________________

Date of publication or submission: ______________________________

<u>PAPER #3</u>

Title: ______________________________

Authors: ______________________________

Journal: ______________________________

Date of publication or submission: ______________________________

<u>Committee</u>

Primary Advisor: ______________________________

Member: ______________________________

Member: ______________________________

Member: ______________________________

Program Director: ____________________ Date: ____________________

*This form should be submitted to the PhD Programs Office at the time of the Dissertation Defense for processing.

PHD CALENDAR FOR SUMMER 2021, FALL 2021, SPRING 2022

To enable review by the Graduate Education Offices in the Schools and University Graduate Education, online dissertation committee and program director approvals must be completed the following number of working days before the defense:

- SMD and SON: At least 10 working days before the defense
- ASE, Warner and Simon: At least 15 working days before the defense
- ESM: At least 20 working days before the defense

A minimum of five working days must elapse between the approval of the candidate's School Dean to advance the record to University Graduate Education and the day of the defense. <u>This time has been included in the schools' lead times listed above</u>.

Defenses may be held during regular business hours on any University working day with the exception of December 23, 2021 through January 1, 2022. See calendar below for additional non-working days.

FALL SEMESTER 2021

Wed. Aug. 25	Fall semester begins.
Tues. Aug. 31	August 2021 PhD conferral date.
Thurs. Sept. 2 **4:00 p.m.**	Last day to submit final corrected dissertation to the ProQuest website to fulfill degree requirements for an October 2021 degree. **NOTE:** Students must be registered for the Fall 2021 Semester if submitting documents after August 25.
Mon. Sept. 6	The University is closed in observance of Labor Day. This day cannot be counted as a working day.
Fri. Oct. 1	October 2021 PhD degree conferral date.
Wed. Nov. 17 **4:00 p.m.**	Last day to submit final corrected dissertation to the ProQuest website to fulfill degree requirements for a December 2021 degree. **NOTE:** Students must be registered for the Fall 2021 Semester if submitting final documents after August 25.
Wed. Nov. 24 - Fri. Nov. 26	The University is closed in observance of Thanksgiving. These three days cannot be counted as working days.
Fri. Dec. 17	Last day for dissertation defense registration approval by University Dean of Graduate Education for defenses scheduled January 3, 2022.
Mon. Dec. 20 - Fri. Dec. 31	Due to recess and holidays, no dissertation registrations will be completed in the University Graduate Education office (although approvals that precede final registration in UGS may be done online). No PhD defenses may be held during this time period.
Mon. Dec. 31	December 2021 PhD degree conferral date.

SPRING SEMESTER 2022

Mon. Jan. 3	Defenses this day must have been registered/approved by University Dean of Graduate Education by December 17, 2021.
Mon. Jan. 10 **4:00 p.m.**	Last day for students who have completed defenses to submit final corrected dissertation to the ProQuest website without registering for Spring 2022 semester. **AFTER THIS DATE, SUBMISSION OF DOCUMENTS FOR DEGREE COMPLETION REQUIRES REGISTRATION FOR THE SPRING SEMESTER.**
Mon. Jan. 17	Spring semester begins.
Mon. Jan. 17	The University is closed in observance of Martin Luther King, Jr. Day. This day cannot be counted as a working day.
Mon. Jan. 24 **4:00 p.m.**	Last day to submit final corrected dissertation to the ProQuest website to fulfill degree requirements for a February 2022 degree.
Fri. Feb. 18	February 2022 PhD degree conferral date.
Thur. April 14 **4:00 p.m.**	Last day to submit final corrected dissertation to the ProQuest website to fulfill degree requirements for a May 2022 degree.
Sat. May 14	University Doctoral Commencement

Key Personnel and Offices

PhD Programs Director	Bethel Powers	HWH 2W116
Program requirements		275-8891
Progression and academic status		
Course & curriculum issues		
Advisor and dissertation questions		
Student advisement		
Award and fellowship opportunities		
PhD Program Support	Denise Wofford	HWH 4W122A
Financial aid and paychecks		275-5121
Travel reimbursement process		
Doctoral study area office space		
Registration status		
Coordination of milestone events (quals, defenses, commencement)		
Program Director's appointment calendar		
Registration Requirements & Process	Andrea Chamberlain	HWH 2W140
		275-8832
Forms: Petitions to transfer courses		
Status Change	ALSO available on G-Public	
Course Drop/Add forms		
Incomplete grade contracts and extensions		
Computer Hardware & Software	Peter Moore	HWH 3W320
		275-6717
Center for Research		
Administrator/Coordinator	Kyle Dembrow	HWH 2W145
Research operations		276-3137
Grant budgets		
Pre-Award Activities		
General information		
Research proposal submission	Joseph Chevez	HWH 2W142
NRSA application management		273-2694
SON & University grant sign-off		
Alumni and Reunion Information	Andrea Allen	Alumni and Advancement Center
		300 East River Road, Box 278996
		276-4336
Disability Accommodations		
https://www.son.rochester.edu/diversity/disability-resources.html		
Local Disability Resource Coordinator		
University Intercessor & Disability Coordinator	Lynne H. Van Slyke	275-9125