

**Doctor of Philosophy in Social Welfare**

**PROGRAM AND POLICY MANUAL**

**UNIVERSITY OF HAWAII  
THOMPSON SCHOOL OF SOCIAL WORK & PUBLIC  
HEALTH  
Department of Social Work**

Academic Year 2021-2022

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## **STATEMENT OF PURPOSE**

The Thompson School of Social Work & Public Health PhD in Social Welfare program prepares students for leadership in the advancement of social welfare education, practice, policy development and research. The program promotes social justice and global understanding through scholarly inquiry using indigenous and mixed method approaches. Emphasis is placed on knowledge development which enhances the wellbeing of Native Hawaiians, and the diverse people and communities of Hawai'i and Asian-Pacific Region.

## **PROGRAM GOALS AND EDUCATIONAL OBJECTIVES**

The major goals of the doctoral program are to:

1. Provide students with the substantive and methodological competence requisite for scholarship and research in social policy and social work practice in the field of social welfare;
2. Increase the number of social welfare professionals, especially in Hawai'i and the Pacific Region, who would be qualified to carry out social welfare research and program evaluations, to teach, and to foster knowledge development in all areas of social work; and
3. Increase the number of doctorally educated social workers from underrepresented ethnic and minority groups.

The PhD curriculum exposes students to a program of study and investigation that places its highest priority on independent inquiry and the enhancement of intellectual, creative, and analytical abilities. Each student completing the doctoral program will be expected to possess a comprehensive body of knowledge about the field of social welfare, related behavioral and social sciences, and the social work profession in relation to one or more social problem areas. Each student will demonstrate ability to conduct independent research on a critical social problem. Specifically, each doctoral graduate is expected to achieve the following educational objectives:

1. Analyze and apply social welfare theories, research findings and research methodologies to resolve critical social welfare problems;
2. Formulate relevant research questions, and apply appropriate research methods in culturally-appropriate research design;
3. Understand and analyze social welfare policies, and their impact on social work practice within communities and populations in need;

4. Develop substantive knowledge in a field of social welfare (e.g. child welfare, health and mental health disparities, poverty, indigenous wellbeing, aging);
5. Conduct rigorous research which aims to advance social work practice, policy and knowledge development;
6. Integrate and synthesize research findings into the body of professional knowledge; and
7. Disseminate knowledge through publications and/or teaching.

To accomplish the above, the doctoral curriculum provides opportunities for students to acquire advanced and comprehensive knowledge in the following areas:

1. The application of social science theories and research to social policy analysis, program evaluation, and social work practice.
2. The conceptualization, design, and conduct of empirical research.
3. At least one critical social problem area.
4. Perspectives on culturally appropriate social welfare programs, social work practice and intervention approaches.
5. Pedagogy of teaching and research through practicum experiences.

## **BRIEF OVERVIEW of PROGRAM REQUIREMENTS**

This overview provides a framework of the PhD in Social Welfare requirements.

Doctoral students are required to earn a total of 46 graduate-level credits which does not include dissertation research credits (SW 800). Students are encouraged to remain in residence while working on the dissertation.

Students are required to take 18 credits of core courses in knowledge development, quantitative and qualitative research methods, and social policy. Students take the Qualifying Examination after they complete the respective core course(s). Passing the Qualifying Examination admits students to pre-candidacy.

Students may begin discussing formation of their specialization committee with the PhD Chair prior to passing the Qualifying Examination. However, the specialization committee is not official until students pass their Qualifying Examination.

In the specialization phase, students work with their specialization chair and confer with committee members to identify their substantive area of study and select courses relevant to their scholarly objectives. The specialization plan, including identified specialization courses, needs to receive written approval from the specialization chair and members the committee.

After completing at least two specialization courses, students may take the SW 755 *Dissertation Seminar*. SW 755 focuses on preparing students for the Comprehensive Examination (Dissertation Proposal).

The Comprehensive Examination is prepared under the supervision of the appointed dissertation chair. Once the dissertation chair and committee members determine the student is ready, the Oral Comprehensive Examination may be scheduled. Officially passing the Comprehensive Examination constitutes doctoral candidacy. The student may then advance to formally working on her/his dissertation research.

Students are also required to take Teaching and Research Practica. Students typically take Teaching and Research Practica after passing the Qualifying Examinations. Students may take the Teaching and Research Practica prior to the Qualifying Examinations with the approval of their academic advisor and the PhD Program Chair. (Motion approved at PhD Program meeting on 1/28/2019).

Completion and successful defense of the dissertation at a final public examination are required before the PhD is conferred. It is the student's responsibility to collaborate with faculty and staff, use initiative to develop action plans, and seek out necessary resources in order to fulfill the stated program requirements.

## PHD DEGREE REQUIREMENTS

The doctoral curriculum is designed to provide sufficient structure to allow students to progress smoothly through the program and, at the same time, provide the flexibility and rigor that are the hallmark of doctoral education. The organization of the curriculum is divided into **core required courses** to ensure that all students are equipped with comparable basic knowledge; **specialization work**, in which students design their curriculum; **teaching and research practica**; **electives**; **a dissertation design requirement**; and the **dissertation**. **The PhD in Social Welfare requires a minimum of 46 hours of course credit excluding dissertation credits** (see Appendix A: PhD in Social Welfare Degree Requirements).

### Core Required Courses

The core program is comprised of a series of required courses that all students must take. These core courses are in the areas of logic of inquiry, quantitative and qualitative research methods, policy analysis and program development in social work, and analysis and development of knowledge in social work. The core courses provide intensive and extensive knowledge of social work's use of the existing social science knowledge base, appropriate research methodologies, analytic strategies and effective intervention approaches to social problems and the delivery of human services. The purpose of these core courses are to:

1. Provide knowledge unique to social work and social welfare;
2. Provide a framework for integration of knowledge, particularly the knowledge obtained from courses in other university units;
3. Provide the basic training necessary for empirical research and scholarship; and
4. Ensure that some of the unique components of the program, such as cultural perspectives, concerns of the people of Hawaii and the Pacific, and a focus on research and knowledge development, are integrated into the curriculum.

The core curriculum of the Ph.D. program consists of the following six required courses:

SW 651 - Quantitative Methods I (3)

SW 654 - Multiple Regression in Behavioral Research (3)

SW 731 - Social Policy Analysis (3)

SW 750 - Analysis and Development of Knowledge for Social Work (3)

SW 751 - Quantitative Methods II (3)

SW 752 - Qualitative Research: Philosophical, Methodological and Analytic Approaches (3)

## **Prerequisites for Non-MSW Degree Students and Course Sequencing**

Students accepted with a master's degree in allied areas (e.g. public health, counseling, psychology, nursing) are required to take:

**SW 630 Social Welfare Policy and Services (3 credits)**, its equivalent, or a waiver examination (must be taken on the UH campus) before enrolling in SW 731 (Social Policy Analysis);

**SW 699 - a one credit Directed Reading course** on the social work profession which includes social work history, contemporary issues and the nature of social work practice.

**SW 640 Introduction to Scientific Methods and Principles in Social Work (3 credits)**, its equivalent, or a waiver examination (taken on the UH campus) is a prerequisite for SW 651 (Quantitative Methods I). SW 651 is a prerequisite for SW 654 (Multiple Regression in Behavioral Research) and SW 751 (Quantitative Methods II).

## **Specialization Area**

The individualized specialization plan is the key focus of the doctoral curriculum. A student's specialization plan emphasizes their commitment to the study of human/social problems, and the development and evaluation of policies and programs designed to prevent or remediate social problems. In particular, the specialization allows students to plan programs of study consistent with their career goals. Students select one human/social problem relevant to social work as a focus for their specialization. (See section on Specialization Committee and Process)

## **Teaching and Research Practica**

Teaching and Research practica are designed to provide students with direct mentoring and hands-on experience. Students are required to take a minimum of one semester in teaching and one semester in research. Typically, practica should be completed after passing the Qualifying Examination. However, the Teaching and Research practica may be taken prior to the QE with the approval of academic adviser and the PhD program chair.

The teaching practicum provides students with opportunities to develop skills for academic positions and future leadership roles. Guidelines for developing the Teaching Practicum are found in Appendix E.

A critical part of development as a scholar is knowledge development through research. The research practicum (Appendix F) targets the development of students' research skills with these specific goals: (1) to provide research experience through participation in supervised research project prior to the dissertation; (2) to involve students in doing

research early in their doctoral studies; (3) to increase students' research skills; and (4) to develop skills in writing for publication.

## **Electives**

Students are required to complete at least two elective courses. *One elective must be in the area of research methods and statistics and the second elective in program evaluation.* These courses must be chosen from the list of approved electives specified below. These elective courses are intended to reinforce each student's knowledge in any of the core or specialization areas.

All electives are subject to prior approval by the student's advisor. If the class is not already on the PhD Program Committee's approved list, the student must submit a graduate catalog outline or other course description prior to the beginning of the first class for PhD Program Committee review and approval. If the PhD Program Committee approves the course, it will be added to the electives list. Students may take additional courses beyond the two electives to further their preparation.

### Approved Electives

Students are required to select one elective course in each of the two curriculum areas listed below. The courses listed below have been approved by the PhD Program Committee as fulfilling the elective requirements.

#### Elective Research Methods/Statistics Courses

SW 680 Topics in Social Welfare – Systematic Review  
SOC 605 (Sociology) - Statistics for Regression Analysis (lab required)  
SOC 608 - Survey Research Design & Analysis  
SOC 705 - Advanced Statistics  
PH 659 (Public Health) - Methods of Demographic Analysis (cross-listed as GHPS 659 and SOC 659)  
PH 663 - Principles of Epidemiology I  
PH 664 - Principles of Epidemiology II  
PH 747 - Statistical Methods in Epidemiological Research (has prerequisites)  
PH 753 - Survival Analysis (has prerequisites)  
EDEP 626 (Educational Psychology) - Advanced Psychometrics (cross-listed as PSY 617)  
EDEP 768D - Seminar in Educational Psychology--Measurement  
EDEP 768E - Seminar in Educational Psychology--Statistics  
EDEP 768H - Seminar in Educational Psychology--Research Methodology  
EDCS 632 (Curriculum Studies) - Qualitative Research Methods  
EDCS 732 - Qualitative Data Analysis (has prerequisites)  
GHPS 659 (Global Health and Population Studies) - Methods of Demographic Analysis (cross-listed as PH 659)  
ANTH 710 (Anthropology) - Seminar in Research Methods in Cultural Anthropology  
ECON 628 (Economics) - Econometrics I (has prerequisites)

ECON 629 - Econometrics II (has prerequisites)  
AREC 626 (Agricultural & Resource Economics) - Econometrics I (has prerequisites)  
AREC 634 - Econometrics II (has prerequisites)

### Elective Program Evaluation Courses

EDEP657 (Education Psychology)—Introduction to Program Evaluation  
PH 765 (Public Health) – Health Program Evaluation  
PLAN 652 (Urban and Regional Planning) - Policy Implementation and Program Evaluation  
SOC 701 - Seminar in Evaluation Research

These courses are currently listed in the University Catalog. There is no guarantee, however, that they will be taught each year. In addition, some courses may have prerequisites.

### **Minimum Grade Requirement for Core Courses**

Students are required to pass all core courses with a 3.0 (B) grade or better in the 18 units of the core courses, and maintain an overall 3.0 grade point average. Students who earn less than a 3.0 (B) grade in a core course may re-enroll in the course with the permission of the PhD Program Committee.

### **Student Progress through the Core Curriculum**

All students must take at least one core course per semester and at least three core courses per academic year. Additionally, all students who have not completed the core courses must take at least six credits per semester.

### **Directed Readings SW 699's**

Students taking directed readings (SW 699) must provide the PhD Program office with information regarding the instructor and objectives of each directed study period prior to registration (See Appendix C: 699 Tutorial/Directed Reading Form; forms are available at the PhD administrative office and online).

### **Incomplete Grades**

An "I" grade is given to students who fail to complete a small but important part of a semester's work before the semester grades are determined if and only if the instructor believes that the failure was caused by conditions beyond the student's control and not by carelessness or procrastination. Students are expected to complete all required core courses. Students receiving an "I" should contact the instructor to determine the steps to be taken to remove the "I." The Individual Student Review/Conditions of Incomplete (ISR-CI) Form ISR-CI must be completed and submitted to the PhD Program office (see Appendix D).

An "I" in prerequisite courses (e.g., SW630, 640, or 699-directed readings specifically determined to be prerequisites) must be resolved with a "C" grade or better prior to the University of Hawaii add/drop deadline. If the incomplete is not resolved prior to this deadline, the student may not continue in the requisite course.

If a student receives a permanent "I" in a required program course (including SW755), the student may retake the course once. **If the student fails to complete the class a second time, the student is not permitted to remain in the program.**

## **CORE COURSE DESCRIPTIONS**

**SW 651 Quantitative Methods I (3)** Introduction to quantitative methods in the behavioral sciences. Review of elementary statistical methods. Introduction to the general linear model as principle of data analysis. Pre: 640 or instructor consent.

**SW 654 Multiple-Regression in Behavioral Research (3)** Advanced application of the general linear model to complex problems of data analysis. Relation of analysis of variance and co-variance to regression analysis. Pre: 651 or instructor consent.

**SW 731 Social Policy Analysis (3)** Students pursue in-depth a specific topic in the areas of social planning, social policy analysis, evaluation of social programs, administration, supervision, and consultation. Selectively a comparative perspective is introduced and case studies used to illustrate concepts, principles, and techniques, with implications for practice. Pre: 630 or PhD student in social welfare or instructor consent.

**SW 750 Analysis and Development of Knowledge for Social Work (3)** Focuses on developing an understanding of philosophy of science, theory development, social work epistemology, and the analysis and development of knowledge for social work practice. Pre: PhD student in social welfare or instructor consent.

**SW 751 Quantitative Methods II (3)** Empirical research methodology with emphasis on design principles and measurement theory; design and measurement issues and problems in cross-cultural research. Pre: PhD student in social welfare or instructor consent.

**SW 752 Qualitative Research: Philosophical, Methodological and Analytic Approaches (3)** Theories and methods of qualitative research; problem formulation, informant selection, study design, data collection and analysis utilizing qualitative approaches. Pre: PhD student in social welfare or instructor consent.

**SW 755 Dissertation Seminar (3)** Culminating experience in social welfare doctoral specialization; integration of PhD core and specialization course work. Pre: PhD student in social welfare or instructor consent.

**SW 800 Dissertation Research (V)** Repeatable.

## **QUALIFYING EXAMINATION (QE)**

The objective of the Qualifying Examination (QE) is to assess students' knowledge, analytic competence, and ability to apply and integrate concepts across the areas of the core curriculum.

All PhD students must pass the QE in order to proceed in the program. When required core courses are completed, and readiness to take the QE is determined with his or her faculty advisor, the student will notify the PhD Program Chair. If a student has an incomplete, or "I" grade, for any of the core courses, she or he is not eligible to take the QE.

### **Time of Qualifying Examination**

Students may arrange to take the QE during finals week of the spring semester (mid-May) or prior to the beginning of the fall semester (mid-August). Students may take certain section(s) of the Qualifying Exam after they complete the respective core course(s) with a passing grade (B or above). Students must complete respective section(s) of the exam within a year of completing the respective core course(s).

QE scheduling may be influenced by faculty availability or other scheduling considerations.

### **The Examination**

The qualifying exam is a written examination consisting of questions pertaining to all areas of the core curriculum. Examination questions test students' ability to integrate and apply knowledge within and across areas covered in the core curriculum. The QE tests students on the synthesis and integration of the following core courses:

- Section A: SW 750 - Analysis and Development of Knowledge for Social Work
- Section B: SW 731 - Social Policy Analysis
- Section C: SW 752 - Qualitative Research: Philosophical, Methodological and Analytic Approaches
- Section D: SW 651 - Quantitative Methods I  
SW 654 - Multiple Regression in Behavioral Research  
SW 751 - Quantitative Methods II

To pass the qualifying exam, students must perform at a level that, in the judgment of the Doctoral Committee, indicates the capacity to continue in the program and to conduct independent research with the conceptual and methodological rigor expected in designing an acceptable dissertation. In order to assess that capacity, the qualifying exam requires that students demonstrate their mastery of each subject area in a manner that reflects comprehension, critical analysis of complex issues within each subject area, and the appropriate application of the material to illustrative subject area scenarios.

The examination is “closed-book” (without any resource materials); administered in two hours in length for each section.

The exam may include a section on defining concepts; several comprehensive substantive, problem-based questions on research design and methods; statistics and application of statistical concepts; cross-cultural applications; social policy; and social welfare knowledge development.

To ensure student anonymity during the faculty’s evaluation of the exam, all exam responses will be written using a computer (MS Word software). Students will use a Department of Social Work computer (without access to the internet). Students will not have access to books, class notes, web-based materials, or other materials while they are completing the exam.

### **Examination Grading**

Students are expected to pass the QE at a performance level considered to be consistent with doctoral level education.

The QE Sub-Committee consisting of faculty who taught the core courses will be responsible for creating and grading the qualifying exam. The PhD Chair will designate the pool of readers for each exam, and when necessary, will select additional readers. Readers will score each exam independently and anonymously.

Each student’s examination will remain anonymous until the committee has completed the evaluation. Answers to each question will be evaluated on a pass/fail basis. A student may pass, conditionally pass, or fail the exam. Students who fail the exam, or part of the exam, will have the option of re-taking the failed part of the exam once. The re-take must occur during the same testing period i.e. within the same semester as the first take<sup>1</sup>. The PhD Program will keep the exam questions and answers. Students will have the opportunity to review their exam questions and answers after the exam has been evaluated.

The QE Sub-Committee will grade the exams and develop recommendations for students. Each section is graded separately and without knowledge of the test-taker’s identity.

Each section of the QE will receive one of the following grades:

- Pass. The student passes a section of the exam.
  
- Pass with conditions. The student passes a section of the exam but must fulfill specific conditions before the exam is considered complete.
  
- Fail. The student fails a section of the exam. When a student fails any section of the exam, they will be given one opportunity to retake the exam. Students who fail any section of the qualifying exam twice will be dismissed from the program.

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<sup>1</sup> It is important to note, the Program cannot guarantee students’ anonymity to examination graders after the first take.

Students must retake the sections of the exam that they fail. If a student fails one or more sections of the exam, they must retake all failed sections during the same testing period. Retakes must be completed within a year .

When students pass all sections of the QE the results are reported to the Graduate Division on **Form I, Pre-Candidacy Progress**.

## **SPECIALIZATION COMMITTEE & PROCESS**

### **Conditions for Commencing the Specialization**

1. The student must pass the Qualifying Exam,
2. The Specialization Plan must be presented to, and approved by, the student's Specialization Committee.

### **Specialization Committee Procedures, Submission and Approval of the Specialization Plan**

In consultation with the student and his/her faculty advisor, the Chair of the PhD program appoints three consenting graduate faculty members to participate in the student's Specialization Committee (SC), one of whom is appointed as chair. The SC Chair must be from within the Department. Specialization Committee members must be members of the graduate faculty in the Department of Social Work. One member may be a graduate faculty in another academic unit at the University of Hawai'i. An internal form, **Specialization Committee – SSW Approval form**, signed by faculty agreeing to serve on the student's SC will confirm its formation.

If it is likely that the SC chair will be the student's dissertation chair, the designated graduate faculty must meet qualifications to chair a dissertation committee (see Graduate Faculty Qualifications section).

Efforts to develop a specialization area and to form the specialization committee may begin prior to passage of the qualifying examination. Students are encouraged to engage in preliminary discussions with faculty regarding their specialization focus and appropriate courses. Specialization courses could be taken before or after the QE is passed.

Students are responsible for developing the specialization plan in consultation with the chair and committee members and keeping committee members informed about the plan. Once the written Specialization Plan and course selections are submitted to the Specialization Committee for approval, all committee members and the student meet to approve or disapprove the plan. If the committee does not approve the plan, the committee will discuss the necessary areas for improvement with the student. All members of the committee must approve the plan.

Administrative process: Students are required to notify the PhD administrative office of the date, time and place of their specialization approval meeting. A copy of the student's approved Specialization Plan (approval signatures must be on the document) will be submitted to the PhD Program to be kept on file in the student's academic folder.

## **Specialization Plan**

Each student's specialization plan provides a focus on the developmental work that needs to be done in a substantive area (social/human problem) of the student's choice. By providing a critical methodological and substantive education, the PhD program will produce social work scholars who possess the requisite expertise to make significant contributions to state, national, and international efforts to resolve major social welfare problems.

Guidelines for the preparation of the *Specialization Plan* are presented in Appendix B. The plan will include the following:

1. Statement of the problem, description of specific problem area or population with needs such as substance abuse and mental illness; immigration, trauma and health; child abuse; aging and health care policy (as a few examples);
2. Importance of the problem, i.e. rationale for selecting the topic and its relevance to social work and social welfare;
3. A clear, focused description of the program of study (follow the outline in the "Requirements for Specialization Knowledge Development", Appendix B) to describe your learning objectives. A list of the courses that have been taken or to be taken (at least 12 credits) and timeline.

## **Specialization Courses**

The program of study described in each student's Specialization Plan will consist of at least 12 credits of course work. Three of the Specialization courses (total of 9 credits) may be taken from any department across the university.

In addition to the 12 credits of specialization course work, students must take the Dissertation Seminar (SW 755, 3 credits) from Social Work. A student must complete at least two specialization courses prior to enrolling in the Dissertation Seminar.

During the first year, the student may enroll in a SW 699v Directed Reading course to develop a specialization area and to prepare a Specialization Plan. However, the development of the Specialization Plan whether under 699v credits or not, cannot count toward meeting the 12 credits of specialization requirements.

The specialization courses selected by students must be appropriate to the student's individualized Specialization Plan. A student may select any 600 level or 700 level

graduate courses. MSW foundation courses may not be used to meet the specialization course requirement. Social Work 700 level courses and 600 level special topics courses are acceptable. Courses previously taken to complete the required hours in another graduate degree program may not be used to meet this requirement. Any exception to these policies must be approved by the Ph.D. Program Committee.

Certificate Programs – Students who plan to apply to a certificate program while pursuing their PhD in Social Welfare must work closely with their DSW faculty advisor/chair to ensure that credits are being counted accurately. Credits that are required for one program of study may not be double counted by another. Please see the Graduate Division policy on double counting credits, <http://manoa.hawaii.edu/graduate/content/double-counting-credits>

## DOCTORAL COMMITTEE

The doctoral committee may be a continuation of the Specialization Committee (formed after a student passed the QE) or may be re-constituted with guidance from the PhD Program Chair depending on needed faculty expertise. The doctoral committee conducts the comprehensive examination and approves the dissertation research proposal and the dissertation itself. To form this committee, the student is advised to first seek a graduate faculty member who is qualified (Full Graduate Faculty-tenured faculty) and willing to serve as chair of the doctoral committee.

The committee must consist of at least five members of the University of Hawai'i graduate faculty. The majority of the committee must be from the Department of Social Work and at least one faculty member must be from another field of study (University Representative). The chair of the committee must be from the Department of Social Work and both the chair and University Representative must be full members of the regular graduate faculty. **Please consult the Graduate Division website on Committee Composition and Potential Members at, <https://manoa.hawaii.edu/graduate/select-committee-member/>.**

After establishing the committee, the student must complete an **SSW internal form, 'Doctoral Committee: SSW Approval form'**, and submit it to the Chair of the PhD program.

The University of Hawaii at Mānoa Graduate Division provides updated information about dissertation composition, potential committee members, etc. at their website, <https://manoa.hawaii.edu/graduate/thesis-dissertation/>

### Committee Composition

A student who has been advanced to the dissertation stage is responsible for forming a dissertation committee. Members of the committee must review the student's research proposal and indicate their approval by signing Form II. The student must keep the

committee informed of the scope, plan, and progress of the dissertation research and manuscript. Note the following policies regarding committee composition:

Committee Size and Potential Members

Dissertation – Five members or more

<p>Chair</p>	<p>The chair is responsible for directing and guiding the student's research and writing activities. He or she should possess expertise in the student's chosen research topic.</p> <p>It is the responsibility of the student to select an appropriate topic and to ensure that a faculty member with expertise in the topic is available and willing to serve as chair.</p> <p>Dissertation — Chair must be a level 3 regular or cooperating graduate faculty member in the student's graduate program. With approval from the Graduate Division, a level 3 affiliate graduate faculty or an emeritus faculty may serve as chair.</p> <p>It is possible to have co-chairs on a committee. If there are co-chairs, both chairs must attend the final defense and review the manuscript. In order for the student to pass, both co-chairs must indicate their approval on Forms III and IV. On the forms, the word “co-chair” must follow the name of each co-chair. For administrative purposes only, the Graduate Division will treat the first co-chair listed as the chair.</p>
<p>Committee Members</p>	<p>Dissertation — five members or more</p> <p>Students may conduct an online search to locate <a href="#">potential committee members</a>. The majority of the committee should be graduate faculty from the student’s graduate program. However, exceptions are possible. Emeriti faculty may serve on a committee at the request of the student and the graduate program. Non-graduate faculty may serve on a committee under special circumstances. If choosing a non-graduate faculty to serve on the committee, attach justification and the faculty’s current CV to Form II. Graduate chairs have the privilege of being ex-officio members of all committees in their program.</p>
<p>University Representative (formerly known as the Outside Member)</p>	<p>Dissertation — required</p> <p>The University Representative (UR) is a required member of the dissertation committee. The UR fulfills the following functions:</p> <ul style="list-style-type: none"> <li>• The UR serves as a liaison between Graduate Division and the student’s committee. S/he is to ensure administration of proper procedures with regard to the comprehensive exam and dissertation, fair treatment of the student throughout this process and that the level of research and integrity are appropriate to the student’s degree objective.</li> </ul>

	<ul style="list-style-type: none"> <li>○ The primary responsibility of the UR is ensuring the integrity of the process and appropriate treatment of and participation by the student.</li> <li>● Disciplinary familiarity with the dissertation topic, while helpful, is not required.</li> </ul> <p>Requirements to serve as University Representative:</p> <ul style="list-style-type: none"> <li>● Level 3 member of the graduate faculty on UH Mānoa campus.</li> <li>● Experience serving on dissertation committees at UH Mānoa.</li> <li>● From a different graduate program and at “arm’s length” from the committee chair and faculty in the student’s graduate program.</li> <li>● Participation in committee meetings and attendance at the comprehensive exam and dissertation-related presentations (e.g., proposal and defense)</li> <li>● Able to clearly communicate issues/concerns to the chair of the committee and work collaboratively to resolve them. <ul style="list-style-type: none"> <li>○ If issues and concerns are not resolved with the chair of the committee, the UR should share these issues and concerns with Graduate Division.</li> </ul> </li> </ul>
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## **Graduate Faculty Information**

At UHM, the graduate faculty is composed of scholars who have a record of professional and scholarly achievements and who have agreed to work with and advise graduate students. All members of the graduate faculty are affiliated with one or more graduate programs.

### Types of Appointment

1. Regular Graduate Faculty (RGF): UHM Faculty in an academic department of college/school that houses the graduate program with which the graduate faculty appointment would be affiliated. This program is considered their “home” graduate program. For those with split appointments, it is with the graduate program in the unit where the individual’s locus of tenure is assigned.

2. Cooperating Graduate Faculty (CGF): UH faculty from another graduate program at UHM, research faculty employed by a UHM research unit or faculty members in a department without a graduate program, or on another UH campus. For UH faculty in a

unit without a graduate program or employed on another UH campus, the first CGF appointment will be the “home” graduate program.

3. Affiliate Graduate Faculty (AGF): Non-UH faculty or community members otherwise qualified who possess a specific expertise or background that may contribute to a student’s graduate work. They may only be nominated for a Level 1 appointment.

4. Emeritus (EGF): UHM faculty awarded as Emeritus faculty by the Board of Regents may continue to serve as a member of the graduate faculty. This includes in their home graduate program as well as with other graduate programs at UHM, if they wish. They may finish their advising/committee work (including as University Representative) with students who have reached candidacy at the time of their retirement, but may not chair, advise, or serve as UR for any further students after their retirement. They may, however, serve as a committee member.

5. Other: This group includes, but is not limited to post-doctoral fellows, rank 2 faculty, or other qualified individuals who are employees at UH Mānoa. Their primary responsibilities may be in research, instruction or other related duties, but their expertise may be of benefit to help a student’s doctoral research. They may only be nominated for a Level 1 appointment.

### Levels of Appointment

Level 3 (formerly Full) members may advise and chair doctoral committees in their home and/or cooperating graduate programs, prepare and/or assist in preparing/grading qualifying, comprehensive and final exams, assist in the administration of their home graduate program, and serve as university representative after completing service on a doctoral committee at UHM. They may also serve as committee members on any master’s and doctoral committees for students in other programs.

Level 2 (formerly Associate) members may advise and chair Plan A master’s thesis committees in their home and/or cooperating graduate programs, help prepare and grade qualifying, comprehensive and final exams, and also participate in the general administration of their home graduate program. They may also serve as committee members on any master’s and doctoral committees for students in other programs. Level 2 graduate faculty may not advise or chair doctoral committees, or serve as the University Representative.

Level 1 members may serve as a member on a thesis or doctoral committee. Their participation is limited to the program to which their graduate faculty appointment was approved. They may not advise students, serve as chair or as University Representative. The role of a Level 1 member is primarily to contribute expertise with regard to the topics, methods, analyses or other related aspects of students’ research.

## COMPREHENSIVE EXAMINATION (CE)

The oral comprehensive exam is required. The purpose of this exam is to ascertain the student's comprehension of the specialization area and the student's readiness for dissertation research. Thus, this exam will cover the student's area of specialization as well as a dissertation proposal. The CE should consist of the statement of the problem, review of the literature, research design and methods. See Appendix G: GUIDELINES FOR THE COMPREHENSIVE EXAMINATION – DISSERTATION PROPOSAL for information regarding content.

The content and style of the dissertation proposal must conform to specifications in the current edition of the APA Publication Manual. The doctoral committee conducts the comprehensive examination.

Administrative process. Once the dissertation committee chair approves a student's readiness for the CE, the student will notify the PhD Program administrative office of the date, time and place of the CE.

Passing the CE constitutes approval of the dissertation proposal. The doctoral committee chair will submit the committee-signed **Student Progress Form II (Advance to Candidacy)** to the PhD Program Chair who in turn will report the results of the CE examination to the Graduate Division .

## DOCTORAL DISSERTATION AND FINAL EXAMINATION

### Nature and Scope of the Dissertation

In accordance with the Department of Social Work's mission and PhD Program objectives, the nature and scope of the dissertation research should address the School's mission to generate, transmit, and apply knowledge regarding the relationship between social problems and effective professional practice. Dissertation topics which advance knowledge and practice benefiting Native Hawaiian and other Pacific Islander and Asian cultures within the State and the Pacific Region are strongly encouraged.

### Dissertation Design

The dissertation design requirement includes a dissertation seminar (SW755) and at least one Directed Reading and Research course (SW 699v). This requirement will integrate and focus the student's learning in the specialization area as it is related to the dissertation research, and facilitate the student's movement toward the dissertation.

Administrative process: For any SW699 taken, students must submit a description of the SSW internal form, **Tutorial/Directed Reading** form, which includes a description of the objectives, number of credits and instructor's name to the SSW PhD Program office.

## Doctoral Dissertation

The doctoral dissertation is a scholarly document resulting from original and independent research. The dissertation is a major undertaking that reflects the highest standards of scholarship and makes an original and significant contribution to knowledge and practice in the field of social welfare and/or the profession of social work. Dissertation research must follow the University standards on research ethics; see <https://manoa.hawaii.edu/graduate/compliance-ethical-standards/>

The student must be the sole author of the manuscript, co-authored dissertation is not permitted. While contributions from others are allowed, the principal contribution to the manuscript must originate from the student. For example, contribution from a faculty advisor should not exceed the student's own contribution.

In addition, the dissertation should exhibit originality in the sense that it does not duplicate someone else's work. Proprietary or classified information is not an appropriate basis for dissertation research. Data which cannot be made public are not suitable for inclusion in dissertation research. Doctoral research involves free and full dissemination of research results and a public defense of the dissertation.

The subject of a dissertation must be approved by the student's committee. When the research involves human participants approval from the UH Human Studies Program is required before the research is undertaken. Please see [Compliance and Ethical Standards](#).

The dissertation presents research conducted under the supervision of the dissertation committee chair with approval and direction from the doctoral committee. Students should look to the chair of their doctoral committee for primary direction regarding research methods, writing of the dissertation and presentation of results. It is the joint responsibility of the chair and the student to see that all members of the committee are kept informed of the scope, plan, and progress of both the research and dissertation.

When the dissertation proposal has been approved by the doctoral committee, the Graduate Division must be notified on **Student Progress Form II, Advance to Candidacy**. The student may then register for the dissertation research course (SW 800) during the next registration period. The student must be registered in the dissertation research course (SW 800) during the entire term in which the work for the degree is completed.

### Use of Previously Published Material

The dissertation may not have been published previously in its entirety. With the approval of the graduate program and the committee chair, a student may include previously published material in the dissertation. In all graduate programs where the inclusion of such material is permitted, several conditions apply:

- The published material must be the product of the dissertation research conducted by the student while enrolled in the graduate program, and must not have been used to obtain another degree.
- The published material must be logically integrated into the dissertation in a coherent manner. Binding reprints of the publication to the manuscript are unacceptable.
- In general, the student should be the sole or primary author of the published material. Co-authored articles may be included only if the student's contribution is clearly defined and indicated in the introduction or preface section of the manuscript.
- Publication references for the published material must be included. In the case of co-authored material, written permission from all copyright owners must be obtained.

## **Final Defense**

The final defense is an oral examination open to the public, during which the author of a dissertation demonstrates to his or her committee satisfactory command of all aspects of the work presented and other related subjects, if applicable. The defense is required for the dissertation.

### Administrative Process

Once the dissertation committee chair approves a student's readiness for the dissertation defense, the student will notify the PhD Program administration of the date, time and place of the dissertation defense so that public notice may be posted and Form III is prepared.

### Scheduling and Announcement

Defense announcement in the University Events Calendar is required for the dissertation. The defense must be one hour or more in length. It may be scheduled between 8:00am to 4:30pm on any work day, during both instructional and non-instructional periods. Submit [Announcement](#) to the Graduate Division Student Services no later than two weeks prior to defense. The announcement must specify title, date, time and place of the defense. It must be signed by the committee chair.

### Pre-Defense Manuscript Distribution

The student must submit the completed manuscript to the committee by the deadline set by his or her graduate program, or no later than two weeks prior to the scheduled defense (four weeks is highly recommended in the case of the dissertation).

### Committee Participation

The student, chair, university representative, and a majority of members (as approved on Student Progress Form II) must be physically present at the defense unless special

guidelines and procedures are established via an official memo by the graduate program and approved by the Graduate Division.

In the event that a committee member is unable to participate physically in the final defense, the alternatives are, in order of preference:

1.	Postpone the defense.
2.	<p>Use video- or teleconferencing — Under special circumstances, a committee member may participate via video- or teleconferencing, if certain conditions are met:</p> <ul style="list-style-type: none"> <li>• Advance written agreement of the student and all committee members has been obtained and submitted to the Office of Graduate Student Services (use Petition for Remote Committee Participation Form);</li> <li>• All materials, including any visual aids, have been distributed in advance to the remote member;</li> <li>• The remote member participates in the entire and complete course of the meeting;</li> <li>• The committee chair has accepted responsibility for the oversight of any logistical arrangements necessary; and</li> <li>• Any costs associated with video- or teleconferencing have been accounted for in advance. Such costs are not the responsibility of the Graduate Division.</li> <li>• Submit a Doctoral Petition for Remote Committee Participation.</li> </ul>
3.	Restructure the committee.
4.	<p>Use proxy member(s)</p> <p>As a general rule, the Graduate Division discourages the use of proxy committee members for the final defense. However, the use of a proxy member may occasionally be the only feasible solution that does not unduly penalize the student. Only regular graduate faculty may serve as proxies. A proxy cannot be used for the chair or the university representative. To use a proxy member, submit a written request to the Office of Graduate Student Services prior to the day of the final defense. The request must indicate the reason for the proxy, and include the approval signature of the student’s graduate chair. Upon request approval by the Graduate Division, the proxy is expected to act in full capacity of the committee member he or she replaces. The proxy may ask any questions he or she deems appropriate. The proxy may require the student to revise, add or delete portions of the manuscript. Finally, the proxy must indicate approval or disapproval of the defense by signing Form III.</p>

### Committee Approval

A majority of the committee, including the chair and university representative, must approve of the defense in order for the student to pass. A student failing the final defense for the first time may repeat it only with approval from both the graduate program and the Graduate Division. A student failing for the second time is dismissed from both the graduate program and the Graduate Division. Committee members are required to indicate their approval of the manuscript and the defense using the forms listed below:

#### Form III

**Purpose:** To indicate approval or disapproval of the content of the manuscript and the student's ability to defend it.

**Required Signatures:** To be signed by the chair, university representative, and committee members who participate in the final defense, including any proxy members.

**Submission Deadline:** Submit after the defense.

#### Form IV

**Purpose:** To indicate approval of both the content and the form of the finalized manuscript.

**Required Signatures:** To be signed by the chair, university representative, and a majority of the committee, including any committee member(s) who may have been physically absent at the defense. All those who sign must have read and must approve the manuscript in its entirety.

**Submission Deadline:** submit along with manuscript by the dissertation due date.

### Committee Decision Review

Should a member of the committee voting in the minority wish to have the majority decision reviewed, he or she may do so by submitting a written request to the Graduate Division. The request must state specific reasons. Upon approval of the request, the review will be undertaken by the Graduate Council.

### **Submission and Publication**

#### Manuscript Submission

It is the student's responsibility to edit and prepare a final manuscript that meets the style requirements of both the Graduate Division and his or her graduate program. The [Style and Policy Manual for Theses and Dissertations provides general guidelines on the physical format of the manuscript](#). For more information about margin settings, title page, use of kahako and okina, official degree name, date of graduation, names of committee members, and use of titles, please visit [Style Policy](#)

## ProQuest ETD Submission & Publication

ProQuest ETD is the service that UHM Graduate Division uses for the electronic submission of all theses, doctoral papers and dissertations. Submission deadlines are found in the [UHM Academic Calendar](#). Submission of theses, doctoral papers, and dissertations cannot occur prior to the first day of the graduation term. Extensions are only granted with the approval of the Graduate Chair of your program. The very last day to submit your manuscript to ProQuest ETD is no later than 4:00pm HST on the last day of the semester/summer term. Graduation will automatically be postponed to the following graduation semester if the manuscript is submitted to ProQuest ETD after 4:00pm HST on the last day of the semester (resubmission of the manuscript is not necessary). Please keep in mind that a student must be registered appropriately in the semester/summer term of graduation.

Students are strongly encouraged to submit your final manuscript to ProQuest ETD at least 4 weeks prior to the end of the semester. This will allow time to confirm that all of your graduation requirements are met in a timely manner and to avoid delays in your degree conferral.

Note: The accuracy of your manuscript – which includes the title page, format, content, copyright permissions, etc. – is the responsibility of your doctoral committee chairperson. The [Style and Policy Manual](#) may be used for basic guidance on formatting.

## Procedures for Submitting your Dissertation

### [Graduation Checklist for PhD Doctoral candidates](#)

#### Submission Stage

After you have written your final approved manuscript and followed the steps on your respective graduation checklist, you are now ready to electronically submit your dissertation manuscript to ProQuest ETD. Follow the steps outlined on the Graduate Division [ProQuest ETD Submission and Publication instructions](#).

## THREE ARTICLE DISSERTATION OPTION

The Three Article Dissertation (TAD) option is intended to support students in establishing a publishing record, making a contribution to the professional literature, receiving guidance as they prepare professional publications and becoming more competitive in applying for academic jobs.

A student considering this option should discuss its feasibility with her or his chair as early as the specialization plan phase. All TAD dissertations require prior approval of the dissertation committee and Ph.D. Program Chair. When choosing a committee, a student should consider faculty members who have strong publishing histories. The TAD format will be monitored, evaluated and changes made to these guidelines as necessary.

### Number and Nature of Articles

The student will write 3 articles under the TAD format. Each article may become part the dissertation (e.g., comprise Chapters 2, 3, and 4 of the dissertation), following an Introduction (Chapter 1).

The articles should form a cohesive body of work that supports a theme or themes that are expressed clearly in the introduction to the dissertation. Up to 1 article may be a systematic literature review or based on a conceptual or theoretical approach. The other two articles must be based on empirical findings.

One article previously published while the student was enrolled in the PhD in Social Welfare Program may be included upon approval of the students' dissertation committee and the PhD Program Chair (see Appendix I)

Articles are submitted to journals following the style requirements of those particular journals. However, in the dissertation, the articles *must* follow University Graduate Division guidelines in terms of formatting and presentation.

If a previously published article is approved by the committee, the student will be responsible for securing necessary permissions (i.e., from the copyright holder and other authors).

### Journals

Journals must be approved by the dissertation committee. Serving as an “editorial board” for the student, the committee will help select journals that will challenge the student and offer a reasonable chance of publication success. All articles must be submitted prior to the dissertation defense; the dissertation committee must approve any exception to this rule.

### Authorship

Students must be sole or first author on all articles. One article may be co-authored; the Ph.D. Committee must approve any exception to this rule. Co-authors must be identified

at the student's proposal and any changes in co-authorship must be approved by the student's dissertation committee. Co-authorship must follow authorship guidelines as outlined (see Appendix J).

### Organization of the Dissertation

The dissertation must include an abstract that synthesizes the articles, as well as an introduction (Chapter 1) and a conclusion (Chapter 5, assuming 3 articles are presented). The introduction should include all elements of the standard dissertation:

1. A definition or statement of the problem,
2. The importance of the problem, i.e., why it is worth researching, why it matters to the field of social work,
3. The theoretical foundation(s) supporting the problem/issue,
4. An overview of the important literature (overview, because each article submitted for the TAD will have its own unique literature review),
5. The research questions,
6. The methodology to be used to answer those questions.

The conclusion will briefly summarize the dissertation's major findings, discussion, and recommendations. The student will also present and discuss linkages (i.e., similarities and differences) between the separate manuscripts that are included in the dissertation, striving as much as possible to present the document as representative of a coherent body of work.

The dissertation will be formatted and bound or electronically submitted consistent with University Graduate Division guidelines, available on-line.

### **TAD Dissertation Proposal and Defense Procedures**

Dissertations prepared using the TAD format will be subject to proposal and dissertation defense procedures as specified by program policy.

The dissertation proposal must include:

- a. The introductory chapter.
- b. Copies of any completed articles, whether published or not.
- c. An outline of any articles in progress.
- d. A list of proposed journals.
- e. A timeline for completion of the work.
- f. IRB approval and research procedures, if required.

For the dissertation defense, students will present a dissertation document that includes all the elements required by the University for a traditional dissertation (e.g. abstract, table of contents, appendices; introductory chapter; the three articles or studies conducted for the dissertation; and a concluding chapter).

Students will complete the final oral examination as described in the Final Examination: Process and Procedures section.

## **ADVISING**

The PhD Program Chair will offer academic and administrative advising for all PhD students during their first academic year. By the end of the first academic year, each student, in consultation with the Chair, shall select a graduate faculty member of the Department of Social Work as the student's advisor.

## **STUDENT REVIEWS**

### **Annual Review of Doctoral Students**

The annual review (conducted each spring) is intended to monitor the overall progress of doctoral students by reviewing the specific progress of each student. The student, along with his or her academic advisor, completes and submits the annual student review to the Program Assistant.

Reviews address each student's academic progress, identify current difficulties in meeting learning objectives (if any), and needs that have program implications (such as research funds, computer access, faculty resources, etc.).

Decisions or recommendations made by the PhD Program Committee will be discussed with each student by his or her advisor.

### **Individual Student Reviews**

Individual students may be reviewed at any time during their tenure in the program at the request of an instructor, an advisor, or the Chair of the program. The purpose of this review is to discuss the performance of a student who is having difficulty in the program and to develop a plan for responding to these concerns before they become more problematic for the student.

This review will be conducted by a committee composed of the Chair of the PhD program, the student's current instructors, and his or her advisor. The student will be invited to provide input during these deliberations. The review will address the academic progress of the student, assess any need for remedial academic work or learning skill development, and identify any other impediments to learning. (Form ISR-CI must be completed and submitted to PhD program, see Appendix D)

The committee will report the results of this review to the PhD Program Committee. The advisor will meet with the student to implement recommended actions.

## ACADEMIC POLICIES

Students should be familiar with UH Graduate Division Enrollment Policies. Complete information regarding withdrawal, academic progress, the Seven-Year Rule, leave of absence, academic standards, conduct code, grading policies, disciplinary actions, grievance, concurrent degrees, credits, graduation and other academic issues may be located at the Graduate Division website, <https://manoa.hawaii.edu/graduate/enrollment-policies/> Students are required to inform the PhD Program administrative office of any changes in their contact information, examination readiness, or other relevant changes to their student status.

### Continuous Enrollment

Once admitted into UHM, all graduate students need to be enrolled continuously (excluding summer session) until they graduate.

The PhD Program strongly recommends full-time residency, defined as 8 or more credits per semester for the first two years. Part-time students (less than 8 credit hours per semester) who have not completed the core requirements must take at least 6 credits per semester.

After passing the Comprehensive Examination, domestic students must be enrolled in at least one credit SW 800 each semester. The credit may be for course work, dissertation or research.

For more information about enrollment policies, please visit [Enrollment Policies](#)

International students are required by law to maintain full-time enrollment while studying in the United States. Exceptions may be granted to students with serious illness, students in their graduating semester, or students who experience academic difficulties. To enroll less than full-time, students need to obtain advance approval from International Student Services.

After passing the Comprehensive Examination, international students in the dissertation stage taking one credit of SW800 are considered full-time. Please visit the ISS website for detailed information, [International Student Services](#)

### Part-time Attendance Requirements

Part-time students are defined as students who are enrolled in the PhD program for less than 8 credit hours per semester. **Part-time students who have not completed the core courses must take at least six credits per semester.** Summer courses, if offered, can be counted against this total. Directed reading hours may be counted in this total. Students who do not meet this requirement will be required to seek an official leave of absence from the program.

## **Concurrent or Sequential Degrees**

A student pursuing multiple graduate degrees concurrently is considered to be pursuing each one independently, in the sense that each degree can be awarded when all of its requirements are met. A student pursuing multiple graduate degrees, whether concurrently or sequentially, must complete all course and residency requirements of each degree program. Concurrent degrees must be entirely distinct and should not incorporate parts of each other. Double-counting of credits between multiple graduate programs must adhere to official Graduate Division policies. See [Double-Counting Credits](#)

## **Seven-Year Rule**

Time to degree completion is an important part of the integrity and quality of graduate programs. In general, graduate students at UHM must complete all degree requirements within seven years after admission to their programs. An approved leave of absence of up to two semesters is not counted in the seven years. Rules for time allowed for degree completion were changed, effective Fall 2011. Students who enrolled prior to Spring 2011 should contact Graduate Student Services.

Effective Spring 2015, for masters and doctoral students, academic probation will be placed on a student's record at the end of the 7<sup>th</sup> year, rather than at the end of the 5<sup>th</sup> year. However, this does not preclude a graduate program from requesting an academic probation action if they deem appropriate, sooner than year 7. Official correspondence will be sent from Graduate Student Services with further information at the time of the probation action.

## **Leave of Absence**

Unless a leave of absence has been approved in advance, a student who fails to maintain continuous enrollment (excluding summer session) is considered withdrawn from the university. Students on approved leave do not pay tuition or fees and may not enroll in classes. Students who plan on consulting university faculty or using university facilities or staff services should not request leave. For more information about leave of absence, please visit [Leave of Absence](#)

### Length of Leave Allowed

Each student is allowed up to one year of leave. Time on approved leave is not counted against time allowed for the completion of the graduate degree programs.

### Who May Apply

To apply for leave, a student must

- be enrolled currently,
- be in good academic standing, and

- have completed at least one semester of coursework relevant to degree objective.
- Post-Baccalaureate Unclassified students do not qualify for Leave of Absence.

### How to Apply

Students who wish to petition for leave should file a [Petition for Leave of Absence](#) with the Graduate Student Services Office. Students who must maintain full-time enrollment due to their status as international students, guaranteed loan recipients, East-West Center grantees, or veterans must obtain approval from the respective offices before petitioning for leave.

### Return from Leave

Students who do not return from leave on the specified date will have to apply for readmission. Students who wish to return sooner from an approved leave should contact the Office of Graduate Student Services by the deadlines indicated below.

Semester of Return	Deadline
Fall Semester	April 1
Spring Semester	October 1
Summer Session	March

### **Conduct Code**

The University of Hawai'i at Mānoa exists for the pursuit of knowledge through teaching, learning, and research conducted in an atmosphere of physical and intellectual freedom. Members of the UHM academic community are committed to engage in teaching, learning, research, and community service and to assist one another in the creation and maintenance of an environment that supports these activities.

Members of the academic community may not violate the rights of one another nor disrupt the basic activities of the institution. Students who are disruptive are subject to a variety of disciplinary actions that may include reprimand, probation, restitution, suspension or expulsion. Continued enrollment at UHM is contingent on appropriate academic conduct.

Some graduate students are professionals or professionals-in-training in their respective fields, and as such, are subject to the ethical and conduct standards of their profession. Students may be dismissed by such fields for behavior which is determined to violate the codes of conduct set by that profession. These codes may be guided by the profession's accrediting or licensing bodies. Appeals of the dismissal will be heard by the dean of the school or college in which the student's field of study is housed.

It must be recognized that members of the academic community have the same privileges and responsibilities with respect to the law as do members of the larger society. As a result, members of the UHM campus community must acknowledge that when the interests of the university are violated by a student, the student is accountable to the institution and may also be held responsible to civil authorities. These interests of the university are described in the.

## **Disciplinary Actions**

### Probation

Students on probation are not considered to be in good academic standing. A student may be placed on probation for any of the following reasons:

- Failure to maintain the required GPA of 3.0 after earning eight credits or more
- Failure to make adequate, including having too many incompletes or exceeding the requirements.
- Failure to comply with [the student conduct code](#).

A student placed on probation for violations of the student conduct code but not barred from campus is required to register during the probationary semester. A student placed on such probation and barred from campus should contact the Graduate Dean regarding a course of action.

### Dismissal

A student on probation who fails to meet the minimum required academic standards at the end of the probationary semester will be dismissed. A student may be placed on academic probation only once. A student who has already been on probation will be dismissed, if he or she again fails to meet the minimum required academic standards in any subsequent semester. A student may also be dismissed for the following reasons:

- Failure to pass the qualifying, comprehensive, or final examinations required by his or her graduate program.
- Failure to maintain the required GPA of 3.0 after earning eight credits or more.
- Failure to make adequate, including having too many incompletes or exceeding the requirements.
- Failure to comply with [the student conduct code](#).

### Disciplinary Action Letters

At the end of each semester, the Graduate Records Office sends out academic probation and dismissal letters to students who have been placed on probation or dismissed. Copies of the letters are sent to the graduate programs, and if applicable, to appropriate units such as:

- East West Center
- Financial Aid Services
- Hamilton Library
- International Student Services
- Outreach College
- Student Employment and Cooperative Education Office
- Student Housing Services
- Veterans Administration

Students on academic probation who subsequently raise their GPA to above 3.0 will receive letters of removal from probation from the Office of Graduate Student Services. Copies are sent to units that received the initial letter of probation.

### Transcript Notations

Academic probations and dismissals are noted on the transcripts.

### **Grievance Procedures**

There are two different avenues to redress a grievance, depending on whether the grievance is academic or related to discrimination or unfair treatment. The School as well as the University encourages the resolution of grievances at the lowest level. If resolution of a grievance does not occur at a particular level, the appropriate referrals can be identified and discussed. It is against University policy to penalize or retaliate against any party for participation in grievance resolution.

### **Academic Grievance Procedure & Student Responsibilities**

- For grievances involving course grades, refer to the [UHM Academic Grievance Procedures](#). Grievances involving professional practice within a specific graduate program are handled by the said program; the final authority over which rests with the dean of the respective school or college. The policies and procedures contained in this section apply to grievance situations unique to graduate students, such as grievances involving: specific graduate program requirements (including adequate academic progress),
- qualifying and comprehensive exams,
- formation and composition of the thesis or dissertation committee,
- final defense of the thesis or dissertation,
- infringement of intellectual property.

Before filing a formal grievance against a faculty who has failed to fulfill faculty responsibilities, a graduate student must have fulfilled the responsibilities listed below:

- To abide by
- To make a good faith effort at informal conflict resolution, using available campus resources.

- To refrain from frivolous grievances.
- To follow official grievance procedure.

Please visit the Graduate Division website for additional information about [Graduate Student Grievances](#).

## **International Students Information**

### **Issuance of Visa Documents**

International applicants who have been admitted to more than one graduate program need to choose a graduate program, before the visa documents can be issued.

### **Enrollment Regulations**

Full-Time Enrollment: International students are required by law to maintain full-time enrollment while studying in the United States. Exceptions may be granted to students with serious illness, students in their graduating semester, or students who experience academic difficulties. To enroll less than full-time, students need advance approval from [International Student Services\(https://www.hawaii.edu/issmanoa/\)](https://www.hawaii.edu/issmanoa/).

### **International Student Services (ISS)**

International Student Services  
Student Services Center, Suite 206  
2600 Campus Road  
Honolulu, HI 96822-2205  
Tel: (808) 956-8613  
Fax: (808) 956-5076  
E-mail: [issmanoa@hawaii.edu](mailto:issmanoa@hawaii.edu)  
Web: <https://www.hawaii.edu/issmanoa/>

International Student Services assist international students with the maintenance of their F-1 or J-1 visa status and provide guidance and advising to students. Visit the ISS website or call ISS for additional information of interest to international students.

### **Health Insurance**

UHM requires all international students to maintain comprehensive medical insurance for the duration of study. [International Student Services](#) (ISS) can assist international students in selecting appropriate insurance and health care services for themselves and their dependents. [ISS](#) also assists students with insurance claims.

## Resources within the School and the University

### **Interim Dean, School of Social Work**

Tetine Sentell  
Gartley Hall 204  
808-956-6300

### **Chair, Department of Social Work**

Jing Guo  
Gartley Hall 201A  
808-956-2195  
email: [jingguo@hawaii.edu](mailto:jingguo@hawaii.edu)

### **Chair, PhD Program**

Jing Guo  
Gartley Hall 201A  
808-956-2195  
email: [jingguo@hawaii.edu](mailto:jingguo@hawaii.edu)

### **PhD Program Assistant**

Jennifer Kishida  
Gartley Hall 203  
808-956-3831  
email: [jenkishi@hawaii.edu](mailto:jenkishi@hawaii.edu)

### **SSW Student Services (Co-Directors)**

Robin Arndt & Jill Sur  
Gartley Hall 201  
808-956-6129  
email: [swsas@hawaii.edu](mailto:swsas@hawaii.edu)

### **Dean, Graduate Division**

Krystyna Aune  
808-956-8544  
Spalding Hall, 3<sup>rd</sup> Floor  
email: [gradss@hawaii.edu](mailto:gradss@hawaii.edu)

### **Associate Graduate Dean, Graduate Division**

Julienne Maeda  
808-956-8544  
Spalding Hall, 3<sup>rd</sup> Floor  
email: [gradss@hawaii.edu](mailto:gradss@hawaii.edu)

### **Gender Equity Specialist**

Jenna Friedman  
808-956-9499  
email: [jenna.h.friedman@hawaii.edu](mailto:jenna.h.friedman@hawaii.edu)

### **UH Equal Employment Opportunity/Affirmative Action**

Mark Au  
808-956-7077

### **UH Civil Rights Specialist**

Jill Nunokawa  
808-956-4431  
email: [jln@hawaii.edu](mailto:jln@hawaii.edu)

## APPENDIX A: PHD IN SOCIAL WELFARE DEGREE REQUIREMENTS

<b>Core Courses</b>	SW 651 (3) <i>Quantitative Methods I</i> SW 654 (3) <i>Multiple Regression in Behavioral Research</i> SW 731 (3) <i>Social Policy Analysis</i> SW 750 (3) <i>Analysis &amp; Development of Knowledge for Social Work</i> SW 751 (3) <i>Quantitative Methods II</i> SW 752 (3) <i>Qualitative Research: Philosophical, Methodological and Analytic Approaches</i> [effective Fall 2005]	Prerequisites for Non-MSW students: SW 630 (3) <i>Social Welfare Policy and Services</i> SW 699 (1) <i>Directed Reading in Social Work Practice</i> SW 640 (3) <i>Intro to Scientific Methods &amp; Principles in SW</i>
<b>QUALIFYING EXAMINATION (QE) All core courses must be completed prior to taking the QE. [UH Progress Form I Pre-Candidacy]</b>		
<b>Teaching and Research Practica</b> (Both required, to be taken as SW 699's 3 credits each) Register for practica any time after QE		
<b>Specialization Courses</b>	Optional: SW 699 (1) <i>Development of Specialization Plan</i> . Formation of Specialization Committee [ <b>Specialization Committee - SSW Approval Form</b> ]; <b>SC approval meeting</b> A minimum of 12 credits is required: 3 specialization courses may be taken from any department across the University. These courses should be at the graduate level (500 & above).	
<b>Electives</b>	At least two elective courses: One must be in the area of research methods or statistics; the second elective in program evaluation (See <i>Approved electives</i> section). Electives may be taken, with the approval of student's advisor.	
<b>Dissertation Seminar</b>	Dissertation Seminar SW755 (3) taken after at least 2 specialization courses completed (pass required to move to CE). SW 699v (1) <i>Directed Reading for Dissertation Design</i> ; Formation of the Doctoral Committee [ <b>Doctoral Committee - SSW Approval Form</b> ]	
<b>ORAL COMPREHENSIVE EXAMINATION (CE) [UH Progress Form II-Advancement to Candidacy]</b>		
<b>Dissertation</b>	SW 800 (1) <i>Dissertation Research</i> <b>FINAL EXAMINATION [UH Progress Form III-Dissertation Evaluation]</b>	

<b>Core courses:</b>	<b>18 credits</b>
<b>Specialization courses:</b>	<b>12 credits minimum</b>
<b>Dissertation Seminar (SW755):</b>	<b>3 credits</b>
<b>Research &amp; Teaching Practica:</b>	<b>6 credits</b>
<b>Electives:</b>	<b>6 credits minimum</b>
<b>Dissertation design (SW699v):</b>	<b><u>1 credit</u></b>
<b>Total minimum credits:</b>	<b>46 credits (excluding dissertation credits &amp; prerequisites) [effective Spring 2007]</b>

## APPENDIX B: GUIDELINES FOR SPECIALIZATION PLANS

The purpose of the Specialization Plan (SP) is to develop and describe students' program of study in the Ph.D. program. The SP should clearly explain the human/social problem area the student proposes to study, importance of the problem, and rationale for selecting the topic, and learning objectives, all of which will support the development of doctoral level expertise.

Upon completion of the SP courses, the student is expected to possess doctoral level competence and knowledge in the selected focus area as specified in the Requirements for Specialization Knowledge Development section below. Thus, the student will acquire in-depth understanding of the major theories and conceptual frameworks regarding both the nature of the problem and the interventions related to the problem; detailed understanding of the research findings, methodologies and directions within the area; historical, theoretical and empirical understanding of the key social policies in the area; and especially important, the potential cross-cultural impact of theoretical and empirical work on indigenous people.

Once SP course work is completed, students will take the Specialization Integration Seminar (SW755) for the purpose of developing the dissertation study (Comprehensive Examination).

### Requirements for Specialization Knowledge Development

Please write the SP<sup>2</sup> in a clear, coherent fashion using the following outline (approximately 10-15 pages, using APA writing style throughout; see Publication Manual of the American Psychological Association, current edition):

- I. Abstract/summary of SP purpose/rationale, and study plan.
- II. Substantive Area/s of Focus or Problem Area
  - A. Statement of the problem/substantive area (e.g. health disparities, behavioral mental health topics, child welfare topics, economic social development, gerontology issues, indigenous people's wellbeing, etc.)
  - B. Importance of the problem; rationale for selecting this focus
  - C. Relevance to social work and social welfare
  - D. Literature, empirical evidence regarding the problem area.
  - E. Cultural relevance (e.g. minorities, indigenous people, other cultural or population-specific groups)
- III. Theories/Conceptual Frameworks regarding the Problem/Topic
  - A. Definitions (e.g. indigenous and those holding sway)
  - B. Major theories (brief descriptions of the major concepts and propositions, issues, etc.)

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<sup>2</sup> The SP outline topics represent areas the student plans to study in-depth.

- C. Analysis of these theories (statement of the current state of theoretical work in this area)
- III. Interventions related to the Problem/Topic
- A. Major intervention areas
  - B. Specific intervention theories
  - C. Specific intervention approaches (applications)
  - D. Results of studies of intervention approaches
  - E. Analysis of these intervention approaches
- IV. Policy
- A. Major policies relevant to the problem/topic
  - B. Suitable framework for policy analysis
  - C. Results of policy implementation studies
  - D. Policy directions
- V. Research Methodologies
- A. Common Methodological Issues within the Problem Area
  - B. Specific research methodologies appropriate or relevant for the identified area of study
  - C. Strengths and limitations of the research method/s (including multi-method approaches)
- VI. Cultural Issues
- A. Populations impacted by the problem area
  - B. Empirical evidence
  - C. Challenges associated with research
  - D. Questions to explore in terms of cultural implications
- VII. Study Plan
- A. Based on your initial analysis of the problem area, what is your action plan for studying the problem area?
  - B. What courses will you take? Why?
  - C. When do you expect to complete SP courses, the Comprehensive Exam and dissertation study?
- VIII. List of Specialization Courses and Timeline for completion  
(May include a statement regarding recently completed coursework applicable to focus area)

**APPENDIX C: SW 699 - TUTORIAL/DIRECTED READING FORM**

**UNIVERSITY OF HAWAII  
THOMPSON SCHOOL OF SOCIAL WORK & PUBLIC HEALTH  
PhD in SOCIAL WELFARE PROGRAM  
Program Office: 956-3831  
SW 699 Description Form**

- ✓ The student and faculty meet to develop and specify the objectives or end products (e.g. specialization plan).
- ✓ To obtain a registration entry code, this form must be completed in full and signed by all parties. **SUBMIT TO THE PHD PROGRAM OFFICE AT LEAST TWO WEEKS PRIOR TO THE FIRST DAY OF THE SEMESTER**
- ✓ The PhD Program Office: Obtains the Program Chair's approval and emails the entry code to the student.

Student's Name: \_\_\_\_\_ UH ID#: \_\_\_\_\_ Date: \_\_\_\_\_

Semester/Year: \_\_\_\_\_ Number of Credits: \_\_\_\_\_

Instructor's Name: \_\_\_\_\_ Email \_\_\_\_\_ Contact Number \_\_\_\_\_

*This document serves as the course syllabus or learning agreement (use additional pages as needed).*

**COURSE DESCRIPTION** (Subject to be covered):

**Plan of Study:**

Learning Goals/Purpose of course:

Expected Outcome/Product:

Method of Evaluation:

Signature of Student: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Instructor: \_\_\_\_\_ Date: \_\_\_\_\_

**APPENDIX D: SW 699 - INDIVIDUAL REVIEW/INCOMPLETE PLAN FORM**

**THOMPSON SCHOOL OF SOCIAL WORK & PUBLIC HEALTH**

**PhD in SOCIAL WELFARE PROGRAM**

**Program Office: 956-3831**

**Individual Student Review or Conditions of Incomplete (ISR-CI Form)**

- ✓ **In the case of an incomplete: The student and faculty develop and specify the objectives or end products (e.g. paper completion, conceptual or editing). Completed ISR-CI form is submitted to PHD Program.**
- ✓ **In the case of an individual student review: Student and student's chair/advisor identify issues and expected benchmarks. A review meeting with the PHD chair may be requested. Completed ISR-CI Form submitted to PHD Program.**
- ✓ **The instructor or faculty chair informs the PhD Program Chair of updates or the outcome after the expected date of completion.**

**Date:** \_\_\_\_\_ **Student's Name:** \_\_\_\_\_ **Contact #:** \_\_\_\_\_

**Instructor's or Faculty Chair's Name:** \_\_\_\_\_ **Contact #:** \_\_\_\_\_

*Check one: Incomplete Completion Plan \_\_\_\_\_; Individual Review Plan \_\_\_\_\_*

**PLAN/OBJECTIVES (remediation plan):**

Describe Specific Issues (May example such as attach paper w/evaluation comments):

Expected Outcome/Product:

Expected Date of Completion &/or other specific terms:

**Signature of Student:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Signature of Instructor:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Or**

**Signature of Student's Chair:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Signature of PhD Chair:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## **APPENDIX E: TEACHING PRACTICUM**

[Passed by majority vote by the PhD Program Committee, April 23, 2007]

### **TEACHING PRACTICUM**

#### Introduction

Teaching preparation experiences are useful to all future leadership roles including but not limited to those for academic positions. These procedures are intended to maximize the educational benefit from the practicum.

The following guidelines are intended to standardize the practicum experience and assignment to a practicum. Students are not constrained from seeking out and negotiating a teaching practicum outside those offered via these procedures. However, all practicum assignments must be approved by the PhD Program Chair before the student is officially registered for the course.

#### Planning Procedures

The Teaching Practicum is typically taken in the second year for one semester (or two semesters, if more experience is desired).

1. During the spring semester, the Program office sends out a survey to faculty to assess their willingness to supervise a student intern in the following academic year.  
Where feasible, priority will be given to the following:
  - Required courses that will provide interns with experiences valuable to their entry into the job market
  - Courses that lend themselves to clearly identifiable units, so that an intern will have responsibility for one or more sessions
  - The instructor's availability to provide necessary supervision
  - Master's or undergraduate level course (not one in which other doctoral students are registered).
2. The teaching practicum may not be in conjunction with a Teaching Assistantship, i.e. the student may not be a TA for the same course in which the teaching practicum is taken. (This requirement may be waived by petition to the Program Chair when a clear case can be documented that neither the pedagogical goals of the practicum nor class support needs would be compromised and that the student's previous teaching experience warrants combining the roles.)
3. The Program Chair reviews the surveys, which are made available to all students. Students are free to investigate additional opportunities; however, all practicum assignments must be approved by the Program Chair before a student officially registers for the course.

4. Practicum arrangements should be done well in advance of the semester in which the course is to be taken so that students may be involved in course preparation tasks.

### Registration and Course Conduct

- Learning contract development: Once assignment for the Teaching Practicum is finalized, the student and faculty member meet to develop a learning contract. The contract should include specific descriptions (type written) of how the student will be involved in the following and can include other tasks as appropriate or desired:
  - Syllabus preparation
  - Coordination of teaching and evaluation activities
  - Reading papers/assignments
  - Grading papers/assignments
  - Communication between student and instructor throughout the semester
  - Teaching a course module
- Student responsibilities:
  - The average time devoted to the teaching practicum is expected to be 8-10 hrs per week.
  - The time is spent on activities such as class preparation, classroom time, office hours, assignment review/grading, meetings with the faculty supervisor, and other relevant activities negotiated as part of the contract.
- Faculty responsibilities:

The practicum is based on a mentorship model. The assigned faculty should involve the student in as many aspects of course planning and execution as possible, and meet with the student regularly. Some common areas of teaching that faculty should support students in learning are:

  - Understanding the educational goals of the course.
  - Understanding the relation of the course goals to specific content areas included in the course and the process of selecting reading materials.
  - Understanding the relation between course goals and content and the instructional methods used.
  - Understanding the relation between course goals, content, teaching and the types of student evaluation methods selected.
  - Understanding the conceptualization and execution of the course syllabus including the specifics of the course outline.
  - Preparing a class session and when appropriate teaching a portion of a session.
  - Acquiring classroom management skills.

### Outcomes/Evaluation

1. Students write a brief summary of the Teaching Practicum describing:
  - How fully they achieved their learning objectives
  - Self-assessment of their teaching perspectives, current strengths, areas they believe additional knowledge and training is needed. This report may serve as part of the student's teaching portfolio.
2. A copy must be provided to the Program Office at the end of the semester.
3. Faculty Evaluation: The faculty and student should discuss the strengths and limitations of the practicum experience. The faculty will assign credit/no credit for the course. In cases of a "No Credit" or "Incomplete," the faculty should notify the Program Office and specify a plan for resolution.

## **APPENDIX F: RESEARCH PRACTICUM**

[Approved by PhD Program Committee April 23, 2007]

### **RESEARCH PRACTICUM**

#### Introduction

A critical part of development as a scholar is knowledge development through research. The research practicum targets the development of students' research skills with these specific goals: (1) to provide research experience through participation in supervised research project prior to the dissertation; (2) to involve students in doing research early in their doctoral studies; (3) to increase students' research skills; and (4) to develop skills in writing for publication.

#### Course Format

The research practicum may be taken for one or two semesters.

#### Practicum Course Planning and Requirements

1. The Program office will alert students regarding faculty research opportunities. PhD students may also independently investigate additional research mentorship opportunities.
2. The Program Chair is available to discuss options, make recommendations and facilitate students' initiation of discussion with specific faculty members.
3. The research practicum must be described in writing as approved by the sponsoring faculty and submitted to the Program Chair before a student officially registers for the course.
4. Student and faculty agree upon learning contract which should include the following in type-written format:
  - Inclusive dates of the research practicum
  - Days and hours the student will regularly devote to the practicum
  - Research skills the student will learn
  - Research tasks the student will perform
  - Research training the faculty will provide
  - Time and frequency of supervisory meetings between student and faculty
  - A brief description of the written product that will result from the practicum.

#### Outcomes/Evaluation

1. Students write a brief summary of the practicum activities or other negotiated product, a copy of which is submitted at the end of the practicum to the faculty preceptor and to the PhD Program Chair.
2. Faculty Evaluation: The faculty and student should discuss the strengths and limitations of the practicum experience. The faculty will assign credit/no credit for the course. In cases of an “Incomplete,” the faculty should notify the Program Office and specify a plan for remediation.

## **APPENDIX G: GUIDELINES FOR THE COMPREHENSIVE EXAMINATION – DISSERTATION PROPOSAL**

### **Comprehensive Examination General Outline\***

(\*See detailed outline in the next section)

Your proposal should include and address the following areas:

**A Title:** should communicate the essence of your project/specific research focus, or your unique perspective of the research area.

**An Abstract:** which clearly states the purpose and objectives (Is this an experimental, exploratory, descriptive, or other study?); problem or questions you intend to address; a brief summary of what the literature states; and your methodology.

#### **Statement of Problem:**

- What is the specific problem you are addressing through this research as relevant to social work? (What the literature says; your review of the literature)
- What are the gaps your study will address?
- Why is this area in need of research; why is it of particular importance?

#### **Purpose of the study:**

- Why is this study being done? What is the study about?
- How does it fit into what is already known?
- If you are taking a stance, what your relationship to the area of investigation? Who will benefit?

**Background and Significance of the Problem:** Flesh-out why this topic important; use subheadings reflecting the specific areas that are of importance to this problem area based on your knowledge of the literature; cite all references.

#### **Theoretical Framework/s being used in this study:**

- What theoretical frameworks are guiding your intended research? Why? What's your rationale for using it/them?
- How will you apply the theoretical frameworks to your study?
- What is the significance of studying this area with your chosen methodology?

#### **Methodology:**

- Specific Aims: What are the specific research questions you will address?
- Design: How do you plan to study this problem? What method/s will you use to collect data? Where and how will your sample be drawn? Give rationale.
- Data analysis procedures: What method will you use to analyze data and how will you do it?

**Study limitations:** How might the study be limited?

**Implications for Social Work:**

- Where and how will the findings be useful? E.g. Social work practice, policy, education, research, etc.

**Timeline:** Provide a time line, from pilot to finished thesis.

**References****Appendices****Detailed Research Proposal & Process Outline\***

[\*The following outline provides detail to the previous general outline and is aimed at aiding you to develop each section of the study.]

**Research Problem Formulation & Justification**

**Problem Area:** What specific problem area are you addressing in this research that is relevant to social work? Clearly state the social problem area. E.g. Maternal Depression and Child Maltreatment among Women

**Justification for Study:** (complete extensive literature search of salient research to develop this section.) Discuss the following clearly and with specificity (help the reader understand your reasoning):

- What does the literature say about this problem? (discuss characteristics of the problem; significant findings in the area; a few significant studies that relate to your specific area of study)
- Why is this area in need of research? (discuss the gaps in this area of research, and how gaps relate to what you will study)
- What is the purpose of your study? Discuss the specific purpose, aims or goals of your study. For example: This study will explore the experiences of ethnic minority women who are depressed and caring for their children; or The purpose of this study is to replicate a study which suggested that there is a relationship between maternal depression, increased risk of aggression, and child abuse (Lee, C.M. & Gotlib, I. H.; Zuravin, S. D., 1989); or The purpose of this study is to examine how ethnic support systems influence the presence and magnitude of depression (i.e. mild, moderate or severe) for mothers of color.

**Theory base:** Discuss the theories that may have been used to explain the problem or phenomenon you are studying. Discuss the theory base will you utilize in your study. Why are you using this/these theory/theories (rationale)?

**Research Questions**

State the research questions that you hope to answer through your research. There may be more than one research question if they elucidate the research focus.

- For example: What factors contribute to the risk of aggression and child abuse in depressed mothers? How do ethnic support systems influence the presence and magnitude of depression (mild, moderate or severe) for mothers of color? What are the coping resources relevant to mothers of color? How do these resources relate to such factors as ethnic group membership, social support, and bi-cultural identification?

### **Study Design, Ethical Concerns & Limitations**

**Study Design:** How will the study be done?

Human subjects procedures and ethical issues: discuss the human subjects procedures you will utilize and what ethical considerations (examine NASW ethics) need to be addressed.

**Research Methodology:** consider & discuss what type of research methodology would best achieve your study purpose (quantitative, qualitative, single subject, experimental, quasi-experimental, program evaluation, etc.).

Sample: discuss where & how will you draw your sample, and what type of sample you will gather. What is your unit of analysis? (Individuals, groups, etc.) Describe your sample: who are they?

**Measurements or instruments:** Discuss what types of measurements or procedures you will use to collect data. (Include a copy of standardized instrument, survey, sample interview questions [3-5 possible questions], field observation guide, or other instrument)

**Data analysis procedures:** Discuss the procedure will you use to analyze data (this does not have to be in great detail). The question is: how will you determine what the data collected means?

**Study Limitations:** Discuss the limitations of your study in terms of methodology, analysis, applicability of findings or other pertinent issues or situations. Use these questions to develop this section:

- Why might the findings of this study be held as tentative or contingent on further study?
- How well might the results generalize to members of the wider population?
- What reservations do you have about the design and execution of the study?

**Administration & Timeline:** Discuss over what period you will conduct your study (When do you anticipate starting and ending based on the type of study, sample size, data collection procedures, report completion, etc?); funding issues, and other practical considerations.

**Implications for Social Work:** Discuss how your proposed research may contribute to social work practice, policy, education or future research. In what ways can your study contribute to social work practice, policy, social work education or future research in the specific area of concern?

**Bibliography - References**

## **APPENDIX H: CONFLICTS OF INTEREST: DISCLOSURE, REVIEW AND MANAGEMENT**

Those evaluating conflict of interest disclosures need a framework for determining the permissibility of entrance into the PhD program and for assessing the degree to which disclosed relationships and/or activities may pose risk to the applicant, employee, the institution, and other entities that may be affected. Graduate Division has a longstanding policy regarding UHM faculty or staff and admissions to a graduate program. Specifically, UHM faculty or staff holding a position at rank 3 or above or the equivalent may not pursue an advanced degree/GCERT in the graduate program administered by the academic department or unit in which he or she is employed. In a July 2021 memo from the Dean of Graduate Division, the current policy was expanded to include rank 2 faculty and Administrative, Professional, and Technical (APT) employees effective Fall 2021.

For detailed information regarding this policy, please consult with the Department of Social Work assistant, Jen Kishida at [jenkishi@hawaii.edu](mailto:jenkishi@hawaii.edu).

## **APPENDIX I: INCORPORATION OF PREVIOUSLY PUBLISHED, ACCEPTED, AND SUBMITTED ARTICLES AS CHAPTERS OF A DISSERTATION**

1. The dissertation (final product) looks like any other dissertation. In other words, it has the same component parts and the same format as any other dissertation.
2. Each previously published reprint and accepted or submitted article (or chapter as an article prepared for publication) is treated as a separate chapter.
3. The dissertation must have a general abstract that covers all components. A general introduction and general conclusion are recommended.
4. If a dissertation incorporates a previously published article, references should be placed at the end of each chapter—not at the end of the manuscript. Each set of references may follow a different style guide, depending on the journal in which the chapter is published or will be published.
5. The reprints are accepted as they are, except they must be single-sided copy only, must fit within the thesis margins, and must be numbered consecutively with the rest of the text. All other chapters (whether accepted, submitted, or in preparation) must fit UH guidelines, as specified (margins, subheads, figure and table placement, etc.).
6. In the List of Figures and List of Tables, figures and tables from reprints are treated as if they are numbered with respect to the rest of the text. A local, decimal numbering scheme must be used. For example, in the List of Figures, the first figure in Chapter 5, which is a reprint, is listed as 5.1.
7. The requirement that all print be at least 2 mm does not apply to reprints.
8. Copyright issues frequently arise with previously published material. The students need to obtain permission to duplicate copyrighted material (and, possibly, multiple author releases).

## **APPENDIX J: AUTHORSHIP AND COLLABORATIVE RESEARCH**

As part of their doctoral preparation, all Ph.D. students should engage in research and scholarship in collaboration with their peers and/or faculty. This process should be based on the principles of mutual respect, critical inquiry, and collaboration. The following guidelines apply:

- 1) Early in their work with students, faculty members have a responsibility to discuss and agree upon each contributor's responsibilities and authorship expectations, including order of authorship. Faculty have a special responsibility to help students contribute as much as they are able.
- 2) As soon as possible in any research or writing collaboration those involved should come to an agreement regarding data ownership.
- 3) All contributors making a substantial contribution to articles should be listed as authors.
- 4) Order of authorship generally should reflect extent of contribution, except that the level of contribution required for students to be listed as authors may be less than that required of faculty. When individuals' contributions are approximately equal, preference in order of authorship should be given to students.
- 5) Faculty have the responsibility to assure that students' dissertations represent original, independent work. Articles that students prepare based on their dissertation findings would be expected to list the student as first or sole author.