SECTION IV: INFORMATION SPECIFICALLY FOR PHD STUDENTS

I. Overview of the Doctor of Philosophy in Nursing Program

The University of Iowa College of Nursing PhD program prepares scholars to move nursing science forward and helps students build on their knowledge base relevant to nursing and contribute to the body of nursing knowledge. The program strengths include student participation with nursing and interdisciplinary faculty engaged in research teams, focused coursework, involvement in presentation and publication of research based knowledge, and interdisciplinary learning experiences. Graduates of the program are prepared for careers as researchers, college and university faculty members, consultants, and as nursing leaders in the profession.

The Doctor of Philosophy program in nursing requires a minimum of 72 semester hours of graduate credit. Students may enter the program after earning a B.S.N. or a Master's degree. Applicants with advanced degrees outside of nursing may apply. All applicants will have an individualized plan of study (POS) based on their clinical and research interests as well as their transcript.

II. Program Outcomes and Student Progression:

The University of Iowa, College of Nursing Doctor of Philosophy (PhD) Program prepares scholars to advance nursing science and contribute to transdisciplinary efforts to improve health outcomes. Graduates of the program are prepared to be leaders who engage in the three roles highlighted by the American Association of Colleges of Nursing (AACN). These roles are: develop the science; steward the discipline; and educate the next generation of nurses.

PhD graduates of this program will:
- Master in-depth knowledge in a substantive area of nursing and/or healthcare;
- Conduct original research that generates new knowledge;
- Disseminate research results and articulate implications for policy, practice and the profession;
- Assimilate evolving roles and responsibilities of a scholar.

We expect that students will progress through the program in a timely fashion as follows: BSN-PhD students in 5-6 years and MSN-PhD students in 4-5 years. In order to guide and document student progress, a progression table, “PhD Student Progression Report/Faculty Advisor Guide,” has been developed. This guide should be started at the beginning of a student’s program of study and will be used, along with other documents, at the student’s annual review which are held in the spring of every year. This document can be found in the Office of Student Services (MSN, DNP, PhD) ICON site. ICON can be accessed via this link https://icon.uiowa.edu/.

III. Principles of Scholarly Integrity

In order to meet the University of Iowa’s obligation to provide Responsible Conduct of Research training, a two-phase plan has been implemented and is described below. For more information about The University of Iowa’s Responsible Conduct of Research please visit this URL http://research.uiowa.edu/researchers/policies-and-compliance/responsible-conduct-research#Training.

Phase I:
In your first year of the PhD program, you will need to complete CITI (Certifications in Human Subjects Protections) training. The training modules are on-line and can be done over a period of time between now and the end of the fall semester (12/15/17). This is the link to CITI training: http://hso.research.uiowa.edu/certifications-human-subjects-protections-citi
- Under “Option 1 Instructions: UI On-Line Tutorial Course (CITI)” (about mid-way down the page), there are very specific directions that will assist you in registering for the on-line training.
- Once you have registered, you need to complete the following modules. Note there is some overlap between the two lists but you must complete both modules.
For IRB-01 Biomedical, the required modules include:

- Introduction
- History and Ethical Principles
- Basic Institutional Review Board (IRB) Regulations and Review Process
- Informed Consent
- Social and Behavioral Research for Biomedical Researchers
- Records-Based Research
- Genetics Research in Human Populations
- Research with Protected Populations - Vulnerable Subjects: An Overview
- University of Iowa

For IRB-02 Social & Behavioral, the required modules include:

- Introduction
- History and Ethical Principles - SBR
- Defining Research with Human Subjects - SBR
- The Regulations and the Social and Behavioral Sciences - SBR
- Assessing Risk in Social and Behavioral Sciences - SBR
- Informed Consent - SBR
- Privacy & Confidentiality – SBR

- When you have completed the training, you will be provided with a certificate of completion. Please send that certificate to Jennifer-clougerty@uiowa.edu to be placed in your file.

Phase II:
In your second year of the PhD program you will need to register for a Principles of Scholarly Integrity course (CPH:7270). Although this course is required of all students on federal grants, currently we are requiring this course for all of our students. If you have any questions about this process, please contact Dr. McCarthy at (ann-mccarthy@uiowa.edu).

IV. Office, Keys, and Mail Slots

A. Doctoral Student’s Office

The Doctoral Student office area is located in room 30 CNB. It has computers and workstations as well as a photocopier/printer. Lockers are available as well outside the office. A kitchen area with microwaves, refrigerators and a sink located in 33 CNB is designated for doctoral students.

B. Mail Slots

Doctoral student mailboxes are located on the fourth floor near the elevator.

V. Licensure for International Students

Special licensure for those licensed in another country may be granted by the Iowa Board of Nursing on an individual basis. The intent of the special license is to allow nurses licensed in another country that are not eligible for endorsement to practice in Iowa to provide care in a specialty area, to provide consultation or teaching where care is directed, to obtain clinically based continuing education, or to be a student in a graduate nursing education program.

To obtain this special license students must satisfy the below requirements:

a. Official verification of certificate-holder status submitted by the Commission on Graduates of Foreign Nursing Schools (CGFNS). Certification is required if the applicant has not been licensed as an RN in the United States following graduation from a nursing program and successful completion of a U.S. national licensure examination. For information about the CGFNS Certificate Program, please contact:

Commission on Graduates of Foreign Nursing Schools
ATTN: Certification Program (CP)
English as a Second Language (ESL) Requirement for all Foreign Students

English as a Second Language (ESL) credit classes are available to students whose first language is not English—U.S. students as well as international students. All international students will be required to take the on campus English Proficiency Evaluation. If a student is found to need more than 2 courses in English as a Second Language, he/she will be required to enroll in, and successfully complete, the Iowa Intensive English Program. Concurrently with the Iowa Intensive English Program, the student will be allowed to register for one course within their program of study. More information related to the Iowa Intensive English Program is found at the following link http://clas.uiowa.edu/esl/iiep

Students are required to complete any English as a Second Language coursework specified as a result of the English Proficiency Evaluation. Courses are offered in conversation skills, pronunciation, grammar, reading and writing. Students must be enrolled in The University of Iowa in order to take ESL credit classes.

All international students are required to complete the English evaluation as soon as they arrive on campus. The evaluation is the basis for English as a Second Language recommendations for Intensive English or other course work to improve English proficiency.

Students will be expected to enroll in courses recommended by ESL during their first semester and to continue enrollment until satisfactory grades are earned or until subsequent evaluation indicates that the required level of English proficiency has been achieved.

This policy may preclude some students from enrolling in ANY graduate level course work during their first semester, and may limit the amount of graduate course work they may take in subsequent semesters if ESL determines that additional English preparation is required. Failure to enroll in required ESL course work will prohibit future registration in the graduate program until requirements are fulfilled.

K. Guidelines for Taking Exams for ESL Students

Students with English as a Second Language (ESL):

1. Students may request and be given up to 1 1/2 times the scheduled exam time to complete the exam (e.g., 3 hour for a 2 hour exam). Requests for additional time need to be made in writing to the instructor during the first two weeks of the semester.

2. Native language dictionaries may be used during the exam with prior approval of the instructor.
VI. PhD Advising

Upon admission all PhD students are assigned a Faculty Advisor as well as an advisor in Student Services. The advisor is a faculty member with expertise in the student’s focal area of interest, typically with a funded program of research. Students and faculty meet on a regular basis throughout the program. The schedule of meetings is negotiated between the students and the advisor. Faculty advisors discuss with their students course selection, timing of courses, research practicums, the comprehensive examination and the dissertation process. A student’s faculty advisor is typically also the Chair of the student’s comprehensive examination committee and the dissertation committee, however this is not required. The Director of the Doctoral Program may change a student’s advisor at the request of the student and/or faculty advisor. Additional student support is provided by Student Services staff to assist in orientation to the Graduate College policies, resolution of progression hurdles, assisting students in meeting important deadlines, and complying with College requirements such as licensure, HIPPA, or criminal background check. The PhD student Progression Report/Faculty Advisor Guide is expected to be used as a guide for the student’s progress. See Section II for more information.

VII. PhD Student Collegiate Involvement

In addition to your individual plan of study, all students are expected to participate in College of Nursing activities that contribute to the student’s professional and academic experiences.

VIII. Plans of Study (POS)

At the beginning of their program, all students will develop a plan of study in conjunction with their faculty advisor. Students and their faculty advisor should continue to revise the plan of study as cognates, electives, etc. are chosen. Initial plans of study as well as revised plans of study should be sent to the Graduate Programs Office to be housed the student’s on-line file. Template plans of study may be found at the site below. [http://www.nursing.uiowa.edu/academic-programs/phd/plans](http://www.nursing.uiowa.edu/academic-programs/phd/plans).

A. BSN to PhD

The BSN to PhD is designed as an accelerated pathway for outstanding BSN graduates, who have an identified and focused research and scholarship interest, to complete the PhD. For persons who enter with a bachelor's degree in nursing, the program consists of a minimum of 72 semester hours including 2 specialization courses (see below). Students who enter the Doctoral Program in Nursing without a Master’s degree can earn a Master’s of Science in Nursing degree (MSN) after having completed 33 semester hours.

Clinical Master’s Specialization Courses

Students should identify their area of master’s specialization and discuss with their advisor courses appropriate for meeting this specialization.

Master’s Project

If the student wants to obtain an MSN, the student will discuss with their advisor an appropriate project to complete.

Application for MSN Degree

The student will need to follow the graduation guidelines and deadlines specified by the College of Nursing and the Graduate College. Refer to the Graduation Forms section of the MSN portion of the Handbook for more information. Also, consult with the Graduate Programs Office related to the forms and deadlines prior to or at the beginning of the semester you plan to complete the requirements for the MSN. A student will not need to step-out or reapply upon completion of the graduation documents; a seamless transition will be made with the MSN notation added to the transcript at the end of the specified semester.

B. PhD

Students entering the program with a master’s degree must complete a minimum of 72 semester hours following the bachelor’s degree. The master’s transcript(s) will be reviewed to determine which courses could be counted in the PhD plan of study.
C. Residence Requirement
All doctoral programs will contain a minimum of 72 semester hours of graduate work. Of those 72 semester hours, at least 39 must be earned while registered in The University of Iowa Graduate College and after formal program admission. The academic registration requirement cannot be fulfilled by coursework completed under the non-degree or non-departmental student classification or with transfer credit, etc.

IX. Financial Assistance
Insofar as state gift and federal funds permit, it is the policy of the College to provide financial assistance whenever possible

A. Graduate Assistantships
Research Assistantship (RA) is available to graduate students on a competitive basis. Please see section IX below for further information.

B. Nurse Fellowships (NRSAs) for Doctoral Students
National Research Service Awards (nurse fellowships) are available on a competitive basis to individual registered nurses with active licenses for predoctoral research training in specified areas of nursing and in the biomedical and behavioral fields important to nursing. Students enrolled in the PhD program who are US citizens are strongly encouraged to submit a proposal by the end of year 3 for BSN-PhD students or by the end of year 2 for MSN-PhD students.
Applicants for predoctoral study must have a baccalaureate and/or a master's degree in nursing. Predoctoral stipends are available. Recipients of fellowships must agree to engage in research, teaching, or a combination of both, after completion of their studies under the award, one month of service for each month of support in excess of 12 months. This simply means you will continue to be productive after the award; there is no commitment/payback to the College of Nursing.

C. Tax information (subject to modification by direction of University officials)
1. The University is required by law to withhold federal and state income tax on salaries, wages, and other compensations paid. The tax is regularly deducted from payments made to graduate assistants, research assistants, research associates, research technicians, and the like.
   ○ Tax is withheld from payments to all research assistant appointments and postdoctoral fellows on grants and contracts. Tax is withheld from payments to all new appointments as research assistants and postdoctoral fellows. Tax is withheld from payments to all University-supported research assistants and postdoctoral fellows.
   ○ Amounts paid as scholarships, traineeships or fellowships used for tuition and related expenses, and not as payment for teaching, research, or other services rendered by the recipient are exempt from the withholding of taxes unless the recipient is a nonresident alien. Then special percentage withholding (currently 14 percent) must be deducted, unless there is a tax treaty with the home country with articles pertaining to fellowships. Such amounts are also excluded from Federal Form W-2.
   ○ Scholarship or fellowship grants are not tax exempt to the extent such payments are for teaching, research, or other services that must be performed by the students as a condition for receiving the qualified scholarship.

2. The category definition FT5200: Fellow, scholar, trainee will be used for nursing students pursuing progress as candidates for undergraduate or graduate degrees.

3. Each individual taxpayer bears the responsibility for filing appropriate income tax reports.

4. Letter:
All students who are in good standing on the PhD objective are required, as an integral part of their graduate training, to participate regularly in the research and service activities of the department. This participation requirement applies to all such students whether on support or not and regardless of the source of support, if any. Consequently, students on assistantship appointments may choose to seek refund of withholding on these payments, but should understand that the Internal Revenue Service makes the determination about the validity of any such claim and that interpretation of applicable tax codes may vary among tax districts. At the request of an individual student, the College will provide a standard letter which (a) indicates the sources and amounts of payments the student has received, and (b) describes the participation requirement for graduate students on the PhD objective. The letter covers matters of record and fact. Faculty and staff members in the College cannot--indeed are not permitted--to give tax advice to any individual student or to any group of students, or to offer any assurances about the taxability of payments from any particular source or for any particular purpose.

Note: As each individual case is unique and tax laws change, please contact the University of Iowa Payroll Department at 319-335-2381 as well as your personal tax consultant regarding specific questions and clarification.

X. Graduate Assistantships (Research Assistantship)

Graduate Assistants at UIOWA are represented by the United Electrical, Radio and Machine Workers of America, Local 896 (COGS) The COGS agreement is available at https://www.grad.uiowa.edu/cogs-contract

A. Research Assistantship (RA)

Research assistantship activities are intended to give the student direct and continuing experience in the actual research process from formulation of the study through collection and analysis of data and preparation of a scholarly report. These activities also are intended to facilitate the research progress and productivity of the faculty member with whom the student is working. The time involvement will vary substantially during the course of the year. Research assistantship activities are distinct from academic work for credit. Assistantship activities are to be distinguished from work on the MSN project, or on the PhD dissertation, even though in many cases these activities are closely related.

B. Selection and Assignment of Students to RA Positions

1. RAs are offered through the Office of Nursing Research and Scholarship (ONRS). Information about how to apply for an assistantship is e-mailed to a student’s UI e-mail address early spring semester each year. Applications need to be returned to the ONRS by the date indicated in the letter. Assignments for the upcoming academic year are made late spring semester for the following year. No formal time records are maintained; the student is expected to fill out the necessary time records.

2. RAs may be hired directly by an investigator with assistance from the College of Nursing HR Department. In this case, the RA could be hired at an hourly rate or a salaried position depending on the nature of the grant. In most cases formal time records are maintained; the student is expected to fill out the necessary time records.

C. Orientation of Students to RA Positions

Orientation of all RAs is conducted yearly. The Associate Dean for Research meets with students to review benefits and expectations of RAs.

D. Renewals and Terminations of Assistantships

1. a. Renewals (Reappointments for ONRS RA appointments)

Appointments to assistantships or traineeships are for a fixed period, usually one academic year. Renewal of an appointment for a subsequent period depends on the collective judgment of the faculty concerning the student’s performance, progress, and professional conduct. It is
to be emphasized that all renewals are contingent on the continued availability of state, federal, and project funds for student support.

b. Renewals for RAs hired directly by an investigator are dictated by the terms of the grant and the hiring investigator will discuss these terms with the student.

2. Terminations During the Term of an Appointment (See Section III-12.4 of the University Operations Manual)

a. A graduate student on an assistantship, fellowship, or traineeship may be dismissed during the term of that appointment because of loss of student status.

b. A graduate student also may be dismissed from an assistantship or traineeship appointment during the term of the appointment, without necessarily losing student status, for 1) any reason sufficient to dismiss a faculty member during the term of an appointment (see University Operations Manual) or 2) failure to follow or implement properly and adequately reasonable instructions of the supervisor when such instructions are within the proper scope of the supervisor's duties.

E. General Expectations for all Research Assistants in the College of Nursing

RAs and the faculty they are assigned to or hired by should meet at the beginning of the semester to review and negotiate activities and performance expectations. The RA assignment may include expectations as outlined below. Note that not every activity is relevant to all cases; expectations should be tailored, in negotiation with faculty, to fit a given assignment. Faculty have similar written expectations that guide faculty in negotiating workload with Research Assistants (RAs) in the College of Nursing. If you have any concerns with your assignment, please contact Dr. Sandra Daack-Hirsch, Director of the PhD Program.

1. Research activities:
   a. Literature review and synthesis:
      NOTE: The RA should not pay for photocopying. Discuss use of copy card or faculty’s area copier number with the faculty member.
   b. Instrument development
   c. Subject identification, selection and/or recruitment
   d. Data collection
   e. Data entry
   f. Data analysis
   g. Preparing/writing:
      1) Portions of grant applications
      2) IRB application
      3) Research protocols
      4) Portions of manuscripts
      5) Presentations

2. Weekly (or other regularly scheduled) planning meetings
   RA and faculty should meet routinely to plan evolving research activities

3. Attendance at and participation in research team meetings

4. Attendance at Office of Nursing Research Luncheon Research Colloquia, local/regional/national conference (note level of participation and sources of support)

5. Time investment
   RAs should discuss with faculty expectations regarding the RA’s time investment. For a 25% RA appointment, RAs are expected to invest 10 hours per week averaged over the period of their appointment (See COGS agreement)
6. Authorship issues and possibilities

7. Ethical issues and human subjects training
   Information on required training is available at the Human Subjects Office website under “Certification”

8. On Campus Expectations
   For an academic year appointment, Graduate RAs are expected to report to work 3 days before the beginning of the semester and stay on campus until the last day of the semester. This does not apply to winter or summer sessions.

F. RA Evaluations
   For RAs appointed by the ONRS, the ONRS sends evaluations to the RAs and the faculty supervisor each year.

XI. PhD Research Practicum Courses and Forms:
All students are required to complete two research practica (link to POS). Students should work with their advisor to develop practica experiences that will facilitate students’ dissertation research.

A. Research Practicum I:  
THE UNIVERSITY OF IOWA  
College of Nursing  
NURS:7803

<table>
<thead>
<tr>
<th>Course Title:</th>
<th>Research Practicum I</th>
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<tbody>
<tr>
<td>Prerequisites:</td>
<td></td>
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<tr>
<td>Corequisites:</td>
<td></td>
</tr>
<tr>
<td>Requirements:</td>
<td>Ph.D. standing</td>
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<tr>
<td>Recommendations:</td>
<td></td>
</tr>
<tr>
<td>Semester Hours:</td>
<td>2 semester hour (minimum of 90 contact hours)</td>
</tr>
<tr>
<td>Special Grading:</td>
<td>Instructor has the option of using S-U grades for graduate level students</td>
</tr>
<tr>
<td>Repeatable:</td>
<td>Yes</td>
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<tr>
<th>Course Description</th>
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This is the first of two practica that serve as a system of apprenticeship by which the student is mentored through selected aspects of the scientific processes, methodologies, analysis and dissemination of results. The investigator may or may not be a nurse, but the project should be relevant to the student’s area of study.

<table>
<thead>
<tr>
<th>Course Objectives</th>
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Through participation in discussions and assigned activities, the student will be able to:
1. Engage in the research process through active participation and immersion.
2. Collaborate with a researcher and/or a research team.

Class Activities:
The outcome of the practicum will be a product negotiated by the faculty and student. Students will summarize their objectives for the practicum experience with the researcher and their research team document learning activities experienced during the research practicum for inclusion in their student record.
B. Research Practicum II:

THE UNIVERSITY OF IOWA
College of Nursing
NURS:7804

Course Title: Research Practicum II

Prerequisites:

Corequisites:

Requirements: Ph.D. standing

Recommendations:

Semester Hours: 2 semester hour (minimum of 90 contact hours)

Special Grading: Instructor has the option of using S-U grades for graduate level students

Repeatable: Yes

Course Description

This is the second of two practica that serve as a system of apprenticeship by which the student is mentored through selected aspects of the scientific processes, methodologies, analysis and dissemination of results. The investigator may or may not be a nurse, but the project should be relevant to the student’s area of study.

Course Objectives

Through participation in discussions and assigned activities, the student will be able to:

1. Engage in the research process through active participation and immersion.
2. Collaborate with a researcher and/or a research team.

Class Activities:
The outcome of the practicum will be a product negotiated by the faculty and student. Students will summarize their objectives for the practicum experience with the researcher and their research team and document learning activities experienced during the research practicum for inclusion in their student record.

C. Research Practicum I and II Summary Document:

XII. Transfer of Credit/Equivalency Evaluations for PhD Core Courses
A. Policy

POLICY

Transfer of credit/ equivalency evaluations for PhD core courses

PhD students are required to take their PhD core courses through the College of Nursing. However, occasions may arise when students may need to take an equivalent course offsite. Such requests represent extreme situations and should be considered an exception to the rule. To evaluate the equivalency of coursework outside the CON and/or from another institution, the following steps need to be followed:

1. The Student will initiate the process and work with her/his Faculty Advisor to identify potential courses and obtain:
   a. Course syllabus- including course description, credit hours, course objectives, and required textbooks
   b. Additional information re: course assignments, teaching methodology, etc. may also be requested.
   c. Complete the petition for equivalency and obtain signatures from Faculty Advisor and PhD Program Director.
2. The Faculty Advisor will need to:
   a. Review course syllabus for face/content validity to decide whether or not course appears to be equivalent.
   b. Contact current course faculty within the College of Nursing for internal evaluation to identify equivalency or discrepancies needing to be addressed.
   c. Meet with the PhD Program Director.
   d. Complete the post hoc Course Evaluation with the Student

3. The PhD Program Director
   a. Meets with the Faculty Advisor
   b. Assures petition for equivalency is in accordance with current UI Graduate School requirements
   c. Grants final approval.
   d. Assures petition is in the student’s file and Faculty Advisor completes post hoc evaluation

NOTE: Student, Faculty Advisor, and Director of the PhD Program signatures are required prior to course registration. Alternative coursework within the University is preferred, followed by BTAA partners and Nexus.

B. Transfer of Credit/Equivalency Evaluation Form

XIII. PhD Independent Study Policy and Procedure

Students may obtain through independent study (NURS:7800 Doctoral Independent Study) those learning experiences which are not provided by established courses and which are related to and relevant to their educational goals. In some circumstances it may be used to meet basic degree requirements upon recommendation of the major advisor.

The identification of content, purpose, intent and plan for implementation must be discussed and approved by the faculty advisor.

The faculty sponsor is responsible for the quality and level of learning experience and for grading the study. The faculty member should be a full-time assistant, associate or full professor.

PROCEDURE

1. Student will discuss with major advisor any independent study plans before registration and prior to making arrangements with faculty sponsor.

2. Faculty sponsor or co-sponsor will provide periodic conferences with student as needed.

3. Student must register under the appropriate faculty’s name.

A. Form for NURS:7800 PhD Independent Study

XIV. Comprehensive Examination

For students admitted prior to fall 2017
For students admitted fall of 2017 or later

XV. Timeline from Comprehensive Exam to Dissertation Defense

A. Continuous Registration Policy

The Continuous Registration after Completion of the Comprehensive Examination Policy is as follows:

The student is required to register each semester (not including summer or winter interim) after passing the doctoral comprehensive examination until the degree is awarded. If a student fails to
register, he or she may not be readmitted to doctoral candidacy unless the readmission is approved by the advisor, the departmental executive, and the Graduate College dean.

All registrations should accurately reflect the amount and type of work undertaken, the use of University facilities, and the amount of consultation with the faculty. In order to maintain continuous registration, a doctoral student may register (1) for required and/or elective courses, research, and thesis hours to complete the plan of study, or (2) for Doctoral Continuous Registration (GRAD:6002). Doctoral Continuous Registration requires a 1 s.h. tuition and fees payment. If a temporary lapse in a student’s academic program is required due to military service, medical leave, maternity leave, or a personal/family leave, a student may petition the Graduate College to be allowed to register for PhD Postcomprehensive Registration (GRAD:6000) which allows for the assessment of a special minimum fee. If a petition is granted, it is to be understood that a student will not make significant use of university resources, or engage in significant consultation with the faculty. Registration in a Guided Independent Study course or in a course for which tuition and fees are not assessed (Cooperative Education Internship, for example) will not satisfy the continuous registration requirement. Registration for the summer or winter sessions is not required when the student makes no use of University resources. The exceptions are when the student is taking a degree at the end of the summer session, or when enrollment is required by the student’s department.

B. Final Exam (Dissertation Defense) timeline

The final exam (Dissertation Defense) may not be held until the session after satisfactorily completing the comprehensive exam; however, a student must pass the final exam no later than five years after passing the comprehensive exam. Failure to meet this deadline will result in reexamination of the student to determine his or her qualifications for taking the final exam. In the final semester, doctoral students may register for Doctoral Final Registration (GRAD:6003), which requires a 1 s.h. tuition and fees payment, or appropriate course work. See section O of the Graduate College Manual.

XVI. Dissertation Research and Defense

Once a student has passed the comprehensive examination, they can register for dissertation credits. Completing the dissertation includes nine key steps: 1) preliminary planning, 2) forming a PhD dissertation committee, 3) developing a proposal, 4) conducting a proposal meeting, 5) completing the research, 6) conducting the oral defense, 7) formatting the approved final dissertation, 8) submitting final document to the Grad College, and 9) publishing manuscripts based on the dissertation.

1. Preliminary Planning. Three key items must be accomplished in this period.
   • **Reviewing Graduate College Requirements.** Prior to beginning the dissertation, students should review the Graduate College requirements related to the dissertation at: [http://www.grad.uiowa.edu/theses-and-dissertations](http://www.grad.uiowa.edu/theses-and-dissertations).
   • **Selecting a PhD Dissertation Chair.** The first issue to clarify is whether the student’s advisor or a different graduate faculty member will be the Chair of the student’s dissertation committee. In most cases they are the same. However in some cases where interests have evolved, the advisor and chair may be different people. Typically one’s dissertation Chair is a faculty member whose research is well-aligned with that of the student.
   • **Selecting a PhD Dissertation Format.** The College of Nursing has two approved formats for the Dissertation: a traditional dissertation and a three-paper dissertation. A flowchart depiction of the nine steps is provided in Figure 1, highlighting key differences between traditional and three-paper dissertation.

   The student and PhD Dissertation Chair should determine which dissertation format is best suited to the student’s pedagogical needs and planned research. The format chosen impacts the proposal and final document format. The discussion to decide which dissertation format to use should include an assessment of the student’s preparedness within their proposed content area, including their course work, grant writing, research experiences, and prior papers or presentations. A student with significant background within a particular content area may be well positioned to successfully complete a three-paper dissertation. Students still developing expertise in their content area may be better suited to a traditional dissertation. Other
considerations in choosing the format include qualitative or mixed-methods versus quantitative approach.

**Traditional Dissertation Format.** This format typically has five chapters: Chapter 1 provides an introduction and establishes the problem significance, Chapter 2 provides an in-depth literature review, Chapter 3 describes the planned methods for the study, Chapter 4 summarizes the results and Chapter 5 discusses the study’s findings. This formatting option provides students with the following:

- a standard and common approach to addressing a research problem.
- an opportunity for in-depth exploration and examination of the scientific literature in a comprehensive Review of the Literature.
- an opportunity for in-depth presentation of qualitative data, analysis and interpretation.

**Three-Paper Dissertation Format.** This formatting option provides an opportunity to increase the opportunity for students to publish papers from their dissertation work in a timelier manner and to form a coherent body of research in a particular scholarly area. The three papers must represent a single coherent research topic, not a series of unconnected topics. However, the three papers must be distinct. They may either address three separate research aims, or if they address only one, they must differ in some significant fashion, such as in theoretical perspective, approach, methodology, sample, and/or dataset. At least one paper must be data based. The other two may be a literature synthesis, conceptual/theoretical or methodological paper. At the Dissertation Proposal Meeting and/or at the time of the Dissertation Defense, at the discretion of the PhD Dissertation Committee, up to two of the three papers may have been previously written, submitted, and/or published by the student if they meet the following criteria:

- the student is first author on the paper, unless there are compelling circumstances for second authorship;
- the student clearly indicates his/her contributions to the paper for a coauthored paper. (The coauthors should be listed in an acknowledgement at the end of the dissertation chapter);
- the work was completed while the student was enrolled in the Ph.D. program; and
- the PhD Dissertation Committee agrees that the papers are consistent with the criteria for a three-paper dissertation.

If the Dissertation Committee allows a previously published or in press article to be part of the dissertation, the student must clarify and follow the journal's guidelines and policies for reproduction of the article in the student's dissertation. The PhD Dissertation Committee is under no obligation to accept previously published, accepted, or submitted papers as meeting the requirement of the dissertation. For the papers to be accepted as part of the dissertation, at the time of the Dissertation Defense, the Dissertation committee must agree that the papers are of potential publishable quality in a scholarly, peer-reviewed journal approved by the student's Dissertation Committee.

2. **Forming a PhD Dissertation Committee.** The PhD dissertation committee guides and evaluates the student's dissertation. The specifications regarding the formation of the PhD dissertation committee are the same for both dissertation formats. The following steps are required:

- **Selecting PhD Dissertation Committee Members.** In consultation with the Dissertation Chair, the student needs to identify and form a Dissertation Committee. It is the student’s role to formally invite the Dissertation Committee members.

- **Ensure Appropriate PhD Dissertation Committee Composition.** The PhD dissertation committee is comprised of at least five graduate faculty members (i.e., tenure track) holding professorial rank (Assistant Professor or above). Consider inviting at least one committee member from a discipline other than nursing. The student and the chair of the PhD Dissertation Chair select the membership of the PhD Dissertation Committee. If a proposed PhD Dissertation Committee member is outside the University of Iowa or is not a graduate faculty member at the University of Iowa (e.g. CON clinical track faculty or
UIHC staff), the student must obtain the individual’s curriculum vitae and meet with the Graduate Programs Office in order to obtain approval from the Graduate College. This approval must be obtained prior to scheduling the proposal meeting.

3. Developing a Proposal Document The student will work closely with the PhD Dissertation Committee chair to develop the proposal document. The format of this document varies with the two options. Both types of dissertation format must conform with the Graduate College guidelines for the written dissertation can be found at: [http://www.grad.uiowa.edu/theses-and-dissertations](http://www.grad.uiowa.edu/theses-and-dissertations).


- **Chapter 1** includes an introduction and establishes the importance of the topic, a short review of background and problem to be addressed, a clear purpose that includes specific aims, questions, or hypotheses. Conceptual and operational definitions are often specified.
- **Chapter 2** includes the background, typically an in-depth literature review and synthesis that establishes what is known, identifies gaps in science to be addressed in the study and the theoretical framework that guides the study, if appropriate.
- **Chapter 3** describes the planned methods for the study, including design, sample, measures, intervention (if appropriate), procedures, data collection and analysis.

3A2. Three-Paper Dissertation Format

- **Chapter 1** provides a brief introduction and establishes the importance of the topic. This focused review should provide a cohesive synthesis of the background and problem. In addition, the purpose and specific aims, questions, or hypotheses to be addressed in the proposed research should be described. It is appropriate for this chapter to be 10-15 pages in length for this format.
- **Chapters 2-4 Plan.** Chapters 2, 3, and 4 each describe a planned paper, which may be subject to change depending on how the research unfolds. For the proposal document, an overview of each paper is provided for these three Chapters. The overview of each paper should include purpose and scope of the paper, methodologies to be employed, and discussion of how the paper is integrated to represent a coherent body of research. For the data-based papers, a 1-2 page outline and summary similar to Figure 2 may be useful. Also included should be the student’s suggestions and rationale of journals to which each paper will be submitted for publication.

4. Conducting the PhD Dissertation Proposal Meeting. The PhD Dissertation Proposal Meeting, for both dissertation formats includes the student and the PhD Dissertation Committee and is held to approve the student’s proposed research project.

- **Logistical Arrangements.** It is the student’s responsibility to contact members of the committee and arrange the date, time and location of the Proposal Meeting. The student will ensure that all members of the PhD Dissertation Committee receive the final written proposal at least two weeks prior to the scheduled proposal meeting.

- **Conduct of PhD Dissertation Proposal Meeting.** The Committee meets privately before the defense begins to overview the process and focus of the defense. The student is then invited to join the committee to discuss the proposed research. Some PhD Dissertation Committees choose to have a brief (10 minute) presentation by the student on the background of the problem and proposed research. For the three-paper format, a discussion of the planned papers is also required in the presentation. The committee chair then leads a discussion of each section of the proposal document so that committee members may raise questions or concerns. The goal of the discussion is agreement among the committee members on what the student will do to complete their proposed dissertation research. It is recommended that the PhD Dissertation Committee Chair or designee (who should NOT be the student) take notes of the discussion and key points so the student is able to focus on the discussion.

- **Expected Outcomes of the PhD Dissertation Proposal Meeting.** The expected outcome of the proposal meeting is an agreement among the PhD Dissertation Committee members and the student on the proposed dissertation research. If the PhD Dissertation Committee members do not agree on the proposed research, another PhD Dissertation Proposal Meeting may be
necessary. If the PhD Dissertation Committee members do agree on the proposed research, it is recommended that this meeting should be documented by the Dissertation Chair. This memo should be sent to committee members, the student and a copy should be placed in the student’s file. The content of the memo should outline any substantive changes to the proposal document and agreed on by each PhD Dissertation Committee member within two weeks of the proposal meeting. If agreement cannot be reached between the student and PhD Dissertation Chair or other committee members, then the director of the PhD program should be consulted.

Memo of Agreement from [Dissertation Chair] Dissertation Proposal meeting

5. Completing Research. Once the proposal is agreed on, the student must secure IRB approval and then begin data collection. Students continue registering for dissertation hours or continuous enrollment hours until the dissertation is successfully defended. Note that the student can start registering for dissertation credits during the semester that the student has completed the comprehensive exam. The minimum number of dissertation credits is 11; there is no maximum. A completed Dissertation Chair Approval form is due in the Student Services Office prior to enrollment in dissertation hours.

Completion of the dissertation involves implementing the data collection, data analysis, and interpretation as described in the proposal document as well as preparing the results and discussion sections. The three-paper format requires completion of preliminary final drafts of three manuscripts. The traditional format requires completion of Chapter 4: Results. Both format options include Chapter 5, “Discussion and Implications for Research, Education, Practice and Policy”. The time to complete the dissertation varies and the deadline for completion is negotiated between the student and the PhD Dissertation Chair.

6. Conducting the Dissertation Defense. The Dissertation Defense (also referred to as Final Examination by the Graduate College) is an oral presentation and defense of the dissertation. If a Chair has any reservations about the defense, they should discuss their concerns with the Director of the PhD Program as soon as possible and prior to the defense date.

After Comprehensive Examination: The dissertation defense may not be held until the semester after satisfactorily completing the comprehensive examination. The student must pass the final dissertation defense no later than five years after satisfactorily completing the comprehensive examination. The dissertation defense may not be held until after the dissertation is accepted for first deposit by the Graduate College.

- During Academic Year and On-Campus: The dissertation defense should be scheduled during the academic year, i.e., between the beginning of regular registration for the fall semester and the close of examination week in the spring semester. Only in very unusual circumstances will the faculty consider requests for exceptions to this rule. The dissertation defense is administered on campus.

- Student Responsibilities Arranging a PhD Dissertation Defense Meeting: The student must:
  - contact members of the PhD Dissertation Committee to arrange the date, time and location of the PhD Defense meeting.
  - notify the Student Services Office when the PhD Dissertation Defense meeting date is determined four to five weeks prior to the date.

- The Student Services Office will submit a formal request to the Graduate College. The request for the PhD Defense Meeting must be submitted at least three weeks in advance of the date set for the defense to allow for public notice of the defense.

6a. Student Responsibilities – Circulating PhD Dissertation Document. The student is responsible for providing a copy of the dissertation to the committee members at least two weeks in advance of the PhD dissertation defense meeting, and for informing members of the time, date, and place of the defense. The copy may be either hard copy or electronic, per the preference of the faculty member. See format for each dissertation option described in section 7.

6b. Attendees. The PhD dissertation defense meeting is open to the public; anyone is welcome to attend. Similar to the PhD dissertation proposal meeting, the PhD dissertation committee meets in private prior to the defense meeting. The student and guests are then invited to join the committee for the student’s defense of the dissertation.
This meeting typically begins with a 15-30 minute presentation of the dissertation research by the student then the PhD Dissertation Committee is invited to ask the student PhD candidate questions. The defense includes critical questions about the purpose, method, and results presented in the dissertation, and questioning on areas of knowledge consistent with the context of the dissertation. An oral defense of the dissertation evaluates the candidate's ability to communicate the specific research project and the implications of the research.

6c. Grading and Reporting of the PhD Dissertation Defense. At the completion of the defense, the student and guests are again asked to step out while the PhD Dissertation Committee discusses the defense. The Dissertation Defense is evaluated by the PhD Dissertation Committee, with each member indicating a Satisfactory or Unsatisfactory rating. The overall report will be regarded as Unsatisfactory if there are two unsatisfactory ratings from two members. A brief written evaluation of the candidate's performance is prepared by the PhD Dissertation Chair and is placed in the student's file. The PhD Dissertation Committee’s overall decision is conveyed to the student by the PhD Dissertation Committee Chair immediately following the Committee’s deliberations, who is also responsible for reporting the results of the defense to the College of Nursing Graduate Programs Office within 24 hours. The report of the defense, signed by all PhD Dissertation Committee members, is due in the Graduate College within 48 hours after the defense. Successful defenses are noted publicly by an announcement in the College. In the case of an Unsatisfactory decision in the final defense, the candidate may not present herself/himself for reexamination until the next semester. The PhD dissertation defense may be repeated only once.

7. Formatting the Approved Final Dissertation

Traditional: This format consists of five Chapters, as outlined by the Graduate College.
- Chapters 1, 2 & 3 are the revised versions based on the feedback provided in the PhD proposal meeting, and incorporate any changes required related to updates of the literature, changes in tense of the verbs, and changes related to implementation.
- Chapter 4 presents the results of the study.
- Chapter 5 is the discussion of the results and as such should synthesize the knowledge that has been gained by the study, link the results to previous literature, discuss the limitations of the study, future research directions, and implications for education, practice and/or policy, as appropriate.

Three-Paper. This format integrates three publishable papers into the standard Graduate College five-chapter dissertation format.
- Chapter 1 provides the overview of the research as laid out in the proposal.
- Chapters 2, 3, and 4, are the three papers, which may include an analytical review of the literature or a meta-analysis, a methodology paper, and a data based paper or multiple data based articles with the literature review integrated into each paper. At the discretion of the Dissertation Committee, one of the three papers may be a detailed discussion of the conceptual model for the dissertation research. The length of these three chapters, which are intended to be potentially publishable papers, to the extent possible, should conform to page-length constraints required by the specific scholarly journal(s) identified by the student and approved by the Dissertation Committee. Therefore, these three chapters may be expanded or supplemented by appendices, as necessary, particularly if there is additional data, analyses, or Tables that are not allowed due to journal restrictions.
- Chapter 5, the concluding chapter, should summarize and integrate the major findings. This concluding chapter should synthesize the knowledge that has been gained by the research as presented in the three papers, discuss the limitations of the body of research, and enumerate future research, and implications for education, practice and/or policy, as appropriate for the dissertation type.

8. Submission to Grad College. Regardless of format, the final written report of the dissertation must meet the standards defined by the Graduate College. Thus, for both the Traditional Dissertation format and the Three Paper Dissertation format pagination must be continuous, there must be a common table of contents, and one integrated bibliography must serve for the whole document. Graduate College guidelines for the written dissertation can be found at: http://www.grad.uiowa.edu/theses-and-dissertations

9. Publishing the PhD Dissertation. Approved electronic dissertations will be forwarded to ProQuest for digital archiving; the doctoral abstracts will be published in Dissertation Abstracts International. Once published, any other publications (e.g. manuscripts) cannot use sections of the dissertation in total without
breaching copyright. Thus, students can opt to delay publication of the dissertation by the Graduate College for one to two years (referred to as a period of embargo), at or before the final deposit deadline. This is an important step to allow time for publishing the papers in a three-paper dissertation. **Students are encouraged to publish the dissertation within a year.**

There must be no presumption that serving on a Dissertation Committee constitutes grounds for co-authorship of a student’s paper, even if the committee member provides significant feedback on a paper. Eventual authorship on papers should be negotiated between the student, his/her advisor, and the Dissertation Committee members. Dissertation Committee members may be named as co-authors on submitted papers if they have made a substantial contribution to the paper consistent with academic standards and journal submission requirements. Journal requirements vary, but at a minimum, all authors must have contributed substantially to conception and design or analysis and interpretation of the data, contributed to drafting or revision of content, and approved the final version.

Flowchart and Comparison Table:

<table>
<thead>
<tr>
<th>Dissertation Steps</th>
<th>Traditional Dissertation</th>
<th>Three-paper Dissertation</th>
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<tbody>
<tr>
<td><strong>1. Preliminary Planning</strong></td>
<td>Review Graduate College Requirements</td>
<td>Chapter 1: Introduction establishing importance of topic &amp; specific aims</td>
</tr>
<tr>
<td></td>
<td>Select a Dissertation Chair</td>
<td>Chapter 1: Introduction establishing importance of topic &amp; focused literature review</td>
</tr>
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<td></td>
<td>Select a Dissertation Format</td>
<td>Plan for Chapters 2, 3 and 4: Planned chapters with brief outline of Introduction and completed approach summary table for each data-based paper; Suggested journals for papers.</td>
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<tr>
<td><strong>2. Form a PhD Committee</strong></td>
<td>Select Committee Members</td>
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<td></td>
<td>Ensure Appropriate Committee Composition</td>
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<tr>
<td><strong>3. Develop a Proposal Document</strong></td>
<td>Chapter 1: Introduction establishing importance of topic &amp; specific aims</td>
<td>Chapter 1: Introduction establishing importance of topic &amp; focused literature review</td>
</tr>
<tr>
<td></td>
<td>Chapter 2: In-depth literature review</td>
<td>Plan for Chapters 2, 3 and 4: Planned chapters with brief outline of Introduction and completed approach summary table for each data-based paper; Suggested journals for papers.</td>
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<td></td>
<td>Chapter 3: Methods</td>
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<td><strong>4. Conduct Proposal Meeting</strong></td>
<td>Logistical Arrangements</td>
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<td></td>
<td>Conduct of the Meeting</td>
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<td></td>
<td>Expected Outcomes of Proposal Meeting</td>
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<tr>
<td><strong>5. Complete Research</strong></td>
<td>Data collection</td>
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<td>Data analysis</td>
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<td></td>
<td>Preparation of written document of all components per format (#7)</td>
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<tr>
<td><strong>6. Conduct Oral Exam</strong></td>
<td>Schedule defense with committee during Academic Year and On-Campus Students are responsible for arranging meeting</td>
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<td>Graduate Programs Office will submit a formal request to the Graduate College</td>
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<td>Circulate dissertation document to committee</td>
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<tr>
<td><strong>7. Format Approved Dissertation</strong></td>
<td>Chapters 1, 2 &amp; 3: Revised to incorporate any changes required</td>
<td>Chapter 1: Provide the overview of the research as laid out in the proposal.</td>
</tr>
</tbody>
</table>
related to updates of the literature, changes in tense of the verbs, and changes related to implementation.

**Chapter 4:** Present the results of the study.

**Chapter 5:** Discussion of the results and as such should synthesize the knowledge that has been gained by the study, link the results to previous literature, discuss the limitations of the study, future research directions, and implications for education, practice and/or policy, as appropriate.

<table>
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<tr>
<th>8. Submit to Grad College</th>
<th>Meets the standards defined by the Graduate College and expected by the dissertation committee.</th>
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<tr>
<td>9. Submit for Publication</td>
<td>Identify papers to be published from dissertation. Write and submit papers for publication ASAP. Submit papers for publication ASAP. Students can opt to embargo their dissertation (for one or two years), at or before the final deposit deadline, when they want to delay the release of their manuscript to allow time for publishing papers.</td>
</tr>
</tbody>
</table>
Data-based Manuscript Planning Table

For each data-based paper, include a brief summary of the purpose of the paper and an outline of the literature to be reviewed in the Introduction.

For data-based papers, you may copy and paste the following table into your Chapter MS Word document or you may prefer just write out a description of the following:

• Specify the design, recruitment plan, and outcome variables for which data will be collected.
• Describe the data collection and analysis procedures.

Also, for each manuscript include a list of potential journals with rationale to which you will submit, identifying at least two journals for each manuscript.

<table>
<thead>
<tr>
<th>Manuscript</th>
<th>Hypothesis</th>
<th>Design</th>
<th>Variables/Outcome measure(s)</th>
<th>Data collection</th>
<th>Data analysis</th>
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<td>How this will be collected: method, instrument, interview, items on a tool</td>
<td>When will this be collected?</td>
<td>From whom will data be collected? (i.e., sample, inclusion/exclusion criteria)</td>
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</table>
XVI. Graduation Information
In order to facilitate your graduation we have listed the pertinent paperwork below. If you have any questions, please contact the Graduate Programs Office at 319-335-7021 or jennifer-clougherty@uiowa.edu.

All forms must be completed by the deadlines posted each semester. Final responsibility for meeting graduation requirements resides with the student. If you have filed these forms previously, all must be refilled by the deadline listed except the Plan of Study; a Graduate College Plan of Study should be refilled only if it has changed. This form will be completed and submitted by the Graduate Programs Office.

More information regarding dates, commencement, and other pertinent information can be found at the Registrar and Graduate College websites.

NOTE: The student must be enrolled in the Graduate College during the session in which the degree is to be conferred. In the final semester, doctoral students may register for Doctoral Final Registration (GRAD:6003), which requires a 1 s.h. tuition and fees payment, or appropriate course work. Guided Independent Study course work, Ph.D. Postcomprehensive Registration (GRAD:6000) and courses for which tuition and fees are not assessed may not be used to satisfy the final registration requirement of the Graduate College.

Graduation Forms
APPLICATION FOR DEGREE - Completed on-line via MyUI

REQUEST FOR FINAL EXAMINATION (request for dissertation defense) – submitted by the Graduate Programs Office to the Graduate College at least 3 weeks prior to the defense. The Graduate Programs Office will need the following information: names of committee members; official thesis title; and date, time, of defense The Graduate Programs Office will reserve a room once date and time is provided.

REPORT OF FINAL EXAMINATION (report of defense) - This form remains in your student file in 37 CNB until the day of defense and can be picked up by the student or Chair. This form needs to be signed by all committee members and returned to the Graduate Programs Office after the defense for filing with the Graduate College.

(Rev 11.1.17 jac/sdh)