



**DOCTOR OF PHILOSOPHY IN  
THERAPEUTIC SCIENCE**

**STUDENT MANUAL**

**THE UNIVERSITY OF KANSAS  
SCHOOL OF HEALTH PROFESSIONS**

**(Revised November 15, 2021)**

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# UNIVERSITY OF KANSAS SCHOOL OF HEALTH PROFESSIONS

## Doctor of Philosophy in Therapeutic Science Manual

### GENERAL PROGRAM INFORMATION

**Therapeutic Science** is a field of study emphasizing an enhanced understanding of the consequences for an individual related to health conditions, rather than a study of the health condition itself. The therapeutic science degree as an interdisciplinary program involving faculty across a variety of departments and schools at KU. This program provides the interdisciplinary training at a doctoral level, necessary to address a spectrum of issues related to health and disability. The program is administered through the Department of [Occupational Therapy Education](#) in the KU School of Health Professions. The Therapeutic Science doctoral program at the University of Kansas Medical Center has been in existence since 2000. The doctoral program consists of 60 total credit hours (42 hours of course work and at least 18 hours of comprehensive exam/dissertation).

#### **Program Time Limit**

No more than eight years may elapse from the first enrollment until the requirements for the degree have been completed. A student may request a leave of absence (LOA) with assistance from his or her advisor. A LOA may occur during either the pre-comprehensive or post-comprehensive period. LOAs are usually granted for one year or less based upon unexpected or uncontrollable events in the student's life. The time granted for a student LOA is not calculated into the eight-year program time limit.

#### **Program Milestones**

Several events during the program mark either movement toward the degree or changes in the student's status. Expanded descriptions of these events can be found later in this document.

These events are:

1. Begins coursework in the PhD program: The student becomes an **aspirant** for the PhD degree; first course is 1 cr. hour of TS Seminar series (TS 850, 900 or 950).
2. Qualifying Exam: After completing a minimum of three semesters or 18 credit hours of coursework. Successful completion of the Qualifying Exam indicates adequate progression through the TS PhD program.
3. Residency requirement: A Graduate Studies requirement. Therapeutic Science PhD students complete this requirement by completing at least two semesters of full-time coursework. Students working full-time in their area of study may petition for reduced hours.
4. Preliminary Written Comprehensive Exam: Once a majority of course work is completed, students write a synthesis paper in preparation to begin the dissertation phase of study. This requirement is completed through enrollment in and successful completion of *TS 980 Advanced Study* and prior to the Comprehensive Oral Exam (dissertation proposal defense).
5. Research Skills and Responsible Scholarship requirement: A Graduate Studies requirement for all University of Kansas doctoral students; a summary of activities or courses that show competency knowledge or skills necessary for research. This requirement must be completed and approved by two TS faculty prior to the Comprehensive Oral Exam.
6. Comprehensive Oral Exam: A Graduate Studies requirement for which required forms must be submitted.\* The Therapeutic Science Comprehensive Oral Exam consists of the

defense of the dissertation proposal and occurs only after all course work has been completed, as well as the Qualifying Exam , Research Skills and Responsible Scholarship requirement, and the preliminary written comprehensive exam/synthesis paper (completion of TS 980). Upon successfully completing the proposal defense, the student becomes a **candidate** for the PhD degree.

7. Final Oral Exam: An Office of Graduate Studies requirement for which the required forms must be submitted. \* The exam consists of a public oral defense of the dissertation work. Upon successful completion of this oral defense and the submission of the final dissertation document to the KUMC Office of Graduate Studies, the student has completed all academic requirements for the PhD degree and may use the “PhD” designation.

### **\*Oral Comprehensive Exam, Final Oral Exam and Progress to Degree Form**

The final two milestones, the Comprehensive Oral Exam and the Final Oral Exam, require KUMC Office of Graduate Studies approval. Required forms are submitted to Graduate Studies by the Therapeutic Science Program Director.

For the Comprehensive Oral Exam and the Final Oral Exam, the student must submit required information to the Occupational Therapy Education Administrative Office Manager including the preferred time and day of the exam. This information must be submitted at least **FOUR WEEKS** prior to the exam. **Failure to meet this deadline may require rescheduling of the exam.**

The complete instructions are further detailed in the “Dissertation Process” section on page 13.

### **Procedures for Student Protocols for IRB Electronic Submission**

Students will generally need to submit an IRB protocol for Human Subjects Committee oversight of their research. Students will need to work with their advisor to complete the required requirements for IRB approval. After the protocol and other IRB documents are complete, the student will need to follow the below departmental processes before submission to IRB.

#### ***Administrative Sign-off***

Form completed by the student with sign off from the student’s research mentor/dissertation chair).

Once completed and signed, scan and upload to the IRB electronic application.

##### A. Required:

- i. Full Committee Review
- ii. Expedited Review
- iii. Exempt Review
- iv. Retrospective Review

##### B. Not Required:

- i. Non-human Subject Determination
- ii. Quality Improvement Review

#### ***Scientific Merit Review Checklist***

Once completed and signed, scan and upload to the IRB electronic application.

##### A. Required (Full Committee Review or Expedited Review):

- i. PhD Student Dissertation: The Oral Proposal Defense Committee serves as the scientific merit review for the proposal. Because the chairperson serves as PI for the study, the scientific merit review checklist is completed and signed by TS Faculty serving on the student's committee. TS PhD students may not serve as PI for any research leading to the TS PhD degree.
- B. Not required of:
  - i. Non-human Subject Determination
  - ii. Quality Improvement Review
  - iii. Exempt Review
  - iv. Retrospective Review

## PROGRAM PLANNING

### **Advisement**

Upon admission to the Ph.D. in Therapeutic Science program, a student is assigned an academic advisor who assists the student in planning a program of study. The academic advisor meets with the student to plan and approve the program of study, which consists of courses and other work (e.g., independent study, mentored research, focused writing). The plan of study for each student builds from the required TS coursework (seminar series) for all PhD students and includes the student's work in his/her emphasis area. The planning meeting will take place 3-4 weeks prior to the start of each semester. Following each planning meeting, the student's advisor will present the plan to the Therapeutic Science Committee for approval. The student should submit the approved plan to the Occupational Therapy Education Administrative Program Director to be saved in the student's file.

### **Curriculum Structure**

The Therapeutic Science Doctoral Program is composed of the following components: (a) a core curriculum that includes foundation theory knowledge and a series of core courses, (b) interdisciplinary content coursework and advanced study courses, (c) design and methods and analysis coursework, (d) dissertation work, and (e) competency attainment. **The curriculum outlined below comprises a minimum of 60 credit hours** in addition to any existing credits the student has earned prior to beginning the program. Note that most Therapeutic Science students accumulate more than the 60-credit minimum by the end of their program.

#### Core Courses:

- TS 850 From Beliefs to Evidence (2 credits)
- TS 900 Evolving Interdisciplinary Views of Disablement (2 credits)
- TS 950 Designing Effective Knowledge Transfer (2 credits)
- TS 800 Scholarly Writing, Reviewing & Dissemination (3 credits)

#### Required Course:

- Theory (3 credits). In consultation with the academic advisor, students will choose a theory course to broaden their interdisciplinary perspective and provide foundation for scholarly work.

#### Elective Courses:

- Two interdisciplinary electives (6 credits). In consultation with the academic advisor, the student will choose a content emphasis and select a series of interdisciplinary courses around that emphasis. The selection of courses for each student will be guided by a

significant scientific or professional problem identified by the student, and the associated research area of interest.

- Advanced Study Elective: (3 credits) This course will allow the student to pursue an in-depth study of their content emphasis.

Focused Scholarship (6 credits):

- In consultation with the academic advisor, students will plan focused scholarly work to complete with a research mentor. Focused scholarship work should develop research skills and promote responsible scholarship. Work might include data collection & analysis, literature search & review, grant writing, etc. Work leading to publication is recommended.

Research Design, Methods, & Analysis (15 credits)

- The TS program requires a minimum of 15 hours of research design and statistics; including 6 hours of research design and methods, and 9 hours of analysis. Coursework must prepare the student for independent research. More courses may be required if specific design, methods or analysis are necessary for the dissertation.

### **Resident Study**

The Graduate Studies residency requirement for Therapeutic Science PhD students is satisfied by completing two semesters of full-time enrollment. The residency requirement may be completed in non-consecutive semesters. Graduate research/teaching assistants and students working full-time in their area of study should consult with their academic advisor about petitioning for reduced hours to fulfill the residency requirement.

### **Responsible Conduct of Research requirement**

- Responsible Conduct of Research Training (RCR) is a requirement for all who are engaged in research at KUMC via CITI including the following Modules/Courses:
  - Introduction to RCR
  - Plagiarism
  - Authorship
  - Collaborative Research
  - Data Management
  - Mentoring
  - Peer Review
  - Research Misconduct
- KUMC Conflict of Interest reporting form
- Departmental RS & RS worksheet

\*Additional Training for Other Research Activities:

- KU certificate of completion demonstrating knowledge of specific laboratory instrumentation
- KUMC form/checklist documenting completing of Animal Use training program
- If engaged in conducting a clinical trial at KUMC, the student must complete Good Clinical Practice (GCP) training. According to the KUMC Research Institute, this training is required for personnel engaged in a clinical trial (individuals who are responsible for study coordination, data collection and data management activities on a clinical trial).
  - For social behavioral trials, use at the [CITI Program](#)
  - For biomedical clinical trials, use [CITI Program](#)

## **QUALIFYING EXAMINATIONS (QE)**

### **The Nature and Purpose of the Qualifying Examination Process**

The purposes of the qualifying examination are to assess 1) breadth and depth of students' knowledge across at least two disciplinary areas, 2) ability to synthesize and integrate this knowledge, 3) ability to expand and contribute to the knowledge base in their field(s).

### **Description of Learner Outcomes**

The qualifying examination paper must (a) illustrate the student's ability to analyze, synthesize, and evaluate an area of major importance, and (b) reflect the student's ability to write a clear and concise scholarly paper.

### **The Written Qualifying Examination**

In consultation with her/his advisor, each student will write a scholarly paper to synthesize information about a research topic, and to begin planning the comprehensive exam and dissertation portions of the TS doctoral program (enrollment in 1 credit hour of TS 800 required). The paper must 1) identify a problem, issue, or trend that may be informed by critical reflection, 2) succinctly review and synthesize literature related to the topic, discussing strengths and limitations of existing scholarly contributions, 3) provide research questions, a summary of why those questions are important, and description those questions will be addressed methodologically.

1. After completing a minimum of three semesters or 18 credit hours of coursework, the student will meet with her/his doctoral advisor to plan the qualifying examination. The purpose of this meeting will be to identify subject areas of expertise and interest that would fulfill the purposes of the Qualifying Examination. At this meeting, the student and advisor should identify the examination committee (2 OTE faculty, advisor serves as the 3<sup>rd</sup> member), select the exam format and agree upon parameters of the exam/paper.
2. The student will submit an outline/plan of the paper that specifies the problem and topic, format, and timeline. The examination committee will review the plan, determine its acceptability, and share a rubric associated with the paper format.
3. If the examination committee determines the plan does not meet criteria for a successful qualifying examination, the student will be provided written feedback and an opportunity to meet with the committee determine what is needed to be successful.
4. Once the plan is approved, the student must complete the final document within one semester (allowing time for committee review). Students choosing to begin the qualifying exam during summer semester may complete the exam in 15 weeks.
5. If the student is not successful, s/he will have one opportunity to revise and re-submit the paper. The Qualifying Exam re-take must be completed at least 10 weeks and no more than one year after the first evaluation is complete. Two failures of the Qualifying Examination will result in dismissal from the doctoral program in Therapeutic Science.

### **Qualifying Examination Format Options**

The scholarly paper will be a maximum of 10 double-spaced pages long (references excluded). The following are examples of acceptable formats:

- A. Identify a problem, issue, or trend, and write a concept paper that integrates theory, knowledge, and research from the multiple disciplines (two or more) represented in the student's program. The student will describe a general program of scholarship that expands or contributes to our knowledge about the problem, issue, or trend.
- B. Identify a theory, the research and the themes of multiple disciplines (two or more) represented in the student's course of study, and write research questions, an introduction indicating why those questions are important, and a section explicating how those questions will be addressed methodologically.
- C. Identify a problem, issue, or trend that may be informed by critical reflection or reanalysis from multiple (two or more) disciplinary perspectives. Discuss the strengths and limitations of existing scholarly contributions on the problem, issue, or trend; employing multidisciplinary perspectives and different methodological approaches to shed new insights on the subject.

### **RESEARCH SKILLS & RESPONSIBLE SCHOLARSHIP**

In consultation with the advisor, each student will complete the RS & RS document the semester prior to his/her Oral Comprehensive Exam (Dissertation Proposal Defense). The student's advisor along with one other TS PhD faculty will review the student's work to determine acceptability. The student will have one opportunity to revise the RS & RS. Two failures of the RS & RS will result in dismissal from the doctoral program in Therapeutic Science. The RS & RS document includes:

1. A worksheet listing the student's coursework, organized by content as related to the focus of the planned dissertation topic.
2. A narrative describing rationale for how the coursework supported knowledge/skill acquisition in preparation for dissertation research.

### **PRE-DISSERTATION PHASE**

#### **Written Preliminary Comprehensive Examination**

To prepare to enter the dissertation phase of study, students will complete a preliminary comprehensive project (e.g., systematic or scoping review of literature) to meet the graduate study requirement of a "written preliminary examination." The project must prepare the student to write the dissertation proposal and begin dissertation research. The student will plan the project in consultation with the research mentor and should expect the process to demand a good deal of time and ongoing revision. The project will be evaluated by the student's research mentor and at least 2 other graduate faculty members. For the written preliminary examination, the student must:

1. Articulate a rationale for the study which includes salient literature covering the topic of interest.
2. Communicate using a structure that includes a clearly articulated plan, transitions, and good organization presented in a format suited for publication in a peer-reviewed journal.
3. Demonstrate a synthesis of information and insights gained rather than just reporting details and be able to discuss alternative interpretations and theories regarding relevant phenomena or outcomes.
4. Demonstrate an integration of knowledge (e.g., what do we know, what might we infer, what does it mean).

During the pre-dissertation phase, students will enroll in TS 980: Advanced Study in Therapeutic Science.

## **DISSERTATION PROCESS**

### **Dissertation Committee**

The dissertation committee consists of at least five members. One member serves as the Office of Graduate Studies' representative on the committee and must hold a regular or dissertation University of Kansas graduate faculty appointment from outside the Therapeutic Science program. Two committee members, including your dissertation chair, must be from the Therapeutic Science faculty. The committee may include members from outside the University of Kansas. All members of the committee, however, must be members of the University of Kansas Graduate Faculty. Any member of the committee from outside the University of Kansas must have a special Graduate Faculty appointment.

### **Dissertation**

The Therapeutic Science program follows the modern approach of requiring three publishable articles be produced from the student's comprehensive exam and dissertation work. The "three-article" option requires the design and implementation of original empirical research demonstrating excellence in conceptualization, implementation, and analysis making an original contribution to interdisciplinary practice. Secondary data analyses are appropriate when the research question is novel, and the committee approves.

When determining authorship on papers that come from the dissertation work, students will refer to the *Publication Manual of the American Psychological Association* for information on 'publication credit' or the [International Committee of Medical Journal Editors](#)' reference on 'Authorship and Contributorship'. The student and dissertation committee chair should discuss authorship plans early in the process of dissertation development

The University of Kansas Graduate Studies and Therapeutic Science program allow students to use papers published during their doctoral program and papers developed for publication during enrollment in dissertation (TS 980) as part of the requirements of the dissertation. The content of all papers must be related to the dissertation research topic area. The following are the dissertation requirements.

#### **Requirements**

1. A minimum of three papers should be included that are full-length articles in line with expectations for reviews or reports of original research that are found in peer-reviewed journals. There may be circumstances when three manuscripts are not feasible due to the scope of the dissertation topic/method. Dissertation committees will approve the final number of papers. At least one of the papers must be a manuscript based on empirical data (qualitative or quantitative). Abstracts, monographs or short summaries are not acceptable.
2. Each paper must be prepared under the supervision of at least one member of the dissertation committee and approved by the chairperson.
3. The student must be the primary author of the papers, with content based on scholarship or research conducted primarily by the student.
4. Potential content, authorship, journals for submission, and anticipated dates for submission of each paper will be agreed upon by the student and dissertation committee

when the committee meets to approve the student's research proposal. With agreement of the committee, planned content of the papers may change based upon findings from the dissertation or other factors. Publication titles, authorship and other details should be finalized for each publication when the dissertation is submitted by the student as evidence of readiness for graduation.

5. Paper(s) may be submitted to open access journals if the journal meets the criteria set forth by the [A.R. Dykes Library One-University Open Access Fund](#) related to eligible publications. As in non-open access journals, open access journals must be approved by the dissertation committee.
6. Papers submitted for publication prior to the final defense of the dissertation need to have approval of all dissertation committee members if they are to be included in the dissertation. They may be approved at anytime during the dissertation process.
7. Papers not yet submitted at the time of the final defense should be approved by all committee members as ready for publication. The committee's assessment of readiness should consider:
  - a. coherence and substantive quality of the content,
  - b. congruence with the guidelines and format of the journal to which a paper is being submitted, and
  - c. agreed upon date for submission.
8. At least two papers must be submitted by the time of graduation. The literature review written for the student's comprehensive exam may serve as one of these papers.

### Format

1. Dissertation Proposal. Chapter 1, the dissertation proposal includes a statement of the problem, conceptual underpinnings, review and synthesis of relevant literature (a summary of the student's comprehensive exam paper), proposed methods, and plans for the focus and scope of each manuscript. It does not exceed 25 pages double spaced (excluding references and appendices). The proposal should be formatted as a journal article to facilitate publication when the dissertation research is complete. During the proposal development phase, the student meets with the Dissertation Mentor (and committee members as needed) to discuss the nature and content of the manuscripts. After data are analyzed, the student may believe it advisable to change the nature of the manuscripts. Approval for a change from what was originally proposed must be obtained from the Dissertation Committee. The oral defense of the proposal will present the student's work leading to the proposed dissertation, the dissertation plan, and may also include questions about plans for publication, including specification of authorship and target journals.
2. Final Dissertation. The final dissertation includes Chapter 1, the proposal, Chapters 2-4, the three manuscripts/publications, and Chapter 5, an explication of how the manuscripts fit together, summary of results, implications for practice and future research, and conclusions. If a manuscript has already been published, the student must obtain permission from the journal editor to include it in the bound dissertation.

The following table provides information on the structure and content for the dissertation. This information serves as a general guideline and is open to variation due to individual dissertation focus, method, and/or committee preference:

The KUMC Office of Graduate Studies reviews the electronic dissertation for correct formatting before it can be uploaded and accepted by the University. See specific formatting instructions at the [Graduate Studies Electronic Thesis and Dissertation](#) website.

At the time of proposal defense, any submitted or already published papers that will be part of the dissertation will be included in the dissertation document as Chapter two, three or four. Accordingly, related section(s) of the proposal may be appropriately abbreviated with reference to the paper.

<b>TS PhD Dissertation Requirements/format*</b>	
Candidacy Examination	Includes Chapter 1: Statement of the problem, conceptual underpinnings, review and synthesis of relevant literature (summarized from written preliminary comprehensive examination), proposed methods, and plans for the focus and scope of each manuscript., including planned authorship and journal identification.
Title Page	
Copyright Permission for Use of All Copyrighted Material	include copies of all copyright permissions for manuscripts that have been published.
Abstract	350-word Max
Dissertation Committee Acceptance Page	
Acknowledgements Page	
Table of Contents	
List of Tables	Organized in one list, and organized by chapter, following the table of contents.
List of Figures	Organized in one list, and organized by chapter, following the table of contents.
Introduction	<p><b>Chapter 1:</b> Introduction, review of literature, hypotheses and/or research questions.</p> <p><b>Chapters 2-4:</b> Minimum of three publishable manuscripts (or published reprint) prepared for submission to approved peer-reviewed journal with appropriate journal formatting requirements. Chapter 2 is the students written preliminary comprehensive exam.</p> <p><b>Chapter 5:</b> Summary with explication of how the manuscripts fit together, brief summary of results, implications for practice and future research, and conclusions.</p>
Hypotheses and/or Research Questions	
Methods	
Results	
Discussion	
Tables	
Figures	
Appendices (if applicable)	Expanded content or appendices for manuscript chapters may be required by Committee. Content may include-IRB approval & materials for each study, raw data, data analysis not included in the chapters, etc.
References	At the end of each chapter and identified in the table of contents.

### **Dissertation Proposal**

If additional background work is required after completion of the written preliminary examination, or when writing and defending the dissertation proposal is expected to take longer than one semester, students should continue enrollment in TS 980 Advanced Study in Therapeutic Science.

The dissertation proposal must be defended and approved during enrollment in TS 990 Dissertation. The dissertation proposal is reviewed by all members of the dissertation committee. Work on the dissertation research can continue only after the dissertation committee has approved the proposal. The approved dissertation proposal, signed by the chairperson and two members of the student's dissertation committee, is submitted to the Occupational Therapy Education Administrative Program Director to be saved in the student's file. After successful defense of the dissertation proposal, the student may submit materials to the KUMC Human Subjects Committee for approval or the Institutional Animal Care and Use Committee (if either of these are required).

Students under the guidance of the dissertation advisor are required to get [Human Subjects \(HSC\)](#) approval for the dissertation research or [Institutional Animal Care and Use Committee \(IACUC\)](#) review and approval, as appropriate.

### **Comprehensive Oral Examination (Dissertation Proposal Defense)**

Prior to scheduling the Oral Comprehensive Examination, the student must 1) complete most of the courses required by the program, 2) complete at least 2 terms of full-time enrollment, 3) receive approval for the preliminary comprehensive project, 4) complete the Research Skills competency requirement, 5) have at least 2 articles submitted for peer-review.

The comprehensive oral examination is the student's defense of the dissertation proposal. The student's dissertation committee serves as the examination committee. The committee is approved by Academic Affairs prior to scheduling the exam. The student is expected to be able to critically describe and defend the scientific significance, background, research questions/hypotheses, and research methods of the proposed research. In the process of defending the proposal, students integrate needed information from their entire program of study. The student must be enrolled in TS 990 during the semester in which the Comprehensive oral exam is taken.

The Progress to degree form is submitted to Graduate Studies to mark major milestones in student progress toward obtaining the doctorate degree. To complete the progress to degree form, the student must provide the following information to the Occupational Therapy Education Department Administrative Program Manager at least 5 weeks prior to the dissertation defense

1. The semester in which the "Responsible Scholarship" criterion was met
2. The semester in which the "Research Skills" criterion was met
3. A copy of the approved RS&RS document
4. The two terms in which the residency requirement was met and the approved petition for reduced residency hours if applicable.
5. The name of your Committee Chair (and co-chair if applicable)
6. The name and department of the Outside committee member
7. The names of the remaining members of the committee
8. Identify any of the committee members having a primary appointment on the KU-Lawrence or KU-Edwards campus
9. Date, time and location of the exam and title of the paper/presentation

### **Continuous Enrollment**

After passing the comprehensive oral examination for a doctoral degree, the student is identified as a PhD candidate. The candidate must be continuously enrolled in TS 990, including summer sessions, until all requirements for the PhD degree are completed. Post-comprehensive enrollment includes the semester in which the oral examination is completed. For example, a

student finishing written preliminary examination (TS 980) in summer 2018 enrolls in TS 990: Doctoral Dissertation in fall 2018 for a minimum of 6 credit hours. If the comprehensive oral exam (dissertation proposal) is completed in that fall 2018 semester, those 6 credit hours count in the total 15 credit hours required, which is the minimum number of credits necessary for dissertation. If the comprehensive oral exam is not completed in the fall 2018 semester, those credits will not count in the total 15 credit hours required.

The credits for each enrollment must reflect as accurately as possible the candidate's demands on faculty time and university facilities. **Until all credit requirements for the degree have been completed (15 credits) or until 18 post-comprehensive credit hours have been completed (whichever comes first), the candidate must enroll for a minimum of 6 credits during Fall and Spring semesters and 3 credits in the Summer semester.** If the degree has not been completed after 18 credit hours of post-comprehensive enrollment, the candidate still must continue to enroll each term until all degree requirements have been met. Once 18 post-comprehensive credits have been attained, a continuous enrollment of 1 credit hour per term is permitted. Students should speak with the Financial Aid office to discuss the relation of enrollment and financial aid status.

### **Dissertation Expectations**

The candidate must complete a dissertation showing the results of original research. The minimum number of credit hours required for dissertation enrollment is 12 in TS 990. Instructions regarding the proper form of the dissertation may be obtained from the [University of Kansas Electronic Thesis and Dissertation \(ETD\)](#) website. Click on Formatting for the KU Dissertation Formatting Requirements PDF.

### **Policy for Grading of Dissertation Hours**

The letter “P” is used to indicate “progress” in thesis, dissertation, and research enrollments.

In exceptional cases, the instructor of record has the authority to issue a letter grade (A, B, C, D, or F) in a given semester. For such exceptional cases, the instructor of record must submit justification to the Vice Chancellor for Academic Affairs for approval before the grade can be recorded on the transcript. Under no circumstances will this grade be used to specifically enhance the cumulative GPA for students who are in academic difficulty in Graduate School.

A letter grade (A, B, C, D, and F) is assigned in the last semester of enrollment to characterize the quality of the final product. A grade of incomplete (I) is not appropriate for enrollment in thesis, dissertation, or research and will not be accepted.

### **Final Oral Examination for Doctorate**

At least five months must elapse between successful completion of the comprehensive oral examination (dissertation proposal defense) and the date of the final oral examination (dissertation defense). The student must provide the following information to the Occupational Therapy Education Department Administrative Program Manager 5 weeks prior to the dissertation defense.

1. The name of the Committee Chair (and co-chair if there is one)
2. The name and department of the Outside committee member
3. The names of the remaining members of the committee
4. Identify any of the committee members having a primary appointment on the KU-Lawrence or KU-Edwards campus

5. Date when the Oral Comprehensive Exam was completed successfully
6. Dissertation title (must be the mentor-approved, spell-checked & final version)
7. Date, time and location of the exam

Upon approval by the Therapeutic Science Program Director and Dean of Graduate Studies, the final oral examination/dissertation defense will be scheduled at the time and place designated in the request and publicly announced by Graduate Studies. The student must take the dissertation title page to their defense to obtain committee member signatures. The date on the title page is the actual date of the defense. The student submits the original signed title page to the Office of Student Affairs & Enrollment Management and KUMC Graduate Studies. If the student plans to have copies of the dissertation bound, the student brings multiple copies of the title page to the defense and all copies are signed at one time.

If the candidate fails the final oral examination (dissertation defense), the examination and defense may be repeated upon recommendation of the dissertation committee. (Several requirements, including completion of the required form FIVE weeks before the oral examination and defense, need to be met for eligibility to take the final oral examination and dissertation defense. Please refer to the [Graduation Checklist](#)). The final oral examination and dissertation defense will not be conducted without an approved “*PhD Oral Comprehensive Exam Final Dissertation Committee & Progress to Degree Form*.” Please see the “PhD Student Actions & Instructions for Progress to Degree” at the end of this document for complete instructions.

## **Dissertation Submission Processes**

### University Formatting Directions

[Formatting directions](#) are posted on the KUMC Office of Graduate Studies website. The student reviews these directions carefully before their defense date to assure correct title page formatting. Bring the title page with you to your defense to obtain signatures of your committee members. The student submits the original signed title page to the KUMC Office of Graduate Studies with other documents listed on the graduation checklist (see [graduation website page](#)). An additional copy of the title page and abstract must be submitted to the student’s dissertation chair where it will be placed in the student’s permanent file.

Once the student successfully completes their defense, s/he makes any required revisions to the written dissertation as requested by the dissertation committee. When revisions are completed, the student’s committee chair (or co-chairs, if applicable) is required to review the revised document and then signs and dates the acceptance page. The acceptance page directly follows the title page. The acceptance page signifies to University that the committee chair (or co-chairs) has reviewed and approved the final version of the dissertation. The date on the acceptance page ranges from one to several days after the defense date.

The deadline for submission is posted in the [Graduate Studies Calendar](#). Once the student completes the upload process, the KUMC Office of Graduate Studies reviews the dissertation for formatting only, as the School of Health professions is responsible for final approval of submission on behalf of the University. The student is notified via email whether the submission is approved as submitted or if formatting revisions are required. Approval by a representative from the Office of Graduate Studies is required before the student can submit the dissertation to UMI.

### Electronic Submission

After the student's committee chair (or co-chairs) has signed the acceptance page and the Office of Graduate Studies has approved the formatting of the dissertation, the student may proceed with electronic submission of the dissertation to UMI. Detailed [directions for submission](#) are posted on the website. Dissertations submitted electronically must be converted to Adobe PDF before submission. A fee for UMI submission/archiving is required.

When the student submits their dissertation electronically to UMI, s/he is given the option to pay UMI for bound copies of thesis or dissertation. The student has other binding service options. KUMC Dykes Library [recommends two binding providers](#) who both follow the ANSI/NISO library binding standard for dissertations.

For additional information, students can contact the Director of Graduate Studies, Marcia Jones, at 913-588-4876, or the [KUMC Office of Graduate Studies](#).

### **Copyright**

The University maintains a website with information about [copyright and fair use of copyrighted materials](#). For questions about copyright, contact the Research and Learning Department of A.R. Dykes Library at (913) 945-5990 or by e-mail at [dykesresearch@kumc.edu](mailto:dykesresearch@kumc.edu). Copyright issues should be addressed prior to electronic submission of your document.

### **Embargo Policy for Dissertations**

For students making a decision about dissertation embargo, the University maintains a website with the [Embargo Policy for Theses and Dissertations](#).

### **Degree Requirements/Documents to be Submitted to the University of Kansas**

The Office of Graduate Studies maintains a [graduation website page](#) dedicated to "all things graduation" including a graduation checklist for your final semester. The checklist includes a listing of the 4 documents that must be submitted to the KUMC Office of Graduate Studies.

All PhD candidates must complete the [Doctoral Completion Survey \(DCS\)](#) the semester they graduate and submit the verification page to the KUMC Office of Graduate Studies. The DCS includes questions from the Survey of Earned Doctorates and from the American Association of Universities Data Exchange.

### **Transcript and Diploma**

The Registrar's Office posts the degree to your transcript and prepares your diploma following the close of the semester. The transcript ordering and diploma pick-up information is posted on the Registrar's Office website.

[Transcript requests](#)

[Diploma pick-up information](#)

Approximate timeline for final transcript and diploma:

- **Fall** graduation date December 31
  - transcript and diploma available mid-February
- **Spring** graduation date (varies according to actual Commencement date each May)
  - transcript and diploma available mid-June
- **Summer** graduation date August 1
  - transcript and diploma available mid-September

If the graduate requires a letter verifying completion of degree requirements prior to the availability of the final transcript and diploma, s/he may contact Marcia Jones at the Office of Graduate Studies and a verification letter will be prepared.

## **PROGRAM POLICIES AND SERVICES**

### **Graduate Catalog and Handbooks for Graduate Students**

Doctoral students have access to a *University of Kansas Catalog* effective for the year in which study begins. Beginning in 2011, the [University Catalog](#) is online only. The year will change with each new academic year; prior years will be archived and appear on the same webpage address under the link “Other Years’ Catalogs.”

All requirements of Graduate Studies for the PhD degree are included in the *Graduate Catalog* and [KU Graduate Studies Website](#). These documents/sites contain valuable information governing all aspects of the graduate programs at the University of Kansas. The Therapeutic Science policies regarding graduate study may be found in the [Student Handbook](#), which is located on KUMC Academics Page and School of Health Professions student handbook page. .

[The Office of Graduate Studies](#) at KUMC has information specific for KUMC graduate programs and serves as a guide regarding graduate programs, policies, and services of the University of Kansas Medical Center.

### **Enrollment Planning**

The schedule of courses for each semester can be found on the [Office of the University Registrar’s Schedule of Classes website](#). Graduate Course Projections can be found in this same location.

Students can enroll in courses, manage accounts, check holds, view grades, etc., through the [KUMC student portal](#).

### **Academic Warning and Probation**

Students are expected to maintain a minimum 3.0 GPA. Any student receiving a “C” or lower in any coursework will automatically be placed on academic probation, even if cumulative GPA is higher than 3.0. Students on Academic Probation must create an improvement plan with his/her academic advisor. The plan must be reviewed and approved by the PhD program director. Any student on Academic Probation more than one semester will be dismissed from the program. Students should consult the School of Health Professions and Graduate Studies handbooks for additional academic warning and probation requirements.

### **Financial Assistance**

There are several kinds of financial assistance available to doctoral students. Specific details about financial aid are located in the Therapeutic Science Student Handbook, which is located on the [Therapeutic Science Page](#).

### **Professional Behavior**

The nature of the advanced level of activities in this curriculum must be based upon mutual trust and respect. It is the expectation of each instructor that each student will engage in the learning process respectfully and with highest ethical standards for self and others. Each student and

faculty member commit to “uphold professional standards through ethical academic participation” by agreeing to follow the HONOR PLEDGE:

“As a member of the academic community, I pledge that I will not tolerate or engage in academic or non-academic misconduct and will uphold the academic integrity and professional standards of this program and my profession.”

### **Use of Degree Credentials**

There is no degree credential for doctoral candidacy. Although sometimes used, the PhD(c) designation is **not** an accepted convention to indicate doctoral candidacy. A doctoral candidate should continue to use the degree initials that have been earned. It is appropriate to state that one is a doctoral candidate in text form (i.e., in the biographical information that accompanies a published article). It is acceptable to use the PhD only after one has successfully defended the doctoral dissertation.

### **PHD STUDENT ACTIONS & INSTRUCTIONS FOR PROGRESS TO DEGREE**

All forms necessary for completing “progress to degree” are available from the student’s mentor. The forms include:

- Comprehensive Synthesis Paper (TS 980)
  - Dissertation Committee Approval for PhD
  - Schedule PhD Comprehensive Oral Exam (Dissertation Proposal Defense) \*
  - Schedule PhD FINAL Oral Exam (Dissertation Defense) \*
- \* Must be submitted at least 4 WEEKS prior to exam date.*

#### Submit Synthesis Paper (TS 980)

- This form is used to submit the final version of the Synthesis paper (TS 980) for formal approval by the student’s research mentor and two reviewers.

#### Schedule PhD Comprehensive Oral Exam (Dissertation Proposal Defense)

- This form is used to verify dissertation committee members and to schedule the Comprehensive Oral Exam/Dissertation Proposal Defense.

#### Schedule PhD FINAL Oral Exam (Dissertation Defense)

- This form is used to verify dissertation committee members and to schedule the Final Comprehensive Oral Exam/Dissertation Defense.
- This form also is used if a student has a change in dissertation committee member(s) prior to either the comprehensive or final oral exam.