

# School of Nursing

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## PhD in Nursing Student Handbook

Dear Student:

Welcome to the University of North Carolina-Greensboro School of Nursing's PhD Program! We are glad you have chosen to further your education here. UNCG School of Nursing has a long tradition of excellence and we look forward to engaging with you in your journey to become a nurse scholar. This handbook is meant to be a resource for all nursing PhD students related to School of Nursing and doctoral policies and procedures. I also encourage you to become familiar with The Graduate School's website at <http://grs.uncg.edu/> and with the Graduate Bulletin linked from this page <http://grs.uncg.edu/bulletin/>. Each of these contain a wealth of useful information that can guide you through the program and answer many of your questions. If you can't find the answer you seek, feel free to contact the PhD office, your advisor, or The Graduate School for help.

Regards,

W. Richard Cowling, III  
Interim Director of PhD Program  
UNCG School of Nursing

## Introduction

### Relationship of the UNCG Catalog to Program Handbooks

The Academic Catalog is the publication that documents all academic policies, regulations, and program requirements for a given academic year for all Graduate students and programs. The student's Catalog Year determines their curriculum requirements. Generally, students are subject to the University policies in effect when they first matriculate into your graduate program. Minor changes in policy that will not impact progress toward degree completion may be implemented immediately when it is determined to be in the best interest of students and/or the University, or if the changes are required by a legislative or regulatory body.

### Official Program Communication

Email is the official method of university communications. *Students must use their assigned UNCG email address at the uncg.edu domain or they will miss important program communications.* Please include your nine-digit UNCG ID# in all emailed communications with the Graduate School.

## Roles and Responsibilities

### The Student

PhD study is designed to allow students to pursue research interests that culminate in a dissertation. The faculty will view the student as a mature adult who has already been successful in completing undergraduate and postgraduate studies. Faculty will expect students to mostly be self-starters showing initiative and perseverance in the pursuit of their educational goals. Students will be expected to be continually engaging in the teaching-learning process in important ways:

- Coming to classes prepared and ready to have meaningful dialogue with student colleagues and faculty
- Continually evaluating their own learning and using the evaluation and critique offered by faculty to help them grow as a scholar
- Seeking help when needed from advisors and faculty
- Identifying and clarifying research interests as early as possible and taking advantage of the guidance offered by advisors and dissertation committee members

PhD study is really meant to be a liberating educational experience. For many, it will be the culminating degree of a career. And for others, it may be a launching pad for post-doctoral education. Regardless, PhD students are expected to leverage the freedom they have to collaborate with peers and faculty to pursue their fondest desires for a successful career as a burgeoning scholar.

### The Initial Advisor

An academic advisor will be assigned to doctoral students upon admission to the PhD program. In most cases, the advisor is a graduate faculty member who has a research focus that will support the doctoral student's research interest. The advisor will provide academic guidance for the student until the student selects a dissertation chair and committee (before 18 credits are completed).

### The Dissertation Chair and Dissertation Committee

The advisory/dissertation committee, consisting of at least four members of the graduate faculty, will assist the student with the preparation of the plan of study and will guide and evaluate the doctoral dissertation. This committee will be appointed by the Dean of The Graduate School upon the recommendation of the Director of the PhD Program and must be mutually acceptable to the student and committee members. The process to create the committee is described in a later section.

It is recommended that students meet with their committee chair and members, as a group (if possible), as early as possible, to discuss the student's plan of study, timeline, and dissertation topic. Involving all committee members in planning for cognates, electives, timelines and the dissertation promotes collaboration, clarity of roles in supporting the student, and avoidance of misunderstandings.

**The Graduate Program Director**

The Graduate Program Director for the PhD Program is the Director. The role of the director is to oversee the delivery of the PhD Program in Nursing that includes assuring the delivery of a high quality and meaningful educational experience for students; the alignment of the policies and processes of the School and University to promote best practices in graduate education; and the provision of day-to-day support for students and faculty to accommodate student success. The PhD Program Director is available to students and faculty to interpret policies and procedures and coordinate the PhD educational process from admissions to the culmination of a dissertation and graduation. The PhD Program director also represents the School in collaborations and consultations with the UNCG Graduate School that impact student life.

**Program Goals/ Learning Outcomes**Goals

- Practice as nurse scientists to advance the discipline and nursing profession through scholarly inquiry
- Assume leadership roles in promoting optimal health for ethnic minorities, women, children, and older adults
- Meet the academic and healthcare industry needs for nursing scholars in North Carolina and the nation

Outcomes

- Evaluate knowledge of ethnic minorities, women, children, and older adults (person)
- Evaluate the impact of health systems and the environment on specific populations (environment)
- Generate nursing knowledge related to health promotion and elimination of health disparities in ethnic minorities, women, children and older adults (nursing)
- Promote health and eliminate health disparities in specific populations through research (health)
- Advance nursing knowledge through the inquiry process (inquiry).
- Demonstrate the art of caring in the nurse scientist's role in academia and industry (caring)
- Practice as a nurse scientist in promoting health and eliminating health disparities in health systems and specific populations (practice)

**Curriculum**Program Requirements

- Minimum of 57 credits for PhD program in Nursing.
- A minor is optional.
- Grades in all courses must be a B (3.0) or better to be applied to program.
- Residence requirement of two consecutive semesters of at least six credits per semester.
- Oral and written preliminary examinations are required after the completion of a minimum of three-fourths of course work.
- Documentation of North Carolina RN license, CPR certification, current liability insurance coverage as specified by the School of Nursing, and a criminal background check prior to enrollment in practicum or research experiences in educational or healthcare agencies. CGFNS for international applicants.
- Seven-year time limit for completion of doctoral nursing program.

Applicants and incoming students should consult with the PhD Program Director to determine whether or not the inferential statistics course prerequisite for NUR 701 has been met. Information about courses that meet this requirement is located in the Graduate Section of the School of Nursing website.

### Full-time PhD Program Plan

**Student Name:** \_\_\_\_\_ **ID Number:** \_\_\_\_\_

**Advisor's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Course Number-Course Title	Credit Hours
<b>Semester I – Fall 1</b>	
NUR 701-Statistical Applications for Nursing Research I	3
NUR 710-Philosophy of Knowledge Development in Nursing	3
Elective	3
<b>Semester II – Spring 1</b>	
NUR 702-Statistical Applications for Nursing Research II	3
NUR 712-Theory Analysis in Nursing Science	3
Cognate	3
<b>Semester III – Summer 1</b>	
NUR 781-Health Promotion Models & Interventions	3
<b>Semester IV – Fall 2</b>	
NUR 704-Quantitative Research in Nursing	3
NUR 782-Health Disparities & Outcomes	3
Cognate	3
<b>Semester V – Spring 2</b>	
NUR 703-Qualitative Methods for Nursing	3
NUR 707-Measurement in Nursing and Health Care Research	3
NUR 790-Directed Research	3
<b>Semester VI – Summer 2</b>	
NUR 799-Dissertation*	3
<b>Semester VII – Fall 3</b>	
NUR 783-Advanced Health Policy & Ethics	3
NUR 799-Dissertation*	6
<b>Semester VIII-Spring 3</b>	
NUR 741-Nurse Scientists in Academia & Industry I	3
NUR 799-Dissertation*	3
<b>TOTAL CREDITS</b>	<b>57</b>

*\*dissertation hours are variable (minimum of 12 up to 18 credit hours)*

### Half-time PhD Program Plan

**Student Name:** \_\_\_\_\_ **ID Number:** \_\_\_\_\_

**Advisor's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Course Number-Course Title	Credit Hours
Semester I – Fall 1	
NUR 701-Statistical Applications for Nursing Research I	3
NUR 710-Philosophy of Knowledge Development in Nursing	3
Semester II – Spring 1	
NUR 702-Statistical Applications for Nursing Research II	3
NUR 712-Theory Analysis in Nursing Science	3
Semester III – Summer 1	
NUR 781-Health Promotion Models & Interventions	3
Semester IV – Fall 2	
NUR 704-Quantitative Research in Nursing	3
NUR 782-Health Disparities & Outcomes	3
Semester V – Spring 2	
NUR 703-Qualitative Methods in Nursing	3
NUR 707-Measurement in Nursing and Health Care Research	3
Semester VI – Summer 2	
NUR 790-Directed Research	3
Semester VII – Fall 3	
NUR 783-Advanced Health Policy & Ethics	3
Cognate	3
Semester VIII-Spring 3	
NUR 741-Nurse Scientists in Academia & Industry I	3
Elective	3
Semester IX-Summer 3	
NUR 799-Dissertation*	4
Semester X-Fall 4	
Cognate	3
NUR 799-Dissertation*	4
Semester XI-Spring 4	
NUR 799-Dissertation*	4
TOTAL CREDITS	57

*\*dissertation hours are variable (minimum of 12 up to 18 credit hours)*

#### PhD seminars

Seminars are held on some Fridays during the academic year, between the morning and the afternoon classes. The seminar schedule is available at the beginning of each semester. Attendance at seminars is expected.

### Engaging in Dissertation Research

Before launching dissertation research, it is important that students follow the University policies, procedures, practices and protocol administered by the Office of Institutional Research. Students will learn more about this process and will work with their advisor and dissertation committee. The following information is provided as an overview of what students will need to know before pursuing any form of research.

### **Research Involving Human Participants**

#### GUIDELINES FOR RESEARCH AND SCHOLARSHIP ACTIVITIES

All research activities conducted by faculty, staff or students in the School of Nursing must comply with University policies on research. The Office of Research Integrity (ORI) coordinates compliance measures on campus and acts as a resource for the university community's concerns regarding compliance requirements. Links and details about the University's required policies can be found at <https://policy.uncg.edu/research.html> . It is incumbent upon each Principal Investigator and research team member to comply with the most up-to-date protocols, guidelines and processes. These policies include:

- Ethics in Research
- Protection of Human Subjects
- Protection of Animal Subjects
- Access to and Retention of Research Data
- Responsible Conduct of Research Training Options

Several additional policies are important for scholarly activities and are included in the UNCG University Policy Manual online: <http://policy.uncg.edu/university-policies/> or other divisions.

- Copyright Ownership and Use
- Minors in Research Laboratories
- Patents and Inventions
- HIPAA Compliance
- Conflict of Interest and Commitment
- Digital Millennium Copyright Act, <http://its.uncg.edu/DMCA/>
- Information Security
- Records Retention and Management

Forms, procedures, guidelines and assistance may be obtained from websites, the Office of Research Integrity or the SON Research Office. A list of research and scholarship resources is included in this handbook or online. Policies are provided to assist faculty, staff and students in the timely, appropriate and successful conduct of research.

### Grant Proposals review and submission

All proposals for research funding initiated, written and to be implemented by School of Nursing faculty members, staff and students must be reviewed, discussed and approved by the School of Nursing Senior Associate Dean for Research and Innovation (ADR) before submission to potential funding agencies. Students should discuss with their faculty advisor, faculty should discuss with their department chair/supervisor and staff should consult with their supervisor. If students are pursuing outside funding that is not associated with UNCG, consultation will be provided on a limited basis. In the planning process, the department chair and associate dean should be consulted regarding workload effort on the grant. The research associate dean and staff will assist in pre-proposal development for the research plan, submission sections, budget, obtaining approvals and submission mechanisms. Graduate students may be asked to assist with grant writing, developing reports, or compiling information pre award and post award. The Associate Dean and administrative assistant will assist the Principal Investigator (PI) or Co-Investigator in coordinating processing and approval of the proposal through the Offices of Sponsored Programs, using the online campus RAMSeS system for UNCG and funding agency submission processes. Resources for proposal development are provided on the Sponsored Programs website(<https://sponsoredprograms.uncg.edu/>)

### Internal Review of research conducted by students, staff and faculty

The SON Research Office and the Research, Scholarship and Innovation Committee provide the initial review of IRB applications for human subject protection. First students develop their research proposal, DNP project or honors

project plan with the appropriate faculty members. After proposal development is completed per program and faculty requirements, then the online IRBIS application is completed for each project. **Faculty members will notify the committee/research office when applications are ready for internal review.** DO NOT SUBMIT to UNCG IRB, until your faculty member receives a message that the internal SON review is complete. RAs and GAs may be asked to assist with IRB applications, modification or renewals for faculty investigators. You should be familiar with the online IRBIS application required content.

#### Research using School of Nursing Faculty, Staff, or Students as Subjects

Proposed research involving use of School of Nursing students, staff, or faculty as subjects, whether initiated within the School or external to the School, is reviewed by the School of Nursing Research, Scholarship and Innovation Committee, in consultation with the Senior Associate Dean for Research and Innovation and the chairs of any courses involved, to determine whether the proposed activities are consistent with the goals and mission of the School, and whether they place inappropriate burdens on faculty, staff or students. Recommendations are forwarded to the Dean for final approval. All projects must conform to the UNCG policies regarding involvement of students, FERPA, IRB and data security and storage.

#### Research Involving Human Participants

The UNCG Institutional Review Board (IRB) must review and approve all plans for the use of human participants in research prior to the beginning of the research. The IRB must review and approve all revisions, modifications, or amendments to research protocols before any changes are implemented. The University uses an online system for application and tracking (IRBIS). Information, forms, and procedures are on the IRB website:

<http://integrity.uncg.edu/institutional-review-board/>

#### A. Procedures for obtaining IRB approval for *new* research are as follows:

The principal investigator should submit the application for approval through the UNCGIRBIS online system a minimum of 30 days prior to anticipated initiation of data collection. Students must include a faculty sponsor/advisor but only one faculty advisor on the IRBIS application. Classes and online tutorials are available for training for the IRBIS application process.

All persons (faculty, staff and students) should include the Senior Associate Dean for Research and Innovation (or designee) or the Research Office administrative assistant in the online IRBIS listing so that the internal review can be coordinated with the Research, Scholarship and Innovation Committee prior to IRB submission. The internal review is to provide assistance to investigators so that any omissions or gaps can be replaced prior to submission to the UNCGIRB.

1. Students must obtain review and approval from the faculty, then faculty advisors email appropriate persons that the online application is ready for internal review. Make sure to include Dr. Wallace (or designee) as another coinvestigator or study coordinator role with full editing privileges. Faculty members and staff should include Dr. Wallace (or designee) on the IRBIS application similarly.
2. Members of the Research, Scholarship and Innovation Committee will review and provide comments to the student/faculty member/advisor/staff member within 1-2 weeks. Those comments can be incorporated into the IRBIS application. The faculty advisor or faculty member should email Dr. Wallace or Ms. Kernahan (or designee) when the application is ready for a second review.
3. After the SON internal review (either initial or second review) is complete, the SON research office will notify the Principal Investigator (or faculty member if PI is a student) by email that the internal review is complete, to take off dcwallac, cpkernah (or designee) and then submit to UNCG IRB.
4. The UNCG campus IRB review usually takes 2-4 weeks if no major clinical site or PHI issues, or if no full board review is required. Full board review often takes 4-6 weeks. The UNCG review times do not include external organizations or clinical sites that may require their own review process.

Federal guidelines require some types of studies to be reviewed by the full IRB committee, but allow others to be reviewed by a subcommittee in an expedited process. If the application requires review by the full IRB committee, the PI will be invited to attend. It is **highly recommended** that the PI attend the review meeting, so s/he can

answer any questions the IRB has about the application. When applications by students are reviewed, faculty sponsors should attend. The decision about level of review is determined by the IRB, not investigators. PIs may submit an Exemption Review Request Application, but be aware that if not approved, the full IRB Application must be submitted. The online IRBIS system provides prompts to assist investigators in making these determinations and the information that is required for submission.

The UNCG IRB will ask for additional information or request stipulated conditions, approve or disapprove the study. **No data collection, recruitment of subjects, or other research activities can be conducted until formal approval of the IRB is obtained.** The IRB will notify faculty PI and team members included in the IRBIS application of the disposition of the application. Faculty and students should include their uncg.edu email address in the system to assure timely receipt of notification.

IRB approval is valid for no more than a 1-year time period, usually requiring submission of renewals at 10-11 months for review. The IRBIS system will send reminders for Renewal Applications before the expiration date. If the research is completed, the PI (or faculty sponsor, for student research) must indicate this on the renewal application.

#### B. Procedures for obtaining IRB approval for a *change* to an already approved study:

When a PI or student wishes to make a change to an already approved study, s/he completes the Modification portion of IRBIS for a specific protocol and study. See (<http://integrity.uncg.edu/institutional-review-board/> for more details on these procedures and forms). If the study is funded, consultation and a copy should be provided to the SON Senior Associate Dean for Research and Innovation and to the Office of Sponsored Programs. **No changes in personnel or procedure may be implemented without IRB approval whether funded or not funded.**

Modifications that do not change the scope of the project are not reviewed internally by the SON unless a funded grant (internal or external), or as requested, such as high-risk populations or proprietary concerns. The addition of RAs and recruitment sites, as well as minor sample size changes would be considered simple modifications. Students should consult faculty members prior to submitting modifications. The IRBIS Modification system should be used

#### C. Procedures for Conducting a Study

Confidentiality forms, research records and signed consent forms from human subjects must be retained in a secure location. Storage and security should be per approved IRB protocol. The records, data, and consent forms must be available for review by the IRB and any funding agency.

*\*\* The PI should notify the Office of Research Integrity and IRB chair immediately if any injury or harm to subjects occurs during a study, or if any unexpected circumstances arise. In the case of harm resulting from unanticipated risks, the PI must discontinue all data collection until the IRB has reviewed the incident. If GA, RA, or student PI research, please notify the PI or appropriate faculty member immediately, and they will collect information then contact the IRB. The associate dean is available for consultation regarding the process and content issues. The online form should be completed, and any Unexpected Event or Adverse Problem reported. If external funding supports the project, follow reporting guidelines for that source.*

#### D. Required Trainings

The UNCG Office of Research Integrity website contains the required trainings for human subjects and animal research. The CITI training is accepted by UNCG. If your study includes biomarkers, you may be required to complete the OSHA Training and may be required to submit a specific protocol for UNCG Biosafety Committee review. UNCG Conflict of Interest Training is required for grants and some IRB approved studies, in addition to the conflict of interest assurances. Those requirements will be sent by email to you by the IRB, the Office of Research Integrity or other UNCG offices. Confidentiality statements are available from the SON research office.

#### **Research Involving Animal Subjects**

The Institutional Animal Care and Use Committee (IACUC) must review all plans for the use of animals in research prior to the beginning of the research. The IACUC must review all revisions to research protocols before the



changes are implemented. Procedures for obtaining IACUC review for research are similar to those for human subjects. The PI completes the online Application for Research Animal Use found at: <http://integrity.uncg.edu/institutional-animal-care-and-use-committee/> and follows procedures similar to human subjects review.

### **Scientific Integrity**

Ensuring Scientific Integrity is expected by all students, staff and faculty members. This includes not only the appropriate conduct of studies, protection of human subjects, financial disclosure, conflict of interest, and storage and use of data, but authorship and ownership issues. Please review the UNCG guidelines for copyright, conflict of interest, access to and retention of data, HIPAA compliance, responsible conduct of research and research protections. Additional federal and UNCG policies may apply.

### **Data and Safety Monitoring**

The UNCG Office of Research Integrity and IRB are required by federal law to conduct data safety and compliance monitoring to ensure adherence to approved study procedures and consent procedures, security of data, protection of subject confidentiality, and provision of appropriate protections to subjects. The School of Nursing Research, Scholarship and Innovation Committee faculty may periodically assist with conduct safety and compliance monitoring.

### **Selecting your Dissertation Chair and Advisory/Dissertation Committee**

A minimum of four members are required on each dissertation committee. Of the four members, two, including the chair, must be members of the graduate faculty and no more than one may be an Adjunct graduate faculty member. The committee chair must be from the School of Nursing. It is advised that two members be from the UNCG School of Nursing and one from a discipline related to the student's research focus. If at any time the advisory/dissertation committee decreases in number to fewer than four members, additional members of the graduate faculty must be appointed to bring the number to at least four.

The student must request the appointment of this committee no later than completion of the first 18 semester hours of graduate courses. Any subsequent changes in the advisory/dissertation committee must be reported to the Director of the PhD Program and to The Graduate School for approval.

Students and faculty advisors may request that an individual outside the University be considered as a member of the Advisory/Dissertation Committee. However, this should be requested **ONLY** if the student and faculty advisor can make a case that there is no one at UNCG that has the expertise and/or qualifications necessary to assist the student in their dissertation endeavor. If this is the case, at the time the form for appointment of the committee is made or revised, the outside member's CV must be submitted to the Doctoral Program director for a formal request to be submitted to the Graduate School.

Please be aware that the outside person **MUST** attend the *proposal defense* and *dissertation defense*. It is acceptable to have the outside person attend by electronic communication or videoconference, if approved by the Chair.

To appoint the Advisory/Dissertation Committee, the student will be responsible to work with the PhD Program Assistant to complete the Recommendation for Doctoral Committee and Plan of Study form.

### **Changing Committee Members or Advisors.**

For any revisions to the Advisory/Dissertation Committee, the student should also work with the PhD Program Assistant to complete the Advisor/Dissertation Committee Revision form.

### **Recommending Dismissal**

Recommending dismissal of a student from a program represents the determination of the faculty that the student has not demonstrated an expected level of performance in academic work, including research tasks, or in other critical areas of professional conduct. At the point of recommended dismissal, the student will not be given

additional opportunities to remediate the deficiency. Depending on the circumstances, recommended dismissal might follow a period of academic probation. In other cases, it might not involve probation.

### Required Withdrawal

Withdrawal from the program will be recommended if the student:

- Fails to register for two consecutive semesters (Fall and Spring) in the nursing curriculum.
- Has earned a B- or below in more than 6 credits of course work.
- Has earned a B- or below in any nursing specialty course.
- Has earned a failing grade in any course.
- Has a GPA that indicates the inability to meet the 3.0 required for graduation.
- Does not complete requirements for the degree within the time limit (5 academic years).

### Appeals

#### UNC- Greensboro School of Nursing Student Appeal Process, 2020-21

1. The student who wishes to appeal a progression policy in the School of Nursing must complete a Student Appeal Request form. The form can be found below. This form is not used to appeal a grade. The procedure for appealing a grade is described in the UNCG Catalog. <https://catalog.uncg.edu/academic-regulations-policies/undergraduate-policies/grading/>
2. The student must attach a statement to the form describing their appeal. Submit the document(s) to Mr. Philip Simpson, Director of Student Affairs, who will deliver the documents to the Chair of the Student Appeals Committee or a designee. The appeal request and the supporting documents must be submitted no later than 5 pm three (3) business days before the appeal. Student appeals will be heard on the following dates for the 2020-21 academic year:
  - August 11, 2020
  - January 4, 2021
  - May 17, 2021
3. The student is encouraged to attend the hearing to provide verbal input. The committee will invite the student's instructor and/or the course coordinator to make a written or verbal presentation to the committee. Any written information submitted by faculty must also be received by Mr. Simpson on the schedule above. The student must let the committee know if they will or will not attend the meeting. All documents submitted by the student and the faculty will be shared with the Appeals Committee, the student, and the faculty prior to the appeal hearing.
4. If the student chooses not to attend the hearing, the student should understand that he/she waives the right to present additional information or hear the instructor/course chair's presentation.
5. The Chair of the Appeals Committee will notify the student of the time and location of the appeal hearing.
6. Student appeal hearings are closed meetings. Appearances are limited to the student and faculty representatives. The student is allowed to have one support person attend the meeting, who will not be permitted to speak. The hearing may not be recorded.
7. The Chair will present all documents, records, files, and any additional evidence to the Student Appeals Committee members prior to the hearing. No other documents will be reviewed after the deadline. All new information must be discussed orally at the meeting. After reviewing the materials, the student and the instructor will be invited into the meeting to offer further statements, answer questions, and clarify concerns from the committee. The student and instructor will then be dismissed, and the committee will deliberate and make a recommendation to the Dean.
8. The student will be notified of the decision within 10 calendar days of the appeal hearing.

**UNC- GREENSBORO SCHOOL OF NURSING STUDENT APPEAL REQUEST**

Name: \_\_\_\_\_ Student ID: \_\_\_\_\_ Address: \_\_\_\_\_

E-Mail address: \_\_\_\_\_

Telephone Numbers: (H) \_\_\_\_\_ (Cell) \_\_\_\_\_

(W) \_\_\_\_\_

Guidelines for Student Appeals Process

1. This form must be completed by the student who is appealing a progression policy in the School of Nursing. The form is not used to appeal a grade. The procedure for appealing a grade is described in the UNCG Catalog.

2. The Student Appeals Committee will hear appeals on the following dates during the 2020-21 academic year:

<b>Appeals Date</b>	<b>Materials due to Mr. Simpson by this date at 5:00 p.m.</b>
August 11, 2020	August 5, 2020
January 4, 2021	December 23, 2020
May 17, 2021	May 11, 2021

3. The student will submit an appeal in writing, and/or the student is encouraged to attend the meeting to present the appeal verbally. The committee may ask the student’s instructor and/or the course coordinator to make a written or verbal presentation to the committee. Faculty and student presentations will occur concurrently.

Please indicate if you will or will not attend the meeting:

\_\_\_\_\_ I plan to attend the meeting. \_\_\_\_\_ I do not plan to attend.

The Appeals Committee may find it helpful to review your academic transcript. Please initial one of the boxes below.

\_\_\_\_\_ I give permission to review my transcript.

\_\_\_\_\_ I do not give permission to review my transcript.

4. Please indicate name of faculty member(s) teaching course if applicable

5. Attach a statement or letter to this form which describes your appeal and the circumstances of your dismissal. Include extenuating circumstances that existed in your situation. Extenuating circumstances may include such things as medical/psychological circumstances, personal/family emergency, unexpected death of family member, domestic violence/sexual assault, serious car accident, changes in employment, unexpected financial difficulty, military service.

6. Once an appeal request is received, the committee chairperson will notify the student verbally and/or in writing of the time and location the appeal will be heard. Meetings of the committee are closed. Appearances are limited to the student and faculty representatives. One support person of the student's choice will be allowed to attend the meeting. However, the support person cannot be an attorney and will not be permitted to speak. The session may not be recorded. The student will be notified in writing of the committee's decision within 10 calendar days of the appeal hearing.

7. Student Appeal Requests are available at the School of Nursing website.

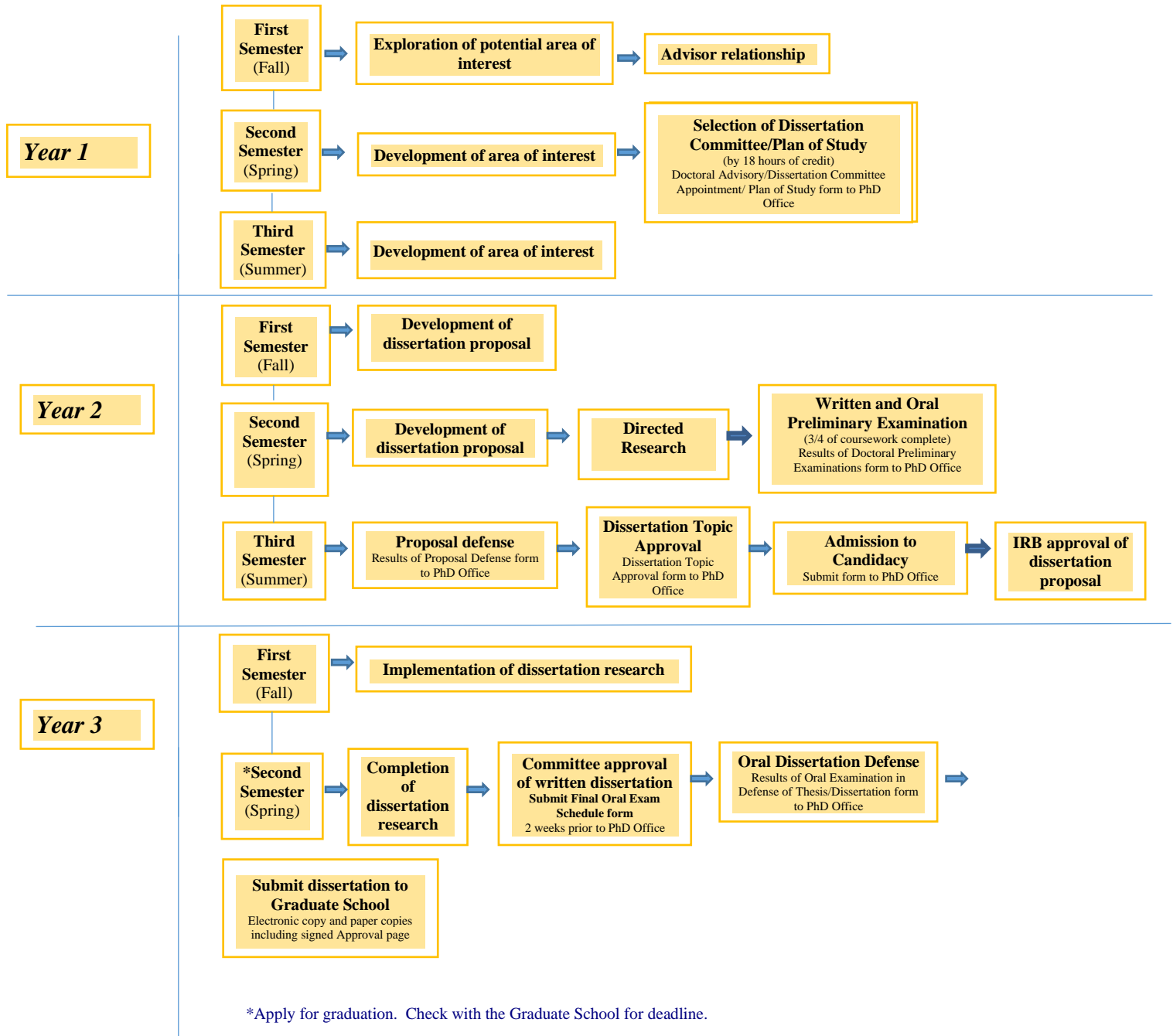
Student Appeal Requests should be delivered in person or via email to Mr. Philip Simpson, Director of Student Affairs (pasimpso@uncg.edu).

Student's signature: \_\_\_\_\_ Date: \_\_\_\_\_

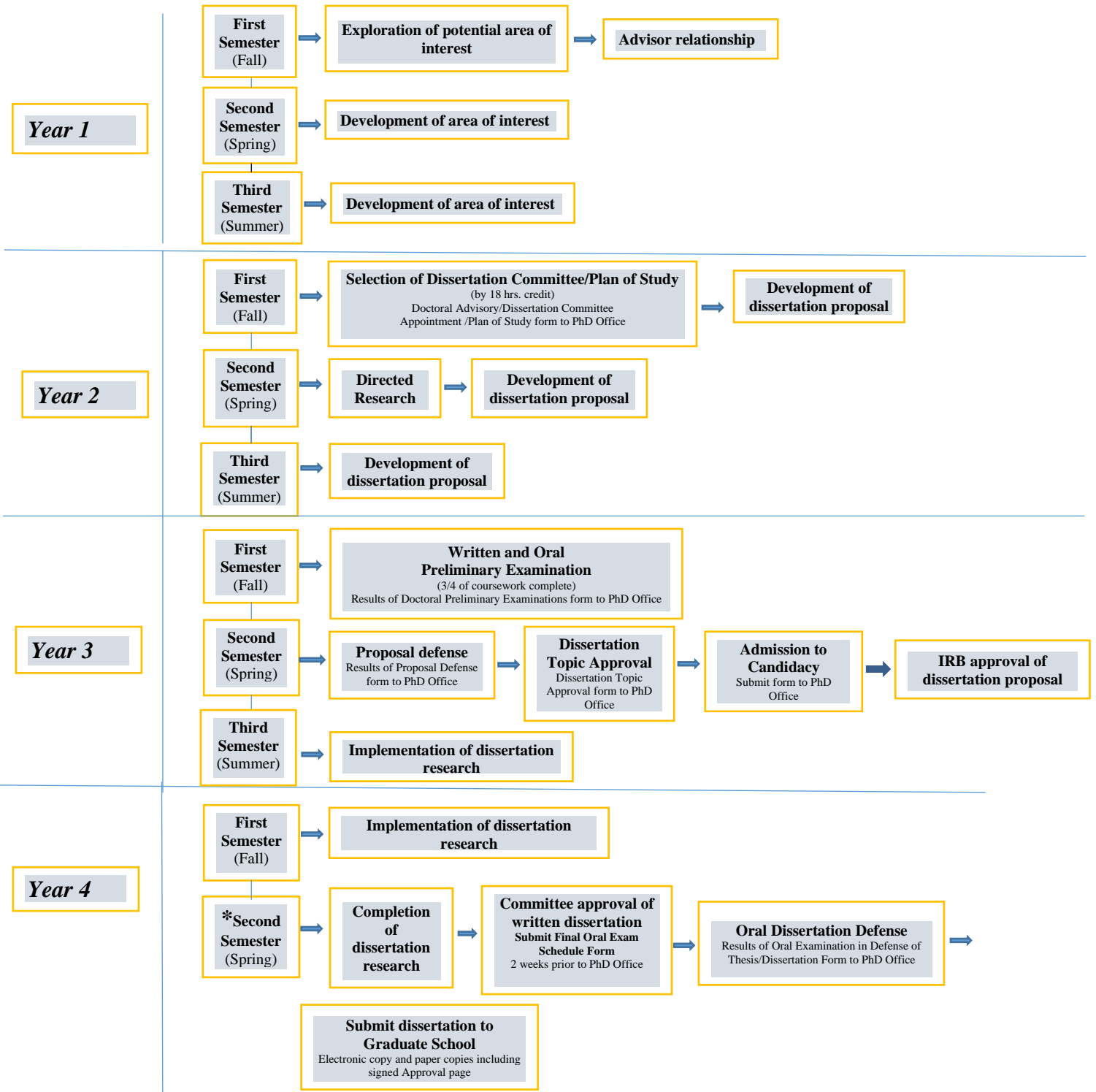
[Revised October 27, 2004, October 30, 2014, January 26, 2015, 1/11/17, December 19, 2017, June 2018, April 2019, March 2020]

Sequence & Timeline (program trajectory)

PhD in Nursing Program Trajectory  
Full-time Plan



### PhD in Nursing Program Trajectory Half-time Plan



\* Apply for graduation. Check with the Graduate School for deadline.

## Milestones

### Preliminary Exam/Qualifying Exam

Preliminary examinations are conducted in accordance with Graduate School policies as outlined in the most current Graduate School Bulletin.

#### Purpose

The preliminary examination is designed to provide a challenging learning experience for the PhD student to demonstrate synthesis and mastery of a broad range of nursing knowledge and its application to the student's general area of research. The preliminary examination should address the theoretical foundation, methodology, and state-of-science related to the student's chosen area of research. Content of any courses transferred from another university must be addressed.

#### Structure and Process

- The preliminary examination consists of written and oral components consistent with UNCG Graduate School policies. The written examination is scheduled and prepared by the dissertation advisor with assistance of the advisory/dissertation committee members.
- The length and exact format requirements of the written examination will be determined by the advisory/dissertation committee.
- The advisory/dissertation committee will determine the exact time frame for preparation of the written examination.
- All students must submit the written examination in order to take the oral examination. Completion of both the written and oral examinations is required for progression in the program.
- The oral examination must be held within one month following the written examination.
- The complete Advisory/Dissertation Committee of at least four persons must participate in the conduct of the preliminary oral examination.
- The oral examination consists of a series of questions by the advisory/dissertation committee. It **may** include a brief presentation by the student. The oral examination must be scheduled within one month following the written examination.
- Unanimous approval is required for passing the preliminary examination, including both written and oral components. If the student does not pass the preliminary examination at least one semester must elapse before re-examination is permitted. If the student fails to pass the examination on the second attempt, The Graduate School will send a letter of dismissal.
- Upon completion of the oral examination, the advisor will submit the Results of the Preliminary Examination form to the Director of the PhD Program.

#### Format of Examination

- The written component can be in the form of a paper or set of responses to questions that address the theoretical foundation, methodology, and state-of-science related to the student's chosen area of research. Any courses the student has transferred must also be addressed.
- The paper or set of questions can be administered as an onsite or offsite activity.
- The written examination should be completed within one month after the student receives instructions from the committee. References may be used by the student following the latest version of APA guidelines.
- The oral examination consists of a series of questions by the Advisory/Dissertation Committee. It may include a brief presentation by the student.

#### General Criteria

- synthesis and mastery of a broad range of nursing knowledge
- application of nursing knowledge to student's general area of research
- clarity, logic, and parsimony in communicating and defending ideas
- substantive knowledge of content related to theory, method, and current literature
- originality of thought and conceptual and theoretical sophistication

### Procedure

- Student must meet with faculty advisor/chair to ascertain readiness to take the preliminary examination with approval of committee.
- The Chair of the Advisory/Dissertation Committee must notify the Director of the PhD Program when the examination will be administered including a date for the oral component. The Chair may seek assistance from the PhD Program Assistant to secure space if needed.
- The Advisory/Dissertation Committee members prepare materials for the written examination in the format of a paper or set of questions. The materials should include instructions regarding onsite or offsite requirements.
- The written examination must be completed in a time frame designated by the committee.
- The oral examination must be scheduled within one month following receipt of the written examination by the committee members.
- The complete Advisory/Dissertation Committee of at least four members must participate in the oral examination. A minimum of three committee members must be physically present. It is permissible for one member to participate by electronic means.
- The entire examination, including the written and oral components, must be evaluated by all members of the Advisory/Dissertation Committee.
- Unanimous approval is required for passing the preliminary examination, including both written and oral components.
- The UNCG Results of the Doctoral Preliminary Examination Form can be obtained from the PhD Program Assistant and should be completed by the Committee Chair. This form must be submitted to the Office of the PhD Program and will be forwarded to the Graduate School by the Doctoral Program Director.
- In a case in which a student fails the preliminary examination on the first attempt, the student must petition their committee for the opportunity for a second examination as per the policies and procedures in the Graduate School Bulletin academic regulations. No more than one additional examination is allowed and the student is not permitted to take the second examination during the same semester in which the first examination was failed. The second examination must be comprised of both written and oral components and must be as comprehensive as the first examination, addressing all elements outlined in the purpose of the examination specified at the beginning of this document.
- The student must pass the preliminary examination before a dissertation proposal defense may occur.

### Dissertation Proposal Defense (Written & Oral)

- All PhD students must write and defend a proposal which states the goals and aims of the dissertation research, justifies the research, and provides a detailed plan to carry out the objectives of the research. The purpose of the proposal defense is to ensure that the PhD student has a clear and complete articulation of the research to be conducted for the dissertation. The student must prepare the first three chapters of the dissertation and have it reviewed for readiness by the dissertation chair and committee members in order to proceed to the proposal defense. The traditional components of a dissertation by chapter are noted below. The dissertation committee will assess the chapters and make recommendations for changes and revisions. The proposal defense meeting is an opportunity for committee members to assess the student's capability of conducting the research through questions related to the proposal. These oral questions posed by the committee members are designed to ensure that the student may move forward to submit an IRB proposal for review and approval through the University system.



- All students will write a traditional proposal for the proposal defense meeting. Chapter 1 = Introduction; Chapter 2 = Literature Review; Chapter 3 = Methods

#### Dissertation Proposal Approval

The committee approves the dissertation proposal only if there is full agreement that the student has a written proposal that is fully complete and clear consistent with standards of scholarship for the form of research being proposed and that the student completely demonstrates readiness to move forward to conduct the research under the guidance of the Chair.

#### Apply for Candidacy

When a student has completed all major and minor required courses, has passed the preliminary written and oral examinations, satisfied any language or skill requirements, successfully defended the dissertation proposal, that student may then make formal application to The Graduate School for admission to candidacy for the doctoral degree using the **Application for Admission to Candidacy** form. The PhD Program Assistant will help complete the form, secure the necessary signatures and forward the completed form to the Dean of The Graduate School.

#### Schedule Dissertation Defense

The doctoral candidate who has successfully completed all other requirements for the degree will be scheduled by the chair of the advisory/dissertation committee, in consultation with the other committee members, to take a final oral examination. The **Final Oral Examination Schedule** form must be completed by the chair of the Dissertation Committee and submitted to the PhD Program Assistant at least **two weeks prior to the final oral examination** (dissertation defense). The Graduate School will publish the dissertation title, date, time, and location of the oral examination at least two weeks prior to the examination.

#### Dissertation Defense

The dissertation is the product of a thorough investigation of a basic and significant problem or question within the major area of study. An appropriate plan of research must be developed and executed by the student under the general guidance of the chair and the advisory/dissertation committee. The dissertation requirement is designed to develop the capacities of originality and generalization in the candidate. It should foster and attest to the development in the candidate of ability in scientific inquiry, understanding, and mastery of the techniques of scholarship, and the art of exposition within the field of specialization. The advisory/dissertation committee, with such other professors as may be appointed by the Dean of The Graduate School, shall examine the dissertation; and no dissertation shall be accepted unless it secures unanimous approval of the advisory/dissertation committee.

Please note that the process for submitting the dissertation to The Graduate School has two components: submitting the signed approval copy and submitting the final copy. Be sure to note the specific instructions and deadline dates affiliated with each step. These dates are available in the Calendar of Events. Students file the dissertation electronically via the online submission system available on The Graduate School's website. In final form, the dissertation must comply with the rules prescribed by the Graduate Studies Committee in the *Guide for the Preparation of Theses and Dissertations*. The approved electronic submission must be uploaded by the deadline date as specified in the Calendar of Events. Publication of the dissertation by UMI Dissertation Publishing/ProQuest Information and Learning is required by The Graduate School. The candidate must pay the associated publishing fee.

Dissertation hours vary in the program but are never fewer than 12 semester hours, typically taken in units of three semester hours. Students must register for NUR 799 for dissertation hours listed in their plan of study with a minimum of 12 hours and a maximum of 18. For a complete explanation of requirements affecting dissertation registration, see the Policy on Continuous Enrollment in the Graduate School Bulletin.

Information and strategies that may be helpful to students during the dissertation phase of the PhD program.

- The first three chapters of the dissertation make up the proposal. It is important to meet with the committee chair and members before writing these chapters. Chairs can provide important guidance on chapter organization and timing of the proposal process.
- It may be helpful to students approaching the dissertation to review other dissertation products completed by former students at UNCG and other universities. Ideas about organization, content, style of writing and many other helpful ideas can be gleaned from these reviews.
- Coursework and textbooks from throughout the program can be useful in writing the chapters or papers comprising the dissertation. For example, as you determine the appropriate statistical analysis for your study, if using a quantitative design, textbooks from NUR 701 and 702 can be invaluable. However, proposal chapters typically go beyond textbooks and course papers to expand on the literature and to document the problem to be explored.
- Some students have suggested that one of the many books detailing strategies for completing the dissertation are useful. An example of one of these is: Roush, K. (2015). *A nurse's step by step guide to writing your dissertation or capstone*. Indianapolis, IN., Sigma Theta Tau International.
- The written dissertation proposal and oral dissertation proposal defense are opportunities for the student to document her/his readiness to conduct an appropriate dissertation study. The Graduate School and School of Nursing require committee members to evaluate the student's readiness. The oral proposal defense includes a discussion between the student and his/her committee. The proposal defense occurs in private with the committee. The committee chair can provide guidance on preparing for the oral proposal defense.
- The dissertation process involves periods of independent writing (varies depending on type of dissertation). During this experience, the student will benefit from maintaining contact with her/his committee chair and members, and support from peers.

Dissertation options

Students may choose to complete a traditional dissertation or may choose the manuscript option. The manuscript option alters the format, but not the content expected in the dissertation research.

- Traditional Option  
Students choosing this option typically include at least five chapters in their final dissertation. This includes the three chapters from the dissertation proposal, as well as a fourth results chapter, and a fifth chapter that includes an overall discussion of the dissertation, recommendations, limitations, and other elements as appropriate for the particular dissertation.
- Manuscript Option
  1. If the student wishes to pursue the dissertation manuscript option, s/he should discuss this with the dissertation chair and committee prior to the proposal defense date to obtain appropriate guidance. At the proposal defense meeting, the student should bring a description of plans for the individual manuscripts, a list of proposed journals, and a timeline for completion and submission of manuscripts. The committee will determine if this option is feasible and approve the dissertation manuscript plans at the proposal defense meeting.
  2. Review and approval of the student's authorship agreement on each of the manuscripts will be endorsed at the proposal defense meeting. See the UNCG School of Nursing PhD Student Handbook *Guidelines for Authorship and Ownership*, *The University Policy Manual*, *Policy on Data Classification and Access to and Retention of Research Data*, and the *Dissertation with Multiple Authors* form from The Graduate School.
  3. The manuscript dissertation should be comprised of Chapters 1, 2, and 3, a minimum of two manuscripts that would comprise Chapters 4 and 5, and Chapter 6. The manuscript dissertation should form a cohesive body of work that presents new/original knowledge of the main findings.

4. All manuscripts must represent the dissertation work carried out while a PhD student at UNCG and be approved by the committee at the time of the student's final dissertation defense.

5. Manuscripts should be suitable for publication defined as being written in the style, substance, and format of specific peer-reviewed professional journals relevant to the content of the manuscript. It is not required that the manuscript be submitted for publication or published. The dissertation chair makes the determination when a manuscript is considered suitable for publication; with input from the PhD committee members and other authors (if applicable).

6. At least one of the manuscripts should be based on data that is analyzed by the student for the dissertation.

#### Authorship and Publication

- The student must be first author on all manuscripts. As first author, the student is responsible for all aspects of the research development, design, implementation, and analysis, as well as writing major portions of the manuscript. If the student has faculty coauthors and the student does not submit the manuscripts within 18 months after degree completion, the faculty coauthors may submit the manuscripts with same author agreements.
- No other students can be co-authors on any of the manuscripts. Committee members who are co-authors must be identified at the student's dissertation proposal defense. The manuscripts and the roles of the co-authors must be approved by the committee, as well as any changes. For more information about principal authorship, refer to Section 8.12 of the [APA Code of Conduct \(2010\)](#) and the UNCG School of Nursing PhD Student Handbook *Guidelines for Authorship and Ownership* and [The University Policy Manual, Policy on Data Classification](#).
- All manuscripts should be ready for submission to a peer-reviewed journal at the time of dissertation defense. Journals to which manuscripts are submitted must be approved by the committee so that the journals offer a reasonable chance of publication success.
- Manuscripts may be published before the final defense if approved by committee chair, members and other authors; if so the student must obtain copyright permission from the publishing journal to include the article in her/his dissertation. The student should notify the journal that the dissertation will be available online.
- If a manuscript is rejected by a journal during the dissertation process, the student must submit to another journal approved by the committee. In the case of needed revisions, any changes to the manuscripts must be approved by the committee and other co-authors.

#### Dissertation Format for Manuscript Option

- Chapter 1. The introduction
- Chapter 2. The literature review or manuscript
- Chapter 3. Methods or manuscript
- Chapters 4 & 5. The manuscripts
- Chapter 6. The conclusion will briefly summarize the dissertation's major findings, limitations, discussion, and recommendations for practice and future research. The student should also discuss the linkages, similarities, and differences among the separate manuscripts that are included in the dissertation, with the goal of presenting the dissertation as a coherent body of work that is a contribution to the knowledge base regarding the research problem.
- Appendices. As appropriate

### Nontraditional Dissertations

The dissertation requirement is designed to develop the capacities of originality and generalization in the candidate. It should foster and attest to the development in the candidate of ability in scientific inquiry, understanding, and mastery of the techniques of scholarship, and the art of exposition within the field of specialization. It is therefore expected that the dissertation will serve to demonstrate the student's ability to independently engage in research and or scholarship.

More and more, universities are finding that Departments are turning to nontraditional forms of the dissertation. While we appreciate innovation that leads to a better learning experience, the Graduate School must be certain that the dissertation is a demonstration of the student's ability to identify a problem, develop a methodology, carry out the necessary steps to gather data, analyze the findings, and form a defensible conclusion. At times, the nontraditional dissertation may take the form of a group project or a series of journal articles with multiple authors. This approach is often the result of students working together on a similar problem either in the laboratory or as part of a faculty member's research. The resulting dissertation may include additional contributors beyond the dissertating student.

When chapters with multiple authors are submitted as part of the dissertation, it is expected that the student will have taken the major responsibility for the research and will be listed as the primary author in any of the publications that have been submitted externally and that are part of the dissertation. It is expected that within the dissertation appropriate attribution will be given to the other authors who have contributed to the chapters.

In situations where dissertations have chapters or sections with multiple authors, the role of the student is not always clear. Therefore, when sections of the dissertation have more than one author, it is necessary for the Chair of the Dissertation Committee to identify the specific role of the student in the research and writing and to identify the percentage of the product that has been developed by each of the contributors.

While there are various approaches to writing a dissertation based upon the discipline, the basic format includes the following chapters: introduction, literature review, methodology, results, and conclusion. The introduction to the dissertation must be solely authored by the dissertating student and must contain the theoretical framework that unifies the chapters that follow. Also, the dissertating student must be the sole author of the concluding chapter in which the significance of the various articles is explained.

The examination is open to all members of the University community who may wish to attend. The final oral examination is administered by the advisory/dissertation committee as per program guidelines. The examination is largely related to the dissertation field of study including courses taken here and elsewhere. Approval of the examination must be attested to by all members of the advisory/dissertation committee.

The results of the examination must be reported in writing to the Director of the PhD Program using the **Results of Oral Examination in Defense of Thesis/Dissertation** form. The PhD Program Office will forward the completed form to the Dean of The Graduate School.

### **Planning in advance for major milestones in the program**

- Please be advised that dissertation decorum requires allowing about two weeks for committee chair(s) and members to read and respond to submitted materials (excluding weekends and holidays).
- Most faculty members in the School are employed from August until May. Students preparing for their directed research, preliminary exam, proposal defense, or dissertation defense should plan accordingly.

- The PhD program is designed to be completed in 7 years, this includes the final milestone of defending the dissertation and the requirements associated with this step.

### **Department Funding Opportunities**

#### Research Assistantships

Research Assistantships (RA) are offered to students based on yearly availability of funds. The RA experience provides an opportunity for students to work closely with faculty members in their programs of research. Most RAs are responsible to complete a minimum of 100–150 RA hours per semester, or 300 RA hours per academic year. In return, RAs receive tuition and stipend support.

**For more information on RA opportunities, please contact:**

**Dr. Debra Wallace**

Senior Associate Dean for Research & Innovation

Phone: 336-256-0572

Email: [dcwallac@uncg.edu](mailto:dcwallac@uncg.edu)

#### Graduate Assistantships

The School of Nursing offers several graduate assistantships. Students assist faculty with teaching and research for ten to twenty hours per week. Stipends vary depending on the number of hours worked. Applications may be obtained from the Senior Associate Dean for Research & Innovation. The completed application should be received by **April 15** in order for students to be considered for assistantships for the following academic year.

**For more information on GA opportunities, please contact:**

**Dr. Debra Wallace**

Senior Associate Dean for Research & Innovation

Phone: 336-256-0572

Email: [dcwallac@uncg.edu](mailto:dcwallac@uncg.edu)

#### Student Travel

Some funds are available annually to assist students who are participating in nursing conferences or other programs off campus where the travel has been approved by the PhD office. Information will be disseminated to students from the PhD Program Director's office when opportunities arise.

#### Financial Aid and Scholarship Resources

More information on available opportunities for funding can be found at: <https://nursing.uncg.edu/admissions-finaid/financial-aid/>

### **Establishing In-State Residency for Tuition Purposes.**

As a state supported institution, the tuition rate for legal residents of North Carolina is less than the tuition rate for nonresidents. After 12 months of continuous residence in NC, out-of-state students are expected to apply for NC residency in order to qualify for in-state tuition and to be considered for continued support by the Department. All students wishing to claim North Carolina residency must file through the State's Residency Determination Service ([RDS](#)).

In order to qualify as a resident of North Carolina for tuition purposes you must have established legal residence ("domicile") in North Carolina and maintained that legal residence for at least twelve months before you apply for classification as a North Carolina resident. In addition to this twelve-month physical presence requirement, there are numerous other factors that must be considered in determining whether or not an individual is a resident for tuition purposes.

Domicile is a legal term defined as a place where a person intends to remain and live permanently, and the place a person intends to return to after any absence. Permanency is the key. Thus, a person who lives in a place for a temporary purpose, for a vacation or to attend college and who intends to live elsewhere when that purpose is accomplished, is not considered to be a legal resident for tuition purposes.

In order to obtain an in-state residency status for tuition purposes, State Administrators must be able to conclude from the information you provide them that your intent is to make North Carolina your permanent dwelling place. Rather than a single action, it is a cluster of events that must produce a preponderance of circumstantial evidence suggesting your intent to remain in North Carolina permanently. In other words, have you done the kinds of things that a permanent resident would do, or have you been acting like a temporary visitor? Each case has its own set of facts and there is no set checklist of items that will guarantee that you will be classified as a resident for tuition purposes.

However, some important information that you are likely to be asked to supply is the following:

- When did you sign your lease, or purchase a home?
- Have you lived there for 365 days? (or somewhere in NC for that length of time)
- When did you obtain North Carolina Driver's License?
- When did you register your vehicle in North Carolina?
- When did you register to vote in North Carolina?
- Where and when did you last vote?
- Where do you keep your personal property?
- Have you filed a North Carolina Income Tax return indicating that you were a resident during the last tax year?
- Which community or volunteer activities are you involved with off-campus?
- Where did you live before moving to North Carolina?
- How much do others provide for you financially and how much do you provide on your own, either through savings, loans, scholarships, tuition support, stipends, etc?
- Were you recruited to work as a graduate assistant through our highly-competitive process and are you currently working as a graduate assistant?

There will likely be other questions, but these should give you an indication of the types of questions that will be asked on your residency application.

### **Extension Status**

Permission to enroll in extension courses requires verification by the committee chair that the student is making satisfactory progress. Students in extension status are ineligible for state-funded support.

### **Policy on Length of Departmental Stipend and In-State/Out-Of-State Waiver Support**

Stipends can be provided for one semester or a full academic year, depending on available funding, school need and student academic and job performance. The same is true for Instate and out of state waiver support (full or partial) with the addition of graduate school approval. Students may receive stipend or waiver support for 1, 2 or 3 years, but rarely past the third year of study, at the discretion of the school. New students and students that meet SON skills and availability will be priority selection. Minerva scholars are the highest priority in selection. Requests from students are solicited annually in the spring for current students and upon admission for newly enrolled students. Any doctoral student may request stipend or waiver support. The later a request is dated decreases the chances for selection. A wait list is retained for request in the event that additional funds become available or students decline offers.

School of Nursing stipend and waiver support regularly require a work commitment by the student. Assignments are made based on school need, student skills and availability and priority school strategic goals and mission.

### **Policies/Rules for PhD Nursing Program**

- **INTELLECTUAL PROPERTY RIGHTS** [https://policy.uncg.edu/university-policies/research\\_data/](https://policy.uncg.edu/university-policies/research_data/)
- **GUIDELINES FOR AUTHORSHIP AND OWNERSHIP**
  1. These guidelines are to assist faculty, students, staff and other persons in the assurance that credit, and acknowledgement of effort and responsibility for research, scholarship and creative activity, especially for funding, publications, and patents are appropriately assigned.

2. Research, scholarship and creative activity is becoming an increasingly collaborative activity with both faculty, staff, students, consultants and agency personnel involved in the initiation, conduct and evaluation of projects. The dissemination and legal ownership should reflect such collaboration.
3. Several published guides provide insight into decisions of authorship and ownership. Sources particularly important are:
4. The Publication Manual of the American Psychological Association (most recent edition) Principles include: authors should only take credit for work performed or that has a real contribution; early decisions regarding authorship and a written agreement; and order of authorship should reflect the contributions to the work. Authorship is defined and steps to determine this are provided.
5. National Academies of Sciences, Engineering, and Medicine; Policy and Global Affairs; Committee on Science, Engineering, Medicine, and Public Policy; Committee on Responsible Science. (2017). *Fostering Integrity in Research*, Washington (DC): National Academies Press (US). (<https://www.nap.edu/catalog/21896/fostering-integrity-in-research>)
6. International Committee of Medical Journal Editors (2017) provides an excellent guide for determining authorship for publication. These guidelines are followed by many nursing, health care and medical journals and should assist in determining effort and attribution contribution.

*Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals*, <http://www.icmje.org/recommendations/>

7. Council on Graduate Education, Scholarly Integrity and Responsible Conduct of Research (RCR) policies and principles, including principles of student authorship. The guidelines require that faculty acknowledge student contributions to research presented at conferences, in professional publications, or in applications for copyright and patents. Likewise, students are expected to acknowledge the contributions of faculty advisors and other members of the research team to the student's work in all publications and conference presentations. Faculty, staff, students and collaborators are expected to maintain confidentiality and integrity of other's work. (available online at [cgsnet.org](http://cgsnet.org))
8. UNCG University Policy Manual: *Access to and Retention of Research Data* describes the responsibilities and privileges for using research data while at UNCG and if an investigator leaves UNCG. In addition, student involvement in data use is discussed. These guidelines are used to assure retention of data for audit, public use, protection of faculty, staff and student investigators, IRB and public scrutiny. [https://policy.uncg.edu/university-policies/research\\_data/](https://policy.uncg.edu/university-policies/research_data/)
9. UNCG University Policy Manual: *Copyright Ownership and Use Policy*. <https://policy.uncg.edu/university-policies/copyright/> and [https://policy.uncg.edu/university-policies/patents\\_inventions/](https://policy.uncg.edu/university-policies/patents_inventions/)
10. UNCG University Policy Manual: *Conflicts of Interest and Commitment Policy*, [https://policy.uncg.edu/university-policies/conflicts\\_of\\_interest/](https://policy.uncg.edu/university-policies/conflicts_of_interest/)

#### Decisions of Authorship and Ownership

The decisions of authorship should be made as early as possible in the research or creative activity process. **It is preferable that the decisions of authorship and ownership and decisions regarding dissemination are in written form and signed by all persons involved at the initiation of any project or program.** Collaborators should determine each members' contribution (noted above), what level (first, second, etc.) and the type (presentation, publication, copyright, patent, etc.) of authorship to be assigned. For example, often students participate in data collection or gathering materials to be used in a grant or manuscript. Though this may not constitute authorship on a publication, authorship on presentations at times may be granted by faculty members. Likewise, assisting to develop a tool, method, computer program or such product that is used and which may tangentially result in a copyright or patent may not constitute authorship but may warrant ownership. No authorship rights are guaranteed for RAs, GAs, or TAs regarding SON reports/initiatives or faculty projects. Student research for an honors project, a master's thesis/project, dissertation, or directed research in which faculty are involved as a committee member or chair does not automatically award authorship to faculty members. Specific details are provided by the graduate school and PhD program if the manuscript dissertation option is used. Similarly,

other students should use the author/ownership agreement form in this handbook to establish agreements. If a student is using faculty data or data collected as part of a faculty member's study/grant, this agreement should be determined at the initiation of the activity, in writing.

A second consideration is ownership. One issue is data collected either prior to or after the conduct of a specific project. For example, if a faculty member has collected, or obtained, or has access to data that is used for a secondary analysis, authorship should include the faculty member but this may or not constitute first authorship by the faculty member depending on the written agreement. If students collect or obtain data that is later used for secondary analysis by other students, agency personnel, or faculty, the student should be included as an author. Another issue is if the data, method, or tool is deemed to be necessary for patent or copyright. Also, ownership should reflect the contribution and effort of those involved. Legal statutes, university policies on copyright and ownership, state and federal work for hire/work product, copyright and patent laws as well as ethical principles, may assist in those decisions. It is incumbent upon all involved to assess this possibility at the initiation of a project and consult the appropriate faculty member, associate dean/dean, technology transfer offices, legal counsel, and university/agency Institutional Review Board, and UNCG policies.

A third consideration is when the principal author does not follow through on dissemination or ownership efforts. In the event of the sudden incapacity or death, the principal author or investigator often remains first author. If not first author, the contributor should be an author in the order determined by the team with serious consideration of contribution. Similar consideration should be made for ownership decisions. In the event that a student or faculty member does not publish work that is co-authored by a faculty member, community or agency personnel, or another student, discussion should occur that allows the other authors to pursue dissemination that acknowledges the student contribution but allows credit for additional efforts to complete the dissemination effort. It is preferable that these discussions take place at the initiation of the study and that the contingencies be agreed to in writing. This is the most consistent and clear communication strategy.

The fourth issue is that all authors and owners assume accountability and responsibility for the integrity of the study, including but not limited to ethical treatment of human subjects or animals and accurate sampling, analyses, and reporting of results. The appropriate interpretation of the data is expected. Thus, authors should have access to and review documents prior to submission for presentation or publication. Many journals require signatures stating that each author is accountable and responsible for all conduct and content of publications. It is especially incumbent upon first authors and faculty members to protect students and other authors from fraud and scientific integrity concerns. If any issues arise, it is the responsibility of the first author to notify all other authors.

\*\*\*Reassessing authorship and ownership may occur during the research process, if additional applications for funding are submitted, if persons' efforts are not those expected and agreed upon (preferably in writing), if required by funding application/guidelines, or if there are unexpected findings or usage for data. Any alterations may be included in the original agreement or additional written agreements may be added as amendments. The Authorship/Ownership Agreement Form is available from the SON Research Office and is recommended as a sample for use. Also, you may also wish to use the UNCG Data Use Agreement and Data Retention and Data Disposition policies and forms, the graduate school and SON dissertation manuscript option policies, and other guidelines and resources.

\*\*\*The Senior Associate Dean for Research and Innovation, the IRB representative and alternate, and the Research, Scholarship and Innovation Committee chair and members, and the program directors are available for consultation. Additional information is available from the UNCG legal counsel and the technology transfer officer, as well as university, state and federal guidelines and statutes. The Office of Research Integrity and the Vice Chancellor for Research and Engagement can assist persons. *Last revised 8/2019*



