

# DOCTORAL PROGRAM IN CLINICAL AND TRANSLATIONAL SCIENCE GRADUATE STUDENT HANDBOOK 2020 - 2021

## Department of Behavioral Science College of Medicine University of Kentucky

This Handbook provides useful information, guidelines, and policies for current and prospective students as well as faculty and staff who are actively involved in the MSMS program. This Handbook serves as a general guide and all program participants should consult the regulations and policies found in the University of Kentucky Graduate School Bulletin (see link below), which supersedes any information found in the PhD Program Handbook.

### **Important Links:**

Academic Calendar:

<http://www.uky.edu/registrar/registrar-academic-calendar>

University of Kentucky Graduate School Bulletin:

<http://gradschool.uky.edu/graduate-school-bulletin>

Additional resources can be found at:

<http://gradschool.uky.edu/student-resources-0>

Registrar:

<http://www.uky.edu/registrar/>

### **Director of Graduate Studies (DGS):**

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## Introduction

Welcome to the Department of Behavioral Science at the University of Kentucky and its doctoral program in Clinical and Translational Science (CTS). You are now part of our academic community and our future. We are a diverse faculty who come from a wide variety of disciplines including Anthropology, Communications, Epidemiology and Statistics, Psychology, Sociology, and Social Work. Our educational programs bring us together for a common purpose, namely to train the next generation of CTS researchers. It is our responsibility to guide and evaluate your academic journey towards an advanced degree. It is your responsibility to rigorously apply yourself to the required tasks and to take the initiative in mapping your program.

The Department and program strive to provide a diverse, equitable and inclusive environment.

Diversity as a core value embodies inclusiveness, mutual respect, and multiple perspectives and serves as a catalyst for change. In this context, the department and program are mindful of all aspects of human differences such as socioeconomic status, race, ethnicity, language, nationality, sex, gender identity, sexual orientation, religion, geography, disability, and age.

Inclusion is a core element for successfully achieving diversity. Inclusion is achieved by nurturing the climate and culture of the institution through professional development, education, policy, and practice. The objective is creating a climate that fosters belonging, respect, and value for all and encourages engagement and connection throughout the department.

Equity is a condition achieved when everyone has the opportunity to attain their full potential and no one is disadvantaged from achieving this potential because of their social position or other socially-determined circumstance.

This manual has been prepared to assist scholars in their orientation to the Department of Behavioral Science, its faculty, and its operational procedures for the PhD in Clinical and Translational Science program. This document is not intended to be the sole source of information. Rather, it should be viewed as complementary to the University of Kentucky Bulletin: The Graduate School (<http://gradschool.uky.edu/graduate-school-bulletin>). This Graduate Student Handbook serves as a general guide. All doctoral program participants should consult the regulations and policies found in the Graduate School Bulletin, which supersedes any information found in this Handbook. Students are encouraged to save this Handbook because it contains a number of internet links that will help students to navigate the processes and procedures of the Graduate School and the Department of Behavioral Science.

The goal of the PhD in Clinical and Translational Science (CTS) program is to improve the health of the citizens of the Commonwealth of Kentucky and the nation by training professionals to conduct clinical and translational science research. CTS is an academic discipline that focuses on accelerating the translation of basic science advances to tangible improvements in public health. The primary target audience for the PhD in CTS program is exceptional health professionals (e.g., physicians, nurses, dentists, pharmacists, and public health professionals) committed to furthering their academic research careers in CTS. The program includes a curriculum providing education in the core competencies of CTS; advanced

interdisciplinary education; research training tailored to the interests and career objectives of the scholar; and mentored research training. The primary emphasis of mentored research training is to permit PhD candidates to create well-reasoned original research contributions to the discovery of clinical health knowledge and its application. The PhD in CTS supports the development of the next generation of innovative, productive, and transformative researchers and leaders in CTS who will support the translation of discovery into improved patient care and delivery of evidence-based health care to the Commonwealth of Kentucky and to the nation. The faculty involved in the PhD in CTS program are committed to helping students develop the skills necessary to become independent scientific investigators who can secure extramural funding to support their research.

An advanced degree in CTS certifies that the person possessing the degree can carry out the analytical, conceptual, and methodological operations expected of a professional. An advanced degree is not merely a stamp of professional competence, but also testifies to the expectations on the part of the faculty that the person receiving the degree will continue to grow and be productive in the field. Faculty members make every effort to insure that those who receive an advanced degree in CTS are fully capable of meeting the standards of professional scholarship. **The graduate scholar must assume responsibility for planning his/her program and must take the initiative in securing advice from the faculty.** However, to help you with this process, this Handbook includes important information about the structure of the CTS doctoral program. You are strongly encouraged to become familiar with this Handbook, including the **Student Checklist** that is presented at the end of this document. This checklist may be a useful tool to ensure that you are on-track when it comes to the requirements of the CTS doctoral program. Because this Handbook contains a number of active links to websites, you should save an electronic copy of this Handbook. Every effort has made to ensure that the links are correct, but webpages do move from time to time. If you have a problem accessing any of the webpages described in the Handbook, please email the DGS, Dr. Claire Clark ([claire.clark@uky.edu](mailto:claire.clark@uky.edu)).

## General Requirements of the Graduate School

A primary responsibility of a doctoral scholar at the University of Kentucky is becoming thoroughly familiar with current Department and Graduate School rules and regulations. Many of these are found in this manual, in the Bulletin of the Graduate School, on the Graduate School's website (<https://gradschool.uky.edu/>), and the Department of Behavioral Science's website (<https://behavioralscience.med.uky.edu/>). A doctoral scholar should not rely upon anyone such as the advisor, faculty, or other students in the program to remind them of standard requirements such as registration, residency requirements, or specifications for the dissertation. It is the student's responsibility to keep their own record up-to-date and to be in compliance with University regulations. The Director of Graduate Studies will keep official records, but the scholar needs to assure that his/her record is complete and correct.

The Department of Behavioral Science grants the Doctor of Philosophy degrees in Clinical and Translational Science. The Director of Graduate Studies, Dr. Claire Clark, is the official representative of the Graduate School. The DGS administers the graduate program, reports to the Graduate Dean, and is responsible for implementing the rules, procedures, and policies of the Graduate School.

The PhD degree is intended to represent the demonstration of independent and comprehensive

scholarship in a specific field. Such scholarship must be manifested by both the scholar's mastery of subject matter and capacity to do research. Every applicant to the PhD program must select a major area of study. The major area is one in which the student's efforts are concentrated. The degree of Doctor of Philosophy is conferred upon a candidate who, after completing graduate work devoted to study of a special field of knowledge, 1) passes comprehensive examinations in the chosen field and the dissertation subject, 2) presents a satisfactory dissertation, and 3) shows evidence of scholarly attainment.

## **Mentored Research and Formation of the PhD Advisory Committee**

Mentored research training is the primary emphasis of the interdisciplinary PhD in CTS program. A major professor (i.e., primary mentor), with the support of a PhD Advisory Committee, will oversee research training and career development while serving as Chair of the PhD Advisory Committee. A faculty member in the Department of Behavioral Science who is a full member of the graduate faculty will serve as Co-Chair of each scholar's PhD Advisory Committee. Other members of the PhD Advisory Committee will be selected based on their abilities to support elements of the interdisciplinary research interests and career trajectories of the scholar. Committee membership will be determined based on the scholar's interdisciplinary research interests rather than on specific departmental affiliation.

Formation of the PhD Advisory Committee must meet the following requirements below and it requires submission of a form to the Graduate School (see [Doctoral Degree Candidate Forms](https://gradschool.uky.edu/degree-forms) at <https://gradschool.uky.edu/degree-forms>). **The PhD Advisory Committee ideally should be formed during the first semester of coursework in the PhD in CTS program.** To comply with the policies of the Graduate School, the Advisory Committee must be appointed no later than one year prior to the Qualifying Examination. The Advisory Committee has a core of four members. This core consists of the major professor as Chair, the Behavioral Science mentor as Co-Chair, one other member from the major area, and at least one representative from any minor area(s). As noted above, at least one Advisory Committee member must be from the Department of Behavioral Science, and this faculty mentor will serve as Co-Chair. This faculty member must have a primary appointment in the Department of Behavioral Science. A list of Behavioral Science faculty can be found at <http://behavioralscience.med.uky.edu/users>. At least one representative must be from outside the academic program (department). **All members of the committee must be members of the Graduate Faculty of the University of Kentucky and three (including the major professor) must possess full Graduate Faculty status.** To determine whether potential committee members have Graduate Faculty status, visit <https://ris.uky.edu/cfdocs/gdgsgradfac/>. Please notify the DGS if the faculty member is not a member of the Graduate Faculty. You will need to provide the DGS with the faculty member's current CV, UK employee number, and start date of their employment at UK. Additional faculty members may serve as members of the Advisory Committee.

The core of the Advisory Committee must be kept at its full complement throughout the graduate career of the individual student. Thus, in the event of a vacancy on the committee (occasioned by resignation, faculty leave, or inability to serve), an appropriate replacement must be made prior to any subsequent committee decisions. The request to modify an Advisory Committee is also accomplished online (see [Doctoral Degree Candidate Forms](#)).

The Advisory Committee also provides advice to the student and specifically sets requirements (within

applicable program, Graduate School and University regulations) that the student must meet in pursuit of the doctorate. You are encouraged to review the Appendix in this document that presents the Department of Behavioral Science's Mentoring Plan for doctoral students. You should use the information in this Appendix to think about the types of mentoring that you will need from your primary mentor as well as your Behavioral Science mentor. Please consider sharing this information with your mentors.

In addition to advising and program planning, the Advisory Committee is involved in the administration of the Qualifying Examination, the supervision of the preparation of the dissertation, and the administration of the Final Examination. The Advisory Committee oversees and evaluates the graduate scholar's progress in the doctoral program. All decisions of the Advisory Committee are by majority vote of its Graduate Faculty members. Advisory Committee decisions must be reported promptly to the Director of Graduate Studies who is responsible for transmitting them to the Dean of the Graduate School.

The primary mentor (in most cases, the Chair of the Advisory Committee) and Behavioral Science Co-Chair, with input from other members of the Advisory Committee, will submit an annual evaluation of each scholar to the DGS in May of each year. The DGS will incorporate feedback from other members of the department (e.g., course instructors) and provide candidates with an annual written evaluation.

**Note:** Students are asked to share this handbook with their research mentor and Advisory Committee to inform them of expectations and procedures.

## Curriculum

The PhD in CTS curriculum has three major components: (1) Core Curriculum (13 credit hours), (2) Tailored Curriculum (5 credit hours), and (3) credits associated with UK's Residency Requirements. All entering PhD candidates will complete a common 13-credit curriculum to establish core competencies in CTS. They will then complete a tailored curriculum of interdisciplinary courses (at least 5 additional credit hours) designed to meet their research interests and career trajectories. Finally, the Graduate School mandates additional credit hours to fulfill its residency requirements (described in more detail in the section, "Residency Requirements").

The Core Curriculum is designed to establish knowledge-based and skill-based competencies in communication; professionalism; critical thinking; synthesis of knowledge; planning; management; assessment; and leadership in five areas: 1) CTS methods and technologies; 2) scientific knowledge; 3) measurement and statistics; 4) research integrity (research ethics and responsible conduct of research); and 5) collaboration and team building.

The following courses constitute the required **Core Curriculum for the PhD program**:

BSC 731	Methods and Technologies in CTS	(3 credits)
BSC 732	Interdisciplinary Protocol Development	(3 credits)
BSC 733	Seminar in Clinical & Translational Science	(1 credit)
BSC 534	Ethics and Responsibility in Clinical Research	(3 credits)
BSC 625	Fundamentals of Biostatistics for Clinical and	(3 credits)
(772)	Translational Research (or STA 580, Biostatistics)	

### Course Descriptions for Core Curriculum (13 credit hours)

#### BSC 731: Methods and Technologies in Clinical and Translational Science

(3 credit hours – Spring and Fall)

This overview course is designed to introduce the student to the major methods and technologies of clinical and translational science (CTS) with an emphasis on human subject's research. This course teaches students how to formulate research questions and write literature reviews; apply CTS research methods, including experimental, survey, and qualitative research methodologies, to diverse areas of research by aligning appropriate methodologies to research questions of interest; and enhance interdisciplinary communication skills.

Prerequisites: Graduate standing, permission of instructor

BSC 732: Interdisciplinary Protocol Development

(3 credit hours – Spring and Fall)

This course will introduce students to the processes involved in the development and implementation of interdisciplinary research. Students will consider key aspects of leadership, communication, and teamwork involved in conducting interdisciplinary research. Students will also learn about the structure and functioning of the National Institutes of Health (NIH) as well as the NIH grant application and review process. Finally, using their knowledge regarding the research methods and technologies of clinical and translational science, students will develop an NIH-format research grant application.

Prerequisites: Graduate standing, BSC 731, permission of instructor.

BSC 733: Seminar in Clinical and Translational Science.

(1-3 credit hours – Spring and Fall)

This seminar course is designed to orient students to the clinical and translational research community and activities at the University of Kentucky and to incorporate a multidisciplinary cooperative approach to clinical and translational research. Students are expected to apply their knowledge of effective scientific communication, responsible conduct of research, and methods and technologies of clinical and translational science to ongoing discussions. Two sections of the course are regularly offered. In the lecture-based section, the course will consist of four evening seminars focusing on different topics of clinical and translational research as well as 3 additional seminars of the student's choice. In the discussion-based section, the course will consist of 6 one-hour seminar discussions of case studies related to topics such as scientific communication, responsible conduct of research, and methods and technologies of clinical and translational science.

Prerequisites: Graduate standing.

BSC 534: Ethics and Responsibility in Clinical Research.

(3 credit hours – Spring and Fall)

The goal of this course is to provide an overview of ethical considerations when conducting and reporting clinical research, as well as to provide experience in the practice and application of ethics to clinical science. This course will address issues relevant to ethically sound study design, responsible conduct of research and scientific misconduct. Students will also complete human subject's protection training and learn to conduct research in an ethical manner.

Prerequisites: Graduate standing, permission of instructor.

BSC 625 (772): Fundamentals of Biostatistics for Clinical and Translational Research.

(3 credit hours – Spring and Fall)

This course is for students that are either actively engaged in clinical and/or translational research or intend to be involved in research in the near future. This course consists of lectures, demonstrations and discussion sessions on biostatistics for the health sciences. The course activities are intended to promote the application of biostatistics to research concepts in the students' areas of interest and to foster practical knowledge that supports students' own research interests.

Prerequisites: Graduate standing, permission of instructor.

BSC 790: Research in Medical Behavioral Science.

(1 credit hour – Spring, Summer and Fall)

The research practicum is based on a detailed research training plan developed with the primary mentor that contributes to original research and leads to a peer-reviewed publication.

Prerequisites: Graduate standing, permission of the DGS.

## **Planning the Sequence of the Core Curriculum**

As you begin the PhD in CTS program, you should think about the pace at which you will complete the Core Curriculum and other course requirements. Typically, the Core Curriculum (described above) can be completed in 1-2 years. Students who intend to complete these Core courses in 1 year may want to consider the following sequence:

### **One-Year Core Sequence**

Semester 1: BSC 731, BSC 625(772), BSC 733

Semester 2: BSC 732, BSC 534, BSC 790

Please note that BSC 731 is a prerequisite for BSC 732, and that BSC 733 and BSC 790 could easily be reversed in terms of order.

Students who intend to complete the Core courses in 2 years may want to consider the following sequence:

### **Two-Year Core Sequence**

Semester 1: BSC 731, BSC 733

Semester 2: BSC 732

Semester 3: BSC 534, BSC 790

Semester 4: BSC 625 (772)

As noted above, BSC 731 is a prerequisite for BSC 732. This two-year sequence may not be feasible based on other demands in your schedule and course availability, but it does represent a potential way to think about ordering the Core courses.

## **Other Course Requirements: The Tailored Curriculum**

Since all CTS doctoral students have already completed rigorous basic science training within their professional programs, they have acquired a solid academic foundation. Career development for CTS doctoral students is optimized by graduate-level courses that are selected to expand and support their research interests and career trajectories.

The candidate's major professor and Advisory Committee will work with the candidate to identify

appropriately tailored courses and experiences needed for the candidate to acquire the breadth and depth of knowledge and expertise needed to produce well-reasoned, original, interdisciplinary research contributions. The tailored curriculum of each scholar will be designed to provide training needed for the PhD candidate to lead interdisciplinary CTS research teams and/or sustain independent research programs that promote innovation and new discovery. Also, the curriculum will provide advanced interdisciplinary training to support the development of research skills and expertise tailored to the interests and career trajectory of the individual scholar.

The BSC 790 course warrants several additional comments. First, please note that BSC 790 is an independent study course, so it does not have class meetings to attend. For Fall, Spring or Summer semester, 1 credit of BSC 790 should constitute about 3 hours per week of independent study/research across a semester that lasts approximately 16 weeks.

When you intend to register for BSC 790, there are several steps that should occur before registration. First, scholars should identify a faculty member to supervise their work in the course and meet to discuss course expectations. A mutual agreement between the student and the faculty member should be reached regarding course objectives and research-related expectations. Once that agreement has been reached, please contact the DGS (Dr. Claire Clark, [claire.clark@uky.edu](mailto:claire.clark@uky.edu)), cc'ing your research mentor, so that you can receive permission to register for BSC 790. During the semester, scholars should meet periodically with the supervising faculty member to discuss progress. The supervising faculty member will then be asked to submit a grade and summary of work completed for BSC 790 at the end of the semester. **No more than 5 credit hours of BSC 790** can be applied to the 18-credit hour requirements of the PhD program.

After the tailored portion of the curriculum is approved by the candidate's Advisory Committee, it also must be approved by the Department of Behavioral Science's Director of Graduate Studies (DGS). To help you plan your full curriculum, please see the **Planned Program of Study Worksheet** that appears at the end of this document.

## Registration for Courses

Students who are beginning the PhD in CTS program should consult the letter of acceptance from the Graduate School which contains several pieces of information about registering for classes, including a link to UKIT for establishing a UK Link Blue email account, Student ID number, and User ID. A UKIT email account must be established before attempting to register for classes. Upon acquiring a UK Link Blue account, student should visit the UK Registrar's page (<http://www.uky.edu/registrar/how-to-register>).

All students should consult the Academic Calendar in the registrar's office to determine their specific registration window. Students currently enrolled in the PhD program have a priority registration window different from incoming students, who register approximately 1-2 weeks prior to the start of the semester in which they begin their studies. Failure to register during the priority registration window will require late registration and a late fee. Courses in the CTS Core Curriculum all require permission of the instructor to register, so students should email the instructor before attempting to register, identifying themselves as a PhD in CTS student in that email.

Please also note that students must register for at least one course every Fall/Spring semester in order to

remain in the program. If a student is unable to attend courses in a given semester but is still actively engaged in research with his/her mentor, s/he should register for at least one credit hour of BSC 790 (Research in Medical Behavioral Science).

In the event that the student is not conducting research and needs to sit out for a semester, a Leave of Absence must be requested at least 1 week before the start of classes for that semester. To make a Leave of Absence request, a student should contact the DGS (Dr. Claire Clark, [claire.clark@uky.edu](mailto:claire.clark@uky.edu)). The Graduate School has set its policies for maximum Leaves of Absence as no more than two consecutive semesters off and no more than four total semesters. If either maximum is exceeded, the student will have to re-apply to the PhD program and pay the Graduate School's application fee.

## Residency Requirements for Doctoral Students

The purpose of a residency requirement is to encourage doctoral students to fully experience the academic community: colleagues, libraries, laboratories, on-going programs of research, and the intellectual environment that characterizes a university. Such experience is generally as important as formal class work in the process of intellectual development. While the residency requirement is, by necessity, given in terms of full or part-time enrollment, its intent is to ensure that the student becomes fully involved in an essential part of scholarly life.

Students must complete the equivalent of at least one year of residency (i.e., the 18 credit hours of the Core Curriculum and Tailored Curriculum described above) prior to the Qualifying Examination and then one year of post-qualifying residency after the Qualifying Examination. Exceptions to this normal pattern may be made with the approval of the Dean of the Graduate School upon the written recommendations of the student's Advisory Committee and the Director of Graduate Studies, which clearly demonstrate that the principle of residence is preserved. The ultimate goal of these requirements is to lead students to scholarly accomplishment, not solely to amass semester hours or time spent in the program.

## Pre-Qualifying Residency and Time Limit

Students must simply complete the requirement of 18 credit hours of graduate coursework (i.e., the Core Curriculum and Tailored Curriculum) within five years of entry into the doctoral program. Please note, however, that a student must register for at least one course during each fall and spring semester during this period; see "Registration" section for more details. According to the Graduate School, upon completion of the pre-qualifying requirements a student may register for 2 dissertation credits (and be considered a full-time graduate student) only if he/she completes their Qualifying Examination within the same semester. Due to the possibility that the Qualifying Examination is not passed successfully, it is in the best interest of the student to discuss this plan with their primary advisor and consider registering for 1-6 credits of BSC 790 (Research in Medical Behavioral Science) during the semester he/she intends to complete their Qualifying Examination.

Students are required to take the Qualifying Examination within five years of entry into the PhD program. Extensions up to an additional three years may be requested. Extensions up to twelve months may be approved by the Dean of the Graduate School upon receipt of a request from the Director of Graduate Studies. Requests for extensions longer than twelve months must be considered by Graduate Council and

will require the positive recommendation of the Director of Graduate Studies, the chair of the student's doctoral Advisory Committee, and a majority vote of Graduate Faculty in the program. If the Qualifying Examination has not been passed at the end of five years, or at the end of all approved time extensions the student will be dismissed from the program. The graduate faculty of a doctoral program (or group of programs) also has the option to petition Graduate Council to reduce or increase the five-year time limit. If approved, this modification will then apply to all doctoral students in that program.

## The Qualifying Examination

A Qualifying Examination consisting of both written and oral components is required of all doctoral students. Its purpose is to verify that students have sufficient understanding of and competence in their fields to become candidates for the degree. The Advisory Committee prepares, administers, and judges an individual Qualifying Examination. All members of the Doctoral Advisory Committee must be present at the oral Qualifying Examination. A majority vote of the core of the Advisory Committee is required for successful completion of the Qualifying Examination. The Qualifying Examination is given after fulfillment of pre-qualifying residency (i.e., the 18-credit hour Core and Tailored Curriculum described above). Students with "I" grades or "S" grades in credit-bearing courses will not be allowed to sit for the Qualifying Examination until letter grades are assigned for these courses.

The content of the examination will be tailored to match the scholar's coursework and research interests and will be designed to evaluate the scholar's level of interdisciplinary scholarship and competence in CTS. The written components of the qualifying exam will typically consist of a prepared document (e.g., the intellectual elements of a grant application, such as a K-type career development award or an R-type grant application, or a review paper formatted as a peer-reviewed manuscript) along with written responses to content-based questions prepared by members of the advisory committee. The oral component will typically consist of the presentation and defense of the prepared document and responses to oral content-based questions posed by the advisory committee. Successful completion of the CTS PhD final examination will be contingent upon the scholar's completion and presentation (written and oral) of well-reasoned research that contributes clinically significant publishable CTS knowledge.

The online request to schedule the Qualifying Examination must be submitted a minimum of two weeks in advance via:

[https://ris.uky.edu/cfdocs/gs/DoctoralCommittee/Selection\\_Screen.cfm/Selection\\_Screen.cfm](https://ris.uky.edu/cfdocs/gs/DoctoralCommittee/Selection_Screen.cfm/Selection_Screen.cfm). BSC 767 residence credit may be applied to the semester of the qualifying examination if the examination is passed during the semester of initial enrollment in this course. However, if the student subsequently fails the qualifying examination or elects not to take it, registration in 767 must be removed.

Results of the Qualifying Examination should be communicated to the Director of Graduate Studies (Dr. Claire Clark, [claire.clark@uky.edu](mailto:claire.clark@uky.edu)) as soon as possible because the results of the examination must be reported by the DGS to the Graduate School within 10 days of its conclusion. If the result is failure, the Advisory Committee determines the conditions to be met before another examination may be given. The minimum time between Qualifying Examinations is four months. A second examination must be taken within one year after the first examination. A third examination is not permitted.

## Post-Qualifying Residency

After successfully completing the Qualifying Examination, students are required to enroll in a 2-credit hour course (BSC 767 Dissertation Residency Credit). Students must complete two semesters of BSC 767 before they can graduate. It is preferred that this requirement be satisfied by enrolling in BSC 767 for at least 1 Fall and 1 Spring semester (or vice versa), but if necessary, a student may request that this requirement be met by completing a Summer term of BSC 767 coupled with either a Fall or Spring semester. Students are required to remain continuously enrolled in this course every Fall and Spring semester until they have completed and defended their dissertation. This will constitute full-time enrollment. The student need not be physically present on campus while enrolled for residency credit after the Qualifying Examination.

## The Dissertation

Each student must present a dissertation that represents the culmination of a major research project. The dissertation must be a well-reasoned, original contribution to knowledge in the field of study and should provide evidence of high scholarly achievement. It is vitally important that scholars review the Graduate School's website, which contains general information (e.g., deadlines; <http://gradschool.uky.edu/thesis-and-dissertation-preparation>) as well as specific instructions about formatting your dissertation ([Electronic Dissertation Instructions](#)). It is the student's responsibility to review and comply with these instructions.

The dissertation in its final form must be received in the Graduate School within 60 days of the final examination (described in more detail below). If this deadline is not met, the candidate may be required to undergo a second examination.

## Final Examination (Dissertation Defense)

The Final Examination includes a defense of the dissertation and may be as comprehensive as the Advisory Committee chooses to make it. It is conducted by an expanded Advisory Committee that includes an Outside Examiner (who is appointed by the Graduate School). The Final Examination is typically chaired by the Major Professor (i.e., dissertation director/primary mentor). The Dean of the Graduate School and the President of the University are ex officio members of all final examination committees. The examination is a public event and its scheduling is published and announced beforehand. Any member of the University community may attend.

Please review the Graduate School's online description of the four-step process regarding the [Dissertation Defense Process](#) (<https://gradschool.uky.edu/electronic-thesis-defense>) as well as the associated fees. It is vitally important that you also review the [University Calendar](#) (<https://www.uky.edu/registrar/content/academic-calendar>) to understand the deadlines.

The first step in the process is that you must complete the Application For Degree (via myUK; <https://myuk.uky.edu>) within 30 days of the start of the semester in which you expect to complete your work (or within 15 days of the start of Summer Session II); the Graduate School Bulletin includes the exact date for this deadline. When you log into myUK, click on the "Student Services" tab, then "myRecords," then "Apply for Degree," then click on "Graduate School." You should then be able to submit the

## Application for Degree.

At least 8 weeks prior to the Final Examination (i.e., dissertation defense), the Graduate School should be notified of the intent to examine via the "Complete & Submit the Doctoral Degree Candidate Forms" link that is posted at <https://gradschool.uky.edu/degree-forms>. At this time the Graduate Dean appoints an Outside Examiner as a core member of the advisory committee. The scholar should also have delivered a complete draft of the dissertation to his/her Advisory Committee chair (i.e., major professor) at this time.

At least 2 weeks prior to the Final Examination (and after an Outside Examiner has been appointed), a Request for Final Doctoral Examination must be submitted. The specific time and date of the examination must be designated by the Graduate School at least two weeks prior to the actual examination using the above link. All members of the Advisory Committee except the outside examiner must have an opportunity to suggest revisions prior to scheduling the Final Examination. Thus, most revisions should have been completed in advance of the Final Examination. Please note that the Outside Examiner must have received a copy of the complete dissertation at least two weeks before the Final Examination.

The Final Examination must take place no later than eight days prior to the last day of classes of the semester in which the student expects to graduate. Final examinations are public events and must take place while the University is officially in session. They may not be scheduled during the periods between semesters or between the end of the second summer session and the beginning of the fall semester.

Please note: If one of your committee members will be participating remotely (e.g., by video conference/Skype/Zoom), prior approval for that remote participation needs to be obtained in advance from Dr. Cleo Price of the Graduate School. Requests should be emailed to Dr. Price ([cprice@uky.edu](mailto:cprice@uky.edu)) and the DGS should be cc'd on this request. UK provides access to Zoom for video conferencing; see <https://www.uky.edu/its/academic-technologies-faculty-engagement/zoom> for more information.

The following are the Graduate School's procedures for conducting the Final Examination, and are drawn verbatim from their manual of procedures. It is critically important that the scholar share these procedures with their Advisory Committee.

- At the outset of the Examination, the DGS or committee chair should verify that the Examination Card has been brought to the examination room. If this is not the case, the committee chair or DGS must call the Senior Associate Dean's office at the Graduate School (257.7126) to determine if the examination may proceed.
- The Examination may not begin until all voting members of the committee are present (these names are listed on the examination card).
- One or more members of a master's or doctoral committee may participate remotely in an Examination if a video-conference connection can be established (this option does not apply to the Outside Examiner assigned to final doctoral defenses). The DGS should identify the committee members participating in this fashion on the qualifying or final examination request form. Under exceptional circumstances, the remote participation option may also be extended to the student.
- An Examination may be cancelled prior to its official start for substantive reason with no permanent consequences for the student. The student has not failed the examination in this case because it was never officially begun. Substantive reasons can include a missing committee

member, a sudden difficulty in the candidate's personal life that may affect performance, or a (late) opinion on the part of one or more committee members, for example that the dissertation is not ready to defend. In such cases, the committee may hold an open or closed discussion to review the issues at hand and reach a decision on whether to hold the examination or not. Furthermore, the candidate does have the right to cancel the examination prior to its start. If the examination is cancelled, it must be formally re-scheduled with the Graduate School in the standard fashion. A minimum two-week interval is required for re-scheduling the examination.

- Once the examination has begun, all committee members must remain present for the duration of the process. In cases in which a committee member is participating remotely, if the connection is lost, the examination process should be immediately suspended and not re-started until connection is again fully established.
- Once the examination has begun, it must be carried through until its end. A formal vote must be taken and recorded on the examination card, along with the signatures of all (voting) members. Remote participants may record their vote in one of two ways; a copy of the examination card may be faxed/e-mailed to them for decision and signature and returned to the DGS OR they may e-mail Dr. Cleo Price directly with their vote at [cprice@uky.edu](mailto:cprice@uky.edu). There are only two outcomes possible; by majority vote, Pass or Fail. The examination may not be suspended for an extended period to permit the candidate to correct deficiencies, and subsequently re-convened. The only suspensions permitted are short ones to permit the candidate or committee members to refresh themselves.
- If an emergency situation should arise during the course of an examination, the committee chair or DGS should immediately call the Graduate School (257.4905 or 257.1759) to seek guidance.

In all decisions, the majority opinion of the Graduate Faculty members of the Advisory Committee prevails. If the Advisory Committee is evenly divided, the candidate fails. In the event of failure, the Advisory Committee recommends to the Dean of the Graduate School condition under which the candidate may be re-examined, if re-examination is deemed appropriate. When conditions set by the Dean of the Graduate School have been met, the candidate may be re-examined. The minimum time between examinations is four months. A second examination must be taken within one year after the first examination. Should any vacancies on the Committee occur between the two examinations, the Dean of the Graduate School shall appoint replacements. A third examination is not permitted.

## **Time Limit for Doctoral Degrees**

All degree requirements for the doctorate must be completed within five years following the semester or summer session in which the candidate successfully completes the Qualifying Examination, but extensions up to an additional 5 years may be requested for a total of 10 years. Extensions up to 1 year may be approved by the Dean of the Graduate School. Requests for extensions longer than 1 year must be considered by Graduate Council. All requests should be initiated by the Director of Graduate Studies. If approved, extensions longer than one year will require a retake of the Qualifying Examination. Failure to pass the re-examination will result in the termination of degree candidacy; a second re-examination is not permitted. Failure to complete all degree requirements within 10 years of initially taking the Qualifying Examination will also result in the termination of degree candidacy. All pre- and post-qualifying residency requirements must again be met if the student subsequently seeks readmission to the doctoral program.

## Exiting the Doctoral Program

The University requires all graduate programs to have an Assessment Plan that focuses on the effectiveness of the program. To support our Assessment Plan, you may be asked at the time that you exit the doctoral program (whether through graduation, transferring to a different CTS program, or withdrawal) to reflect upon your experiences in the CTS doctoral program. You may be asked to complete an exit survey and/or exit interview if your schedule permits.

## Program Timetable for Degree Completion

Every student faces opportunities and constraints that may impact how quickly she or he can complete the PhD in CTS. However, a general timetable to degree would consist of:

- 3-5 semesters of coursework (Core Curriculum and Tailored Curriculum) to complete 18 credits
- Completion of the Qualifying Examination (after completing course requirements)
- At least 2 semesters to complete the dissertation and meet the Post-Qualifying Examination Residency Requirements

A student who is able to devote considerable time in the PhD program may be able to complete it in about 2.5 years, but that pace is likely to be the exception rather than the rule. It is anticipated that most students will complete the PhD in CTS in 3-4 years.

## Additional Information

### Beginning the Program as a Post-Baccalaureate Student

To accommodate students' timetables for program completion, there are times when students take CTS courses before formal admission to the program, usually as a post-baccalaureate student. It is the policy of the Graduate School that post-baccalaureate students can only take 9 credit hours and have them count towards the course requirements for this graduate program. If you begin taking courses as a post-baccalaureate student, you must apply to the Graduate School for formal admission as a graduate student via the [ApplyYourself website](#)

([https://app.applyyourself.com/AYApplicantLogin/fl\\_ApplicantConnectLogin.asp?id=ukgrad](https://app.applyyourself.com/AYApplicantLogin/fl_ApplicantConnectLogin.asp?id=ukgrad)) It is your responsibility to complete this application. If you have previously submitted application materials to the ApplyYourself website and it will not allow you to complete the application submission, please try using a different email address from your previous application.

### Deferring Entry into This Program

If you have been admitted to this program, but have not yet begun classes and need to wait 1-2 semesters before beginning the program, you need to request a deferral. To be approved, a deferral request must be sent via email to the DGS ([claire.clark@uky.edu](mailto:claire.clark@uky.edu)) at least one week before the start of classes for that semester. Following this procedure of deferral request will prevent you from having to submit a new application and paying another application fee to the Graduate School. Failure to submit a deferral request at least 1 week before the start of the semester will mean that you must re-apply to the Graduate School and pay another application fee. To read the Graduate School's policy regarding deferrals, please see <http://gradschool.uky.edu/student-resources-0>.

## Applying for a Leave of Absence from This Program

If you need to not take courses for a semester, you need to request a leave of absence from this program. A leave of absence must be requested at least 1 week before the start of classes for that semester by emailing the DGS (claire.clark@uky.edu). The Graduate School has set its policies for maximum Leaves of Absence as no more than two consecutive semesters off and no more than four total semesters. If either maximum is exceeded, the student will have to re-apply to the PhD program and pay the Graduate School's application fee. To read more the Graduate School's policy regarding leaves of absences, please see

<http://gradschool.uky.edu/apply-readmission>

## Obtaining the Certificate in Clinical and Translational Science on Your Official Transcript

Students in the PhD in CTS program who complete the Core Curriculum and 1 credit hour of BSC 790, and who have a 3.0 grade point average (GPA) or better in these courses, will have satisfied the requirements associated with the Certificate in Clinical and Translational Science. Per the policy of the Graduate School, to have the Certificate in CTS included on your official transcript, doctoral students in CTS will need to fill out another application to the Graduate School (specifically for the Certificate program) via the [ApplyYourself website](#). To avoid having to pay a second application fee, the student should call Vivian Bowling (Admissions Officer, UK Graduate School, tel: 859-257-4619) when they reach the fee payment section of the application and request that the fee be waived. Once you have completed this second application to the UK Graduate School, please notify the DGS (Dr. Claire Clark, [claire.clark@uky.edu](mailto:claire.clark@uky.edu)).

To ensure that your Certificate is included in your official transcript, it is your responsibility to notify the DGS when you have completed the required curriculum (i.e., Core Curriculum and 1 credit of BSC 790). The DGS will verify your grades in the required courses and then will submit the [Graduate Certificate Award Request](#) to the Graduate School.

## Financial Aid and the Employee Education Program (EEP)

The Clinical & Translational Pathway does not provide stipends or tuition at the present time. However, full-time UK employees may use the [Employee Education Program](#) (EEP) to cover tuition costs. To apply to the EEP, you must fill out [this form](#) each semester and submit it [after registering for classes](#) either by email ([edubenefits@uky.edu](mailto:edubenefits@uky.edu)), fax (859-323-8494), or in-person at 115 Scovell Hall. Please be sure to check the EEP's deadlines for applying which can be found at <https://www.uky.edu/hr/benefits/more-great-benefits/tuition-assistance-programs#employee-education-program> (be sure to scroll down). If you make any changes to your courses for that semester, you will need to re-submit an amended form that shows the changes to the EEP.

The EEP has two maximums that are important to know: 1) You may only have tuition for a maximum of 8 credit hours waived per semester (and unused credit hours under this maximum do not carry over to future semesters); and 2) The maximum number of credit hours per academic year is 18 credit hours. Please note that graduate-level waivers (i.e., those that would be used for tuition in the CTS program) in excess of

\$5,250 in a calendar year are subject to taxation. Answers to frequently asked questions about the EEP can be found [here](#). Questions about the EEP should be directed by email to [edubenefits@uky.edu](mailto:edubenefits@uky.edu) or by calling (859) 257-8772.

## **ID Badges**

The UK student ID is available at the UK WildCard [UKID Center](#), 107 Student Center, 9 am – 5 pm, for \$15 (257-1378). This ID may be used for a variety of services on campus (copying services, athletic events, library use, etc.) and provides other discounts in Lexington.

Students engaged in research may be required to access various restricted areas. In this case, they should contact the Administrator or DGS of the Department/Center in which the research is being conducted for obtaining a Medical Center ID badge.

## **Health and Health Insurance**

[University Health Services](#) provides medical treatment for full- and part-time students.

The university also has a student health insurance [plan](#) (voluntary) that provides benefits for sickness and injury. The University of Kentucky requires all international students and their dependents to have health insurance.

## **Parking**

Students, who are also employees, have 2 official parking options. The K tag (student) is \$272/year for the stadium parking lot, with a shuttle to the Medical Center. Additional information, including summer parking rates, can be found at the UK Parking and Transportation office [website](#).

## **Safety and Research Training**

Certificate students who participate in laboratory research must complete the basic [safety training](#) required for biomedical research at UK. Students and faculty research mentors must review any additional safety or research training requirements prior to engaging in specific lab activities.

Laboratory accidents should be reported immediately to the faculty mentor or appropriate lab personnel to determine a course of action. Non-life threatening accidents requiring medical attention need to be reported first to Worker's Care (1-800-440-6285). The injured employee (including graduate students) must go to [UK Employee Health](#) (part of University Health Services on Limestone) in the Kentucky Clinic for medical treatment.

## **Vacations and Holidays**

Students are considered both trainees and employees. Most departments consider that students have approximately four (4) weeks total vacation time each calendar year, consistent with vacation allocations for other employees. Any vacation time taken during the holiday break for Christmas and New Year's, during spring break, and vacation days away from campus at other times are included in this four-week

allocation. Generally, students are expected to keep a schedule similar to the UK staff calendar (and not the academic calendar) and to be on campus on a continuing basis during regular work hours throughout the year. Students should also be aware that the demands of research protocols or presentations may require work on holidays, weekends, or evenings.

## Academic Probation

A B (3.00) average in all coursework must be maintained and a minimum grade of B must be earned in the required courses. The Graduate School will place a student on academic probation if their GPA average falls below 3.00 after completing 12 or more credit hours. A student must restore their GPA to 3.00 or above within the next 9 credit hours. Otherwise, they will be dismissed by the Graduate School, but may apply for readmission at a later date. Students on academic probation are ineligible for fellowships, tuition scholarships, and final exams.

## Termination from the Program

If necessary, termination procedures will be conducted as specified in the rules of the Graduate School. Reasons for termination include one or more of the following:

- failure of the final examination;
- scholastic probation for three continuous semesters;
- failure to make satisfactory progress toward completion of a satisfactory thesis as determined by the thesis advisor and the student's Advisory Committee.

In addition, misconduct of a serious nature during the certificate program, e.g., cheating, plagiarism, scientific misconduct such as falsification of scientific data, misuse of data or misuse of equipment, are causes for dismissal from the program following procedures outlined in [the UK Student Code of Conduct](#).

## Application to the PhD in CTS Program

In the event that you know other individuals who may be interested in the PhD in Clinical and Translational Science, information about how to apply is presented below.

Applicants for the PhD in Clinical & Translational Science program must have a MS or PhD in basic medical sciences, MD, DMD, DDS, PharmD, DVM, DO, DNP, PA, PT or be seeking a dual degree (e.g., MD/PhD). Prior to submitting an application, prospective applicants must contact Sarah Treberg (Curriculum Coordinator; email: [sarah.treberg@uky.edu](mailto:sarah.treberg@uky.edu); tel: 859-323-5803) about the PhD in Clinical and Translational Science program.

The application process involves a completed application to the Graduate School via the ApplyYourself portal. Application materials include transcripts, a current curriculum vitae (CV) and two letters of support. Please note that there are specific instructions regarding letters of support and that these letters must be provided on letterhead. Additionally, applicants should prepare narrative responses to questions and upload these responses to the personal statement section of the application. Applications are accepted for both the Fall and Spring semesters. All application materials for the Fall semester must be received by *May 1*. All application materials for the Spring semester must be received by *October 1*. *Late or incomplete*

*applications will not be considered until the following application cycle.* The admissions committee uses a process of holistic review: individualized consideration is given to how each applicant may contribute to the learning environment and to the profession, weighing and balancing the range of the criteria prioritized by the selection committee.

Following review of applications by the Admissions Committee, applicants will be notified of their status.

PhD in Clinical and Translational Science  
Planned Program of Study

Student Name \_\_\_\_\_ Date \_\_\_\_\_

**Core Curriculum (13 credits)**

COURSE		CREDIT
PREFIX-NUMBER	COURSE TITLE	HR
BSC 731	Methods & Technologies in CTS	3
BSC 732	Interdisciplinary Protocol Development	3
BSC 733	Seminar in CTS	1
BSC 534	Ethical and Responsibility in Clinical Research	3
BSC 625	Fundamentals of Biostatistics for CTS (or STA 580)	3

**Tailored Curriculum (at least 5 credits plus 4 Dissertation Residency Credits)**

COURSE PREFIX-NUMBER	COURSE TITLE	CREDIT HR
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
BSC 767	Dissertation Residency Credit (1 <sup>st</sup> semester)	2
BSC 767	Dissertation Residency Credit (2 <sup>nd</sup> semester)	2

**Student Advisory/Thesis Committee**

Committee Chair (advisor) \_\_\_\_\_

Committee Member \_\_\_\_\_

Committee Member \_\_\_\_\_

Committee Member \_\_\_\_\_

## Student Checklist for PhD in CTS

The PhD in CTS requires:

- successful completion of the core curriculum
- at least 5 additional credit hours of graduate level course work (beyond the core curriculum)
- at least 4 hours of Dissertation Residency Credits, divided across two terms
- a minimum 3.0 grade point average for all course work
- successful completion of the Qualifying Examination
- preparation of a written dissertation
- successful completion of the Final Examination (i.e., dissertation defense)
- submission of an approved written dissertation to the Graduate School that complies with the Graduate School's formatting requirements

The student should work with their mentor and/or the DGS to identify appropriate coursework beyond the required Core Curriculum.

1. Be sure to enroll in the semester for which you were accepted into the doctoral program.
2. You must be enrolled in at least one course EVERY Fall and Spring semester until you complete your degree.
3. Establish a tailored curriculum with your primary mentor (i.e., major professor) and Advisory Committee. Be sure to submit it to the DGS for approval.
4. Successfully pass a Qualifying Examination after you complete the 18-credit core and tailored curriculum. (Be sure to review the Graduate School's policies before scheduling the Qualifying Examination.)
5. Identify, design, and conduct a dissertation research project with guidance from your Advisory Committee.
6. Be sure to submit your Application for Degree via myUK within 30 days of the start of the semester in which you intend to complete your dissertation and Final Examination. Also, follow the Graduate School's procedures regarding scheduling the Final Examination.
7. Format your dissertation to meet the requirements described by the Graduate School.
8. Successfully pass your Final Examination (i.e., dissertation defense).
9. Submit the final approved version of your dissertation to the Graduate School within 60 days of your Final Examination (i.e., dissertation defense).

**Appendix**  
**Department of Behavioral Science**  
**Mentoring/Advising Plan for CTS Doctoral Students**

**Definition of Mentoring**

A mentoring relationship goes beyond simply overseeing the completion of a research project. In facilitating students' long-term professional development, mentors may play a variety of roles, including:

*Advisor:* people with career experience willing to share knowledge

*Supporter:* people who give emotional and moral encouragement

*Master:* employers to whom one is apprenticed

*Sponsor:* sources of information about, and aid in, obtaining opportunities

*Models of Identity:* exemplars of academic scholarship and conduct <sup>1</sup>

While no single mentor can fulfill all these roles, each form of support is important for career success. Therefore BSC advisors will help advisees assemble a mentoring team and encourage them to cultivate relationships that collectively address multiple mentoring domains.

**Mentoring Principles**

- Mentoring needs of advisees vary according to their work and training histories thereby require individually tailored mentoring plans.
- Involvement in mentoring should be desired and freely accepted by both mentors and mentees.
- Mentoring relationships may be changed or dissolved as mentor and mentee needs change.
- Mentors should be clear with advisees about what forms of mentoring they will and will not provide.
- Mentees and mentors should periodically review progress and goals and make adjustments when needed.
- Mentors will make an effort to promote diversity and be attentive to the needs of advisees from under-represented groups (e.g. women, racial/ethnic minorities, foreign students, first-generation college students)

**Best Practices for Mentoring**

- At the beginning of the mentoring relationship, mentors and mentees should establish expectations for the relationship. This may be done formally (e.g. through letters, compacts, or contracts) or informally (e.g. in conversation). A discussion of expectations should cover commitments of both mentors and mentees. The discussion of expectations may include:
  - Mentor roles and establishing a mentoring team
  - Advisees' previous training/skills and identification of areas for development
  - Advisee responsibilities
  - Communication preferences (communication style, mode, and timing)

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<sup>1</sup> "Mentoring Graduate Students," Vanderbilt University Center for Teaching, <http://cft.vanderbilt.edu/guides-sub-pages/mentoring-graduate-students/>

- Establishing regularly scheduled meeting times
  - Authorship/data ownership (how determined/negotiated)
  - Expected support (financial and strategic) for professional development such as conferences
  - Behavioral expectations (e.g. punctuality, record-keeping), especially in regard to collaborative work
  - Time management
  - Work-life balance
  - Policies on work hours, illness, and vacation
  - Management of formal and informal mechanisms for feedback (e.g. policies for providing comments on drafts of grants or articles; annual evaluation process)
- Individually tailored mentoring plans should be written and will include:
    - Short- and long-term goals
    - A tentative timeline for completion of career development training (e.g. coursework, exams, dissertation)
    - Publication and grant submission milestones (if applicable)
  - Mentors and mentees should regularly evaluate progress toward short- and long-term goals and make adjustments as needed.

### **Additional Information About Mentoring**

Christine Pfund, Stephanie House, Pamela Asquith, Kimberly Spencer, Karin Silet, Christine Sorkness, Mentor Training for Clinical and Translational Researchers (Madison: W.H. Freeman and Company, 2017). The full guide, including sample mentoring compacts and individual development plan worksheets, is available with registration here: <http://cimerproject.org/#/curricula/training-materials> (UK server may not support hyperlink, but copying and pasting into browser will work).