



EDUCATIONAL LEADERSHIP PROGRAM

DOCTORAL PROGRAMS (Ed.D., Ph.D.)

STUDENT HANDBOOK

2018-2019

Educational Policy Studies & Practice
College of Education
P.O. Box 210069
Tucson, AZ 85721-0069
<http://coe.arizona.edu/epsp/edl>



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WELCOME

Dear EDL Doctoral Student,

Welcome to the Educational Leadership (EDL) Doctoral Program in the Department of Educational Policy Studies and Practice (EPSP) in the College of Education at the University of Arizona. We are pleased you have chosen the EDL Doctoral Program to guide you in furthering your professional and educational goals.

This 2018-2019 handbook is designed to describe the processes and paperwork requirements for the EDL program, the College of Education, and the Graduate College. While we have not included all the rules and regulations related to obtaining a degree, we have included descriptions of program requirements and date/time requirements. **Please refer to example forms in the handbook, but all official degree-related paperwork needs to be initiated and completed by you on GradPath.** The EPSP Administrative Associate and/or advisor will support and assist you but please remember it is your responsibility to meet all deadlines and inquire when you need more information.

The Graduate College requires you to file certain forms throughout your program, which are available under the GradPath drop-down menu on the UAccess Student Self-Service page. A student FAQ can be found at grad.arizona.edu/GradPath.

The EDL Office is located in the College of Education Building, Room 321 It is open Monday through Friday, 8:00 a.m. – 5:00 pm. Program contact information follows:

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Web: <http://coe.arizona.edu/epsp/edl>

We ask that you

- Download this handbook.
- Consult the handbook each semester.
- Work with your advisor to ensure that you are progressing through your program in a timely manner.

We look forward to working with you to meet your educational and career goals.

Sincerely,

The Educational Leadership Program Faculty

Kris Bosworth, Ph.D.
Lynnette Brunderman, Ed.D.
Kevin Henry, Ph.D.
Jill Koyama, Ph.D.
Francesca Lopez, Ph.D.
Marcus Jenkins, PhD.
John Taylor, Ed.D.

FACULTY

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Research Interests: The intersection of schooling, policy and culture, controversies of globalizing educational policy, politics of language policy and immigrant/refugee education.

Francesca Lopez, Ph.D., Professor (Educational Psychology, University of Arizona)
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Research Interests: Culturally Responsive Pedagogy and Leadership, Leader/Teacher and Student Identity, Language Policy

John Taylor, Ed.D., Professor with courtesy faculty appointment in Africana Studies, College of Humanities (Curriculum, Instruction, and Teacher Education, Stanford University)
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Research Interests: Education Policy Analysis, Schools and Diverse Community Relations, Ethnic Minority Leadership, African American Educational Advancement, Program Evaluation and Research on Athletics.

DeMarcus A Jenkins, Ph.D., Assistant Professor (Urban Schooling, University of California, Los Angeles)
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STAFF

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EDL PURPOSE AND STANDARDS

The Educational Leadership doctoral program is designed to advance knowledge and address enduring and future problems of schools by:

1. Addressing the significance of the changing and challenging school contexts;
2. Engaging in research that is in the foreground current socio-cultural, economic, and political contexts (i.e., college readiness, turning around failing schools, building capacity, controversies of globalizing educational policy);
3. Exploring the issues of social justice for the educational equity and opportunities of all students; and
4. Following ethical principles.

Graduates will be able to adapt to a changing world, predict the consequences of proposed action, and sustain continuous education improvements over time. The development of skills and qualities that will enhance the ability of leaders to empower, inspire, and guide the performance of others in achieving the desired goals of a school, a school district or a community will be the focus of this program.

All EDL courses as well as the specialization classes leading to certification are correlated with the **PSEL (Professional Standards for Educational Leaders 2015)**.

1. Effective educational leaders develop, advocate, and enact a shared mission, vision, and core values of high-quality education and academic success and well-being of each student.
2. Effective educational leaders act ethically and according to professional norms to promote each student's academic success and well-being.
3. Effective educational leaders strive for equity of educational opportunity and culturally responsive practices to promote each student's academic success and well-being.
4. Effective educational leaders develop and support intellectually rigorous and coherent systems of curriculum, instruction, and assessment to promote each student's academic success and well-being.
5. Effective educational leaders cultivate an inclusive, caring, and supportive school community that promotes the academic success and well-being of each student.
6. Effective educational leaders develop the professional capacity and practice of school personnel to promote each student's academic success and well-being.
7. Effective educational leaders foster a professional community of teachers and other professional staff to promote each student's academic success and well-being.
8. Effective educational leaders engage families and the community in meaningful, reciprocal and mutually beneficial ways to promote each student's academic success and well-being.

9. Effective educational leaders manage school operations and resources to promote each student’s academic success and well-being.
10. Effective educational leaders act as agents of continuous improvement to promote each student’s academic success and well-being.

UNIT REQUIREMENTS – Ed.D

A minimum of 63 units (12 of which may be transferred in from other doctoral level work based on Graduate College Guidelines and advisor approval) are required by the Graduate College for graduation with an Ed.D. A student may need to complete more units depending on research interests, dissertation topic and skill levels.

Type of Coursework	Units	Description
EDL Core	21	7 courses addressing educational leadership and research issues based on PSEL standards
EDL Elective	3	Coursework to support research interest or enhance skills
Research Methods	9	3 units quantitative, 3 units qualitative + 3 units of an advanced quantitative or qualitative or methodology course
Minor Program	12	Coursework outside of EDL that will complement your major, 12-15 units, depending on the requirements of the minor advisor.
	45	Units of Coursework
Dissertation	18	Units of Dissertation (taken after completing the Comprehensive Exam)
	63	<u>Minimum Total Units</u>

UNIT REQUIREMENTS – Ph.D.

A *minimum* of 72 units (12 of which may be transferred in from other doctoral level work based on Graduate College Guidelines and advisor approval) are required by the Graduate College for graduation with a PhD. A student may need to complete more units depending on research interests, dissertation topic and skill levels. Students will work with their advisors and committee members to develop a plan of study that focuses on their academic and research goals. All students must take 12 credits in a substantive core. The following course requirements for the Ph.D. program are:

Type of Coursework	Units	Description
EDL Core	15	Substantive core in Educational Leadership (EDL 606 Policy Analysis, EDL 621 Organizational, Operational and Resource Leadership, EDL 622 Research and Data-Based Decision Making, EDL 625 Leadership in Diverse Communities, EDL 626-Leadership for Social Justice)
Electives / Theory	9	Coursework to support research interest or enhance skills, including a theory class (e.g. Sociology, Anthropology)
Research Methods	12-15	Research Methods Core* (Quantitative Methods, Qualitative Methods, Research Design, Advanced Qualitative or Quantitative Methods).
Internship	1-3	P-20 administrative/research internship (Students who want to focus on scholarship/research have the option of completing a research internship/ apprenticeship in lieu of this requirement.)
Minor Program	9-12	Coursework outside of EDL that will complement your major (approved by the minor department)
	54	Minimum total units of Coursework
Dissertation	18	Units of Dissertation (taken after completing the Comprehensive Exam)
	72	<u>Minimum Total Units</u>

Examples of possible Ph.D. elective classes

Advanced Foundations of Educational Leadership (EDL 620)

- Curriculum Leadership (EDL 623)
- Leadership and Change (EDL 627)
- Program Evaluation (EDL 601)
- Critical Race Theory (EDL 696A)
- Culturally Responsive Leadership (EDL 696A)
- The Superintendency (EDL 682)
- Advanced Organizational Theory (HED 609)
- Politics of Education (EDL 696B)
- Professional Development (EDL 696A)

With advisor approval, students may also take elective courses from other departments, such as Economics, Sociology, Mexican American Studies, Management, Government and Policy, Psychology to complement the course of study and research interest.

CORE COURSE DESCRIPTIONS* (Ed.D., Ph.D.)

EDL 601: Evaluation of Educational Programs and Personnel

In the course, students will learn key evaluation standards, terms, and tools that guide local, state and federal programs such as: standards, accountability, assessment, accreditation, data, scientific research based evidence, testing (high stakes and teacher), outcome measures, etc. These terms and tools are applied at many levels: classroom, school, school district, higher education, state, and national agencies. Evaluation varies widely in the objects evaluated (Programs: Head Start, bilingual education, reading; people: teachers, administrators, bus drivers, etc.), the questions addressed, the methodologies (quantitative and qualitative) used, the data and evidence collected, the audiences served (Federal, state or local agencies, school boards, parents, etc.), the funds expended, and the values invoked.

EDL 604: Leadership for Educational Change

Change is a critical component in any American educational organization. Leadership is essential to implement innovation or new practice, to make mid-course corrections when problems arise and to create a culture in which planning for change is an integral part of the culture. Understanding the need for change, the nature of change, the change process, and the research on change provides a leader with tools to be more effective in dealing with change within their organizations. The purpose of this course is to explore a systems change framework for transforming our schools.

+*EDL 606: Policy Analysis in Higher Education

This course seeks to help students arrive at a better understanding of American education through an examination of education policy development, implementation, and impact. In general, the course will acquaint students with selected education policy issues and challenges that significantly influence current practices. As a foundation, students will explore the implication of political philosophy, ideology, and theories guiding politics and policy in education. The course is intended to give students (as education leaders, prospective researchers, and policy analyst) an appreciation of what drives education policy and its implementation.

As one primary activity, students will closely monitor the development of current policy positions by analyzing breaking information from media, think tanks, education associations, local, state, and federal agencies. In other words, students will stay abreast of the consequential developments of education policy implementation throughout the semester.

The course begins with an analysis of (1) political theory, philosophy, moral politics and ideology, and moves into greater depth (2) policy development and process generally. Students will examine the (3) respective roles of local, the states and federal governments, (4) exploration of a series of education policy issues and the dynamics of political processes that affect P-20 education. Last, students will (5) examine education research that claims to explain the results of education policy intervention and implementation. Because there are limits to the number of topics that can be covered during a single semester, this course will not address in detail a number of important topics, among them, the financing of schools, the roles of the courts, and the research methodology.

+*EDL 620: Advanced Foundations of Educational Leadership

The purpose of this course is to examine leadership theories, the macro theories in which leadership is grounded, and how these theories inform leadership practices in school organizations. Classic and contemporary theory and research literature in educational administration will be explored as well as research processes for examining school leadership in practice. Further, this course will provide students with a knowledge bases in *the Standards for Arizona School Administrators and the Educational Leadership Policy Standards: ISLLC 2008* as adopted by the National Policy Board for Educational Administration (NPBEA). This course will utilize a variety of methodologies to include direct instruction, case studies, simulations and authentic assessments. Students will be expected to articulate a broad theoretical foundation supported by literature from leadership and organizational research and apply this foundation in scholarship related to educational leadership.

+*EDL 621: Organizational, Operational & Resource Leadership

This course is designed to provide a foundation for educational leaders to understand and apply principles of organizational theory to promote student success. Effective management of organizations including basic operations and resource allocation will be discussed and students will explore research which focuses on appropriate decision-making strategies in order to develop a personal understanding of the issues involved in creating effective and efficient learning environments. Students will be able to understand the relationship between leadership theory and organizational theory in order to help frame their perspectives about effective leadership as it applies to educational administration in the K-12 setting. This course will utilize a variety of methodologies to include direct instruction, case studies, simulations and authentic assessments. Students will be expected to apply a broad theoretical foundation supported by literature from leadership and organizational research.

+*EDL 622: Research and Data-Based Decision-Making in Educational Leadership

The purpose of this class is to engage the creation, analysis and use of data for research and school planning purposes. Part of the course will focus on the use of data in the research process. Procedures for gathering valid secondary data sources will be examined and data collected by others will be analyzed and critiqued. The use of APA style will be emphasized throughout. The foundations for this course are standard data analysis and representation techniques.

***EDL 623: Curriculum and Instructional Leadership**

This course is designed to examine leadership and its relationship to curricular development and organization; instruction and supervision; student learning; and school change processes. Curricular and instructional theories will be studied from political and policy perspectives and how they apply to current reform efforts, especially in the context of state and national agendas (AZ Learns and NCLB). Emphasis will also be placed on understanding the role of leadership in various reform movements and the implications these reform activities have for issues of equity and diversity in the school and/or district setting. In addition, the specifics of curricular and instructional reform components, such as standards and high stakes testing, will be critically examined as they apply to classroom practice, student achievement, program evaluation, school improvement, and school restructuring. This course will utilize a variety of methodologies to include direct instruction, case studies, simulations and authentic assessments. Students will be expected to understand and apply a broad theoretical foundation supported by literature in both the leadership and curriculum fields.

+*EDL 625: Leadership for the School and the Diverse Community

The purpose of this course is to provide students the opportunity to apply theory and research to educational leadership practice diverse education settings. The knowledge bases for this course rest in the Standards for Arizona School Administrators and the standards developed by the Educational Leadership Consortium.

+*EDL 626: Leadership for Social Justice, Ethics, and Law

This course addresses the need for, resurgence of interest in, and recognition of the importance of the study of law and ethics for educational administrators and leaders. The purpose is to study the knowledge base of the multiple perspectives on ethics essential for administrators to know as they grapple with the ethical dilemmas inherent in school leadership. This is an interdisciplinary course drawing upon traditional readings in law, ethics, justice and human rights, newer paradigms such as feminist ethics and the ethics of care, and political, public and spiritual ethics, as these affect making meaningful and ethical decision making for children and society. The knowledge bases for this course rest in the Standards for Arizona School Administrators and the standards developed by the Educational Leadership Consortium.

***EDL 627: Leadership for Educational and Organizational Change**

The purpose of this course is to provide students the opportunity to investigate the characteristics of leadership as they apply to changing educational organizational structures and processes. The knowledge bases for this course rest in the Standards for Arizona School Administrators and the PSEL standards developed.

EDL 696A-001: Topics in Educational Leadership: Race, Neoliberalism, and Education

Bringing together these interconnected formations—race, neoliberalism, and education—this course will examine current racialized market-based, neoliberal policy approaches and reform strategies including, but not limited to charter school and vouchers. This course aims to trace the ideological underpinnings and examine the material effects of current neoliberal education policy; consider how neoliberalism as a frame and resulting policy approach is anti-democratic and betrays the humanity of youth (and teachers) of color; and explore “creative resistances” to racialized neoliberal educational projects. This course will provide students opportunities to engage interdisciplinary literature around identity/cultural politics, political economy, and educational restructuring, as well as reflect on the implications of such literature for research, theory, and practice.

EDL 696A-002: Topics in Educational Leadership; Culturally Responsive Leadership

This course will examine ways school leaders can (1) cultivate culturally and linguistically diverse students’ linguistic and cultural proficiencies; (2) provide these students a rich and challenging learning environment; and (3) ensure that these students are socioculturally integrated.

EDL 696 – Topics in Educational Leadership: Professional Development

Professional development is the driver of school change and reform. This course will focus on the neuroscience of adult learning and on the management of professional development at the district and local school level. The professional development opportunities of the ESSA will be explored. Students will complete a pilot/exploratory research project on a specific professional development strategy.

+ Required for Ph.D.

* Required for Ed.D.

DOCTORAL PROGRAM REQUIREMENTS

PAPERWORK REQUIRED BY:				
Activity	Timing	EDL	GradPath	Completed
1. Meet program advisor	1st semester	X		<input type="checkbox"/>
2. Complete the Responsible Conduct of Research Statement (GradPath)	1st semester		X	<input type="checkbox"/>
3. Submit Doctoral Plan of Study (GradPath)	3rd semester		X	<input type="checkbox"/>
4. Select Comprehensive Exam Committee members: 3 major and 1 minor and submit via GradPath	Prior to comprehensive exam		X	<input type="checkbox"/>
5. Complete written Comprehensive Exam (see PhD or EdD requirements)	Courses close to completion	X		<input type="checkbox"/>
6. Complete Announcement of Doctoral Comprehensive Exam (GradPath)	Courses close to completion		X	<input type="checkbox"/>
7. Schedule and sit for oral Comprehensive Exam (3 major members, 1 minor member present)	Courses close to completion	X		<input type="checkbox"/>
8. Complete the Doctoral Dissertation Committee Form through GradPath (at least 3 tenure or tenure-track members and 1 minor member)	After oral comps		X	<input type="checkbox"/>
9. Take Human Subjects Certification	After oral comps		X	<input type="checkbox"/>
10. Write dissertation proposal		X		<input type="checkbox"/>
11. Submit Human Subjects application		X		<input type="checkbox"/>
12. Schedule dissertation proposal review; bring Dissertation Proposal Approval form (Appendices)	After oral comps	X		<input type="checkbox"/>
13. Submit copy of dissertation to committee members	At least 3 weeks before Final Oral Exam	X		<input type="checkbox"/>
14. Schedule final oral examination (submit Announcement of Final Oral Defense form through GradPath)	Submit at least 14 days prior to exam		X	<input type="checkbox"/>
15. Submit approved dissertation to Graduate College			X	<input type="checkbox"/>
16. Submit bound copy of dissertation to EDL office and advisor		X	X	<input type="checkbox"/>

Important References

We ask that you obtain and peruse the following additional materials:

The Graduate Catalog, available at <http://grad.arizona.edu/Catalog/>. This provides information on the programs and regulations that govern graduate exams, ethics, graduate requirements, etc. These regulations will apply to you throughout your program.

The Manual for Theses and Dissertations, available online at http://grad.arizona.edu/system/files/etd_Diss_Manual.pdf. This tells you how to format your dissertation in a way acceptable to the University of Arizona Library.

Publication Manual of the American Psychological Association, 6th edition, available at the UA Bookstore. All papers submitted in fulfillment of course requirements will use APA style.

Advisor and Committee

Your first step in the process of completion of your EDL program should be your academic advisor, who will be assigned to you from available EDL faculty when you are accepted to the program. You must have an academic advisor during your entire program. You cannot enroll in courses without your advisor's prior approval.

Prior to your comprehensive exam, you will need to choose a committee that will work with you in the preparation of your comprehensive exam and your dissertation study. The committee consists of **three** tenured or tenure-track faculty members representative of your area of study and **one** from the minor program. You and your advisor will discuss the composition of the committee.

The advising relationship between students and their committee is based on mutual agreement. It is important that students communicate frequently with their advisors. You have the responsibility to communicate regularly with your advisor and to keep your advisor informed of your progress. In putting together a committee, you should ask faculty members from EDL (or approved by EDL) to act as committee members. Committee members may not have any potential conflict of interest with an advisee (e.g. employment, family, business or financial relationship).

Committee members may change during the course of your program. If you wish to change committee members, you should first discuss the change with your advisor and the affected committee members. Then you need to inform the EDL Administrative Associate of the change. *You may not change committee members after failing an exam.* If a member of the committee is not automatically acceptable to the Graduate College (e.g., is in another department, not a tenure-track faculty member, or from another institution), a form, accessed online at <http://grad.arizona.edu/system/files/SpecialMemberForm.pdf>, must be filled out and then approved by the department head and the Graduate College. A written justification for the request must accompany the form.

If you and your advisor determine that a special committee member is appropriate, you must obtain approval from the department head and the Degree Certification office for this person to serve on your committee before you begin the exam process. Use the required form, available at <http://grad.arizona.edu/system/files/SpecialMemberForm.pdf>. Notify him or her that curriculum vitae will be required when the form is submitted.

You need to meet with your advisor in the spring semester so that your advisor can report on your progress to faculty. You will receive a progress letter at the end of each academia. Faculty progress report will determine your status in the program.

Degree Options

M.Ed. – A Master’s degree in Educational Leadership is designed for the students wishing to become certified as principals in the state of Arizona. Two types of courses are offered, face-to-face and hybrid online. A minimum of thirty-six units are required.

Ed.S. – An Educational Specialist degree is a practitioner-oriented degree for those students who want to increase their knowledge of the research literature in various fields related to leadership, but do not want to continue to do research or have a career at a college or university. A minimum of sixty units including an action research project are required.

Ed.D. or Ph.D. – A doctorate in Educational Leadership has a strong emphasis on theory and research applied to practical situations. A minimum of 63 units and a dissertation is required for the Ed.D. degree program. The Ph.D. requires a minimum of 72 units, with greater emphasis on theory and research. Leaders obtaining their doctorate are prepared to work in public school, policy or academic settings. No dissertation credits are to be taken without written approval of the advisor.

Selecting a Minor and Minor Advisor

To enhance and complement your study of educational leadership, you need to select a minor area of study. Your minor can be in the College of Education or in some other unit in the University. You need to have a minor area identified at the time of the Qualifying Examination. Your advisor can help you identify an appropriate minor area. Once you have identified a minor area, you need to identify a faculty member in that area to serve as your minor advisor. Your minor advisor will work with you to design a minor plan of study of 12-15 units. **You must follow the guidelines of the minor unit for course selection and examinations.** At your Oral Comprehensive Examination, your examination committee must include your minor advisor.

Annual Faculty Student Review

Each year at the end of the spring semester, the faculty will review each student’s progress. First year students need to complete the Educational Leadership Program Planning Document (pg 33) with their advisor prior to the faculty review. After the review, each student will receive a letter with results of the review and recommendations. Those recommendations should be discussed with the advisor for appropriate action. Continuation in the EDL program is based on your academic review.

Plan of Study

You are responsible for developing a **Plan of Study** with your advisor, based on the recommendations made at the Qualifying Examination, to be filed with the Graduate College no later than your **third semester**.

The **Plan of Study** form is based on the **Educational Leadership Program Planning Document** and identifies courses the student intends to transfer from other institutions, courses already completed at The University of Arizona which the student intends to apply toward the graduate degree, and additional course work to be

completed in order to fulfill degree requirements. The Plan of Study form can be accessed through UAccess Student/GradPath. A student FAQ can be found at <http://grad.arizona.edu/gradpath>.

Annual Progress Review

Annually, toward the end of spring semester, a committee composed of the entire EDL faculty, reviews the progress and work of each EDL doctoral student. Letters, describing the committee's assessment will be emailed to each student. If any student is deemed not to be making adequate progress or there are shared concerns about the student's ability to move forward in the program, the advisor and program coordinator will meet individually with the student.

Comprehensive Exam

The comprehensive examination requires using transferable skills and attributes you acquired and developed throughout doctoral studies, such as a range of planning, writing, conducting literature reviews, understanding research, and making scholarly presentations. The comprehensive examination is the gateway to doctoral candidacy, dissertation proposal, and the dissertation.

The written examination is explained below. You must pass the written examination to proceed to the oral examination portion of the comprehensive examination. It is important that you work closely with your advisor in writing your exam paper.

The Written Comprehensive Examination contains Two Required Parts (to be submitted simultaneously) 1) Part One Introduction and Statement of the Problem and 2) Part Two A Literature Review and Critical Analysis (See Boote & Beile, 2005 for a literature review rubric) from which one may derive or suggest a conceptual or theoretical framework for research. Part One should be derived from Part Two. The exam may contain an *optional* pilot study as deemed appropriate by your advisor to further demonstrate research skills to do the dissertation.

PART ONE. INTRODUCTION

The purpose of the introduction part is to provide a framework for your proposed dissertation research. This part should create reader interest, provide a clearly defined topic, a foundation for the problem that necessitates the research, overview the context of literature in which the research is grounded, identify the importance of the research for a specific audience, and briefly introduce the research via the research question (s) and (in the instance where the literature review points to the need for a quantitative study) hypotheses. The introduction contains several subsections listed below.

Background

The background section contains a summary of the most relevant literature, including related seminal pieces, and provides the historical (e.g. how the problem has evolved over time), social (e.g. contexts), and theoretical contexts for the research problem. You should be sure to link and relate the background of the study to the proposed research.

Problem Statement

“A problem might be defined as the issue that exists in the literature, theory, or practice that leads to a need for a study” (Creswell, 2012, p. 50). A problem statement summarizes “the context for the study” and problem the study seeks to address (Wiersma, 1995, p. 404). It may identify the population and variables of the research. It should be stated clearly and unambiguously in one to two paragraphs, followed by a statement of purpose.

Purpose Statement

The purpose statement should follow the problem statement and clearly and succinctly state the focus and intentions of the proposed research. “The purpose statement should provide a specific and accurate synopsis of the overall purpose of the study” (Locke, Spirduso, & Silverman, 1987, p. 5) and begin with the following statement: “The purpose of this study is . . .” It foreshadows the research question(s) and, if appropriate, hypothesis(es).

In a strong comprehensive exam, you ensure that there is a clear relationship among the problem statement, the purpose statement, the background and literature, the research, and the significance of the problem.

Research Question(s)

The proposed research question or questions should be derived from the problem and purpose statements and from the literature review.

PART TWO. REVIEW OF THE LITERATURE

The purpose of the literature review is to provide a context for research and to demonstrate its importance based on your problem demonstrated via the relevant literature as well as the need or gap in the literature. Part two should contain three sections: (a) the introduction, (b) the review of literature, and (c) the summary. This part should, thus, include: (a) an introductory paragraph outlining the organization of the chapter; (b) a description of the conceptual or theoretical framework (i.e. theories, principles, generalizations and research findings which are closely related to the present problem); (c) a critical, coherent argument that leads to a statement of a specific research problem and questions, and (d) a conclusion or summary that briefly reviews the key points of the existing literature and identifies the gap in the literature that future research may fill.

It is important to remember that part two is not just a summary of relevant research, rather a critical and nuanced critique of literature, in which you situate your argument and proposed research.

Your advisor must approve a draft of the written comprehensive exam before you send it to your committee as a whole. If other committee members approve that draft of the written exam as ready for the oral comprehensive exam, you may schedule a date with your committee.

Minor Comprehensive Exam

Your minor advisor (department) determines the requirements for your minor comprehensive exam. Sometimes one EDL and minor written exam are the same document. **CONTACT YOUR MINOR ADVISOR EARLY IN THE PROCESS TO FIND OUT THE MINOR REQUIREMENTS.** Your minor advisor must sit on the EDL oral comprehensive exam committee.

Oral Comprehensive Examination

After your doctoral committee approves your written examination, the oral examination must be taken and passed in order to earn doctoral candidacy status and to start the dissertation research proposal process. You should not schedule your oral comprehensive exam before your entire committee has approved your written exam.

Written and Oral Comprehensive Exam Committee:

You must have two tenured or tenure-track EDL faculty members and your minor advisor on your comprehensive exam committee. You may also have a fourth approved member (e.g. practice track faculty). After you advance to candidacy, with approval of your advisor, you may change committee

members to better support your research in the dissertation. Please tell the affected committee members about the change in committee.

You must be enrolled for at least 3 *units* during the academic semester in which you plan to take the exam.

Once you have passed your comprehensive exam, **you must complete your degree within five years.**

References

Boote, D. & Bale, P. (2005) Scholars before Researchers. *Educational Researcher* 34(6), 3 – 15.

Creswell, J. W. (2012). *Educational research: Planning, conducting, and evaluating Qualitative and quantitative* (4th Ed). Upper Saddle River, NJ: Prentiss-Hall.

Locke, L. F., Spirduso, W., & Silverman, S. J. (1987). *Proposal that work: A guide for planning dissertations and grant proposals*. Newbury Park, CA: Sage Publications.

Wiersma, W. (1995). *Research methods in education: An introduction* (6th Ed). Boston: Allyn and Bacon.

Doctoral Dissertation Committee Form

After you have completed all of your coursework, passed your written and oral comprehensive exams, a **Doctoral Dissertation Committee Form** must be filed through [GradPath](#)

Dissertation Proposal (Written and Oral Requirements)

General Instructions

The dissertation proposal requires using transferable skills and attributes you acquired and developed throughout doctoral studies, and focuses particularly on your abilities to construct an empirical research study with a compelling problem, research questions derived from the literature, a theoretical or conceptual framework, and an appropriate methodology. You will also need to make a scholarly presentation of your study to your dissertation committee. The dissertation proposal is the gateway to doctoral candidacy and the dissertation.

If you (with approval of your advisor) choose to continue with the problem identified in the comprehensive exam, you should take feedback from the exam and revise your written paper to meet the proposal guidelines. This will take multiple revisions and additional feedback from your advisor in order to meet the standard required for the dissertation proposal. It is also a good idea to read several dissertation proposals that have passed committee approval in recent years.

The written proposal is explained below. You must pass the written examination to proceed to the oral examination portion of the proposal defense. It is important that you work closely with your advisor in writing your dissertation proposal.

The Written Dissertation Proposal contains Three Required Chapters (to be submitted simultaneously)
1) Chapter One: Introduction and Statement of the Problem; 2) Chapter Two: A Literature Review and Conceptual or Theoretical Framework (a critical analysis of the literature is the basis for which you will develop your conceptual or theoretical framework for research.; and 3) Chapter Three: Research Methods and Design. Chapter One should be derived from Chapter Two. Chapter Three should be aligned with Chapters One and Two. The completed dissertation begins with the same three chapters and

concludes with two additional chapters that report research findings (Chapter Four) and discussion, conclusions, and recommendations (Chapter Five).

CHAPTER ONE. INTRODUCTION

Chapter One, which introduces the study and states the focus of the study, begins with the context and background information regarding the problem of the study. The Introduction should provide readers with a brief summary of literature and research related to the problem being studied, and should lead up to the statement of the problem. In general, the Introduction begins with a broader perspective of the problem and becomes narrower as the Introduction proceeds. The Introduction, then, narrows the focus of the study and provides a brief rationale for why the particular study is worth pursuing. In Chapter One, you will also introduce relevant studies that are an indicator of how previous research on your problem have been conducted as well as gaps in these studies that indicate a need for your study.

Statement of the Problem: The problem statement is among the most critical parts of the research proposal and dissertation because it provides the focus and direction for the remainder of the study. A well-written problem statement defines the problem and (for a quantitative study), helps identify the variables that will be investigated.

Purpose of the Study: This section follows by stating the specific purpose(s) of the study. It is usually one paragraph long and should state what the study is about.

Research Questions: The problem is further explained in this section. Research questions (and hypotheses if appropriate) emerge from the problem statement. In quantitative studies, you may specify variables and relationships to be reported. A problem statement and research questions also suggest a methodology for the study and serve as a basis for drawing conclusions in Chapter 5.

Significance of the Study (Problem): This section addresses the “so what” of the study. It describes or explains the potential value of the study and findings to the field and the population under study. This section, therefore, should identify the audience for the study and how the results/findings will be beneficial to them. The reader must understand what previous studies were conducted and what your proposed study can offer that is unique and important.

Definition of Terms: This section of Chapter One provides definitions for terms used in the proposal that are unusual to committee members or are not widely understood. In addition, common terms that have special meaning in the study should be defined in this section. Acronyms frequently require definition. Spell out the name first and then give the acronym. A brief introductory statement usually precedes the actual list of definitions that are underlined, indented, and listed in alphabetical order.

Limitations of the Study: Limitations are factors, usually beyond the researcher’s control, that may affect the results of the study or how the results are interpreted. Limitations may also develop or become apparent as the study progresses. In general, limitations are conditions that help the reader recognize how widely findings can be generalized. While all studies have inherent limitations, address only those that may have an effect on this particular study. In some studies, you may identify *delimitations* or factors that affect the study over which the research generally does have some degree of control.

CHAPTER TWO. LITEATURE REVIEW AND CONCEPTUAL/THEORETICAL FRAMEWORK

The purpose of Chapter Two is to provide the reader with a comprehensive review and critical analysis of the literature related to the research problem. The review and analysis of related literature should greatly expand upon the introduction and background information provided in Chapter One. This chapter should contain the theoretical framework of the study, relevant theories and models related to the problem, background and context relevant to the problem, and seminal studies published about the problem. The first section of Chapter Two generally indicates how the chapter is organized and explains the subsections that comprise the chapter. In other words, Chapter Two is divided into as many sections and subsections as needed to logically organize the information presented.

Chapter Two of the proposal must address previous relevant research on the topic and problem in a clear manner to present an argument about the need for your study. In other words, the chapter should not just be a list of everything that has been written on the topic or problem. Rather, the literature review should be a synthesis and critical analysis of relevant research written in such a way that provides a clear argument for your study as well as the theoretical or conceptual framing and methods you will use. Within your literature review, discuss methods that are typically used to study your problem as well as results from these relevant empirical studies. The purpose of the review of all relevant research is to learn how to study the topic at hand by building upon previous studies within a theoretical or conceptual framework.

Chapter Two should end with a summary analysis of the main points from the literature review/ analysis within a theoretical or conceptual framework for your study. This summary should clearly state the argument for your study as well as a rationale for the research methods and designed used in your study.

CHAPTER THREE. RESEARH METHODS AND DESIGN

Chapter Three presents a discussion of the research methods and design as well as specific steps used for sampling, data collection, and data analysis. Generally, this chapter begins with a restatement of the research problem and accompanying research questions (and, if appropriate, hypotheses).

Overview of Design: In this section, you describe your overall research design and tell why it is appropriate for your study (e.g. mixed methods, survey, case study, ethnography, narrative inquiry). This section includes discussion (paraphrased and quoted) with citations from scholars who have written extensively about the research design and related methods used in your study. In the remainder of this section, please note that guidelines are divided into a discussion of typical quantitative proposals and typical qualitative proposals.

Quantitative

Population and Sample; Sampling Process: This section describes the population used in the study and the process and criteria used in selecting a sample.

Instrumentation: This section describes the procedures used for developing an instrument to gather data from your selected population/sample. This generally includes sources of items for the instrument as well as a description of the instrument itself (e.g. number of items on the instrument, response format of the items, etc.). Sources of items for an instrument might include information gleaned from the literature review or may be an adaptation of a previous study or commercially available instrument. Instrument reliability and validity data should be described in this section.

Pilot test. Instruments developed by the researcher should always be pilot tested. Results of the pilot testing should be used to revise the instrument before distributing it to the actual sample. Instruments may also be juried or critiqued by having experts examine it and make recommendations prior to, or in lieu of pilot testing.

Data Collection Procedures: This section describes in detail how the data will be obtained and the timelines involved in collecting the data. Information commonly provided in this section includes what materials will be distributed (e.g. the survey instrument, instruction sheets, number and methods for follow-ups). It should also include how and when the will be distributed to participants.

Data Analysis Procedures: This section describes in detail analysis of the data in relation to the hypotheses to be tested and research questions to be answered. It is important to remember that the research questions also determine the format of the instruments and data collection as well as data analysis. When several hypotheses and research questions are being addressed, it is helpful to describe the data analysis that will be used for each hypothesis/research question.

In this section, if appropriate, independent and dependent variables for each analysis must be determined and identified. In addition, any complex statistical procedures being used should be briefly described with all sources referenced. A statement of the level of significance that will be used should accompany tests of significance. You should also describe any statistical software package used for your data analysis.

Qualitative

Sampling: In this section, you describe your approach to developing a sample for your study. For example, if you use purposive sampling strategies, begin with a discussion of purposive sampling using paraphrased or directly quoted descriptions from methodologies. Then tell the reader how you will apply or adapt those strategies for your particular study. In this section, you then describe your proposed sample in terms of characteristic required for your site(s) and participants.

Data Sources and Collection: In this section, describe your sources of data and how you propose to collect data in your study. Data collection examples might include interviews, participant observations, and documents among others. Provide a paragraph or two on each data source and collection strategy, how you will apply the strategy and why the source and your application are relevant for your study. In each sub-section, it is helpful to begin with a description of the data collection strategy using recommendations from key methodologists and then tell how you propose to apply that strategy. You will need to develop and pilot researches questions and include the revised questions in an appendix.

Data Analysis: Here you describe how you will analyze your data. Begin with a description of your data analysis approach using recommendations from key methodologists. Then tell the reader how you propose to apply that data analysis approach and why that approach is appropriate for your study. Please be specific in describing your plan for data analysis. For example, many qualitative studies use coding strategies. How are you going to code data? Why is your coding approach appropriate for your particular study and its underlying framing?

There should be a good alignment among your theoretical or conceptual framework and its underlying paradigm, your research methods and design. For example, if you are using some form of a Neo-Marxist framework and you have a critical ethnographic design, one might expect that your research questions will try to elicit participants' narrated understandings of inequitable social structures, oppression, and so forth. Likewise, if you are approaching the study through an interpretive paradigm and background in phenomenology, your questions will likely be fewer and more open-ended in order to elicit participants' perceptions of the phenomenon under study as it is. These are only two examples out of many, but you will need to consider how your methodology fits together with your problem and framing or approach to inquiry.

All Proposed Methods Sections should also include:

- Sections that describe validity and reliability or trustworthiness
- Sections on researcher identity or positionality. (The way in which you write this section will differ depending upon your approach and underlying framing, but you should tell the reader something about who you are as the researcher and what you bring to the proposed study)
- Summary of the approach and why it is relevant for the problem under study.

Conducting Research in Your Own District

You may conduct research in your own district if it is appropriate for your study. Aiming to conduct research in one's own district brings up additional ethical considerations and should not be undertaken without much consideration. The student should explore the considerations and must get approval from the entire dissertation committee prior to conducting the research.

Dissertation Committee

It is important that you stay in close touch with your advisor during this time. In completing this step, you should:

1. Assemble a committee of eligible faculty members. Your committee must have at least 3 members. At least two of them must be EDL/ EPSP tenure or tenure-track faculty members.
2. Work with your advisor to choose the committee members that you want to serve on your dissertation committee. Usually, three major members from the preliminary exam are asked, and the minor members may waive their rights to be on the committee. However, more than three members may serve on your committee if you wish.
3. Obtain approval from your advisor to send your final proposal to the other committee members.
4. After your written proposal is approved for the oral defense by all of your committee members, then you will schedule the oral proposal defense meeting and enter appropriate information on Grad Path. Obtain a **Dissertation Proposal Approval** form from the Graduate Coordinator and take it to the meeting for signatures. Return the form to the graduate coordinator after the form has been completed and signed by the committee.

Human Subjects

Your proposal must be approved by your committee and the Human Subjects office prior to collecting data.

You are required to complete Human Subjects training and become certified before you may submit your Human Subjects application. Visit <https://orcr.arizona.edu/hssp> for more information. **You may not collect data until you have written notification of approval from Human Subjects Board.** Your advisor plays a critical role in preparation of an accurate and complete Human Subjects application. Your Human Subjects application needs to be approved by 1) a department representative (Jill Koyama, jkoyama@email.arizona.edu), 2) the department head and 3) the University committee. Expect to make revisions after each reviewer. Allow at least 4 – 6 weeks for your Human Subjects application to be approved by the university committee. If you conduct research in a school district, you will need to complete the district review process as well. Consult with the district for criteria and guidelines.

Written Dissertation

The written dissertation includes revised Chapters 1-3 from your proposal as well as Chapters 4 and 5 that feature a critical analysis of the findings that tie back to the theory and literature as well as implications/conclusions.

Oral Defense of Dissertation

Once you have completed your written dissertation and obtained approval from your advisor, you may schedule your final oral defense with your committee. During the semester in which you defend your dissertation, you must be registered for a minimum of one unit only if you have already met all other program requirements, including the 18 dissertation units. If you have not completed all 18 dissertation units, you must be enrolled for a minimum of 3 units.

The oral defense may not exceed three hours.

To prepare for defending your dissertation, you should:

1. Prepare the penultimate copy of your dissertation and obtain your advisor's permission to send it to committee members.
2. Set up an oral examination date that is agreeable to committee members. This meeting may not take place until at least three months after your preliminary oral exam.
3. Following the examination, make corrections in the dissertation as suggested by the committee members, and obtain remaining signatures on the **Approval Page Form**. Once approved, you will submit your dissertation electronically to the Graduate College. For instructions on submitting your dissertation, visit <http://dissertations.umi.com/arizona>. It is important that you adhere to the submission deadline in the semester in which you wish to graduate on the Graduate College's website at <https://grad.arizona.edu/gsas/degree-requirements/important-degree-dates-and-deadlines>
4. It is customary to give a bound copy of the dissertation to your advisor and to the EDL department.

Incomplete Grades

The grade of **I** may be awarded only at the end of a term, when all but a minor portion of the course work has been satisfactorily completed. The grade of **I** is not to be awarded in place of a failing grade or when the student is expected to repeat the course; in such a case, a grade other than **I** must be assigned. Students should make arrangements with the instructor to receive an incomplete grade before the end of the term.

EDL faculty will use the **Report of Incomplete Grade** form as a contract with the student as to what course work must be completed by the student for the **I** grade to be removed and replaced with a grade. On the form, the instructor states: (1) which assignments or exams should be completed and when; (2) how this work will be graded; and (3) how the student's course grade will be calculated. Both the instructor and student sign this agreement and both should retain copies.

Continuous Enrollment /Leave of Absence /Readmission

You must enroll in at least three units of coursework each Fall and Spring semester until you complete your degree requirements. Once you have completed at least 63 units of coursework including 18 dissertation units, you may enroll for a minimum of one unit each semester until you complete the program.

If it becomes necessary to interrupt your studies, you must file a **Leave of Absence** form with the Graduate College. <http://grad.arizona.edu/system/files/absence.pdf> to download and complete the form.

If you do not maintain continuous enrollment and fail to file a leave of absence prior to the vacant semester, you must apply for readmission. Contact the EDL office to obtain a departmental **Application for Readmission** form and reapply for admission to the Graduate College at <https://apply.grad.arizona.edu/users>. Readmission is dependent upon advisor and department head approval.

Financial Aid Information

The College of Education also offers various types of financial aid, including scholarships, to graduate students for use in the following academic year. For information about availability and types of scholarships, current dates, deadlines, how to apply, and the online application, visit the College of Education financial aid website at <http://www.coe.arizona.edu/students/prospective/aid>.

The Graduate College financial aid web site provides a number of opportunities to students based on financial need, academic performance, membership in an underrepresented population, and other criteria. For information about qualifying for financial aid from the Graduate College, current dates, deadlines, and how to apply for financial aid through the Graduate College, visit <http://grad.arizona.edu/financial-resources>.

Convocation and Commencement

We hope that you and your family and friends will be able to celebrate your accomplishments in two ceremonies.

The College of Education **Convocation** is a smaller, more personal ceremony in which your advisor places the ceremonial hood on your shoulders. It takes place a day or two prior to the larger University commencement. Family and friends are invited to this ceremony. Tickets may be limited, depending on the number of graduates.

University of Arizona **Commencement** is a larger ceremony at the end of Spring Semester in which all university graduates and undergraduates from all colleges are recognized. Families and friends are also invited to this ceremony.

You will receive announcements about these two events, asked whether you will attend convocation, and provide an estimate of the number of family members and friends will be attending. Plan to rent or purchase regalia as soon as it becomes available at the UA Bookstore.

CHECKLIST: DOCTORAL DEGREE REQUIREMENTS

GENERAL DEGREE REQUIREMENTS -- ANSWERS TO THE FOLLOWING QUESTIONS SHOULD BE YES

- Were current catalog requirements followed?
- Were changes in name or addresses reported to Graduate Degree Certification?
- Did registration meet the minimum number of hours each semester (spring and fall - three graduate units, and summer session - one graduate unit)?
- Is the cumulative GPA 3.000 or higher?
- If undergraduate units were applied to the minor program (no more than six units), were they approved by the department?
- If TOEFL score was below 550, were all English courses specified by the English Placement Board completed?
- Did the department recommend change from provisional or international special status to regular graduate standing?
- Were deficiencies completed or cleared by the department?
- Was re-admission completed after a vacant spring or fall semester? (Exceptions: approved part-time status)
- Were all fees cleared by the Bursar's office?

GENERAL DEGREE REQUIREMENTS -- ANSWERS TO THE FOLLOWING QUESTIONS SHOULD BE NO

- Were any courses taken pass/fail? (graduate students may not take courses pass/fail)
- Were any courses repeated that are not designated as repeatable in the Graduate Catalog?
- Were more than 12 units taken as a non-degree student included on the program of study?
- Did any incompletes revert to E's after one year, or do any grades appear as Y on the transcript? (grade not reported)
- Did registration exceed the maximum number of units? (16 units spring or fall, including audit and undergraduate credit; summer session six units)

DOCTORAL DEGREE REQUIREMENTS--ANSWERS TO THE FOLLOWING QUESTIONS SHOULD BE YES

- Were all requirements completed within a 5-year period following the comprehensive oral examination (including transfer work)?
- Did the registration meet the minimum number of units (36 in the major and 9 in the minor, and 18 units of dissertation)?
- Were 30 units completed on campus?
- Were one-half the total units on the Doctoral Plan of Study in coursework graded A, B or C?
- Did all transfer units receive graduate level grades of A or B?
- Did the comprehensive oral examination committee consist of three members from the major and one member from the minor department?
- Were the written and oral comprehensive examinations completed within a six month period of each other?
- If a second attempt on the comprehensive examination was scheduled, did it receive the recommendation of the committee, endorsement of the department, and approval of the Graduate College?
- If a second attempt at the comprehensive examination occurred, did four months elapse between the first and second attempt?
- If the comprehensive examination committee exceeded five members, did the department head and you request permission to form such a committee?
- Did the department and the Graduate College approve advancement to candidacy before scheduling the final examination?
- Did three months elapse between the comprehensive oral and final examination?
- Did the final oral examination committee consist of three members of the major department (minor area may partially or fully waive representation)?
- Were all vacant semesters (semesters with no registration) approved by the department and reported to Graduate Degree Certification?
- Were you registered in all semesters in which exams were taken?
- Did you upload your dissertation at the Graduate Degree website?

Policies and Procedures

Grievance

Should a graduate student feel he or she has been treated unfairly, there are a number of resources available. With few exceptions, students should first attempt to resolve difficulties informally by bringing those concerns directly to the person responsible for the action, or with the student's graduate advisor, the department head, or the immediate supervisor of the person responsible for the action. If the problem cannot be resolved informally, the student may file a formal grievance. The **University Ombudsman** is also available to assist students with concerns or complaints.

Grievances that will be Reviewed by the Graduate College:

While the Graduate College is available to discuss any academic concern, only grievances that allege violation of a specific University rule, regulation, policy or practice will be considered for formal review as stated below. A grievance procedure is available to graduate students who have complaints that:

1. Allege violation of a specific University rule, regulation, policy or practice;
2. Are not remediable by other university grievance policies and procedures; and
3. Are within the decision-making jurisdiction of the Graduate College.

The Associate Dean of the Graduate College or other delegate of the Dean of the Graduate College (hereinafter "Associate Dean") shall determine whether a complaint is within the decision-making jurisdiction of the Graduate College. Examples of complaints that are NOT suitable for formal grievance through the Graduate College are listed at the end of this section.

Grievance Procedure

To pursue a formal [grievance](#), students must take the following steps:

1. If informal efforts to resolve the grievance have failed, students must file their written grievance complaint with the head of their academic unit. Such written complaint must be filed within 6 months of the incident that is the subject of the grievance. The grievance complaint must include a concise statement of the allegations that form the basis for the student's complaint, including a careful statement of the facts, the rule, regulation, policy or practice that was violated, a summary of the informal attempts at resolution, and a suggested remedy.
2. The academic unit head must review the grievance complaint and provide a written response to the student within 15 class days*. A student who wishes to appeal the unit head's response, must file a copy of the grievance complaint and the unit head's response with the Graduate College within 5 class days of receiving the unit head's response.
3. The Associate Dean (or designee) will then try to negotiate a resolution. If acceptable mediation of the grievance is not achieved within 15 class days of filing with the Graduate College, the student may request that it be forwarded to the Grievance Committee.
4. In accordance with the procedures set forth below, the Grievance Committee will hold a hearing and convey its recommendation to the Graduate Dean in writing within 15 class days of their final meeting. The Associate Dean will schedule the hearing date(s).

5. The Graduate Dean will render a final decision affirming, denying or modifying the Grievance Committee's recommendation within 15 class days following receipt of the recommendation.

* "Class days" exclude Saturday, Sunday, holidays, and days in which the University is not in session. All timelines refer to the first regular semester after the incident. Grievances are not processed during the summer sessions unless the dean determines a case warrants immediate review.

Grievance Procedure Deadlines

In pursuing a formal grievance, students must take note of the necessary timeline for pursuing a formal grievance (Table 1). If a student adheres to this timeline, resolution of the grievance can be expected within about 65 class days of the student's written grievance complaint. If the Grievance Committee requires several meetings to reach a recommendation, more time might be required. Deadlines may be extended with the consent of the student, respondent, and/or the responsible party for the pending step in the process. Should there be an unavoidable delay at any step and the Graduate Dean determines that prompt disposition is not possible, he or she shall inform the grievant in writing.

The Graduate Grievance Committee

The Graduate Grievance Committee is a standing committee consisting of eight graduate students representing different academic units appointed by the Graduate and Professional Student Council (GPSC), four faculty members from the Graduate Council and twelve faculty members at large, appointed by the Graduate Dean. Faculty members serve three-year terms. Student members serve two-year terms. All terms are staggered.

To schedule a grievance hearing, the Associate Dean will select a subcommittee from the standing committee consisting of two students and four faculty members, at least one of whom is a member of the Graduate Council. This subcommittee is the hearing committee.

The Graduate Grievance Hearing

The Associate Dean of the Graduate College will arrange a time and place for a hearing. The hearing will be closed to protect the privacy of the student. The hearing committee will select a chair. The chair will preside at the hearing and will rule upon all procedural matters. The formal rules of evidence will not apply, although objections to the introduction of specific statements or documents may be considered by the chair. Irrelevant, immaterial, privileged or unduly repetitious information will be excluded. The chair may establish reasonable limits upon the time allotted to the student and the department or academic unit for oral presentation and examination of witnesses.

All members of the hearing committee and all parties to the grievance will receive a copy of the grievance and the department's response. All parties may present evidence in the hearing. Committee members may question anyone presenting evidence during the hearing. Only evidence presented at the hearing and those documents submitted up to the time of the hearing will be considered in the adjudication of the grievance.

At the hearing, the student will first present his/her case to the hearing committee. He/she may present witnesses. The student may have one advisor present. That person will play an advisory role only and shall not present or participate in the presentation of the student's case at the hearing. If the student elects to have an attorney as an advisor, the Graduate College must be notified at least one week before the scheduled hearing.

The department or appropriate academic unit shall present its case before the hearing committee. Each party may question the other party or their witnesses. The student and the department or appropriate academic unit shall each have the right to rebuttal.

After each party has presented its case and left the hearing room, the hearing committee will begin its deliberations. Additional meetings of the hearing committee may be required for deliberation. Within 15 class days, the chair will communicate the hearing committee's recommendation to the Dean of the Graduate College who will render the final decision.

- Allegations of gender (including sexual harassment), racial, ethnic, religious and sexual orientation discrimination; these are dealt with by the Affirmative Action Office.
- Grade appeals, procedures for which are available in General Catalog or from the Graduate College Information Desk. (Grade appeal procedures apply to course grades; appeals of comprehensive examination or oral defense results follow the general Graduate College Grievance Review Procedures.)
- Complaints against University employees and students that are covered by provisions of the University Handbook for Appointed Personnel ("UHAP"), the Staff Personnel Policy Manual ("SPPM"), and the Student Code of Conduct.
- Graduate College petitions requesting waivers of policy are not addressed through the general Graduate College Grievance Review Procedures; students may appeal denials of petitions by writing directly to the Dean of the Graduate College.

The University Ombudsperson is also available to assist students with concerns and complaints.

College Grade Appeal

A student may appeal a grade by using the following procedures. Where mentioned, the words college, dean, and department head are the department or college in which the course being appealed is offered. All timelines refer to the first regular semester after the semester or summer term in which the grade was awarded. Grade appeals are not processed during the summer sessions unless the dean determines a case warrants immediate review.

Written verification of each step below is critical. Steps three, five, and seven require the student to submit a written appeal. Therefore, either mail the appeal via return receipt or deliver it to the appropriate office and have a staff member verify the date and time of delivery. The dean's decision on whether or not the deadlines have been met is final. The dean has authority to extend the deadlines, but only in extraordinary circumstances shall the appeal extend beyond the first regular semester.

Step 1: Within the first five weeks of the semester, the student should discuss the concerns with the course instructor, stating the reasons for questioning the grade. If the instructor is a teaching assistant/associate and this interview does not resolve the difficulty, the student shall discuss the problem with the person in charge of the course.

Step 2: Within the first five weeks of the semester, the student shall go to the college dean's office to obtain any requisite forms and to review directions. The student must attest in writing that s/he has informed the instructor s/he intends to file a grade appeal.

Step 3: Within the first five weeks of the semester, the student shall carefully formulate an appeal in writing, and submit it to the instructor with a copy to the department head.

Step 4: Within two weeks from the date of receipt of the student's written statement, the instructor shall respond to the student in writing. The instructor should explain the grading procedures and how the grade in question was determined as well as other issues raised in the student's statement.

Step 5: If the instructor is not available or does not resolve the matter within the two-week period, the student shall, within one week thereafter, readdress and submit the written appeal to the department head.

Step 6: The department head has two weeks to consider the student's written statement, the instructor's written statement, and confer with each. The department head, who does not have the authority to change the grade, shall inform the instructor and the student in writing of his/her recommendation. If a grade change is recommended, the instructor may refuse to accept the recommendation. The instructor shall notify the department head and the student in writing of his/her decision.

Step 7: If the department head does not act on or resolve this matter within a two-week period, the student shall, within one week thereafter, readdress and submit the written appeal to the dean.

Step 8: The dean shall convene a committee to review the case. The committee consists of five members. Faculty representatives include one from the department of the instructor concerned, and two from closely related departments or colleges. The student council of the college provides two student representatives. Student representatives shall be full-time upper-division undergraduate students for appeals by undergraduate students or full-time graduate students for appeals by graduate students. If the college does not have an appropriate student council, the ASUA shall appoint the student members. All student members must be in good academic standing in that college.

Within the structure provided by the dean, the committee shall design its own rules of operation and select a chair other than the faculty representative from the department concerned. The student and instructor shall represent themselves. The committee may, or may not

- Meet separately with the student, the instructor, and the department head
- Request each party to submit a brief written summary statement of the issues, and/or
- Interview other persons who have relevant information.

If feasible, the committee should meet with the student and the instructor together in an attempt to resolve the difference. The committee shall consider all aspects of the case before making its recommendation. The committee shall make a written report with recommendations and provide copies to the student, the instructor, the department head, and the dean.

Step 9: The dean shall make a final decision after full consideration of the committee's recommendation and within four weeks of receiving the student's appeal. The dean has the authority to change the grade and the registrar shall accept the dean's decision. The department head, the instructor, and the student shall be notified in writing of the dean's decision.

Code of Academic Integrity

Principle

Integrity and ethical behavior are expected of every student in all academic work. This Academic Integrity principle stands for honesty in all class work, and ethical conduct in all labs and clinical assignments. This principle is furthered by the student Code of Conduct and disciplinary procedures established by ABOR Policies 5-308 through 5-404, all provisions of which apply to all University of Arizona students. This Code of Academic Integrity (hereinafter “this Code”) is intended to fulfill the requirement imposed by ABOR Policy 5-403.A.4 and otherwise to supplement the Student Code of Conduct as permitted by ABOR Policy 5-308.C.1. This Code of Academic Integrity shall not apply to the Colleges of Law or Medicine, which have their own honor codes and procedures.

Prohibited Conduct

Conduct prohibited by this Code consists of all forms of academic dishonesty, including, but not limited to:

1. Cheating, fabrication, facilitating academic dishonesty, and plagiarism as set out and defined in the Student Code of Conduct, ABOR Policy 5-308-E.6, E.10, and F.1.
2. Submitting an item of academic work that has previously been submitted without fair citation of the original work or authorization by the faculty member supervising the work.
3. Violating required professional ethics rules contained or referenced in the student handbooks (hardcopy or online) of undergraduate or graduate programs, or professional colleges.
4. Violating health, safety or ethical requirements to gain any unfair advantage in lab(s) or clinical assignments.
5. Failing to observe rules of academic integrity established by a faculty member for a particular course.
6. Attempting to commit an act prohibited by this Code. Any attempt to commit an act prohibited by these rules shall be subject to sanctions to the same extent as completed acts.
7. Assisting or attempting to assist another to violate this Code.

Student Responsibility

Students engaging in academic dishonesty diminish their education and bring discredit to the academic community. Students shall not violate the Code of Academic Integrity and shall avoid situations likely to compromise academic integrity. Students shall observe the generally applicable provisions of this Code whether or not faculty members establish special rules of academic integrity for particular classes. Students are not excused from complying with this Code because of faculty members’ failure to prevent cheating.

Faculty Responsibility

Faculty members shall foster an expectation of academic integrity and shall notify students of their policy for the submission of academic work that has previously been submitted for academic advancement, as well as any special rules of academic integrity or ethics established for a particular class or program (e.g., whether a faculty member permits collaboration on coursework; ethical requirements for lab and clinical assignments; etc.), and make every reasonable effort to avoid situations conducive to infractions of this Code.

Student Rights

Students have the right to a fair consideration of the charges, to see the evidence, and to confidentiality as allowed by law and fairness to other affected persons. Procedures under this Code shall be conducted in a confidential manner, although a student has the right to an advisor in any appeal to a University Hearing Board under this Code.

Academic Integrity [Procedures](#)

I. Faculty-Student Conference

The faculty member of record for the course (i.e., responsible for signing the grade sheet) conducts these procedures. Faculty shall make sure that students receive notice and fair consideration of the charges against them. The faculty member must confer with the student within 15 academic days (hereinafter referred to as “days”) of receiving evidence of a suspected violation of this Code, unless good cause is shown for an extension of no more than 30 days. The faculty member shall confer with the student in private, explain the allegations, present any evidence, and hear the student’s response. If more than one student is involved in an incident, separate conferences are recommended but not required. When dealing with students who are unavailable for the conference, students not enrolled in the class, or graduate students, refer to the General Provisions. After the conference the faculty member shall decide, by a preponderance of the evidence, whether or not the student has committed an act prohibited by this Code. “Preponderance of the evidence” means that it is more likely than not that a violation of this Code occurred. If the evidence does not support a finding of a violation, the University will make no record of the incident in any University files. The student may continue in the class without prejudice. If the evidence supports a finding that the student has engaged in misconduct, the faculty member shall impose sanctions after considering the seriousness of the misconduct, the student’s state of mind, and the harm done to the University and to other students. In addition, the faculty member shall consider mitigating and aggravating factors in accordance with the provisions of ABOR Policy 5-308.H. A faculty member may impose any one or a combination of the following sanctions: a written warning, loss of credit for the work involved, reduction in grade, notation of the violation(s) on the student’s transcript (temporary or permanent), or a failing grade in the course. The faculty member may also impose a sanction of suspension or expulsion from the program, department, college, or University. Within 10 days of the conference, the faculty member shall prepare a written decision outlining the charges, evidence, findings, conclusions and sanctions imposed. The faculty member should use the standard form entitled “Record of Faculty-Student Conference,” and furnish copies to the student (as provided in the “Notice” section under General Provisions) and to all others as noted on the form, including the Dean of Students Office. See the General Provisions section for Grade Before Appeals.

II. Additional Sanctions for Multiple Violations

Multiple violations of this Code may subject students to additional sanctions, including suspension or expulsion at the discretion of the Dean of the student’s College (“Academic Dean”) or his/her designee. Students found responsible by a faculty member for a violation of the Code must immediately contact the Dean of Students Office to determine if they have multiple violations subjecting them to additional sanctions by their Academic Deans.

Upon receiving the Record of Faculty-Student Conference, the Dean of Students Office will notify the student and the Academic Dean of the existence of multiple violations. The Academic Dean will decide if any additional sanctions are to be imposed on the student as a result of multiple violations. The Academic Dean will convey this information to the faculty member, the student and the Dean of the college where the violation occurred (“Dean of the College”), as provided in the “Notice” section under General Provisions. The Academic Dean should use the form entitled “Sanctions for Multiple Violations,” and outline the findings and conclusions supporting his/her decision for an additional sanction. If the case is appealed as set forth below, the Academic Dean will present the case for the additional sanction.

III. Appeal to Dean of the College

The student may appeal the faculty member's decision and sanctions to the Dean of the College or his/her designee. The student shall deliver the written appeal to the Dean of the College within 10 days of the date on which the notice of the decision is received. The Dean of the College may extend this filing period if the student shows good cause for the extension. If a student does not appeal within the time provided, the decision and sanctions of the faculty member will be final. Within 15 days of receiving the appeal, the Dean of the College shall review the faculty member's decision, sanctions and supporting evidence, and shall confer with the faculty member and the student. The Dean of the College shall have the authority to uphold, modify, or rescind the faculty member's decision and sanctions. If the Dean of the College finds:

1. That the conclusion of a violation is not supported by the evidence, then he/she shall render a finding of no violation and that the sanction(s) imposed be rescinded.
2. That the conclusion of a violation is supported by the evidence and the sanction imposed is appropriate, then he/she shall uphold the faculty member's decision and sanction(s).
3. That the conclusion of a violation is supported by the evidence, and the sanction(s) imposed are inadequate or excessive, then he/she shall modify the sanction(s) as appropriate.

The Dean of the College shall notify the student, the faculty member and the Dean of Students in writing of his/her decision as provided in the "Notice" section under General Provisions. The Dean of the College should use the form "Record of Appeal to Dean of the College" for this purpose. If the Dean of the College fails to act within the 15 day period, the student may, within 10 days thereafter, appeal to a University Hearing Board by providing a written notice of appeal to the Dean of Students Office. If the Dean of the College decides no violation occurred, all reference to the charge shall be removed from the student's 4 University records, and the student may continue in the class without prejudice. If the semester has ended, the faculty member shall calculate the grade without the sanction. If work was not completed due to the academic integrity allegation, the faculty member and the student shall confer and a grade of "W" or "I" shall be assigned. If a grade of "I" is assigned, the student shall have the opportunity to complete remaining work without prejudice.

IV. Interim Action

1. The Dean of the College involved may suspend the student from one or more classes, clinics or labs for an interim period prior to resolution of the academic integrity proceeding if the Dean believes that the information supporting the allegations of academic misconduct is reliable and determines that the continued presence of the student in classes or class-related activities poses a significant threat to any person or property.
2. The Dean must provide a written notice of the interim suspension to the student, with a copy to the Provost. The interim suspension will become effective immediately as of the date of the written notice.
3. A student who is suspended for an interim period may request a meeting with the Provost or his/her designee to review the Dean's decision and to respond to the allegations that he or she poses a threat, by making a written request to the Provost for a meeting, including the student's dates of availability. The Provost or his/her designee will schedule the meeting no later than five (5) days following receipt of the written request and decide whether the reasons for imposing the interim suspension are supported by the available evidence.
4. The interim suspension will remain in effect until a final decision has been made on the pending academic misconduct charges or until the Provost, or his/her designee, determines that the reasons for imposing the interim suspension no longer exist or are not supported by the available evidence.

V. Appeal to University Hearing Board

The student may appeal any decision of the Dean of the College or the Academic Dean that imposes suspension or expulsion or provides for a notation on the student's transcript. The student may also appeal if the Dean of the College failed to act within the 15 day period. The Dean may grant the student the option to appeal if the sanction of a failing grade is imposed and the Dean believes reasonable persons would disagree on whether a violation occurred. The appeal must be filed within 10 days from receipt of the decision or the Dean of the College's failure to act, by providing written notice of appeal to the Dean of Students Office. If a student does not appeal within the time provided, the decisions of the Academic Dean, and the Dean of the College or the faculty member if the Dean of the College failed to act, will be final. The University Hearing Board shall follow the procedures set forth in the Student Disciplinary Procedures ABOR Policy 5-403.D. with the following modifications:

1. The Hearing Board shall be composed of three faculty and two students and shall convene within 30 days of the time the student files the appeal.
2. Wherever the term Vice President of Student Affairs appears, it shall be replaced with Senior Vice President for Academic Affairs/Provost. The Provost is empowered to change grades and the Registrar shall accept the Provost's decision. The Provost shall also notify the parties of the final decision.
3. Wherever the Dean of Students is indicated as presenting evidence or witnesses, it shall be replaced with the faculty member who made the charges or his/her representative. Additionally, the Academic Dean or designee may also present evidence to support sanctions for multiple violations.
4. The student may be assisted throughout the proceedings by an advisor or may be represented by an attorney. If the student is represented by an attorney, the faculty member may also be represented by an attorney selected by the University Attorney's Office.
5. The faculty member has the same right as students to challenge the participation of any Board member, as noted in the Student Disciplinary Procedures (5-403.D.3.f.).
6. The Board may, in its recommendations, address any egregious violations of process.
7. Sanctions for multiple violations will be recommended and presented to the Board by the Academic Dean or his/ her designee

General Provisions

Academic Days

"Academic Days" are the days in which school is in session during the regular fall and spring semesters, excluding weekends and holidays. If possible, Faculty-Student Conferences and appeals may be heard during the summer or winter break. The Dean of the College or Dean of Students may extend these time limits when serving the interests of a fair consideration or for good cause shown.

Advisor

An individual selected by the student to advise him/her. The advisor may be a faculty or staff member, student, attorney, or other representative of the student. The student will be responsible for any fees charged by the advisor.

Grade Before Appeals

Students must be allowed to continue in class without prejudice until all unexpired or pending appeals are completed. If the semester ends before all appeals are concluded, a grade of "I" shall be recorded until appeals are completed.

Graduate Students

In cases involving graduate students, faculty shall follow the procedures outlined for undergraduate students except that in all cases where the student is found to have violated this Code, the faculty member (and in the case of appeals, the Dean of the College or Hearing Board) shall notify the Associate Dean of the Graduate College.

Notice

Whenever notice is required in these procedures it shall be written notice delivered by hand or by other means that provides for verification of delivery.

Record

Whenever a sanction is imposed, the sanction and the rationale shall be recorded in the student's academic file. It is recommended that the standard forms "Record of Faculty-Student Conference" and "Record of Appeal to Dean of the College" be used. These forms are available from the Dean of Students Office. Students may petition the Senior Vice President for Academic Affairs/Provost after five years from the semester of the determination or upon graduation, whichever occurs first, to have the record destroyed.

Rights and Responsibilities of Witnesses

Witnesses are expected to cooperate in any proceedings under this Code. The privacy of a witness shall be protected to the extent allowed by law and with consideration to fairness to the students charged and other affected persons. Retaliation of any kind against witnesses is prohibited and shall be treated as a violation of the Student Code of Conduct or of other applicable University rules.

Students or Faculty Not Available For Conference

In cases where the student is not available, e.g., out of the area after final exams, the faculty member shall make every reasonable effort to contact the student through personal contact, telephone, University email, or mail to inform the student of the charges. If the faculty member is able to contact the student, the Faculty-Student Conference shall be scheduled as soon as both parties are available, e.g., at the beginning of the next semester. The student shall be given the grade of Incomplete until the conference is held. If either of the parties will not be available for an extended period, the Faculty-Student Conference shall be held via the telephone or by mail. If after several efforts, contact cannot be established, the faculty member may impose sanctions but must send a letter or copy of the "Record of Faculty-Student Conference" form via certified return receipt requested mail to the student's last permanent address outlining the charges, findings, conclusions and sanctions.

Students Not In Class

If students not enrolled in the class are involved in a violation of this Code, faculty shall file a Student Code of Conduct complaint with the Dean of Students Office.

DOCTORAL PROGRAM PLANNING DOCUMENT

This is ***not*** the official Degree Certification document required by the Graduate College. It is a helpful planning tool used to generate your official Plan of Study, the official document required by Degree Certification. ***Bring this completed form to your qualifying examination*** (electronic copies are available from the Administrative Associate).

Name	
Street Address	
City	
Work Phone	
Home Phone	
Email	

EDL Advisor			
Major	Educational Leadership	Program (Ph.D. Ed.D.)	
Minor			

Admissions:

Admitted to EDL Doctoral Program (Date)	
--	--

Qualifying Procedures:

1. Current vita / resume
2. Proposed plan of study and timeline
3. Paper.

Qualifying Examination (Date)	
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Ed.D. Curriculum

1. EDL Major Core (24 units)

Semester	Grade	Units	Course #	Course Name
		3	EDL 620	Advanced Foundations of Educational Leadership: Theory, Research, & Practice
		3	EDL 621	Organizational, Operational, and Resource Leadership
		3	EDL 622	Research and Data-Based Decision Making
		3	EDL 623	Curriculum and Instructional Leadership
		3	EDL 625	Leadership for the School and the Diverse Community
		3	EDL 626	Leadership for Social Justice: Ethics and Law
		3	EDL 627	Leadership for Educational and Organizational Change
		3	TBD	Elective – See pages 7 and 8

2. Research Methods and Dissertation (27 units)

Ed.D: 9 units in research methods including 3 units of quantitative methods, 3 units of qualitative methods, and 3 units in an advanced quantitative or qualitative or methodology course. 18 units of Dissertation are required.

Semester	Grade	Units	Course #	Course Name
		3	TBD	Quantitative Research Methods
		3	EDL 605	Qualitative Research Methods
		3	TBD	Advanced Quantitative / Qualitative / Other Methods
		18	EDL 920	Dissertation

3. Minor Program _____ (12-15 units)

Minor Advisor _____

Semester	Grade	Units	Course #	Course Name

TOTAL UNITS _____

Ph.D. Curriculum

1. EDL Required Core (15 units)

Semester	Grade	Units	Course #	Course Name
		3	EDL 606	Policy Analysis
		3	EDL 621	Organizational, Operational, and Resource Leadership
		3	EDL 622	Research and Data-Based Decision Making
		3	EDL 625	Leadership in Diverse Communities
		3	EDL 626	Leadership for Social Justice

2. EDL Electives (9 units)

Semester	Grade	Units	Course #	Course Name
		3	EDL 601	Program Evaluation
		3	EDL 620	Advanced Foundations of Educational Leadership: Theory, Research, & Practice
		3	EDL 623	Curriculum Leadership
		3	EDL 696A	Critical Race Theory
		3	EDL 696A	Culturally Responsive Leadership
		3	EDL 696A	Professional Development
		3	TBD	Theory
		3	TBD	Elective
		3	TBD	Elective

3. Research Methods and Dissertation (12-15 units Methods, 1-3 units Internship and 18 Units Dissertation)

Ph.D.: minimum of 12 units in research methods including 3 units of quantitative methods, 3 units of qualitative methods, and 6 units in an advanced quantitative or qualitative or methodology course, 1-3 units Research Internship. 18 Dissertation units are required.

Semester	Grade	Units	Course #	Course Name
		3	TBD	Quantitative Research Methods
		3	EDL 605	Qualitative Research Methods
		3	TBD	Advanced Quantitative / Qualitative / Other Methods
		3	TBD	Advanced Quantitative / Qualitative / Other Methods
		1-3	EDL 699	Research Internship
		3	EDL 622	Research and Data-Based Decision Making
		18	EDL 920	Dissertation

4. Minor Program _____ **(9-12)**

Minor Advisor _____

Semester	Grade	Units	Course #	Course Name

TOTAL UNITS _____

**The University of Arizona
Report of Incomplete Grade**

College _____ Department _____

This form is to be completed by the instructor issuing the “I” grade, signed by all parties, and filed in the department with a copy to the student.

Student’s name _____ SID# _____

Year & Semester Enrolled _____

Course Number and Title _____ Credit hours _____

The student must complete and submit the following work by _____ (date).

The following work must be completed either by the above date or within one year for the “I” to be removed and replaced by the appropriate grade. Any exams to be taken and specific information for grading should be attached to the department copy of this form. The one year period starts on the last day of final exams of the term when the student was enrolled in the course. Thus, a student with an “Incomplete” grade for a course taken in Spring 2015 must submit the completed work no later than the last day of final exams for the Spring 2016 Semester. During the year that the “Incomplete” grade is active, **the student cannot re-enroll in the course to remove the “I.”** If the “Incomplete” grade is not replaced within one year, it changes to an “E.” Once the “I” has been replaced with a final grade, the student has the option of re-enrolling in the course and possibly using the Grade Replacement Opportunity (GRO). [Note: GRO policies differ for undergraduate and graduate courses.]

Describe what portion of the course remains to be completed and how the final grade will be determined after the required work has been completed and graded.

The University policy for issuing an “Incomplete” grade is stated in the University Catalogs. **An “Incomplete” can only be awarded at the end of the semester when all but a minor portion of the course has been satisfactorily completed, and when the student is unable to finish due to extremely unusual circumstances and/or exceptional hardship.** The grade of “I” is not to be awarded in place of a failing grade or when a student is expected to repeat the course; in such a case, the appropriate grade must be assigned. Students should make arrangements with the instructor to receive an “Incomplete” grade before the end of the semester. After the course work is completed, the appropriate grade will be submitted on a Change of Grade form to the Registration and Transcripts Office for processing.

Date _____ Student’s signature _____

Date _____ Instructor’s signature _____

5/26/04; revision approved by the Faculty Senate, 11/5/07

DOCTORAL PLAN OF STUDY

This form must be completed through GradPath. The GradPath drop-down menu can be found on the UAccess Student Self-Service page.

A student FAQ can be found at grad.arizona.edu/GradPath.

1. You are responsible for submitting a Plan of Study to be filed with the Graduate College no later than the third semester of your program.
2. The Plan of Study identifies courses you intend to transfer from other institutions; courses already completed at The University of Arizona which you intend to apply toward the graduate degree; and additional course work to be completed in order to fulfill degree requirements.
3. Any transfer course work **MUST** be approved in advance to completing your Plan of Study. Please note that this is an additional form, also located in GradPath. Official transcripts may be requested by the Graduate College, should the transfer units were taken after your entry into the doctoral program.
4. Your Plan of Study must have the approval of your major and minor advisors and department heads before it is submitted to the Graduate College.
5. The form will be electronically routed for approval to the minor committee advisor and head before it is routed to the home department for approval. You are able to view the form as it is routed through for approval. We suggest that you follow up with the approvers, should you see that a form has been pending for more than 10 business days.

THE ORAL COMPREHENSIVE EXAMINATION FOR DOCTORAL CANDIDACY

Forms must be completed through GradPath. The GradPath drop-down menu can be found on the UAccess Student Self-Service page.

A student FAQ can be found at **grad.arizona.edu/GradPath**.

1. You must obtain approval in advance for special members to serve on your committee. Contact the Graduate Coordinator for information on how to request an outside committee member.
2. The written preliminary examinations must be passed before the oral examinations may be held. The written and oral portions of the preliminary examination shall take place within two successive semesters, not including summer sessions.
3. The committee chair will return the results of the examination to the Graduate Degree Certification office.
4. A second attempt to pass the preliminary oral must be recommended by the examining committee, endorsed by the major department and approved by the Graduate College. Four months must elapse between any first and second attempt.

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DISSERTATION COMMITTEE APPOINTMENT FORM

Forms must be completed through GradPath. The GradPath drop-down menu can be found on the UAccess Student Self-Service page.

A student FAQ can be found at [**grad.arizona.edu/GradPath.**](http://grad.arizona.edu/GradPath)

1. Submit the Dissertation Committee Appointment form via GradPath no later than six months before you schedule the Final Oral Examination.
2. The diploma mailing address may **not** be a campus address. Use your permanent residence as your mailing address.

ANNOUNCEMENT OF FINAL DISSERTATION EXAMINATION

Forms must be completed through GradPath. The GradPath drop-down menu can be found on the UAccess Student Self-Service page.

A student FAQ can be found at **grad.arizona.edu/GradPath**.

1. You must be registered in the semester (with the exception of summer) in which the examination is held. A minimum registration of one unit of graduate credit is required for academic semesters.
2. You must submit the **Announcement of Final Oral Examination** form within ten business days of the scheduled exam date through GradPath.
3. Complete and print two copies of the **Approval Page Form**, which requires signatures of the dissertation director and committee members and bring them to your exam. The form is available at <http://coe.arizona.edu/epsp/gradresources>, under Sample Approval Page Form.
4. The dissertation director reports the results of the Dissertation Defense through GradPath, immediately following the exam.

DISSERTATION: ELECTRONIC SUBMISSION AND BOUND COPIES

Discussion of performance is initiated after the oral presentation and questioning and after the candidate and all visitors have left the room. Unless the CGS Representative deems otherwise, only the appointed members of the examining committee are present for the discussion and balloting. The discussion and ballot may result in one of the four alternatives:

1. **Unconditional Pass.** The committee agrees that the dissertation and defense are acceptable. The committee members and dissertation director then sign the *Notice of Completion of Final Examination and Dissertation Requirements*, indicating “Pass.” The dissertation director signs a second time in the appropriate space, certifying that the dissertation is satisfactory and has been accepted by the Committee.
2. **Pass with Minor Dissertation Revision.** The committee agrees that the defense is acceptable but that the dissertation still requires revision. The committee members and dissertation director then sign the *Notice of Completion of Final Examination and Dissertation Requirements*, indicating “Pass,” but the dissertation director withholds the signature certifying approval of the dissertation pending satisfactory revisions and corrections.
3. **Pass with Major Dissertation Revision.** The committee agrees that the defense is acceptable, but the dissertation requires substantial revision. In this case, the committee members and dissertation director mark “Pass” on the *Notice of Completion of Final Examination and Dissertation Requirements*, but the director withholds signing off on the dissertation. Such signing may take place only after the committee members have examined and approved the revised dissertation.
4. **Failure.** If the dissertation and/or its defense are not acceptable, the candidate fails. The *Notice of Completion of Final Examination and Dissertation Requirements* form is marked “Fail” and signed by the committee members and dissertation director. If the committee foresees the possibility that the student can revise the dissertation in a way that might eventually be acceptable, it may recommend a reexamination. The Dean of the Graduate College and Vice President for Research makes the decision as to whether to allow a second examination.

Upon successful completion of the Final Oral Defense Examination, you must submit your dissertation electronically. For instructions on completing this step, visit <http://grad.arizona.edu/academics/degree-certification/diss-theses/manuals>

Student Center: GradPath

Frequently Asked Questions



What is GradPath?

GradPath is the Graduate College's nearly paperless degree audit process that makes tracking and monitoring student progress much easier. Students are able to fill in and submit forms online through [UAccess Student is external](#). Forms have some automatic checking built in that prevent common errors (e.g., typos in course numbers, illegible faculty names, etc.). There is also built-in logic to notify students when there is a problem with their forms, such as courses outside our time limit. Such messages include links to policy.

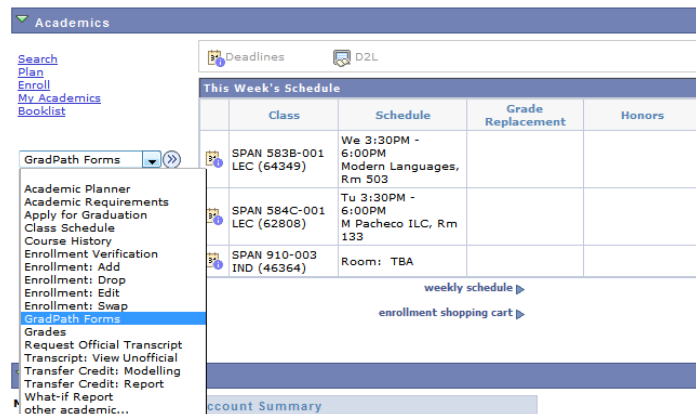
The automated workflow engine routes the electronic forms to everyone who needs to see or approve them - each approver is notified by email when a form is awaiting review and approval, with a link in the email to go straight to the form.

What if I've already submitted some forms on paper?

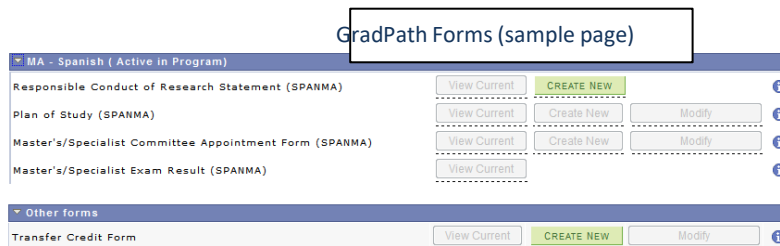
The forms are on file and do not have to be re-submitted electronically, but are not visible in GradPath, which you will use for your next form. If paper forms were submitted, the system picks up at the next step. GradPath may allow you to create forms you already completed on paper - you should NOT re-do a form unless the information has changed.

How do I navigate to the forms in UAccess Student?

In the Academics section click the dropdown and select GradPath forms.



You are first directed to the landing page, which contains links and other helpful information. From there, click the GradPath Forms link.



What is the Responsible Conduct of Research Statement?

This is the first form you must complete in GradPath and you cannot open the next form you need until this is completed. To see the form, click Create New. Make sure you've read the **General Information** section. Then, in the **Certified** section, read the statement and check the box.

This form does not require any approvals; once submitted you are immediately able to access the next applicable form. To return to your forms page, click the **Return** button.

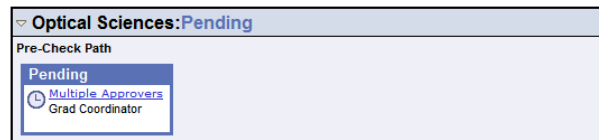
Why are some buttons grayed out?

The forms can only be submitted in a controlled sequence. You cannot create a new form if there are prior forms that have not been submitted and approved. In addition, modify is only available once a form has been approved.

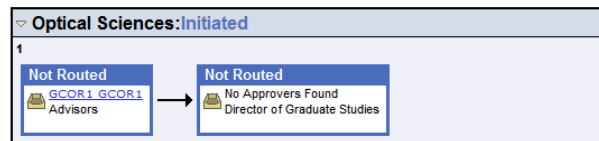
How do I know who my form is being routed to or where it is in the process?

This information is visible in the Workflow Approval Path, which displays at the bottom of the form as soon as you Submit. You can also go to any form and View Current to see the path.

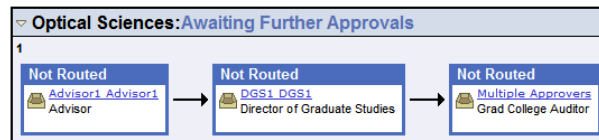
Pre-check Stage



Approval for Minor(s)



Approval for Major



The Workflow Approval Path shows you where the form has been, the action taken, and where it's going. Approvals progress through all the routing in a section before progressing to the next, and each section has at least one approval group. The approval group may contain a single name or may have multiple approvers. Click on the blue link in any approval group to see more details regarding the person/people in the group.

Note: The Pre-check Stage section displays if the program has asked that the Graduate Coordinator be sent notification of the form's submission. Many departments choose to have forms go directly to the faculty for approval and thus skip this pre-check stage.

I'm filling out my Plan of Study and my committee member is not listed. What do I do?

Contact your Graduate Coordinator so the committee member can be added.

Who do I contact if I have questions?

Please contact the degree auditor for your program. On the Graduate College website, identify your auditor by referring to the [Find Your Degree Auditor](http://grad.arizona.edu/academics/degree-certification/find-auditor) page (<http://grad.arizona.edu/academics/degree-certification/find-auditor>).