PhD Program in Educational Leadership and Policy Studies

Handbook
Fall 2014
TABLE OF CONTENTS

I. LIST OF ATTACHMENTS ........................................................................................................ 1

II. CONTACT INFORMATION: .............................................................................................. 1

III. MISSION ............................................................................................................................ 1

IV. DOCTORAL PROGRAM GOAL .......................................................................................... 2

V. OVERVIEW OF PROGRAM .............................................................................................. 2

VI. PROGRAM ADVISORS ..................................................................................................... 5

VII. DOCTORAL STUDENT PROGRAM PROGRESS .............................................................. 5

VIII. STUDIES COMMITTEE ................................................................................................... 7

IX. PROGRAM OF STUDY PLANNING GUIDELINES ............................................................ 7

X. ENROLLMENT POLICIES AND PROCEDURES ................................................................. 10

XI. COMPREHENSIVE EXAMINATION GUIDELINES ........................................................... 12

XII. DISSERTATION GUIDELINES ......................................................................................... 15

A. DISSERTATION PROPOSAL DEVELOPMENT & APPROVAL ......................................... 16

B. DISSERTATION RESEARCH .............................................................................................. 18

C. JOURNAL ARTICLE DISSERTATION FORMAT ................................................................ 18

D. DISSERTATION FORMAT/RECORD CHECK .................................................................. 20

E. SAMPLE FORMAT PAGES FOR DISSERTATION ............................................................... 21

F. PREPARING FOR YOUR DEFENSE .................................................................................... 26

G. THE DEFENSE .................................................................................................................. 27

H. AFTER DEFENSE ............................................................................................................. 28

I. GRADUATION DATES ......................................................................................................... 29

J. STUDENT APPEAL PROCEDURES .................................................................................... 29

Updated August, 2014
I. List of Attachments

Attachment A  Checklist & Suggested Timeline for Program Completion
Attachment B  Program Plan Form
Attachment C  Curriculum Matrix
Attachment D  Change In Program Plan Form
Attachment E  Independent Study Proposal Form
Attachment F  Permission for to take Comprehensive Exam Form
Attachment G  Comprehensive Examination Review Form
Attachment H  The Elements Of A Proposal
Attachment I  Developing A Qualitative Research Proposal
Attachment J  Dissertation Proposal Approval Form
Attachment K  Institutional Review Board (IRB) Approval Form
Attachment L  Dissertation Defense Checklist

II. CONTACT INFORMATION:

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III. MISSION

College of Education and Social Services Mission Statement:
The College of Education and Social Services (CESS) seeks to (1) educate and prepare outstanding professionals in education, social work, and human services; (2) engage in scholarship of high quality; and (3) provide exemplary professional service within the state of Vermont, nationally, and globally. We do this to contribute to a more humane and just society, free from oppression, that maximizes human potential and the quality of life for all individuals, families and communities.

Ph.D Program in Educational Leadership & Policy Studies Mission Statement:
To prepare PhD graduates in Educational Leadership and Policy Studies who can undertake original research in order to create and disseminate new knowledge to address educational and related problems and issues as university faculty and research leaders in public and private organizations worldwide.
IV. DOCTORAL PROGRAM GOAL

Graduates of the doctoral program should possess the knowledge, dispositions, principles, and skills to be humane, imaginative, and competent researchers in education and the social services.

V. OVERVIEW OF PROGRAM

The Doctoral Program in Educational Leadership and Policy Studies is a program that prepares professional researchers, scholars, and faculty competent in conducting and sharing research. The program will provide students with:

- research training that uses advanced quantitative, qualitative, and mixed method approaches to add to theoretical practical and knowledge.
- in-depth understandings of systems change, leadership, and policy in order to conduct high quality research.
- mentoring in conducting independent research, presenting papers at professional conferences, submitting their work for publication, and in navigating the academic job market.

The Cohort Model Approach

The Doctor of Education at the University of Vermont has been designed with a cohort approach to learning. In this approach, a new group of students are admitted each year to both the PhD and EdD programs and called a cohort. Each cohort will proceed through the first two years of the program together, enrolling in a set of core courses that cross both degree programs. Program faculty will assist each cohort to develop into an effective learning community wherein students challenge and support one another. We believe that a cohort approach for adult learners fosters a spirit of community, maintains commitment, and leads to a higher completion rate as compared to other approaches to doctoral studies. In addition, the composition of the cohort represents a variety of specialized interests including Pre-K-12 education, higher education and social services. Through knowledge acquisition, research, spirited dialogue and collaboration, students form lifelong professional relationships that often span decades.

Ph.D. Program Format

The program requires a minimum of 75 semester credit hours. Coursework is divided into 12 credit hours of core courses, 18 hours of research credit, 12 credits in a selected concentration, 9 transdisciplinary credits, a dissertation writing course for 3 credits, and 21 hours of dissertation research credits. During the first and second first year of the program, students participate in the learning community known as the cohort. Students take core courses sequenced in the fall and spring.
# PhD Course of Study Requirements

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Courses</th>
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<tbody>
<tr>
<td><strong>Core courses</strong></td>
<td>EDFS 455 Social Processes (3 credits)</td>
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<td></td>
<td>EDLP 431 Organizational Leadership (3 credits)</td>
</tr>
<tr>
<td></td>
<td>EDLP 437 Policy Seminar (3 credits)</td>
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<tr>
<td></td>
<td>EDLP 432 Organizational Theory (3 credits)</td>
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<tr>
<td></td>
<td><strong>Required: 12 credits</strong></td>
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<tr>
<td><strong>Research</strong></td>
<td>EDLP 409 Applied Qualitative Educational Research (3 credits)</td>
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<tr>
<td></td>
<td>or EDFS 347 Qualitative Research Methods</td>
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<tr>
<td></td>
<td>EDLP 419 Applied Quantitative Research (3 credits)</td>
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<td></td>
<td>EDLP 429 Advanced Quantitative Research (3 credits)</td>
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<td></td>
<td>Elective research courses (9 credits):</td>
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<td></td>
<td>EDLP 264 Program Evaluation (3 credits)</td>
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<td></td>
<td>EDLP 350 Survey Research Methods (3 credits)</td>
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<td></td>
<td>EDLP 439 Hierarchical Modeling (3 credits)</td>
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<tr>
<td></td>
<td>EDFS 348 Advanced Qualitative Research (3 credits)</td>
</tr>
<tr>
<td></td>
<td><strong>Required: 18 credits</strong></td>
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<tr>
<td><strong>Concentration</strong></td>
<td>Concentration (guided by student interest and committee approval)</td>
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<tr>
<td></td>
<td><strong>Required: 12 credits</strong></td>
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<tr>
<td><strong>Field of Study/Cognate</strong></td>
<td>Transdisciplinary Options Within and Outside of CESS</td>
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<tr>
<td></td>
<td>(guided by student interest and committee approval)</td>
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<td></td>
<td><strong>Required: 9 credits</strong></td>
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<tr>
<td><strong>Dissertation Seminar</strong></td>
<td>EDLP 449 Dissertation Writing Seminar (3 credits)</td>
</tr>
<tr>
<td></td>
<td><strong>Required: 3 credits</strong></td>
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<tr>
<td><strong>Comprehensive Examination</strong></td>
<td>The individualized exam is prepared in consultation with the program</td>
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<td>committee with the goal of producing a draft publication during or</td>
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<td>after the final semester of completing coursework requirements. The</td>
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<td>paper is to be presented at the CESS Research Symposium in the spring</td>
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<td>or a research symposium in the fall.</td>
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<tr>
<td><strong>University Teaching Requirement</strong></td>
<td>All doctoral candidates must acquire appropriate teaching experience.</td>
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<td>The nature and amount of teaching are determined in consultation with</td>
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<td>the student’s academic advisor. For example, this can be satisfied</td>
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<td>either by co-teaching a course with a faculty member or it may also</td>
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<td>be satisfied through teaching work associated with a GTA or other</td>
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<td>formal UVM teaching opportunity such as teaching a course.</td>
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**Dissertation** Minimum 21 credits

**Total credits** 75
Core Coursework Sequencing

**Fall Semester**
- EDFS 455: Social Processes and Institutional Change
- EDLP 431: Advanced Seminar in Organizational Leadership
- EDFS 347: Qualitative Research Methods

**Spring Semester**
- EDLP 419: Applied Quantitative Research

**Fall Semester**
- EDLP 432: Advanced Seminar in Organizational Theory

**Spring Semester**
- EDLP 437: Seminar on Education Policy

Note: Students are expected to follow the sequence of core courses during their first two years in the program. Any deviation needs approval of the primary program advisor and program coordinator.

Core Inquiry Themes
The curriculum is categorized into five domains of knowledge:

- Organizational Theory, Change, and Leadership
- Process of Inquiry/Applied Research and Utilization of Knowledge
- Critical Perspectives
- Learning and Development
- Policy Study and Analysis

The coursework and experiences contained within the core requirement are organized around these five major themes. Associated with each theme is a listing of knowledge and skills that will be addressed across the core and other courses. Throughout the core, students will be expected to provide evidence of their knowledge and skills related to each of the themes below.

**Theme: Organizational Theory, Change, and Leadership**
- Analyze, develop, and construct policy that advances humane and just goals.
- Clarify and articulate one’s role as a leader in creating a society grounded in an ethical/moral vision of a humane and just world.
- Communicate clearly for the purposes of critically examining an argument, reporting research, presenting a policy, and advocating for a cause.
- Critically examine one’s own leadership dispositions and style in relation to theory and knowledge to increase one’s capacity as an effective, caring leader.
- Understand and apply the principles of inter-professional collaboration in multiple education and human service contexts.
- Understand and apply knowledge of organizational development and change theory to the design and implementation of strategies and practices.
- Demonstrate one’s knowledge of the richness of diverse cultures to expand our perspectives, enhance our understanding of effective leadership, and inform what we do.

**Theme: Critical Perspectives**
- Critically analyze societal and educational dynamics related to justice, equity, freedom, and diversity.
- Critically examine the interrelationships among ideology, power, and socio-historical context with particular reference to the control of knowledge.
Theme: Process Of Inquiry/Applied Research and Utilization Of Knowledge
• Develop a philosophical and epistemological understanding of diverse research paradigms and methods to promote applied scholarship.
• Critically examine and interpret qualitative and quantitative data to gain insight into educational dynamics and develop strategies for intervention.
• Utilize research skills to conceptualize and conduct a study.

Theme: Learning and Development
• Employ theories of human development and learning in constructing frameworks for program development and evaluation, organizational change and professional development.
• Apply understanding of collaborative learning and exhibits effective interpersonal skills.

Theme: Policy Study and Analysis
• Understanding current policy analysis approaches and literature for examining educational policy.
• Recognition of education policy analysis and funding mechanisms as an important area of applied social science research.
• Practice applying policy analysis skills derived from different approaches and perspectives.
• Capacity to assess and critique important public policy approaches and perspectives.

VI. PROGRAM ADVISORS
Each student is assigned a Program Advisor based on the student’s stated research interests and academic goals upon acceptance into the doctoral program. The primary role of the program advisor is to assist the student in the development of her/his program of studies and other program matters. The initial advisor may or may not continue to serve as the student’s advisor or dissertation advisor. Students may ask another faculty member to serve as their advisor should they find one more appropriate to their interests. If the knew advisor agrees to take over advising responsibilities then the student should inform their previous advisor as well as contact the Ph.D support person and notify them of the advisor change at cessphd@uvm.edu. The dissertation advisor must have Graduate Faculty status in the Graduate College. The list of Graduate College faculty can be found at online through the Graduate College website. This list is updated routinely.

VI. DOCTORAL STUDENT PROGRAM PROGRESS
Timeline
The Checklist and Suggested Timeline For Completion (see Attachment A) should be used as a guide to assess progress in the program. As per the Graduate College requirements for graduate study, the Ph.D. degree must be completed within nine years of matriculation. There is an important caveat with degree completion in the case of transfer course credit. Transfer courses have a time currency, meaning that for transfer courses to be included in the degree program, the degree must be completed within nine years of the semester in which the transfer course was completed.
Corrective Action
If a student’s progress falls behind the suggested timeline, it is advised that she/he meet with her/his advisor and studies committee to seek a plan of action.

Withdrawal from a Graduate Degree Program
Students must notify the Graduate Dean’s Office in writing of their intent to withdraw from a degree program.

Leave of Absence for Graduate Students
A leave of absence suspends the time limit for degree completion for the duration of the leave.

Eligibility
Only students who have not enrolled for all course credit requirements may request a leave of absence. The maximum leave is one year. Students who have enrolled for all required credits but have not completed all degree requirements, such as passing the comprehensive examination or completing a thesis or dissertation, are not eligible for a leave of absence but must register for Continuous Registration.

Procedure
Students request a leave of absence from the program director. If the director approves the request, the Leave of Absence form is completed and forwarded to the Dean of the Graduate College for approval. A leave of absence does not take effect until after approval has been received from both the program director and the Dean of the Graduate College. Any student who does not enroll following termination of a leave of absence will be deactivated from the Graduate College.

Deactivation and Reactivation in Graduate Programs
Deactivation is equivalent to withdrawal from a graduate program. Students who do not enroll in their program following the termination of a leave of absence will be deactivated from the Graduate College by the Graduate College Dean. Students who, prior to completing enrollment for all credit requirements for a graduate program, do not enroll for one or more credits for a period of one calendar year and are not on an approved leave of absence will be deactivated from the College by the Graduate Dean.

In each semester, students who do not register for at least one credit by the end of the add/drop period will be moved to inactive status by the Registrar’s office (this is separate from “deactivated” status, see above). To register for credits in this case, students will have to contact the Graduate College to be reactivated. Two consecutive semesters of inactive status will also lead to deactivation.

Once deactivated, reactivation into a program requires the approval of the student’s program advisor, program coordinator and the Graduate College. Students seeking reactivation must complete the Reactivation Form and pay a $40 Reactivation fee and all other fees, including current and back Continuous Registration fees, if applicable.
Continuous Graduate Registration

Students who have completed all 75 credits required for the degree but have not completed all graduation requirements must enroll for Continuous Registration (GRAD 901, 902, 903) and pay a registration fee each semester until all degree requirements are completed, including removing incomplete grades; passing the comprehensive examination; or completing a thesis or dissertation.

Ph.D. students who have not completed all of their coursework credits, and dissertation research credits should not register for Continuous Registration.

Conferral of Graduate Degrees

Degrees are conferred in October, January, and May of each year. Diplomas are issued only in May (not October or January). It is the graduate student’s responsibility to make sure that their name has been submitted by their program to the Graduate College to be listed for graduation. Students submit an “Intent to Graduate” form to the Program Assistant by August 1 for October graduation, November 1 for January graduation, January 3 for May graduation.

VIII. STUDIES COMMITTEE

Membership

In consort with their advisor, each student invites 2 faculty to serve on their Studies Committee (who are members of the graduate faculty). The Studies Committee may be considered a precursor to the Dissertation Committee. However, the Dissertation Committee may change based on student’s research focus and faculty availability (due to sabbatical leaves for example). Ideally the Studies Committee is formed in the second year of the program or at the start of the third year.

Responsibilities of Studies Committee

Once the Studies Committee is formed its responsibility is to supervise the graduate student's program and to review progress at regular intervals and they may also serve as the review committee for the comprehensive examination.

Creating the Program of Study

Candidate and major advisor should meet to develop a proposed program of study utilizing the Program Plan Form (see Attachment B).

The Studies Committee should review and provide input into the candidate's proposed program of study.

The Program Plan Form should be submitted to the Ph.D. administrative assistant to be placed in the student’s file. It is the student’s responsibility to be sure these forms (and all forms) are placed in their file.
IX. PROGRAM OF STUDY PLANNING GUIDELINES

Coursework Requirements
The Program of Study must include the required core, research, concentration, and field study/cognate coursework. The curriculum matrix (Attachment C) outlines sample concentrations. Candidates are not limited to courses provided by this matrix.

Research Requirements
Students are required to complete 18 research credits. A student planning to use a particular research methodology should plan to do advanced coursework in that area.

Dissertation Research Credit
The program requires 21 semester hours in dissertation research, EDLP 491. Generally, doctoral students register for the dissertation research credits on a rolling basis sometime after their second year of study. This is to provide opportunity for students to complete a substantial number of core courses to assist in defining a dissertation research area of study. Students may register for EDLP 491 at any time in their program provided that they feel substantive progress may be made towards their dissertation research. Students are to register for EDLP 491 (dissertation credit) under their dissertation advisor’s name, or under the name of a committee member responsible for supervising the dissertation work. Students will require a course override that is dependent on approval from their advisor to take dissertation credits. Dissertation credit study is usually supervised by the student’s dissertation advisor, although other faculty may serve in this capacity. Dissertation research thus may occur prior to the formal acceptance of a dissertation research proposal, and therefore include work and preparation leading up to the dissertation proposal and dissertation itself.

Further questions may be directed to the Ph.D. administrative assistant cessphd@uvm.edu or Ph.D. program coordinator at cgerstlp@uvm.edu.

Transfer Credit
EDLP Ph.D. program has a limit of transfer credit of up to 9 credits. All transfer courses must have the approval of the Program Studies Committee and Program Coordinator. This includes courses taken prior to admission in the Program either at another institution or the University of Vermont. The Graduate Transfer of Credit Form is available at http://www.uvm.edu/~gradcoll/pdf/transfercredit2.pdf

Courses must be recent and related to the overall goals of the program and the student’s research and professional goals. There is no guaranteed that a request to transfer in courses will be approved by the program faculty. Transferring more than 9 credits will require the full support of the student’s studies committee and the program coordinator. All courses on a transcript whether transferred in or not can not be more than 9 years old at the time of graduation to be counted towards your degree.

Appropriateness of credit: Transfer credit must be approved by the program faculty as appropriate for inclusion as part of the student’s degree requirements. Credit cannot be awarded for

• courses that would not receive graduate credit if taken at The University of Vermont,
• courses with a grade lower than B (3.00),
• thesis or dissertation research credits received at another institution, and
• credit by examination given by another institution.

Summer Credit Hour Limitation
Students can enroll in a maximum of nine semester credits during the summer semester.

Independent Study Credit
Up to three credit hours can be allocated for independent studies for participation in a significant area of research. With advisor approval students may request additional independent study credits, which will need to be approved by the program coordinator.

Independent study is an educational experience (taken for credit), which occurs outside the traditional “classroom/laboratory” setting. The project must be supervised by a faculty member and tailored to fit the interests of a specific student. The independent study will be under the direct supervision of a faculty member having expertise in the area of investigation. Prior to enrollment in independent study course work, the student must obtain the signature of the faculty sponsor for the independent study and the signature of the coordinator of the independent study. Independent study may be taken for variable credit. The amount of credit to be granted should be mutually agreed upon by the student and the faculty sponsor at the time of enrollment.

Procedure for Independent Study
The success of an independent study project is often related to the amount of advanced planning expended on the project. Consequently, planning of the project should, whenever possible, be initiated in the semester before the course is taken.

By the end of the add/drop period, students will be required to submit to their faculty sponsor a specific plan, which must include, but not be limited to, the following:
• The project title
• A statement of justification, indicating why independent study is being selected and the reason for undertaking the project, its importance, and how it relates to other work done by the student
• A clear and complete statement of project objectives
• A concise statement of the plans and methods to be used in order to accomplish each objective

During the first full week of classes, the student and the faculty sponsor will meet and prepare a document, which includes the following:
• A schedule of dates when the student and faculty member will meet and discuss progress, including a time plan indicating when various parts of the work are projected for completion
• A list of those ways in which documentation of work can be shown
• A plan for evaluation, which will include the specific work to be submitted for evaluation of the project, and a statement of criteria to be used for evaluation, will also be included
The Application for Independent Study form must be completed (see Attachment G). The completed form should be submitted to the doctoral program assistant to place in your student file. An override is required for registration for an Independent Study (EDLP 397). Contact the course instructor who will be supervising the independent study to request an override.

**Graduate Course Levels:** Courses that may apply towards a doctoral graduate program are generally numbered 300 and above, although there are some 200-level options. Courses numbered 100 to 199 may not be taken for graduate credit except upon the written recommendation of the student's advisor and with the approval of the Dean of the Graduate College prior to enrollment in such courses. Authorization will be limited to two appropriate courses (six credit hours) for a Doctoral program. Graduate students may take additional 100-level courses beyond these but graduate credit will not be allowed for such courses. Courses numbered 400 or above are limited to doctoral students; courses numbered 300 to 399 are limited to graduate students unless special permission is given by the appropriate department or program. Please consult individual programs for possible exceptions.

**Course Loads:** Normally, full-time non-funded graduate students enroll for nine to 12 credit hours per semester; full-time funded students, nine hours. Maximum enrollment is 15 hours per semester, and nine hours summer. Enrollment in excess of the normal full-time course load requires written approval from the advisor and the Dean of the Graduate College. International students must be full-time, or nine credits.

**Auditing Classes:** Courses may be taken for audit; however, tuition for the credit hours is charged as usual. Under no circumstances will graduate credit or a grade be allowed for audited courses. A student wishing to audit a course must meet minimum levels of performance set by the instructor at the time of registration in order to receive an audit grade on a transcript. Tuition scholarships funded by the Graduate College do not cover tuition for audited courses.

**Physical Education Classes:** Students may not enroll in physical education classes without prior approval by the Dean of the Graduate College. Graduate College tuition scholarships do not cover any fees for physical education activities.

**Changes in Program of Study:** For a substitution of a course listed in the approved Program of Study, a Change in Program Plan form (see Attachment E) should be completed and the request submitted to the Ph.D. program assistant at cessphd@uvm.edu. It is important to note that substitution of core courses is generally not approved unless extenuating circumstances warrant such a change. All requests must be approved by the student’s advisor and the program coordinator.

**X. ENROLLMENT POLICIES AND PROCEDURES**

**Registration:** Go to myUVM, and login with your NetID and password. Under the Registration Channel, click on Add or Drop Classes

**Billing Information:** UVM sends all student bills electronically through the QuikPay system. Students receive bill notification emails through their UVM email address.
@uvm.edu. You can also view your bill and payment information on MyUVM, under the Student and Financial Services channel.

**Add/Drop:** Courses may be added or dropped using the web only during the first ten days of instruction of the University semester. After the first week of classes an instructor may admit a student to a course, but they may refuse admission to a course if certain material (such as laboratories) cannot be made up, and the loss of this work would seriously affect the quality of the educational experience of the student seeking to enter the course. Faculty are not required to give make-up examinations, papers, or quizzes. No drops are allowed after the second week of classes except in cases where a student is enrolled by administrative error and has not attended the course.

**Inactive Student Status:** Students must register for course credits prior to the add/drop period to maintain active student status. Failure to register for course credit results in automatic deactivation. To be reactivated, students must contact the Graduate College in order to become activated and to register for courses.

**Withdrawal from Courses:** From the end of the tenth day to the end of the ninth week of classes, students may withdraw from courses. Students who wish to withdraw fill out the course withdrawal form, consult with their advisor, and submit the form to the instructor for signature. The student is then responsible for delivering the form to the Registrar's Office no later than 4 p.m. on Friday of the ninth week of classes. Students give a copy to their dean for information purposes. The instructor also records the withdrawal grade (W) on the final grade sheet, which is sent to the Registrar.

Between the ninth week and the last day of classes, withdrawal requires students to petition the Dean of the Graduate College explaining that they are unable to continue in the course due to circumstances beyond their control. Such a petition must contain conclusive evidence, properly documented, of the situation, which prevents completion of the course. Acceptable reasons do not include dissatisfaction with performance in a course or with an expected grade, with the course or the instructor, or the desire to change a major or program. If the petition is approved, the withdrawal procedure follows that process described above.

**Grading Policies**

**Course Credits:** Letter grades are used to indicate levels of performance in courses as follows: A, excellent; B, good; C, fair; F, failure. (Graduate students do not receive a grade of D.) Designations of S, satisfactory, and U, unsatisfactory, are used to indicate levels of performance for credits received in Thesis or Dissertation Research and may be used to indicate levels of performance in a Seminar. There are no quality points associated with the letter grades of S and U.

A candidate for a graduate degree must complete the program with a minimum overall grade-point average of 3.00. For the purpose of determining a grade-point average, the following applies: A+, 4.00; A, 4.00; A-, 3.67; B+, 3.33; B, 3.00; B-, 2.67; C+, 2.33; C, 2.00; C-, 1.67; F, 0.00. A course may be repeated for credit only when failed and only once; only the second grade is then considered. Both grades remain on the student’s transcript.
A student may be dismissed from the Graduate College if two grades or more below a B (3.00), or the designation of U in Thesis or Dissertation Research or Seminar are received.

The designation “I” applies to work of acceptable quality when the full amount is not completed because of illness or emergency. It can be awarded only with the prior permission of the Dean of the Graduate College. The Dean may set the limit of time when the work of the course is to be completed. In no case shall this time be set longer than the beginning of the corresponding semester of the next academic year.

Graduate students may elect to take an undergraduate course on a satisfactory (S) – unsatisfactory (U) basis provided permission is obtained, prior to enrollment, from the department or program chairperson and the Dean of the Graduate College and a letter grade is not required by the Studies Committee for purposes of evaluation. Courses at the 200 level or above other than Seminar or Thesis/Dissertation Research may not be taken on a satisfactory (S) – unsatisfactory (U) basis for graduate credit.

A grade may be changed only if there was an error in its calculation. In cases in which a student requests reconsideration of a grade for a course already taken, the grade change, if any, must be made by the instructor and approved by the Dean by the end of the first month of the following semester unless an extension has been granted by the Dean within the first month of the following semester.

**Dissertation Credits:** Students enrolled in dissertation credits will be assigned a grade of SP (satisfactory progress) or UP (unsatisfactory progress) at the end of each semester that they are enrolled. Should a student receive a UP, they receive no credit. The final dissertation credit is graded as “S” (satisfactory) and takes place at the final dissertation defense.

**Dismissal:** Students whose academic progress is deemed unsatisfactory at any time may be dismissed from the Graduate College by the Dean upon consultation with the student’s department or program. In addition, students may be dismissed if (a) they receive two grades or more below a B (3.00), or (b) they receive a U (Unsatisfactory) in Thesis or Dissertation Research or Seminar.

**Incompletes**: All grades of Incomplete must be completed no later than the beginning of the corresponding semester of the next academic year.

*Students who hold two incompletes in the core courses must seek permission from the DAC to enroll in additional concentration and elective courses. A written request from the student and his/her advisor must be submitted to the program coordinator prior to the semester that the student wishes to enroll in additional coursework.

**XI. COMPREHENSIVE EXAMINATION GUIDELINES**

In order to assess students' scholarship and critical thinking, a comprehensive examination is required by the end of a student’s course of study (typically the third year). Successful completion of the comprehensive examination is a program requirement. The examination consists of a critical, in-depth review/empirical article on a topic to be agreed upon by the student, his/her mentor, and one additional faculty reader, with these individuals approving
an abstract of the paper in advance. The review/empirical article must demonstrate comprehensive empirical and theoretical mastery of the agreed-upon topic, including relevant knowledge on which the specific research area is based. If the article is not specifically on an applied topic, it should at least discuss relevant applications associated with the topic. The draft article must be the student’s original writing and conceptualization; however, the student’s committee members may provide editorial suggestions for improvement. If the article was developed out of a shared research project, it may not be co-authored for the purpose of the comprehensive exam. In these cases it is understood that the article draft may later be revised and become a co-authored piece before being submitted to a journal. The article submitted for the comprehensive exam should be the student’s original writing and conceptualization and should be in the form of and approaching the quality necessary to be submitted for publication in an appropriate peer reviewed journal.

Once the student’s advisor and one other faculty member deem the article original and ready for review, the student will schedule a research colloquium on the topic of the paper for the CESS community. The student’s studies committee will serve as the faculty examiners for the comprehensive examination. They will, by consensus, assign a grade of Fail, Conditional Pass, or Pass for the comprehensive examination. The article may later be incorporated into the student’s doctoral dissertation if deemed appropriate by the student’s dissertation committee.

Objectives of Comprehensive Examination

The objectives of the written and oral comprehensive examinations will be for the student to demonstrate:

- An understanding of educational leadership and policy studies research relevant to the topic of the paper.
- An ability to advance theory and research related to educational and social practice.
- Proficiency with using research methodology and/or a conceptual framework to shape research.
- Professional written and oral communication skills in the dissemination of research.
- An ability to design and conduct original research/inquiry that contributes to understanding problems and issues in educational and community-based settings.

Eligibility

Eligibility for the Written and Oral Comprehensive Examination is based upon meeting the following criteria:

1. Satisfactory completion (no incompletes) of all course work (or in the final semester of coursework) with the exception of the EDLP 449: Dissertation Writing Seminar.
2. A grade point average of 3.0 in graduate course work with no grades below a 3.0 (B) in core coursework and the research core.
3. Appointment of a studies committee of three CESS faculty.
4. An approved plan of study.
5. Approval of the advisor and program coordinator.

Upon meeting the eligibility criteria students should submit the *Permission to Take Written Comprehensive Examination* form to cessphd@uvm.edu.

**Written Examination**

Each student is required to complete **ONE** major journal article draft that is a theoretical or empirical, data-based project, either quantitative or qualitative research. The student will coordinate the process with his or her advisor who will have final approval over the topic of the paper. The project will be the student’s own effort, under the supervision of the advisor and other committee members, when appropriate. Supervising faculty may be involved to the extent they would be in a dissertation. APA format is required unless the target journal requires a different format (using a format other than APA will require advisor approval). Submit one copy of each paper to the members of your committee that will be reading your papers and one copy of each to cessphd@uvm.edu for your file. This should be done three weeks in advance of your oral defense. If any member has substantive concerns about the paper, the oral defense may be cancelled.

**Oral Presentation**

The purpose of the Comprehensive Oral Examination is to assess the doctoral student’s ability to orally communicate with other professionals about their research, and the fulfillment of other objectives of the comprehensive examination and the appropriate professional standards.

Upon satisfactory completion of a journal article draft, it is the responsibility of the student to schedule the Comprehensive Oral Examination with his or her doctoral studies committee in accordance with the policies and procedures of the Graduate School including:

- Complete the *Permission Form to Take the Comprehensive Examination*.
- Work with your advisor and the rest of your committee to find a one and half-hour meeting time and location (Contact cessphd@uvm.edu to schedule this room). The time and location of your oral will be distributed across CESS including a brief bio and an abstract of your topic.
- Send a copy of your written papers to each of your committee members three weeks in advance of the defense date if they do not already have them.
- Before the oral, meet with your advisor to review the expectations for this meeting.
- Prepare a 15-20 minute presentation of your paper for a public audience and prepare to respond to questions about your paper (**see presentation tips on the AERA website**).

*http://www.aera.net/AnnualMeetingsOtherEvents/AnnualMeeting2012Details/2012PresenterandParticipantInformation/PresentationTipsInformation/tabid/12657/Default.aspx*

**Colloquium Format**

- In 15-20 minutes, present the contents of your paper as if you were at a professional conference such as AERA.
- Once the presentation is over, the audience will be invited to ask questions.
- After about 20-25 minutes of questions and dialogue with the audience, audience
members will be thanked for their attendance and asked to leave.

- Committee members will then ask specific questions pertaining to the paper and/or presentation.
- When all questions have been answered, the student will be asked to leave so the committee can make a final determination about whether the student has passed the comprehensive examination.
- The student will then be invited back to hear the committee’s decision

**Evaluation**

All three members of the doctoral studies committee will read the written components of the comprehensive examination. Each committee member will also be expected to attend the oral presentation.

The comprehensive examination is evaluated on a pass/fail basis with the results of the examination forwarded to the Graduate School. To pass, the student’s committee must be in unanimous agreement. In the event of failure, one re-take of the examination is permitted. The project will be evaluated according to the objectives of the comprehensive examination and the appropriate professional standards. The project will be evaluated as if it was submitted and reviewed in the appropriate professional journal. Each committee member will assess the written and oral components of the comprehensive examination via a comprehensive examination rubric. The committee will attend to the projects’ written form (including proper grammar, punctuation, spelling, and form, theoretical/conceptual rationale, literature review, methodological integrity, formatting, significance, methodology (if applicable), results/findings, discussion and conclusion) and oral (colloquium presentation and defense). Guidelines used by faculty to evaluate the project and provide written feedback can be viewed on the CESS Ph.D. website at:

http://www.uvm.edu/~cess/doctoral/?Page=c_phd_students.html&SM=phd_submenu.html

Documents comprising the comprehensive examination and written feedback from the committee concerning the student’s examination will be placed in the student’s file maintained by EDLP program. Comprehensive Examinations are evaluated as:

- pass
- conditional pass (it becomes a pass when stated conditions are met)
- fail (only one retake is permitted)

**XII. DISSERTATION GUIDELINES**

The procedures to follow in the development, implementation and completion of the candidate's dissertation research are found in this section, and on the Graduate College website under "Services, Forms and Policies."

The Dissertation Defense Checklist (Appendix K) should be used as a guide to ensure that you attend to all of the details required for a successful defense. The Graduate College regulations require a minimum of twenty semester hours in dissertation research. While the guidelines below address most of the relevant issues related to the design and completion of the dissertation, there are a number of other requirements delineated in the “Guidelines for
**Timetable:** Each year, the Graduate College posts the Timetable for Graduation (http://www.uvm.edu/~gradcoll/pdf/Timetable%20for%20defense%202015-16.pdf), including the final permissible dates to be an October, January or May Graduate. If a student misses a deadline, s/he will graduate in the next period.

**Dissertation Committee:** Following the candidate's successful completion of the Comprehensive Examination, the Studies Committee will function primarily as a Dissertation Committee or the student will arrange for a new dissertation advisor and dissertation committee. This time period is an important one for doctoral candidates to enroll for dissertation research credits and prepare to submit a dissertation proposal to be considered by her/his committee. The original members of the Studies Committee may be changed at the dissertation proposal stage to reflect the need for additional or alternative expertise. The Ph.D. Program Coordinator and Graduate College should be informed of any changes. The four member Dissertation Committee must include a total of 3 faculty members from the College of Education and Social Services (CESS), as well as a dissertation defense chairperson outside of the college. The Graduate College has a webpage with suggestions for selecting your study and dissertation committee. Your advisor may assist you in defining your committee. http://www.uvm.edu/~gradcoll/?Page=current/thesiscommittee.php&SM=current/_currentmenu.html

**Summer Work:** While summer may be an optimal time for dissertation work, faculty are only contracted to work during the fall and spring semesters. As such students should plan their dissertation proposal writing and dissertation research within the fall-spring timeframe. Students may work on their dissertation during the summer but should not expect that faculty will be available to read or respond to their work.

**Dissertation Chair:** The chairperson must be 1) A member of the University of Vermont Graduate Faculty, and 2) Outside of the College of Education and Social Services. Members of the Doctoral Advisory Council may not serve as the chairperson of the dissertation defense.

### A. DISSERTATION PROPOSAL DEVELOPMENT & APPROVAL

**Idea Development**

The student and her/his major advisor, and possibly members of their studies committee, begin by informally discussing and refining ideas associated with the student’s area of research interest. In the semester before the student is ready to take EDLP 449 Dissertation Writing, this process should become more formal. After discussing topic ideas with their advisor and other faculty, the student should submit to their major advisor a two to three page outline which describes 1) the background or context of the proposed study, 2) a statement of the problem or thesis, together with research questions or hypotheses, 3) a statement of purpose, and 4) an outline of the methodology to be utilized. In a concise format, the paper should describe what is being proposed, why it is important and how the research will be
accomplished. The major advisor will provide feedback on the discussion paper to help focus the student before they take EDLP 449. While taking EDLP 449, students should keep their advisor informed of their progress in developing their proposal. EDLP 449 is not a replacement for working with your advisor in developing the proposal.

The extent to which other faculty and/or Dissertation Committee members are made a part of this early process is a function of a variety of factors and no one way is proposed as best. If the major advisor feels unable to direct a dissertation in the area of the student’s interest, or if, for a variety of reasons, a change in major advisor or committee members seems warranted, it should be discussed with the student and a suitable replacement identified. The student and dissertation advisor should collaboratively review the makeup of the studies committee to see if it is appropriate for the dissertation topic and if needed the makeup of the committee may be changed and new members invited. The student should also identify an outside chair and invite them to serve on the dissertation committee. Request for approval of a new major advisor should be directed to the Ph.D. Program Coordinator.

Approval of Dissertation Proposal
The candidate’s dissertation advisor will work with the candidate to facilitate the development of the final dissertation proposal. The candidate should also meet with additional committee members as necessary as questions arise. Once the advisor has given approval, the proposal will be submitted to the Dissertation Committee for review, revision, and approval. The proposal defense should not be scheduled until the primary advisor has read and provided feedback on the proposal and feels it is ready to go to a full committee review. A Dissertation Proposal Defense is scheduled by the student. It is expected at this stage that the student will have a clearly defined research focus/topic, a well-formulated design for the study, will be familiar with the appropriate literature, and will have a research methodology sufficiently developed to provide convincing evidence of the feasibility of the study and the soundness of the research design. Usually, proposals are no longer than 25-30 pages. The Elements of a Proposal (Attachment H) and Developing a Qualitative Research Proposal (Attachment I) are provided as guidelines for proposal development. Adaptations to this format may be necessary depending on the study being proposed.

The candidate is responsible for contacting all of her/his committee concerning the date and time of the proposal review and for making and distributing copies to each member at least 21-days before the meeting. Candidates will make room arrangements with the assistance of the program administrative assistant and will coordinate date and time with committee members.

The candidate is expected to open the formal proposal defense with a brief presentation (15-20 minutes) orienting the Dissertation Committee to the four points described under Idea Development. During the discussion of these points by committee members, the student and major advisor should note areas requiring further clarification. At an appropriate point in the proposal defense, the major advisor will request that the candidate leave the room in order for the committee to review the proposal and to form a consensus on the status of the dissertation proposal.

The outcome of this process is a "contract" between the committee and the candidate. It serves as a set of parameters that should be closely followed by all persons involved (e.g.,
committee members, major advisor, and candidate). Periodic or interim sessions with the primary dissertation advisor should be held while the research is in progress. The candidate is responsible for communicating progress with his/her advisor and committee members. The candidate is also responsible to track and make clear any revisions and changes made to the research study as drafts are submitted to the advisor and/or committee members.

Upon approval by the Dissertation Committee, the signed Dissertation Proposal Approval Form (Attachment J) and the final draft of the dissertation proposal should be given to the Ph.D. program assistant to be placed in the candidate's file.

**B. DISSERTATION RESEARCH**

**Dissertation Research Credits:** A minimum of 21 semester hours of dissertation research (EDLP 491) are required for the degree. Students are eligible to enroll in dissertation credits at any time during their program but only with the permission and approval of his/her program/dissertation advisor. Students should complete their core course work and their comprehensive examination prior to registering for dissertation credits. An override is required to register for EDLP 491. Please contact your advisor to discuss your proposal for requesting an override to take dissertation credits.

**Communicating Dissertation Progress:** While the candidate is conducting her/his dissertation research, Dissertation Committee members are responsible for assisting the candidate and providing appropriate advice as necessary. The major advisor should coordinate this advice and reassemble the committee if there are any major departures from the original proposal. The candidate is responsible for keeping all committee members informed of the progress of her/his research, and to initiate contact with committee members and the major advisor as necessary. Maximum time for completion of the entire doctoral program, including dissertation research, is nine years.

**Committee on Human Research (IRB):** If the proposed dissertation study involves human subjects, prior approval is required from the Committees on Human Research. These committees, known as institutional review boards, or IRBs, are responsible for reviewing and overseeing all research activities in order to ensure the protection of individuals who participate in research projects. Students should work closely with their major advisor on the submission of their planned study to this committee. The necessary forms and procedural guidelines, and tutorial can be found at [http://www.uvm.edu/irb/tutorial/](http://www.uvm.edu/irb/tutorial/)

Prior to submitting the proposal to the IRB, the major advisor and the Studies Committee must approve and sign-off on the proposal. Once the student has received IRB approval, they should fill out the IRB Approval Form (Attachment K) and submit it to the program assistant. Following approval by the Dissertation Committee and the IRB, the student may begin conducting their research.

**C. JOURNAL ARTICLE DISSERTATION FORMAT**

Students are expected to complete a Journal Article Dissertation. In the Journal Article Dissertation, the candidate divides the thesis into two parts. The main part is one or more articles prepared according to the style requirements of a scholarly journal so that the article(s) is (are) suitable for publication. The article(s) should avoid extreme brevity and
be understandable to the members of the candidate's thesis/dissertation committee even if this necessitates some elaboration of the standard article format. The second part of this thesis provides the context for the article(s). It should include an Introduction, Comprehensive Literature Review, Research Design/Methodology, Implications/Significance, Comprehensive Bibliography, and Appendices.

Specific requirements are:

1. The student must use the publication style of either (1) one of the discipline's leading periodicals or (2) the published standards of the professional association or discipline (e.g., American Psychological Association, Publication Manual and Guidelines, or Council of Biological Editors [A.I.B.S.] Style Manual) for the article(s). Two or more articles included in the same thesis/dissertation may have different styles if written for different journals.

2. The Abstract is a summary of the entire thesis/dissertation.

3. The Citation page will give the literature citation for each published article included or specific information concerning submission for publication (i.e., name of journal and date of acceptance for publication or a planned date of submission to journal). *The Citation page, if used, must be approved by the Graduate College. See required page.

4. The dissertation will have seven sections including: (1) an Introduction to the topic of study and research problem, (2) a Comprehensive Literature Review chapter to provide an integrated perspective to the total body of research and literature that informs and justifies the major research question(s); (3) a Comprehensive and Detailed Research Design/Methodology chapter that outlines the methodology and research design used to address the research questions; (4) One or more articles in approved journal or periodical style with each chapter serving as a separate chapter; (5) a brief Implications/Significance chapter that provides an overview of the implications, significance, and limitations of the research conducted; (6) Comprehensive Bibliography section, including all references in the individual articles as well as those from section one (1), the Comprehensive Literature Review; and (7) an Appendices section with relevant research instruments or protocols such as surveys or interview guides.

5. Any article comprising a major portion of a thesis or dissertation must be the work of the student. The student must be the sole author or, if there is more than one author, the primary and first listed author of articles prepared for publication. In situations of more than one author, it is the responsibility of the studies/defense committee to determine that the research and writing is indeed that of the candidate for the degree.

NOTE: THE COMPREHENSIVE BIBLIOGRAPHY MUST BE IN ALPHA ORDER BY LAST NAME OF AUTHOR.
Each article will contain its own Reference section in addition to the Comprehensive Bibliography.

The Journal Article Thesis contains appropriate appendices needed for detailed and ancillary information required for completeness and explanation but not usually presented in a published paper.

The organization of a Journal Article Thesis/Dissertation is as follows:

- Title Page
- Acceptance Page
- Abstract Page - for entire thesis (single spaced)
- Citation Page - special requirements--must be approved by Graduate College
- Acknowledgement Page (double spaced)
- Table of Contents
- List of Tables
- List of Figures
- Introduction
- Comprehensive Literature Review
- **Research Design/Methodology**
- Article(s) - Format follows journals' specific requirements, including reference sections
- Implications/Significance
- Comprehensive Bibliography - Alpha order by last name of author
- Appendixes (at the end)

In all provisions except the Article(s) itself - which follows the format of a scholarly journal - the directives of the Graduate College and APA shall govern the preparation of a Journal Article Thesis.

Students wishing to follow the Journal Article format as outlined in the Graduate College’s “Guidelines for Writing a Master’s Thesis or Dissertation,” should consult with their committee to ensure that the criteria associated with the manuscript format are precisely followed.

**Mechanical Format For Journal Article Theses**
The candidate's major professor supervises the preparation of the thesis or dissertation. **All dissertations must be prepared in accordance with accepted standards of academic integrity, including proper citation and attribution of all material that is not the original product of the writer.**

When preparing dissertations, candidates are expected to consult their major professor and thesis/dissertation committee regarding specific thesis preparation problems. Candidates also are responsible for consulting the Graduate College regarding University requirements and thesis/dissertation deadlines.
D. DISSERTATION FORMAT/RECORD CHECK

Students are required by the Graduate College to use computer software appropriate to the discipline to format their dissertation. An unformatted dissertation will not be accepted by the Graduate College. The student and advisor are responsible for producing a dissertation document that meets University and program standards.

At least three (3) weeks before your defense, you must schedule a format check with the Graduate College (call 656-3160). A Format Check consists of approval of:

- Title, Acceptance and Abstract pages
- Citation page if doing Journal Article thesis
- Table of Contents pages
- Random page of text
- Margins – Left = 1.5 inches; all others = 1.0 inch; page #'s not inside margins

Format Information

TITLE PAGE – Put your title in all capital letters. The degrees are conferred in October, February, or May.

ACCEPTANCE – Make sure the names are spelled properly. The date that appears is the date of your defense.

ABSTRACT – This must be SINGLE-SPACED and only ONE (1) page in length. No page number appears on the abstract, though it acts as page “i”.

CITATION – This page MUST BE APPROVED by the Graduate College at Format Check. This must be followed exactly as the instructions indicate. This would be page ii.

DEDICATION – Page is optional, and follows in this sequence.

ACKNOWLEDGMENTS – Is optional, and the pages would be double-spaced.

TABLE OF CONTENTS – Use computer software to generate your Table of Contents, List of Tables, and List of Figures. Neither “Abstract” nor “Table of Contents” should appear within your table of contents.

MAIN BODY – This must be DOUBLE-SPACED. Long quotations may be single-spaced (if approved by the department) or set in reduced type.

PAGE MARGINS – LEFT and BOTTOM=1.5”: RIGHT and TOP = 1.00”
Note: page numbers on the bottom margin should not fall below 1”.

PAGE NUMBERING – Preliminary pages (Abstract “i” does not appear, but preliminary pages ii, iii, etc. continue up to Main Body): Lowercase Roman numerals (ii) centered on the 1” bottom margin. Text pages: (Beginning with Main Body) Arabic numerals (1, 2) in the upper right-hand corner 1 inch from the top of the page and at the 1” right margin, OR more commonly, centered on the 1” bottom margin.
BIBLIOGRAPHY – Each reference may be single-spaced. Double-space between references, if approved by your Committee. A Comprehensive Bibliography is required for the journal format.

APPENDICES – Letterhead A, B, C… Place at the end of the thesis/dissertation if needed.

E. Sample Format Pages For Writing A Doctoral Dissertation

The Graduate College has provided “Guidelines for Writing a Doctoral Dissertation,” which is available online at: http://www.uvm.edu/~gradcoll/pdf/Guidelines%20for%20Writing%20and%20Defending%20Thesis%20and%20Dissertation.pdf

The following pages include sample format pages for:
- Title Page
- Acceptance Page
- Citation Page for Journal Article format
- Abstract
- Table of Contents.

Title Page

Set 1.50 left and bottom, and 1.00 inch margins for the rest.
Spell check. Balance the information on the page. No page number should appear on this page.

TITLE OF YOUR DISSERTATION

TITLE IN CAPITAL LETTERS
Center & double or single space title.

Double Space
A Dissertation Presented
(Copy words exactly as they appear)

by

Your Name

to

The Faculty of the Graduate College

of

The University of Vermont
In Partial Fulfillment of the Requirements
for the Degree of Doctor of Philosophy
Specializing in Educational Leadership and Policy Studies

May, 2014*

*October, January, or May

*Note: Degrees are granted only 3 times a year by the Board of Trustees of The University of Vermont. Use October, January, or May & year of graduation.

This is the month and year of your graduation term, and not your defense date.
**Abstract**

*Use correct margins. Spell check. 1.50 left margin. NO PAGE NUMBER.* The abstract of a dissertation must be single-spaced, one page in length, and have no page number. *Make sure you use spell check here and on all of the preliminary pages. This page may be in block format, have paragraphs, or indented paragraphs. All margins must be correct!*

**OTHER INFORMATION**

*If you do an Acknowledgements page, it will follow the Abstract and be DOUBLE-SPACED. It can be more than one page in length with each page numbered with a lower-case roman numeral, one inch from the bottom center of the page. Begin with ii.*

Be consistent with the use of bold and the use of capital or lowercase titles, headings, and subheadings for these preliminary pages and text pages.

**Incorrect Example**

Abstract  
Acknowledgements  
*TABLE OF CONTENTS*

**Correct**

Abstract  
Acknowledgements  
Table of Contents

**Citation Page:** *Use correct margins. It would be numbered ii and follow the Abstract. The Acknowledgements Page would be next and be numbered iii. Follow a journal reference format you have adopted for your thesis or dissertation. Citation(s): 1.50 left margin*

*Material from this dissertation has been published in the following form:*


AND/OR

*Material from this thesis (or dissertation) has been accepted for publication in (name of journal) on (month, day, year) in the following form:*


AND/OR

*Material from this thesis (or dissertation) has been submitted for publication to (name of journal) on (month, day, year) in the following form:*


**NOTE:** *This page may be used if the dates are ON OR BEFORE the day you submit your final copies. Any article comprising a major portion of a thesis or dissertation must be the work of the student. The student must be the sole author or, if there is more than one author, the primary and first listed author of articles prepared for publication. Page number. Roman numeral: 1.00" from bottom center*

ii

Sample Style—correct order & numbering. Be consistent with choice of lowercase or CAPS
**Table Of Contents**

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ii

iii
F. PREPARING FOR YOUR DEFENSE

Graduate College policies apply in determining the successful completion of the oral defense of a doctoral candidate's dissertation, and acceptance of the written document. These policies, however, do not articulate in detail appropriate procedures in determining the candidate's readiness for the defense, the defense procedure; and the role of the committee members, defense chairperson, and the major advisor. The following set of procedures is designed to provide guidance relative to the defense, and final approval processes of a candidate's dissertation. The Dissertation Defense Checklist (see Attachment L) is a helpful planning document.

There must be general agreement by the candidate's Dissertation Committee that the candidate's study is ready to be defended prior to the scheduling of the defense session. This agreement, however, suggests only that a defense should be scheduled. It does not constitute approval of the dissertation. Readiness shall be determined by an agreement of a quorum of the committee (3 or 4 members).

Scheduling the Date and the Room

The student and advisor are responsible for setting the date and time of the oral defense. Once the date and time are agreed upon by the defense committee, the student should notify cessphd@uvm.edu and request the date, time, equipment needs (LCD Projector, screen, etc), and preferences for the way in which the room should be arranged. The Ph.D. Program Assistant will be responsible for scheduling an appropriate room once the email request has been received.

Submit to Ph.D. Administrative Assistant

Defense Committee Membership Form (can be found online at: http://www.uvm.edu/~gradcoll/pdf/defensemembershipform.pdf) must be submitted at the beginning of the semester that the student expects to defend, or at a minimum of three (3) weeks before your defense.

Submit to Graduate College and notify cessphd@uvm.edu

Intent To Graduate form (can be found online at: http://www.uvm.edu/~gradcoll/pdf/intentcommencement.pdf)

Defense Notice

Your abstract MUST be edited and approved by your committee members and the Ph.D. Coordinator about one month before your defense. At least three (3) weeks before your defense you must email the Ph.D. administrative assistant your Defense Notice Form (see Grad College example) http://www.uvm.edu/~gradcoll/pdf/defensenotice.pdf and Abstract. The Ph.D. administrative Assistant will post the notice with the Graduate College and the CESS. The Graduate College posts notices in the Waterman building, on the GRADNET listserv, and sends a notice to the chairperson of the defense to post.
Defendable Copies of the Dissertation
Each student must provide defendable copies of the dissertation to members of the Dissertation Defense Committee at least 2 weeks before the scheduled defense, 3 weeks are recommended.

What to Take to Your Defense
- Copy of the Electronic Dissertation Rights & Permission Form

G. THE DEFENSE
There are two components to the defense session: a presentation of the dissertation study and a defense of the study.

- **The presentation of the dissertation study** to interested parties (e.g., other faculty, graduate students, and outside visitors) shall include an overview of the study, including its rationale, design, data analysis, and results. This portion of the defense shall be no longer than one hour; consisting of a half hour to forty-five minutes of presentation of the study by the candidate and, if needed, a half hour for questions from the audience.

The Chairperson of the defense shall monitor the general presentation and upon conclusion of the candidate presentation thank the visitors for their participation and request the visitors to leave.

- **The oral examination of the dissertation study** shall commence after the visitors leave. Each committee member, in rotation with the major advisor being last, shall have opportunity to raise major questions with follow-up questions, if desired. Upon the completion of the rotation and related questions, open and spontaneous interchange may be pursued by the committee members and the candidate. At an appropriate time, the defense chairperson shall invite the candidate to leave the room while the committee deliberates on the candidate's performance. The committee shall decide one of the following:
  1. Pass - minor or no editorial revisions of written document
  2. Pass - more substantive revisions of written document
  3. Fail - major revisions necessary prior to second and final defense option

The doctoral candidate's major advisor shall poll each member present related to the nature of desired revisions. It is the responsibility of the major advisor to inform the candidate of the expected changes. When the revisions have been successfully completed, the major advisor will, in the case of minor and major revisions respectively:

1. contact each committee member individually to determine acceptance of the expected revisions, or
2. call a meeting of the committee with the candidate present to go over the written revisions.
Revisions

Revisions must be completed, approved and submitted to the Graduate College 2 to 6 weeks after the defense unless the student is meeting the October, March or May graduation period deadline.

It is the responsibility of the committee as a whole to judge the quality of the candidate's work and recommend approval of the dissertation. The committee should handle all differences of opinion as a whole with the major advisor guiding the candidate through agreed upon required changes. In cases where consensus is not possible, dissenting members have an option of not signing the dissertation approval form. This option shall be exercised very rarely; it is anticipated that differences will be resolved within the committee. In special cases, the Coordinator of the Ph.D. Program may be consulted for assistance in resolving committee conflicts.

The committee must have a copy of the revised document at least 21-days prior to the scheduled meeting. In the case of a failed oral examination, the committee shall approve the scheduling of a second defense which shall be scheduled no sooner than four weeks from this point in time.

H. AFTER THE DEFENSE

• After a successful oral defense the candidate must submit the electronic copy (pdf) of their dissertation to the Graduate College within two to six weeks. The deadlines for submission of the final copies are found on the Graduate College website. There are no exceptions to these deadlines.

• A copy of the Electronic Dissertation Rights & Permission Form (signed by advisor) must be scanned and added to electronic dissertation copy.

• PROOFREAD! Watch for updates to page numbers and Table of Contents.

• Personal bound copies may be ordered from the ProQuest website after submission.

• Submit your Survey of Earned Doctorates at the time you submit your paper.

I. GRADUATION DATES

The Board of Trustees grants degrees in October, January, and May. In order to be eligible for a graduation period, all degree requirements must be met by the dates specified in the deadlines, including successful defense and receipt of the final copies at the Graduate College. Diplomas are issued only in May at Commencement. An official final transcript may be obtained through the Registrar’s Office at any time after the graduation date.

J. STUDENT APPEAL PROCEDURES

Occasionally circumstances will arise in which more formal procedures are necessary to resolve differing judgments concerning policy interpretation or decisions by various review panels (e.g., Studies Committee). Timely responses are essential in such situations that may result in unnecessary delay or dismissal from the doctoral program. It is expected before any formal appeal process is put into action, that the student explore her/his concerns with the
Ph.D. Program Coordinator. If this informal process does not result in a satisfactory resolution and the student feels a decision affecting her/his future in the program is arbitrary and/or capricious, he or she should initiate a formal appeal. The following procedures will be followed.

Procedures

- The student should submit in writing a summary of the issue(s), evidence to support claim(s), and prior attempts to resolve the issue(s). This document should be submitted to the Ph.D. Program Coordinator.
- Within 14 days of receipt of the written appeal, the Doctoral Advisor Council (DAC) will appoint a panel of five persons to review the appeal and to submit written recommendations to the DAC. The membership of the panel should include one representative from the DAC, one student representative, one DOE or DLDS faculty representative, one Educational Leadership representative, and one CESS faculty representative who will serve as chair of the panel. The panel should complete their deliberations within 30 days of being formally appointed. Panel members should not have had any prior involvement with the issue(s) under review and be judged as persons well qualified to interpret the various dimensions of the issue(s) under appeal.
- The DAC will review the recommendation(s) of the appeal panel and render its final decision within 14 days of receiving the written decision of the panel.
- This concludes the formal appeal process within the College of Education and Social Services. Further appeal options exist at the Graduate College level.
Doctoral Program in Educational Leadership and Policy Studies

Ph.D. Handbook Attachments
## Attachment A

### Ph.D. Student Checklist & Suggested Timeline for Program Completion

<table>
<thead>
<tr>
<th>Timeline</th>
<th>Core Courses</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yr 1-Fall</td>
<td><strong>EDFS 455</strong>: Social Processes and Institutional Change</td>
<td>3 credits</td>
</tr>
<tr>
<td></td>
<td><strong>EDLP 431</strong>: Advanced Seminar in Organizational Leadership</td>
<td>3 credits</td>
</tr>
<tr>
<td>Yr 1-Fall</td>
<td><strong>EDFS 347</strong>: Qualitative Research Methods or <strong>EDLP 409</strong>: Applied Qualitative research</td>
<td>3 credits</td>
</tr>
<tr>
<td>Spring Yr 1</td>
<td><strong>EDLP 419</strong>: Applied Quantitative Research</td>
<td>3 credits</td>
</tr>
<tr>
<td>Yr 2-Fall</td>
<td><strong>EDLP 432</strong>: Advanced Seminar in Organizational Theory</td>
<td>3 credits</td>
</tr>
<tr>
<td>Spring Yr 2</td>
<td><strong>EDLP 437</strong>: Seminar on Education Policy</td>
<td>3 credits</td>
</tr>
<tr>
<td>Yr 2</td>
<td><strong>EDLP 429</strong>: Advanced Quantitative Research</td>
<td>3 credits</td>
</tr>
<tr>
<td>Years 1-3</td>
<td><strong>Complete Elective Research Courses</strong></td>
<td>9 credits</td>
</tr>
<tr>
<td>Years 1-3</td>
<td><strong>Concentration Coursework</strong></td>
<td>12 credits</td>
</tr>
<tr>
<td>Years 1-3</td>
<td><strong>Field of Study/Cognate</strong></td>
<td>9 credits</td>
</tr>
<tr>
<td>Year 3</td>
<td><strong>Dissertation Writing Seminar (spring)</strong></td>
<td>3 credits</td>
</tr>
<tr>
<td></td>
<td><strong>Total Coursework Credits Completed</strong></td>
<td>54 Required</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Timeline</th>
<th>Benchmarks</th>
<th>Form to Submit</th>
</tr>
</thead>
<tbody>
<tr>
<td>By End of year 1</td>
<td>Complete 21 Credits of coursework</td>
<td></td>
</tr>
<tr>
<td>Year 2</td>
<td>Development of <strong>Program Plan</strong> with Advisor and complete a total of 42 credits of coursework</td>
<td>Draft Program Plan Form</td>
</tr>
<tr>
<td>Year 3</td>
<td>Complete Course Requirements and <strong>Finalize Program Plan</strong> for a total of 54 credits of coursework</td>
<td>Submit Final Program Plan</td>
</tr>
<tr>
<td>Year 3</td>
<td><strong>Comprehensive Exam</strong> (at the culmination of coursework not including EDLP 449)</td>
<td>Comprehensive Exam Form</td>
</tr>
<tr>
<td>Generally in year 3 or 4</td>
<td><strong>EDLP 491</strong>: Dissertation Research Credits (comprehensive exam &amp; qualifying paper should be complete prior to registering for EDLP 491)</td>
<td>21 credits required</td>
</tr>
<tr>
<td>Year 3</td>
<td><strong>Select Dissertation Committee &amp; Chair</strong></td>
<td>Email <a href="mailto:phd@uvm.edu">phd@uvm.edu</a> with committee names</td>
</tr>
<tr>
<td>Year 3 or 4</td>
<td><strong>Dissertation Proposal</strong></td>
<td>Dissertation Proposal Approval Form</td>
</tr>
<tr>
<td>Year 4 or 5</td>
<td><strong>Dissertation Defense</strong></td>
<td>See Dissertation Defense Checklist</td>
</tr>
</tbody>
</table>
Ph.D. Handbook

Attachment B
Leadership and Policy Studies Ph.D. Program Plan

Student______________________________  Student NetID#_________________

Advisor_________________________________  Matriculation Date___________

Program of Study

<table>
<thead>
<tr>
<th>Requirements</th>
<th>Courses</th>
<th>Credits</th>
<th>Plan to Complete</th>
<th>Completed</th>
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</thead>
<tbody>
<tr>
<td>Core Courses (12 credits)</td>
<td>EDFS 455 Social Processes</td>
<td>3</td>
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<td></td>
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<tr>
<td></td>
<td>EDLP 431 Organizational Leadership</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>EDLP 432 Organizational Theory</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>EDLP 437 Educational Policy</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research Courses (18 credits)</td>
<td>EDFS 347 Qual. Research Methods or EDLP 409 Applied Qual. Research</td>
<td>3</td>
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<td></td>
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<tr>
<td></td>
<td>EDLP 419 Applied Quantitative Research</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>EDLP 429 Advanced Quantitative Research</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Elective:</td>
<td>3</td>
<td></td>
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<tr>
<td></td>
<td>Elective:</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Elective:</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Concentration (12 credits)</td>
<td></td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Field Study/Cognate (9 credits)</td>
<td></td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dissertation</td>
<td>EDLP 449 Dissertation Writing Seminar</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dissertation *</td>
<td>Minimum of 21 credits</td>
<td>21</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Credits</td>
<td>Total of 75 Credits Required</td>
<td>75</td>
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</table>

Additional Program Requirements:

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Topic/Description</th>
<th>Target date</th>
<th>Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Teaching</td>
<td></td>
<td>Yr 1-2</td>
<td></td>
</tr>
<tr>
<td>Comprehensive Exam</td>
<td></td>
<td>Yr. 3</td>
<td></td>
</tr>
<tr>
<td>Dissertation Proposal</td>
<td></td>
<td>Yr. 3</td>
<td></td>
</tr>
<tr>
<td>Dissertation Defense</td>
<td></td>
<td>Yr. 4</td>
<td></td>
</tr>
</tbody>
</table>

Dissertation Committee Members (4 graduate faculty, one chair outside of CESS)

__________________________________________________________________________  (Advisor)

__________________________________________________________________________  (Outside Chair)

Date of Completion of all Requirements ______________________________________

cc: Student file, Advisor
## Core Courses

- EDFS 455: Social Processes and Institutional Change
- EDLP 431: Advanced Seminar in Organizational Leadership
- EDFS 347 Qualitative Research Methods or EDLP 409: Applied Ed. Research
- EDLP 419: Applied Quantitative Methods in Educational Research
- EDLP 432: Advanced Seminar in Organizational Theory
- EDLP 437: Seminar on Educational Policy

## Research

- EDLP 264: Program Evaluation & Assessment
- EDFS 309: Scholarly Personal Narrative Writing
- EDFS 340: Applied Data Analysis for Decision Making
- EDFS 347: Qualitative Research Methods
- EDFS 348: Analyze & Writing Qualitative Research
- EDHI 380 Research in Higher Education
- EDLP 380 Reading and Understanding Research
- EDLP 429: Advanced Statistics
- EDLP 439: Hierarchical Linear Modeling
- EDLP 449: Dissertation Writing Seminar

## Leadership & Policy Studies

- EDLP 333: Educational Finance
- EDLP 268: Educational Law
- EDLP 310 Effecting & Managing Change
- EDLP 335: Staff Evaluation & Development
- EDLP 336: Curriculum Management
- EDLP 365: Policy to Practice
- EDLP 300: Leading Learning Organizations
- EDLP 372: Leadership and The Creative Imagination
- EDLP 387: Policy Implementation in Educational Settings
- EDLP 380: Economics of Education
- EDLP 380: Adult Development and Learning
- EDLP 380: Women and Leadership

## Higher Education

- EDHI 360: Higher Education in America
- EDHI 361: The (Un)Changing Academy
- EDHI 362: The American College Student
- EDHI 363: Controversies of the Academy
- EDHI 375: Cultural Pluralism Higher Education
- EDHI 380: Academic Leadership
- EDHI 380: Research in Higher Education
- EDHI 383: Higher Ed Admin & Organization
- EDHI 385: Student Affairs Profession
- EDHI 387 Financial Management
- EDHI 396: Capstone: Ethics, Values & Meaning/High Education

## Foundations

- EDFS 303: Ethics of the Helping Relationships
- EDFS 304: Religion, Spirituality & Education
- EDFS 309: Scholarly Personal Narrative Writing
- EDFS 322: Challenge of Multiculturalism
- EDFS 354: Anthropological Perspectives on Education & Social Service Orgs.
Attachment D
Change in Program Plan Form

If you are requesting waiver or substitution of a "required" Educational Leadership and Policy Studies course and/or program requirements, please complete this petition and return to: Director, Educational Leadership Program, 499b Waterman Building, University of Vermont, Burlington, VT  05405-0160. This request will be reviewed by the Doctoral Advisory Council and you will be notified of the outcome.

Student Name: ______________________  Date of Request: ______________________

Address: ________________________________________________________________

Phone: _________________________________________________________________

Advisor: ________________________________________________________________

Current Concentration: ___________________________ Hours completed in Program: __

Change Requested: _________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Student Signature: ________________________________________________________

________________________________________________________________________

Conditions of Approval/Denial

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Request Approved/Denied (by consensus of DAC)

Signature of Coordinator   Date

________________________________________________________________________

Signature of Advisor   Date

I agree with the conditions and consequences of the waiver and above conditions.

________________________________________________________________________

Signature of Student   Date

Note: If your petition to change from your program plan is approved, you will need to meet with your advisor to discuss this change and to complete a new Program of Study form for your file.

Distribution: Original in Student File, cc: Advisor, Student
Ph.D. Handbook

Attachment E
Ph.D. Program in Educational Leadership & Policy Studies
Application for Independent Study

Name ______________________________ ID# ___________________________
Phone# _______________ email address _______________________________
EDLP 397 Independent Study  CRN # ______________________________
# of Credits __________ Semester/Year Enrolling __________

Description of proposed research or activity  (if more room needed, attach one page description)

Procedures (to be developed later with your advisor). Refer to Guidelines for Independent Studies on page 2.

Signatures

______________________________________ (Student)

______________________________________ (Faculty Sponsor for Independent Study)

Final Evaluation (Grade) Grades will not be submitted to the Registrar unless this contract has been completed and signed. ________
PERMISSION FORM TO TAKE THE COMPREHENSIVE EXAMINATION

SECTION A

Name:___________________________________ UVM NetID:______________
Address:___________________________________ Phone:___________________
____________________________________ Advisor:__________________

Semester/Target Date of Examination:________________________________________

NOTE TO STUDENT: Complete Section A of this form and submit it to cessphd@uvm.edu. Once Section B – Once Basic Eligibility Criteria have been verified, this form will be forwarded to the advisor and program coordinator for final approval.

SECTION B – Basic Eligibility Criteria

Permission to take the comprehensive examination will be granted to Ph.D. students who have:

_____ Satisfactory completion of all coursework or are in the final semester of coursework (with the exception of EDLP 449 Dissertation Writing Seminar).
_____ G.P.A. of at least a 3.0 with no outstanding incompletes and no grades below a 3.0 (B) in core courses and the research core.
_____ Program studies committee (three CESS faculty).
_____ An approved plan of study.

SECTION C-Approval

Advisor Signature:___________________________________ Date:________________
(Advisor signature verifies advisor approval for the comprehensive examination.)

Program Coordinator Signature___________________________________ Date:________________
(Program Coordinator signature verifies completion of all eligibility requirements for comprehensive examination.)
COMPREHENSIVE EXAM EVALUATION FORM

Date Evaluation Due ___________________ Student _______________________________________

Semester/Year ____________________ Evaluator _______________________________________

Passed _______ Conditional Pass _______ Failed _______

(conditions described below)

Scoring Key: Circle the appropriate score description for each section

<table>
<thead>
<tr>
<th>Section</th>
<th>1= Fail</th>
<th>2= Conditional Pass</th>
<th>3= Pass</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Proper Grammar, Punctuation and Spelling</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Major errors in spelling, grammar, sentence structures that make reading difficult and interfere with comprehensibility.</td>
<td></td>
<td>While there may be minor errors, the paper follows normal conventions of spelling and grammar throughout. Errors do not significantly interfere with topic comprehensibility.</td>
<td>The paper is essentially error free in grammar, punctuation and spelling.</td>
</tr>
<tr>
<td>II. Writing Style: The writing style helps the reader to follow and comprehend the paper. It includes an orderly presentation of ideas, smoothness of expression, precision and clarity. The paper is expected to conform with the Publication Manual of the American Psychological Association (6th ed., 2009).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Major stylistic problems and inconsistencies are apparent. The inappropriate style makes reading and comprehension difficult. Weak transitions and apparent logic gaps occur between topics being addressed. The style detracts from the comprehensibility of the manuscript.</td>
<td></td>
<td>While there may be minor errors, conventions for style and format are used consistently throughout the paper. Transitions and organizational structures such as subheadings are effectively used to help the reader move from one point to another.</td>
<td>While there may be minor errors, conventions for style and format are used consistently throughout the paper. Writing flows smoothly from one idea to another. Transitions effectively establish a sound scholarly argument and aid the reader in following the writer's logic. Organizationally, smooth and effective transitions between topics lead the reader through an orderly discussion of the topic being addressed.</td>
</tr>
<tr>
<td>APA Editorial Style is almost neglected or misinterpreted on a large scale.</td>
<td></td>
<td>The manuscript is generally organized and prepared in APA format. Some minor omissions occur.</td>
<td>The manuscript is organized and prepared in APA format, e.g., appropriates citations, headings, subordination, references and tables.</td>
</tr>
<tr>
<td>IV. Conceptual Framework</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The conceptual framework is unclear and/or not adequately grounded in relevant literature.</td>
<td></td>
<td>Empirical and theoretical research is cited to ground the study in relevant areas of literature but additional development, editing, and/or literature is needed to strengthen the conceptual framework.</td>
<td>Sufficient empirical and theoretical research is cited to ground the study and a strong conceptual framework is articulated. The literature review is carefully focused on research directly relevant to the study.</td>
</tr>
</tbody>
</table>

1 If the target journal uses an alternative writing guide such as The Chicago Manual of Style, it may be substituted in place of APA with the permission of the committee.
V. Significance of the Study

| The gaps noted in the current literature and/or the argument for the significance of the paper is insufficient and/or unclear. | Some revision is needed in identifying gaps in the literature and/or the justifying the significance of the paper and its contributions to the field. | Builds an argument for the need and significance of the study rather than just summarizing related research. Identifies gaps in the literature and presents a clear argument for the paper’s contribution to the field. |

VI. Methodology/Methods (if empirical study)

| The research design is not clearly articulated and does not utilize appropriate statistical analyses and/or appropriate checks on measures (quantitative). Assertions are not warranted through appropriate thick description, triangulation of data, and/or issues of quality and credibility are addressed in the design, etc. (qualitative). | The methodology section requires additional edits so that it clearly articulates the research design and is clear for quantitative data that appropriate statistical analyses were used with appropriate checks on measures and/or for qualitative data that assertions are warranted through appropriate thick description, triangulation of data, and issues of quality and credibility are addressed in the design, etc. (qualitative). | The methodology section clearly articulates the research design. Appropriate statistical analyses were used with appropriate checks on measures (quantitative). Assertions are warranted through appropriate thick description, triangulation of data, and issues of quality and credibility are addressed in the design, etc. (qualitative). |

VII. Results/Findings

| The results/findings are not discussed in a clear way with sufficient explanation of their meaning and connection to appropriate literature. | The results/findings need additional editing so they are discussed in a clear way with sufficient explanation of their meaning and connection to appropriate literature. | The results/findings are discussed in a clear way with sufficient explanation of their meaning and connection to appropriate literature. |

VIII. Discussion and Conclusions

| The conclusions and interpretations made are not warranted based on the conceptual framework, relevant literature, and research results/findings (if applicable,) and/or the significance of the results/findings for both theory and practice is not clearly articulated. | Edits are needed so that the conclusions and interpretations made are warranted based on the conceptual framework, relevant literature, and research results/findings (if applicable) and/or the significance of the results/findings for both theory and practice is clearly articulated. | The conclusions and interpretations made are warranted based on the conceptual framework, relevant literature, and research results/findings (if applicable) and the significance of the results/findings for both theory and practice is clearly articulated. |

IX. Colloquium Presentation (see helpful hints for presentations on the AERA website*)

| The presentation did not outline the major points of the paper in 15-20 minutes and/or was read verbatim. Sufficient highlights were not given that covered key points such as the purpose of the study, description of the sample, methodology, problems, and major findings, conclusions, or recommendations. | The presentation missed a key point in the paper, or did not stay within 15-20 minutes, and/or may have not covered key highlights in sufficient detail (e.g., purpose of the study, description of the sample, methodology, problems, and major findings, conclusions, or recommendations). | The presentation was engaging and outlined the major points of the paper in 15-20 minutes using appropriate visuals and/or presentation style. Highlights were offered in sufficient detail (e.g. the purpose of the study, description of the sample, methodology, problems, and major findings, conclusions, or recommendations). |

Overall Rating of Comprehensive Exam Questions (each question rated separately):
3 = Pass – Response meets rubric criteria at the “3” level consistently, with only one or two elements at the 2 level
2 = Conditional Pass – Response meets rubric criteria primarily at the “2” level, with one or two elements above or below that level
1 = Fail – Response meets mainly the “1” rubric criteria, with a few elements possibly in “2,” but not enough to demonstrate sufficient knowledge and skills.

Overall Rating ___________

SUGGESTED OVERALL EDITS NEEDED FOR PUBLICATION:

DETAILED EDITS NEEDED ON SECTIONS IF RATING IS 2 OR BELOW:

I. Proper Grammar, Punctuation and Spelling

II. Writing Style:

III. APA Format:

VI. Methodology/Methods (if empirical study)

V. Significance of the Study

VI. Methodology/Methods (if empirical study)

VII. Results/Findings

VIII. Discussion and Conclusions

Conditions for second review, if needed for conditional pass:
The following outline is intended only as a suggestion to help guide the student in proposal development. It is recognized that varying types of research efforts will require variations in format and presentation.

A. **Statement of the Problem**
   1. State the problem in terms intelligible to someone who is generally sophisticated but who is relatively uninformed in the area of the problem.
   2. Define and delimit the specific area of the research.
   3. Foreshadow the hypotheses to be tested or the questions to be raised.
   4. Be certain to include somewhere a sentence such as, "The problem to be addressed by this study is..."
   5. Indicate briefly the significance of the study (this item to be elaborated in Section I, page 3).

B. **Review of the Literature**
   1. Demonstrate to the reader that you have a comprehensive grasp of the field and are aware of important recent substantive and/or methodological developments.
   2. Delineate the "jumping-off place" for your study: how will your study refine, revise, or extend what is now known?
   3. Avoid statements, which imply that little has been done in the area or that what has been done is too extensive to permit each summary. Statements of this sort are usually taken (and often rightly) as indications that the proposer is not really familiar with the literature.

C. **Questions and/or Hypotheses**
   1. Questions are relevant to normative or census type research (How many of them are there? Is there a relationship between them?). Hypotheses are relevant to theoretical research, and when you state hypotheses the reader is entitled to have an exposition of the theory that lead to them (and of the assumptions underlying the theory).
   2. Hypotheses can be couched in four kinds of statements:
      a. Literary null: a "no-difference" form in terms of theoretical constructs.
      b. Operational null: a "no-difference" form in terms of the operations required to test the hypotheses.
      c. Literary alternative: a form that states the hypothesis you will accept if the null hypothesis is rejected, stated in terms of theoretical constructs (this is usually what you hope the experiment will show).
d. Operational alternative: similar to (c) except that the operations are specified.

3. In general, you should be prepared to interpret any possible outcome with respect to the questions or hypotheses. It will be helpful if you visualize in your mind's eye the tables (or other summary devices) which you expect to come out of the research, short of the actual data. In any case, the concluding chapter should explicitly address the questions, theses, or hypotheses raised. It is important, therefore, that these be made explicit.

D. The Design

1. Indicate the steps you will take to answer every question or to test every hypothesis indicated.

2. All research is plagued by the presence of confounding variables: the noise, as it were, that covers up the information you would like to have. Such confounding variables must either be eliminated by various kinds of controls, or be estimated and taken into account by randomization processes. Thus, in this section it will be proper for you to indicate

   a. The variables you propose to control, and how you propose to control them, experimentally or statistically.

   b. The variables you propose to randomize, and the nature of the randomizing unit (pupils, grades, school, etc.).

   c. If (a) and (b) do not apply to your study, it is nevertheless necessary to carefully and accurately describe:

      1. the situational variables which may affect your study.
      2. those variables, as they are in situ, which you intend to key on.

3. You should be aware of the possible sources of error to which your design exposes you. No one can expect of you that you will in every situation produce a perfect, errorless design. However, you can be expected to be aware of the possible sources of error and to do what you can to overcome them or to take them into account in your interpretation. To demonstrate this awareness, you should yourself point out the potential sources of error in this section.

4. In discussing your design, it will be helpful if you can label it according to the terms of some logical, statistical, or descriptive typology. Such labeling is helpful in communicating your precise intention to the reader, and it also helps you identify possible sources of error.

E. Instrumentation

1. In this section you should outline the instruments you propose to use. These should be described if they are already available; if not, the procedures you will follow to develop or select the instruments should be described.

2. Since the selection of instruments is in most cases also the operational definition of the variables, this is a most crucial step. It is at this level that a literary conception such as, "Intelligence is related to school achievement," becomes, "Stanford-Binet I.Q. is related to Grade Point Average." Strictly speaking any findings of your research will be relevant only
to the instrumental or operational statement. You may adequately represent the variables contained in the conceptual statement of the problem. Of course, operational definitions are always arbitrary, but you should defend your particular brand of arbitrariness on some basis, even if none better are available than expediency, availability, or simplicity.

3. In addition to the validity problem posed in (2), you should also be aware of questions of reliability and objectivity, and deal with these.

F. Sampling

1. The first reason for being concerned with sampling is that of external validity, i.e., knowing the population to whom the findings apply. To generalize validity the findings for a sample to some defined population requires that the sample shall have been drawn from that population according to one of several probability sampling plans. By a probability sample we mean that the probability of inclusion in the sample of any element in the population must be given a priori (all probability samples involve the idea of random sampling at some stage). In experimentation, two distinct steps are involved:

   a. Random selection, i.e., the subjects to be included in the sample must all be chosen at random from the same population. You should define the population and indicate the sampling plan in detail.

   b. Random assignment, i.e., the subjects selected for the sample must be assigned at random to one of the experimental treatments. Subjects assigned to a group on the basis of some already existing basis, e.g., membership in Boy Scouts vs. no membership in Boy Scouts, are not randomly assigned and, hence, the data are invalidated as experimental data, although not as study data (such studies are sometimes referred to as "ex post facto" experiments). You should indicate the assignment procedure you will use.

2. The second reason for being concerned with sampling is that of internal validity. Without a probability sample we cannot construct an error estimate: hence, we have no way of telling whether the findings represent mere "noise" or whether they also contain information and, if so, in what proportion.

3. In the case that sampling is not appropriate (i.e., a total defined population is included) or in the case of "deliberate nonsampling" (e.g., elite interviews) this information should be made explicit.

G. Data Collection

1. You should outline your general plans for collecting the necessary data, including an explicit statement covering the field controls you will employ. The major concern here is generally that you will maintain equivalent situations for all groups.

2. You should give some idea of the time schedule you expect to follow, including any plans for counterbalancing to take care of order effects.

H. Data Analysis
1. You should specify the statistical and/or other analytic procedures you will use. Where instrumentation remains to be developed it may not be possible to make a very specific statement in the absence of information regarding the strength of measurement, continuity, form of distribution, etc., which may be expected.

2. Develop "bogus" tables, if appropriate, to indicate the nature of the analysis.

3. Indicate briefly any special analytic tools you have available, e.g., IBM equipment.

I. **Significance**

1. Indicate how your research will refine, revise, or extend existing knowledge. Note that such refinements, revisions, or extensions may have either substantive or methodological significance or both.

2. Almost all studies have two potential audiences: practitioners and professional peers. Statements relating the research to both groups are in order.

J. **Dissertation Research Schedule**

Using PERT (Program Evaluation and Review Technique) or Gantt Chart or similar visual chart format, outline the main events of the proposed research and expected dates of completion for each.

K. **Dissertation Format**

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Title</th>
<th>Details</th>
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<tbody>
<tr>
<td>Chapter I</td>
<td>Introduction</td>
<td>background/need/justification/purpose/problem/research question or thesis/assumptions/limitations/organization</td>
</tr>
<tr>
<td>Chapter II</td>
<td>Literature Review and/or Background</td>
<td>of case study, e.g., Legislature, Department of Education - evolution, structure, function, composition)</td>
</tr>
<tr>
<td>Chapter III</td>
<td>Methodology or Design of Study</td>
<td>sometimes includes literature review involving methodology</td>
</tr>
<tr>
<td>Chapter IV+</td>
<td>Journal Articles</td>
<td>Report on findings and/or Issue Analysis/Analysis of Data</td>
</tr>
<tr>
<td>Final Chapter</td>
<td>Summary/Conclusions/Implications/Recommendations</td>
<td>Summarize and highlight limitations and need for future research</td>
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Attachment I

Developing a Qualitative Research Proposal

Title. Make this a good working qualitative research title.

I. Research Topic

A. Introduction to the General Research Area

B. Research Statement and sub-questions. Work on creating a one-sentence statement of your research problem or question. Make it clear, focused, and doable. Re-use this statement in your proposal whenever you are discussing what it is that you are planning to do/discover. In this section, also describe the potential sub-questions that may be a part of this larger question.

C. Potential Significance/Contribution of Research

1. Knowledge. What might your research contribute to knowledge and theory?
2. Policy. How might your research contribute to policy?
3. Practitioners. How might your research contribute to practice or practitioners?

II. Review of Related Literature. This should justify your research questions and research design

III. Research Design. Make use of qualitative research texts in this section to demonstrate your familiarity with qualitative research procedures.

A. Rationale for Qualitative Methods
B. Site(s) Selection Description and Rationale
C. Participant Selection Description and Rationale
D. Data Collection Methods
E. Data Analysis Procedures and Presentation of Findings
F. The Researcher’s Subjective I@

IV. Bibliography

V. Appendices

A. Consent Form(s)
B. Summary of Research Purpose, Procedures, and Promises for Participants (your cover story)
C. Interview Questions
D. Proposed Time Line

Originally Developed by Corrine Glesne and modified by Cindy Gerstl-Pepin.

MEMORANDUM

To: Coordinator, Ph.D. Doctoral Program

From:

Re: Doctoral Program in Educational Leadership & Policy Studies

Dissertation Proposal Approval Form

Proposal Title:

On this date, the following Dissertation Committee members met and approved/did not approve the candidate's dissertation proposal.

<table>
<thead>
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<th>Approved</th>
<th>Not Approved</th>
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cc: Student File (+ copy of paper)
    Advisor
To: Cindy Gerstl-Pepin, Coordinator, Ph.D. Program

From: __________________________
(advisor)

Re: __________________________
(student)

Attached is a copy of the approved Dissertation Proposal and forms to be submitted to the IRB.
# Appendix L
## DISSERTATION DEFENSE CHECKLIST

<table>
<thead>
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<th>Tasks</th>
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<tr>
<td><strong>Intent to Graduate/Commencement form</strong></td>
<td>Submit original to Graduate College at the beginning of the semester in which you will defend</td>
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<tr>
<td><strong>Defense Committee Membership Form</strong></td>
<td>Submit to Ph.D. Program Assistant</td>
</tr>
<tr>
<td>Select <strong>Defense Date</strong> with Committee</td>
<td>Email a suggested date &amp; time to your committee</td>
</tr>
<tr>
<td><strong>Reserve room</strong> and media equipment for defense</td>
<td>Contact Ph.D. Program Assistant, <a href="mailto:cessphd@uvm.edu">cessphd@uvm.edu</a></td>
</tr>
<tr>
<td>A format check must be scheduled with the Graduate College no later than 3 weeks prior to your defense date</td>
<td>Contact Graduate College at 656-3160 to schedule</td>
</tr>
<tr>
<td><strong>Defense Notice Form and Abstract</strong> – must be posted 3 weeks prior to the scheduled defense –</td>
<td>Email the completed defense notice and abstract to Ph.D. Program Assistant, <a href="mailto:cessphd@uvm.edu">cessphd@uvm.edu</a></td>
</tr>
<tr>
<td><strong>Defendable Copy</strong> of your dissertation must be submitted to your Committee Members at least 3-weeks prior to your defense</td>
<td>Deliver defendable copies to your committee members</td>
</tr>
<tr>
<td><strong>Take to Defense</strong></td>
<td><strong>Electronic Dissertation Rights &amp; Permission Form</strong></td>
</tr>
</tbody>
</table>
| **At the Defense:** | 1) Present dissertation study  
2) Oral examination by committee |
| **Revisions** | See Graduate College deadlines |
| **Submit pdf copy of dissertation with** **Electronic Dissertation Rights & Permission Form** | See Graduate College deadlines |
| **Submit** **Electronic Copy & Permission Form** | Secure signature from Advisor and submit to Graduate College |
| **Upload Dissertation** | ProQuest ETD |