Educational Leadership Program

COHORT 11

DOCTOR OF EDUCATION (Ed.D.)

STUDENT HANDBOOK

2006 – 07

Educational Leadership Program
College of Education
P.O. Box 210069
Tucson, AZ 85721-0069

http://coe.arizona.edu/pages/dep_edl
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WELCOME TO YOUR EDL DOCTORAL PROGRAM

Dear EDL Doctoral Student,

Welcome to Educational Leadership Program in the College of Education at the University of Arizona. We are pleased you have chosen the EDL Program to guide you in furthering your professional and educational goals.

This handbook is designed to describe the processes and paperwork requirements for the EDL program, the College of Education, and the Graduate College. While we have not included all the rules and regulations related to obtaining a degree, we have included descriptions of program requirements and date/time requirements. You may either use the forms in the handbook to complete official paperwork or download them from the Graduate College website at http://grad.arizona.edu/Current_Students/Forms/GC_Forms.php

The EDL Office is located in the College of Education Building, Room 218. It is open Monday through Friday, 8:00 a.m. – 5:00 p.m., except during the lunch hour, 12:00 – 1:00 p.m. Program contact information follows:

Kathy Bayham, Graduate Coordinator
Educational Leadership Program
College of Education
P. O. Box 210069
University of Arizona
Tucson, AZ 85721-0069
Telephone: 520-621-6658 Fax: 520-626-6050 Email: edlprog@email.arizona.edu
Web: http://coe.arizona.edu/pages/dep_edl

We ask that you
• keep this handbook accessible.
• consult the handbook each semester.
• work with your advisor to ensure that you are progressing through your program in a timely manner.

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

Sincerely,

The Educational Leadership Program Faculty

Jeffrey Bennett, M.A. J. Robert Hendricks, Ed.D.
Kris Bosworth, Ph.D., Head John Pedicone, Ph.D.
Patricia First, J.D., Ed.D. John Taylor, Ph.D.
FACULTY

Jeffrey Bennett, M.A., Adjunct Instructor, (Educational Administration, The Ohio State University) Jbennett@u.arizona.edu 626-4549 Room 220
Research Interests: Urban Education Reform, School-Community Partnerships, Youth Development Programs, Education for Democratic Citizenship.

Kris Bosworth, Ph.D., Professor and Head, Smith Endowed Chair (Adult Education and Evaluation, University of Wisconsin-Madison) boswortk@u.arizona.edu 626-4350 Room 234
Research Interests: Drug and Violence Prevention, Implementation, Resiliency, and Leadership for Change.

Patricia First, J.D., Ed.D., Professor (J.D., School of Law, University of Dayton; Ed.D., Educational Administration, Illinois State University) first@u.arizona.edu 621-1741 Room 220
Research Interests: Legal and Policy Issues of the Educational System, Ethical Leadership, Just Decision-Making for Students and Their Families, Cyber Law, the Application of Social Science Research Techniques to Educational Law Questions such as Adequate Funding.

J. Robert Hendricks, Ed.D., Professor and Associate Dean (Educational Administration, Arizona State University) hendricks@arizona.edu 621-1573 Room 201
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John Pedicone, Ph.D., Senior Faculty Fellow (Educational Administration, University of Wisconsin-Madison) pedicone@email.arizona.edu 626-8605 Room 222

John Taylor, Ed.D., Professor (Curriculum, Instruction, and Teacher Education, Stanford University) johnt@u.arizona.edu 626-7933 Room 232

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E: edlprog@email.arizona.edu
Web: http://www.ed.arizona.edu/edl/
EDL PURPOSE AND STANDARDS

The focus of the leadership program is to prepare leaders in education to achieve results in the nation’s schools by:

1. translating theory and knowledge into practice;
2. applying skills in interpersonal relations and political diplomacy; and
3. following ethical principles.

Graduates will be able to adapt to a changing world, predict the consequences of proposed action, and sustain continuous education improvements over time. The development of skills and qualities that will enhance the ability of leaders to empower, inspire, and guide the performance of others in achieving the desired goals of a school, a school district or a community will be the focus of this program. All courses in the cognate core as well as the specialization classes leading to certification are correlated with the adopted Standards for Arizona Administrators and the Educational Leadership Constituent Council (ELCC) standards. The ELCC standards include:

Standard 1.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by facilitating the development, articulation, implementation, and stewardship of a school or district vision of learning supported by the school community.

This standard addresses the need to prepare educational leaders who value and are committed to educating all students to become successful adults. Each educational leader is responsible for creating and articulating a vision of high standards for learning within the school or district that can be shared by all employees and is supported by the broader school-community of parents and citizens. This requires that educational leaders be willing to examine their own assumptions, beliefs, and practices; understand and apply research; and foster a climate of continuous improvement among all members of the educational staff. Such educational leaders will commit themselves to high levels of personal and organizational performance in order to ensure implementation of this vision of learning.

Standard 2.0: Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by promoting a positive school culture, providing an effective instructional program, applying best practice to student learning, and designing comprehensive professional growth plans for staff.

This standard addresses the need for educational leaders to position teaching and learning at the focal point of schools. It accepts the proposition that all students can learn and that student learning is the fundamental purpose of schools. To this end, educational leaders are responsible for ensuring that decisions about curriculum, instructional strategies (including instructional technology), assessment, and professional development are based on sound research, best practice, school and district data, and other contextual information and that observation and collaboration are used to design meaningful and effective experiences that improve student achievement. Educational leaders must capitalize on diversity to create a school culture that
promotes respect and success for all students. All members of the school community should have confidence in the integrity of the decision-making process for school improvement and the appropriateness of that process, thus ensuring dignity and respect for all. Successful educational leaders must be able to identify, clarify, and address barriers to student learning and communicate the importance of developing learning strategies for diverse populations. In addition, this standard requires that educational leaders be learners who model and encourage life-long learning. They should establish a culture of high expectations for themselves, their students, and their staff. Candidates preparing to lead schools or districts must be able to assess the culture and climate on a regular basis. They must also understand the importance of supervision and be able and willing to evaluate teacher and staff performance using a variety of supervisory models.

**Standard 3.0:** Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by managing the organization, operations, and resources in a way that promotes a safe, efficient, and effective learning environment.

This standard addresses the need to enhance student learning through effective, efficient, and equitable utilization of resources. Educational leaders must use their knowledge of organizations to create a learning environment conducive to the success of all students. Proper allocation of resources such as personnel, facilities, and technology are essential to creating an effective learning environment. Resource management decisions should give priority to teaching, student achievement, and student development. Also, operational procedures and policies must be established to maintain school safety and security and to strengthen the academic environment. All management decisions, including those regarding human resources, fiscal operations, facilities, legal issues, time management, scheduling, technology, and equipment, should be based on sound organizational practice. Educational leaders must monitor and evaluate operational systems to ensure that they enhance student learning and reflect the school’s and district’s accountability to the community. Skills in job analysis, supervision, recruitment, selection, professional development, and appraisal of staff positions, as well as an understanding of relevant collective bargaining agreements, strengthen the ability to use personnel resources. Effective educational leaders define job roles, assign tasks, delegate appropriately, and require accountability. They also actively seek additional sources of financial, human, and physical support. They involve stakeholders to ensure that management and operational decisions take into consideration the needs of multiple constituencies while at the same time focusing the entire community on student achievement as the ultimate goal. To include stakeholders in management decisions, educational leaders must be competent in conflict resolution, consensus building, group processes, and effective communication.

**Standard 4.0:** Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by collaborating with families and other community members, responding to diverse community interests and needs, and mobilizing community resources.

This standard addresses the fact that cooperation among schools, the district, and the larger community is essential to the success of educational leaders and students. Educational leaders must see schools as an integral part of the larger community. Collaboration and communication with families, businesses,
governmental agencies, social service organizations, the media, and higher education institutions are critical to effective schooling. The ability to analyze emerging issues and trends that might affect schools and districts enables educational leaders to plan effective instructional programs and school services. Effective and appropriate communications, coupled with the involvement of families and other stakeholders in decisions, helps to ensure continued community support for schools. Seeing families as partners in the education of their youngsters, and believing that families have the best interests of their children in mind, encourages educational leaders to involve them in decisions at the school and district levels. Family and student issues that negatively affect student learning must be addressed through collaboration with community agencies that can integrate health, social, and other services. Such collaboration relies on good relationships with community leaders and outreach to a wide array of business, religious, political, and service agencies. Providing leadership to programs serving all students, including those with special and exceptional needs, further communicates to internal and external audiences the importance of diversity. To work with all elements of the community, educational leaders must recognize, value, and communicate effectively with various cultural, ethnic, racial, and special interest groups. Modeling community collaboration for staff and then offering opportunities for staff to develop collaborative skills maximizes positive interactions between schools and the community.

**Standard 5.0:** Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by acting with integrity, fairly, and in an ethical manner.

This standard addresses the educational leader’s role as the "first citizen" of the school/district community. Educational leaders should set the tone for how employees and students interact with one another and with members of the school, district, and larger community. The leader’s contacts with students, parents, and employees must reflect concern for others as well as for the organization and the position. Educational leaders must develop the ability to examine personal and professional values that reflect a code of ethics. They must be able to serve as role models, accepting responsibility for using their position ethically and constructively on behalf of the school/district community. Educational leaders must act as advocates for all children, including those with special needs who may be underserved.

**Standard 6.0:** Candidates who complete the program are educational leaders who have the knowledge and ability to promote the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

This standard addresses the need for educational leaders to understand and be able to operate within the larger context of the community and beyond, which affects opportunities for all students. Educational leaders must respond to and influence this larger political, social, economic, and cultural context. Of vital importance is the ability to develop a continuing dialogue with economic and political decision makers concerning the role of schools and to build collaborative relationships that support improved social and educational opportunities for children. Educational leaders must be able to participate actively in the political and policy-making context in the service of education, including proactive use of the legal system to protect students’ rights and improve students’ opportunities.
## MINIMUM COURSE REQUIREMENTS – COHORT 11

<table>
<thead>
<tr>
<th>Type of Coursework</th>
<th>Units</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cohort Core</td>
<td>24</td>
<td>8 courses addressing educational leadership and research issues based on ELCC standards</td>
</tr>
<tr>
<td>Concentration Electives</td>
<td>9</td>
<td>3 courses in an area of in-depth study/expertise (i.e. policy, technology, law)</td>
</tr>
<tr>
<td>Research Methods</td>
<td>9</td>
<td>3 units quantitative, 3 units qualitative + 3 units of advanced quantitative or qualitative or methodologically specific</td>
</tr>
<tr>
<td>Minor Program</td>
<td>12</td>
<td>Coursework outside of EDL that will complement your major, 12-15 units</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>54</strong> Units of Coursework</td>
</tr>
<tr>
<td>Dissertation</td>
<td>18</td>
<td>Units of Dissertation</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>72</strong> Total Units</td>
</tr>
</tbody>
</table>
CORE COURSE DESCRIPTIONS - COHORT 11

EDL 620: Advanced Foundations of Educational Leadership
The purpose of this course is to provide students the opportunity to apply educational leadership theory and research to educational leadership practice. The knowledge bases for this course rest in the Standards for Arizona School Administrators and the standards developed by the Educational Leadership Consortium.

EDL 621: Organizational, Operational & Resource Leadership
This course is designed to provide a foundation for educational leaders to understand and apply principles of organizational theory to promote student success. Effective management of organizations including basic operations and resource allocation will be discussed and students will explore research which focuses on appropriate decision-making strategies in order to develop a personal understanding of the issues involved in creating effective and efficient learning environments. Students will be able to understand the relationship between leadership theory and organizational theory in order to help frame their perspectives about effective leadership as it applies to educational administration in the K-12 setting. This course will utilize a variety of methodologies to include direct instruction, case studies, simulations and authentic assessments. Students will be expected to apply a broad theoretical foundation supported by literature from leadership and organizational research.

EDL 622: Research and Data-Based Decision-Making in Educational Leadership
The purpose of this class is to engage the creation, analysis and use of data for research and school planning purposes. The first half of the course will focus on the use of data in the research process. Procedures for gathering valid secondary data sources will be examined and data collected by others will be analyzed and critiqued. The second part of the course will focus on data that can be used for decision making at the school and district levels. The foundations for this course are standard data analysis and representation techniques.

EDL 623: Curriculum and Instructional Leadership
This course is designed to examine leadership and its relationship to curricular development and organization; instruction and supervision; student learning; and school change processes. Curricular and instructional theories will be studied from political and policy perspectives and how they apply to current reform efforts, especially in the context of state and national agendas (AZ Learns and NCLB). Emphasis will also be placed on understanding the role of leadership in various reform movements and the implications these reform activities have for issues of equity and diversity in the school and/or district setting. In addition, the specifics of curricular and instructional reform components, such as standards and high stakes testing, will be critically examined as they apply to classroom practice, student achievement, program evaluation, school improvement, and school restructuring. This course will utilize a variety of methodologies to include direct instruction, case studies, simulations and authentic assessments. Students will be
expected to understand and apply a broad theoretical foundation supported by literature in both the leadership and curriculum fields.

**EDL 624: Leadership and the Educational Environment**
Throughout this course, we will study the various contexts that affect our schools today. We will explore the political, economic, cultural, social, and environmental contexts that have a direct impact on our students’ lives, and on the lives and work of teachers and administrators in educational institutions. To understand these contexts, we must go back and forth between theory and practice. While theory helps us to understand how seemingly disconnected parts fit into larger wholes, practice gives life to beliefs, values, and attitudes. In fact, theory and practice are inseparable; theories that are completely divorced of reality are inconsequential for the social sciences, and virtually every practical decision is based on a theory (even when one is not aware of it). To study the relationship between theory and practice as it shapes, and is shaped by, larger societal contexts, this course will be divided into three parts. Part I: Exploring the Connections Between Schools and Society; Part II: Exploring the Nature of Organizations; and Part III: Exploring Educational Administration Through a Different Lens.

**EDL 625: Leadership for the School and the Diverse Community**
The purpose of this course is to provide students the opportunity to apply theory and research to educational leadership practice diverse education settings. The knowledge bases for this course rest in the Standards for Arizona School Administrators and the standards developed by the Educational Leadership Consortium (see ELCC standards beginning on page 3 of this document).

**EDL 626: Leadership for Social Justice, Ethics, and Law**
This course addresses the need for, resurgence of interest in, and recognition of the importance of the study of ethics for educational administrators and leaders. The purpose is to study the knowledge base of the multiple perspectives on ethics essential for administrators to know as they grapple with the ethical dilemmas inherent in school leadership. This is an interdisciplinary course drawing upon traditional readings in ethics, justice and human rights, newer paradigms such as feminist ethics and the ethics of care, and political, public and spiritual ethics, as these affect making meaningful and ethical decision making for children and society. The knowledge bases for this course rest in the Standards for Arizona School Administrators and the standards developed by the Educational Leadership Consortium.

**EDL 627: Leadership for Educational and Organizational Change**
The purpose of this course is to provide students the opportunity to investigate the characteristics of leadership as they apply to changing educational organizational structures and processes. The knowledge bases for this course rest in the Standards for Arizona School Administrators and the standards developed by the Educational Leadership Consortium.
## DOCTORAL PROGRAM REQUIREMENTS

<table>
<thead>
<tr>
<th>Activity</th>
<th>Timing</th>
<th>PAPERWORK REQUIRED BY:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Meet program advisor</td>
<td>1st semester</td>
<td>COE/EDL</td>
</tr>
<tr>
<td>2. Select committee members (3 major and 1 minor)</td>
<td>2nd semester</td>
<td>Grad. College</td>
</tr>
<tr>
<td>3. Schedule qualifying exam</td>
<td>2nd semester</td>
<td>Completed</td>
</tr>
<tr>
<td>4. Qualifying exam</td>
<td>2nd semester</td>
<td></td>
</tr>
<tr>
<td>5. Submit <strong>Doctoral Plan of Study</strong></td>
<td>3rd semester</td>
<td>X</td>
</tr>
<tr>
<td>6. Schedule comprehensive written exam (3 major members, 1 minor member)</td>
<td>Courses close to completion</td>
<td></td>
</tr>
<tr>
<td>7. Complete comprehensive written exam</td>
<td>Courses close to completion</td>
<td></td>
</tr>
<tr>
<td>8. Schedule oral comprehensive exam (submit <strong>Application for Oral Comprehensive Examination for Doctoral Candidacy</strong> form) (3 major members, 1 minor member)</td>
<td>Form is due 7 days prior to exam See page 9</td>
<td>X</td>
</tr>
<tr>
<td>9. Sit for comprehensive oral exam</td>
<td>Within 2 semesters of written exam</td>
<td></td>
</tr>
<tr>
<td>10. Determine dissertation committee (at least 3 tenure or tenure-track members and 1 minor member)</td>
<td>After oral comps</td>
<td></td>
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<tr>
<td>11. Take Human Subjects Certification</td>
<td>After oral comps</td>
<td></td>
</tr>
<tr>
<td>12. Write dissertation proposal / submit Human Subjects forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Dissertation proposal review</td>
<td>After oral comps</td>
<td></td>
</tr>
<tr>
<td>14. Submit <strong>Advancement to Candidacy</strong> form</td>
<td>No later than 6 months prior to Final Oral Exam</td>
<td></td>
</tr>
<tr>
<td>15. Submit copy of dissertation to committee members</td>
<td>At least 2 weeks before Final Oral Exam</td>
<td></td>
</tr>
<tr>
<td>16. Schedule final oral examination (submit <strong>Announcement of Final Oral Examination</strong> form)</td>
<td>Submit form to EDL graduate coordinator at least 4 weeks prior to exam</td>
<td></td>
</tr>
<tr>
<td>17. Submit 2 final copies of dissertation plus dissertation packet to Graduate Degree Certification Office</td>
<td>Check with EDL Graduate Coordinator for final dates</td>
<td></td>
</tr>
</tbody>
</table>


STEPS IN THE PROCESS

1. The EDL Graduate Office

The EDL Graduate Office is located in the College of Education Building, Room 218. It is open between 8-5 except during the 12 to 1 p.m. lunch hour. Our address and telephone number are:

   Kathy Bayham, Graduate Coordinator
   Educational Leadership Program
   College of Education
   The University of Arizona
   Tucson, AZ 85721
   520-621-6658 Fax 520-626-6005
   edlprog@email.arizona.edu

2. Important References

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

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

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

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

3. Advisor and Committee

Your first stop in the process of completion of your EDL program should be your academic advisor, who will be assigned to you from available EDL faculty once cohort classes begin. You should begin the process of choosing a committee that will mentor you throughout your program. You and your advisor will discuss the make-up of the committee. The committee consists of three tenure or tenure-faculty faculty members from the major program and one from the minor program.

The advising relationship between a student and their committee is based on mutual agreement. In putting together a committee, you should ask faculty members from EDL (or approved by EDL) to act as committee members.
Committee members may change during the course of your program. If you wish to change committee members, you should first discuss the change with your advisor. *You may not change committee members after failing an exam.* Find a new committee member(s), inform the advisor and member of record that a change is being made, and inform the EDL graduate coordinator of the change. If a member of the committee is not automatically acceptable to the Graduate College (e.g., is in another department, not a tenure-track faculty member, or from another institution), a form, available from the graduate coordinator, must be filled out and approved by the Graduate College. Committee members may not have any potential conflict of interest with an advisee (e.g. employment, family relationship, business or financial).

4. Minor in Legal Studies

The College of Law offers EDL doctoral students the opportunity to earn a Minor in Legal Studies. Apart from any requirement imposed by the student’s major department, the Law College requires compliance with the following procedures and standards:

1. A doctoral student seeking a Minor in Legal Studies should submit a transcript and petition to the Associate Dean. The Associate Dean shall make a judgment with respect to whether the petitioner is qualified to undertake limited law studies.

2. If the petitioner is deemed qualified, the student should see whether a law faculty member in the student’s proposed field of study is willing to serve as the student’s minor advisor. The Associate Dean or Chair of the Interdisciplinary Studies Committee may recommend to the student persons who may be willing and able to serve as an advisor.

3. If the student is able to secure an advisor, the student and advisor should meet to discuss the student’s proposed course (content and sequence) of law studies. A Legal Studies minor should consist of a minimum of fifteen units. At least one first year course must be part of the program, and it should ideally be taken at the outset of the student’s legal studies. But no courses are per se required. Instead, the advisor must approve a program of at least 15 units within an appropriate area of study. For example, for a Clinical Psychology Ph.D. student, courses could include Criminal Procedure, Legal Writing, Criminal Law, Evidence, and Administrative Law; an illustrative Philosophy Ph.D. student’s minor consisted of Criminal Procedure, Torts, Constitutional Law, and Legal Anthropology.

4. At the time a student seeks a minor advisor, the student should ascertain from the major department the role expected to be played by any law professors. If the involvement of an additional law faculty member is expected, the student must ascertain whether there is a faculty member willing to serve in that capacity.

5. With respect to a preliminary examination in Legal Studies, the advisor will, at the appropriate time, waive the requirement, prepare a preliminary examination, or indicate that the successful completion of an examination in one or more law courses will constitute the preliminary examination.
6. The general rule of the Law College is that courses taken before a student becomes a full
time law student should ordinarily not be credited to the law degree. The Executive
Committee may, in the case of persons officially approved as “Minors in Legal Studies,”
award credit for some, all, or none of the courses taken by a minor before becoming a law
student. It shall also be within the discretion of the Executive Committee to award the
grade received in such courses. The factors the Executive Committee principally
considers include the specific law courses, the academic work and other responsibilities
simultaneously undertaken in the doctoral program, and the bona fides of the student’s
enrollment in the doctoral program and in the Legal Studies minor.

5. **Qualifying Exam**

The Qualifying Examination is administered in the second semester of doctoral study. Guidance
for the preparation is given in a designated core class at the beginning of the second semester.
Students are strongly urged to consult their individual faculty advisors early in the semester with
questions related to exam preparation.

**Beliefs of the Faculty:** Selective admissions to the doctoral programs, followed by strong
advising and personal attention, maximize retention and successful completion of the program.
Nevertheless, mismatches in admissions do occur and it is our further belief that corrective
measures taken early in the program comprise the fairest solution for both the individual student
and the program as a whole. The Qualifying Examination is the formal point at which
reconsideration of the match between student and program occurs.

**Purpose:** The purpose of the Qualifying Examination is to provide a formal opportunity for the
EDL faculty and the student to decide if the student will continue in the program. After a
semester and a half of doctoral study in the foundations of educational leadership the student will
be in a position to determine if this is the field, and the program, in which he or she chooses to
devote several years of serious study. After working with the student for a semester and a half,
faculty members will be in a position to determine if the student’s grasp of the literature studied
to date and the student’s written and verbal communication skills demonstrate substantial
promise of successful program completion.

**Format:** The examination will contain both written and oral components.

**Written Component:** The written component will consist of a scholarly, ten-page paper in
which the student will demonstrate a thorough understanding of the knowledge base of the field
of educational leadership presented in the first semester and a half of the doctoral program. The
paper is to be organized around an issue of current critical significance to educational leaders
at the school district, state, and/or national level. The student may choose the issue and may
exercise creativity in organizing the material as long as the leadership and organizational theories
which have been studied are correctly used to explain and illuminate the issue. The paper is to be
organized and referenced in APA style and is to be delivered to the examination committee at
least two weeks prior to the scheduled oral examination. A minimum of fifteen scholarly references is required.

**Oral Component**: The student will present a 5-minute overview of the substance of the paper. A formal scholarly presentation without visuals is expected. Members of the examination committee will question the student on the substance of the paper and on leadership and organizational literature which has been studied which may not have appeared in the paper. At the end of the oral examination time will be allotted to discuss the student’s proposed minor and other elements of the proposed program of study. The student should bring copies for the committee members of an updated vita, the proposed plan of study and verification from the minor advisor that requirements for the minor will be met by the plan of study. The student should not provide refreshments for the committee.

**Evaluation**: The faculty will consider four components in evaluating the student’s qualifying examination. These are:

- Knowing, understanding, and being able to use the knowledge base of the field of educational leadership as presented to this point in the program;
- Ability to write and reference a short, scholarly paper;
- Ability to present an overview of the scholarly paper and to answer questions about it;
- Seriousness of the student’s scholarly plans as demonstrated by the above three components and the reflection and planning demonstrated in the proposed plan of study.

6. **Plan of Study**

Every doctoral student is responsible for developing a **Plan of Study** during the first year in residence, to be filed with the Graduate College no later than the student's third semester in residence.

The **Plan of Study** form identifies courses the student intends to transfer from other institutions, courses already completed at The University of Arizona which the student intends to apply toward the graduate degree, and additional course work to be completed in order to fulfill degree requirements.

7. **Comprehensive Exam**

The comprehensive examination is designed to assess the student’s mastery and synthesis of knowledge garnered during your major and minor program. The exam is usually taken in the last semester of coursework or after all your coursework has been completed. Each department has different requirements for the written comprehensive exam. Work closely with your major and minor advisors to organize a written comprehensive exam plan. You may take the major and the minor exams at different times.
Goals: In both the written and oral comprehensive examination, the student will demonstrate:
   1. A deep understanding of foundational and contemporary educational leadership literature, models and theories.
   2. An ability to apply educational literature, models and theories to practical leadership situations.
   3. An ability to research a topic of interest.

Written Comprehensive Exam: The format for the EDL written comprehensive exam is a 35 to 40 page scholarly research paper using APA style in writing and citations.

Topic: A major component of the written exam is a discussion of leadership literature, models, and theory. In addition, a topic for the paper is selected to allow the student the opportunity to demonstrate research (literature review) skills in a content area (probably related to the topic of the dissertation). The implications of this topic on leadership research, theory and practice will also be explored in this paper.

Topic Selection: The major advisor and the student select a topic. The major advisor then contacts the other committee members alerting them to the selected topic and the timeline for the examination. The examination goes forward when all committee members concur on the topic and the timeline.

Timeline: The student submits the written exam to the advisor. If the advisor thinks that the exam is acceptable, copies will be distributed to the other committee members. Committee members should be given at least 2 weeks to read the exam. They give their feedback directly to the advisor who then alerts the student as to whether an oral comprehensive exam can be scheduled. The oral exam can be scheduled after the appropriate paper work has been process (usually about 10 working days after the advisor has notified the student). The student is responsible for securing signatures and routing the form. The student is responsible for scheduling the exam with the EDL Administrative Assistant.

Oral Comprehensive Exam: The Oral exam will be a minimum of 1 hour and a maximum of 3 hours. All major and minor committee members must be present during the entire exam. The exam will cover the paper and content from any course that the student has taken in the doctoral program. An understanding of research design and methodology necessary to complete a dissertation may be part of the exam. Although this is not a proposal meeting, the student’s dissertation topic may be discussed.

Set a time and date for the exam after your advisor has informed you that your paper is ready to defend. Inform the graduate coordinator of time and date, and work out room arrangements. Complete the form, Application for Oral Comprehensive Examination. This form requires the signatures of all your committee members, and must be submitted to the Graduate College at least seven days prior to the exam. Give one original and four copies of the completed form to the graduate coordinator, at least two weeks prior to the exam. You must be enrolled for at least 3 units during the academic semester in which you plan to take the exam.
Check with each of your committee members to determine whether there are particular issues or areas for which you should prepare.

The graduate coordinator sends a form with date/time/place of exam to committee members.

The advisor brings the student’s file with the written comprehensive responses to the meeting. After the exam, the Examination Reporter submits the exam results to the Graduate Degree Certification Office in the Graduate College.

Following this process, and at least 6 months before graduation, a **Doctoral Advancement to Candidacy** form needs to be completed and sent to the Graduate College six months prior to the Oral Defense. The original plus five copies of an unofficial transcript should be turned in to the graduate coordinator in time for her to submit it to the Graduate College by the required date. The title of your dissertation is requested on this form, and if the title changes later on, another form is required to change it.

8. **Dissertation Proposal Meeting**

The dissertation proposal meeting should be held after the preliminary oral examination and prior to the beginning of your inquiry. You and your dissertation committee members will discuss your proposal. **Your proposal must be approved by your committee and the Human Subjects office prior to collecting data.** Usually, proposals consist of material related to the organization of the first three chapters of most dissertations: 1) Overview of dissertation; 2) Literature Review; and 3) Methodology.

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

1. Work with your advisor to choose the committee members that you want to serve on your dissertation committee. Usually, three major members from the preliminary exam are asked, and the minor members may waive their rights to be on the committee. However, more than three members may serve on your committee, if you wish.

2. Obtain approval from your advisor to send your proposal to the other committee members.

3. Set up a proposal meeting with the committee members. Obtain proposal form from the graduate coordinator, or take it to the meeting for signatures. Return the form to the graduate coordinator.

You are required to complete Human Subjects training and become certified before you may submit your Human Subjects application. Visit [http://www.irb.arizona.edu/faqs.html](http://www.irb.arizona.edu/faqs.html) for more information.
9. **Dissertation Oral Defense**

This step involves paperwork for the Graduate College, the preparation of the penultimate copy of your dissertation (the draft before the final dissertation/document), obtaining approval from committee members to set up the final exam, arranging the final oral and submitting the final copy of the dissertation to the Graduate College. During the semester in which you defend your dissertation, you must be registered for one to three units in the fall and spring semesters, or one unit during the summer, depending on whether you have met all other program requirements.

You should:

1. Prepare the penultimate copy of your dissertation and obtain your advisor’s permission to send it to committee members.

2. Set up an oral examination date that is agreeable to committee members. This meeting may not take place until at least three months after your preliminary oral exam.

3. Prepare and submit an **Announcement of Oral Defense Examination** form to committee members and minor committee members for signature who are waiving involvement, and department chair. This form, and three copies of it, must be submitted at least three weeks prior to the exam to the graduate coordinator, who forwards it to the Graduate College.

4. Following the examination, make corrections in the dissertation as suggested by the committee members, and obtain remaining signatures. Once approved, your dissertation will submitted electronically to the Graduate College and in print to the department. For instructions on submitting your dissertation, visit [http://dissertations.umi.com/arizona/](http://dissertations.umi.com/arizona/). It is important that you check the submission deadline in the semester in which you wish to graduate on the Graduate College’s website at [http://grad.arizona.edu/Current_Students/Deadlines/](http://grad.arizona.edu/Current_Students/Deadlines/).
10. **Hooding and Graduation**

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

The **Hooding Ceremony** is sponsored by the College of Education, and is a smaller and more personal ceremony in which the graduating doctoral student’s advisor places the ceremonial hood on the student’s shoulder. It takes place a day or two prior to the larger University graduation ceremony. Family and friends are invited to this ceremony.

University of Arizona **Graduation** is a larger ceremony in which all graduating undergraduates and graduates are recognized. Families and friends are also invited to this ceremony.

You will receive announcements of these two events, and will be asked to state whether you are coming to the hooding ceremony, and if so, how many family members and friends will be attending.
CHECKLIST: DOCTORAL DEGREE REQUIREMENTS

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

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

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

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

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

- Were all requirements completed within a 5-year period following the comprehensive oral examination (including transfer work)?
- Were residence requirements fulfilled by: (1) registration in at least two semesters with nine units each semester or (2) registration in at least four semesters with six units each semester and an assistantship?
- Did the registration meet the minimum number of units (36 in the major and 9 in the minor, and 18 units of dissertation or recital)?
- Were 30 units completed on campus?
- Were one-half the total units on the Doctoral Plan of Study in coursework graded A, B or C?
- Did all transfer units receive graduate level grades of A or B?
- Were departmental foreign language requirements fulfilled?
- Did the comprehensive oral examination committee consist of three members from the major and one member from the minor department?
- Were the written and oral comprehensive examinations completed within a six month period of each other?
- If a second attempt on the comprehensive examination was scheduled, did it receive the recommendation of the committee, endorsement of the department, and approval of the Graduate College?
- If a second attempt at the comprehensive examination occurred, did four months elapse between the first and second attempt?
- If the comprehensive examination committee exceeded five members, did the department head and you request permission to form such a committee?
- Did the department and the Graduate College approve advancement to candidacy before scheduling the final examination?
- Did three months elapse between the comprehensive oral and final examination?
- Did the final oral examination committee consist of three members of the major department (minor area may partially or fully waive representation)?
- Were all vacant semesters (semesters with no registration) approved by the department and reported to Graduate Degree Certification?
- Were you registered in all semesters in which exams were taken?
- Did Graduate Degree Certification receive two library copies of the dissertation or document?
POLICIES AND PROCEDURES

Grievance Policy

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

Grievances that will be Reviewed by the Graduate College:

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

1. allege violation of a specific University rule, regulation, policy or practice;

2. are not remediable by other university grievance policies and procedures; and

3. are within the decision-making jurisdiction of the Graduate College.

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

Grievance Procedure:

To pursue a formal grievance, students must take the following steps:

1. If informal efforts to resolve the grievance have failed, students must file their written grievance complaint with the head of their academic unit. Such written complaint must be filed within 6 months of the incident that is the subject of the grievance. The grievance complaint must include a concise statement of the allegations that form the basis for the student’s complaint, including a careful statement of the facts, the rule, regulation, policy or practice that was violated, a summary of the informal attempts at resolution, and a suggested remedy.

2. The academic unit head must review the grievance complaint and provide a written response to the student within 15 class days*. A student who wishes to appeal the unit head’s response, must file a copy of the grievance complaint and the unit head’s response with the Graduate College within 5 class days of receiving the unit head’s response.
3. The Associate Dean (or designee) will then try to negotiate a resolution. If acceptable mediation of the grievance is not achieved within 15 class days of filing with the Graduate College, the student may request that it be forwarded to the Grievance Committee.

4. In accordance with the procedures set forth below, the Grievance Committee will hold a hearing and convey its recommendation to the Graduate Dean in writing within 15 class days of their final meeting. The Associate Dean will schedule the hearing date(s).

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

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

**Grievance Procedure Deadlines**

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

**The Graduate Grievance Committee**

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

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

**The Graduate Grievance Hearing**

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

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

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

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

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

Some complaints that cannot be addressed through this procedure include:

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

**Table 1: Graduate Grievance Time Table**

All timelines refer to the first regular semester after the incident. Grievances are not processed during the summer sessions unless the dean determines a case warrants immediate review.
<table>
<thead>
<tr>
<th>Steps</th>
<th>Time Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Student submits written grievance complaint to Head of Academic unit</td>
<td>Within 6 months of incident</td>
</tr>
<tr>
<td>2. Head of Academic unit responds in writing</td>
<td>15 class days</td>
</tr>
<tr>
<td>3. To continue grievance beyond academic unit, student must file copy of complaint and unit head’s response with the Graduate College</td>
<td>5 class days</td>
</tr>
<tr>
<td>4. Associate Dean attempts to negotiate a resolution</td>
<td>15 class days</td>
</tr>
<tr>
<td>5. If not resolved, hearing committee hears grievance and sends recommendation to Graduate Dean</td>
<td>15 class days after last Committee meeting</td>
</tr>
<tr>
<td>6. Graduate Dean renders final decision</td>
<td>15 class days after receiving Committee recommendation</td>
</tr>
</tbody>
</table>

**College Grade Appeal**

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

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

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

**Step 2:** Within the first five weeks of the semester, the student shall go to the college dean's office to obtain any requisite forms and to review directions. The student must attest in writing that s/he has informed the instructor s/he intends to file a grade appeal.
Step 3: Within the first five weeks of the semester, the student shall carefully formulate an appeal in writing, and submit it to the instructor with a copy to the department head.

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

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

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

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

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

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

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

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

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

**Grade Appeal Time Table**

<table>
<thead>
<tr>
<th>Prior to:</th>
<th>Complete steps:</th>
<th>Responsibility of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Week 5</td>
<td>1, 2, and 3</td>
<td>Student</td>
</tr>
<tr>
<td>Week 7</td>
<td>4</td>
<td>Instructor</td>
</tr>
<tr>
<td>Week 8</td>
<td>5</td>
<td>Student</td>
</tr>
<tr>
<td>Week 10</td>
<td>6</td>
<td>Department Head/ Instructor</td>
</tr>
<tr>
<td>Week 11</td>
<td>7</td>
<td>Student</td>
</tr>
<tr>
<td>Week 15</td>
<td>8 and 9</td>
<td>Dean</td>
</tr>
</tbody>
</table>

**Leave of Absence / Readmission**

Students registered in a program of study must enroll continuously for fall and spring semesters until the completion of the degree. If it becomes necessary to interrupt your studies, you must file a Leave of Absence form with the Graduate College. Visit [http://grad.arizona.edu/Degree_Certification_Forms/absence.pdf](http://grad.arizona.edu/Degree_Certification_Forms/absence.pdf) to download and complete the form.

If you have a break in enrollment but did not request a Leave of Absence, you must reapply for admission. Contact the EDL office to obtain a departmental Application for Readmission form and reapply for admission to the Graduate College at [http://grad.arizona.edu/Prospective_Students/Apply_Now/Apply_Online.php](http://grad.arizona.edu/Prospective_Students/Apply_Now/Apply_Online.php)

**EDL STUDENT ANNUAL REVIEW POLICY**

Student progress is reviewed annually. Continuing status is based on academic progress and will be evaluated at the end of spring semester.

**CODE OF ETHICS**

The UA Code of Ethics is maintained by:

Dean of Students Office
Old Main 203
PO Box 210021
Tucson, Arizona 85721-0021
Principle

Integrity is expected of every student in all academic work. The guiding principle of academic integrity is that a student's submitted work must be the student's own. This principle is furthered by the student Code of Conduct and disciplinary procedures established by ABOR Policies 5-308 - 5-403, all provisions of which apply to all University of Arizona students. This Code of Academic Integrity (hereinafter "the Code") is intended to fulfill the requirement imposed by ABOR Policy 5-403.A.4 and otherwise to supplement the student Code of Conduct as permitted by ABOR Policy 5-308.C.1.

Prohibited Conduct

Conduct prohibited by the Code consists of all forms of academic dishonesty, including, but not limited to: cheating, fabrication, facilitating academic dishonesty, and plagiarism as set out and defined in the Code of Conduct, ABOR Policy 5-308-E.10 and F.1; submitting an item of academic work that has previously been submitted without fair citation of the original work or authorization by the faculty member supervising the work; modifying any academic work to obtain additional credit in the same class unless approved in advance by the faculty member; failure to observe rules of academic integrity established by a faculty member for a particular course; and attempting to commit an act prohibited by this Code. Any attempt to commit an act prohibited by these rules shall be subject to sanctions to the same extent as completed acts.

Student Responsibility

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

Faculty Responsibility

Faculty members shall foster an expectation of academic integrity and shall notify students of their policy for the submission of academic work that has previously been submitted for academic advancement, as well as any special rules of academic integrity established for a particular class (e.g. whether or not a faculty member permits collaboration on homework) and make every reasonable effort to avoid situations conducive to infractions of the Code. An intentionally false charge of violation of the Code shall be treated as a violation of the Code or of the applicable University rules.

Student Rights

Students have the right to a fair consideration of the charges, to see the evidence, and to confidentiality as allowed by law and fairness to other affected persons. Except in the course
of authorized consideration of a charge, faculty shall not reveal the identity of students charged or otherwise involved in a violation. Procedures under the Code shall be conducted in a confidential manner, although a student has the right to an advisor in any proceeding under the Code.

ACADEMIC INTEGRITY PROCEDURES

I. Faculty-Student Conference

The faculty member of record for the course (i.e., responsible for signing the grade sheet) conducts these procedures. Faculty shall ensure that the student's right to a fair consideration of the charges is observed. The faculty member must confer with the student within 15 working days of receiving evidence of a suspected violation of the Code, unless good cause is shown for an extension of no more than 30 working days. The faculty member shall confer with the student in private, explain the allegations, present any evidence, and hear the student's response. If more than one student is involved in an incident, separate conferences are recommended but not required. If the faculty member relies on the observations of witnesses other than him/herself, such persons shall be present at the conference and subject to questioning by the accused student unless there is good cause for their absence (see General Provisions for rights and responsibilities of witnesses). If witnesses are not present, their evidence shall be made available to the student by sworn affidavit. When dealing with students who are unavailable for the conference, students not enrolled in the class, or graduate students, refer to the General Provisions.

After the conference the faculty member shall decide, based upon a preponderance of the evidence, whether or not the student has committed an act prohibited by the Code. If the evidence does not support a finding of a violation, there shall be no record made of the incident and no record maintained in any University files. The student may continue in the class without prejudice.

If the evidence supports a finding that the student has engaged in misconduct, the faculty member shall impose sanctions after considering the seriousness of the misconduct, the student's state of mind, the harm done to the University and to other students, and whether or not the student has previously engaged in conduct prohibited by the Code (contact Dean of Students office). In addition, mitigating and aggravating factors shall be considered in accordance with the provisions of ABOR Policy 5-308.H. A faculty member may impose any one or a combination of the following sanctions: a written warning, disciplinary probation for a specified period of time not to exceed one year, loss of credit for the work involved, reduction in grade, or a failing grade in the course. A faculty member may also recommend suspension or expulsion to a University Hearing Board, which may impose other sanctions. Within ten working days of the conference, the faculty member shall prepare a brief written report outlining the violation, evidence, findings, sanctions imposed, and if suspension or expulsion are recommended. The faculty member should use the standard form entitled "Record of Faculty-Student Conference," and furnish copies to the student (as provided in the "Notice" section under General Provisions) and to all others as noted on the form. See the General Provisions section for grade before appeals.
II. **Appeal to Department Head**

Students may appeal the findings made and the sanctions imposed by a faculty member to the Head of the Department in which the course was offered or the Associate/Assistant Dean in colleges with no departments (hereinafter called "Department Head"). A student shall deliver the written appeal to the Department Head within ten days of the date on which he/she receives notice of the findings and sanction(s). The Department Head may extend this filing period when appropriate. If a student does not appeal within the time provided, the findings and imposition of the faculty member will be final except that recommendations for suspension or expulsion will be heard by a Hearing Board as provided hereinafter.

Within 15 days of receiving the appeal, the Department Head shall review all evidence considered by the faculty member and shall confer with the faculty member and the accused student. The Department Head shall not have authority to modify, rescind, or impose additional sanctions or change grades. If the Department Head finds:

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

The Department Head shall notify both the student and the faculty member in writing of his/her recommendations as provided in the "Notice" section under General Provisions. The Department Head should use the form "Record of Appeal to Department Head" for this purpose. If the Department Head fails to act within the 15 day period, the student may, within ten working days, appeal to a University Hearing Board by providing written notice of appeal to the Dean of Students office.

III. **Review by Faculty Member**

After reviewing the Department Head's recommendations, the faculty member determines whether or not to change the original decision. If the faculty member modifies the decision or sanctions, he/she shall inform the student in writing within five days of receiving the Department Head's decision (see "Notice" section under General Provisions). The faculty member should use the standard form entitled, "Record of Modification of Sanctions," and send copies to all noted on the form.

If the faculty member decides no violation occurred, all reference to the charge shall be removed from the student's University records, and the student may continue in the class without prejudice. If the semester has ended, the faculty member shall calculate the grade without the sanction. If work was not completed due to the academic integrity allegation, the faculty member and the student shall confer and a grade of "W" or "I" shall be
assigned. If a grade of "I" is assigned, the student shall have the opportunity to complete remaining work without prejudice.

IV. Appeal to University Hearing Board
If the student wishes to further pursue the matter, or if the Department Head fails to act within the 15 day period, the student may, within ten working days, appeal to a University Hearing Board by providing written notice of appeal to the Dean of Students office. If a student does not appeal within the time provided, the decision of the faculty member will be final with the exception that a Hearing Board shall also be convened when a faculty member recommends suspension or expulsion unless the student waives the right to a Hearing Board in writing. The Hearing Board shall follow procedures set in the Student Disciplinary Procedures ABOR Policy 5-403.D. with the following modifications:

1. The Hearing Board shall be composed of three faculty and two students and shall convene within 30 working days of the time the student files the appeal.
2. Wherever the term Vice President of Student Affairs appears, it shall be replaced with Senior Vice President for Academic Affairs/Provost. The Provost is empowered to change grades and the Registrar shall accept the Provost's decision. The Provost shall also notify the faculty member's and student's home departments of the final decision.
3. Wherever the Dean of Students is indicated as presenting evidence or witnesses, it shall be replaced with the faculty member who made the charges or their representative.
4. The student may be assisted throughout the proceedings by an advisor or may be represented by an attorney. If the student is represented by an attorney, the faculty member may also be represented by an attorney.
5. The faculty member has the same right as students to challenge the participation of any board member, as noted in the Student Disciplinary Procedures (5-403.D.3.f.)
6. The student may opt for the hearing to be open to the public.
7. The hearing board may, in their recommendations, address any egregious violations of process.

GENERAL PROVISIONS
Advisor
An individual selected by the student to advise him/her. The advisor may be a faculty or staff member, student, attorney, or other representative of the student.

Grade Before Appeals
Students must be allowed to continue in class without prejudice until all appeals are completed. If the semester ends before all appeals are concluded, a grade of "I" shall be recorded until appeals are completed.
Graduate Students
In cases involving graduate students, faculty shall follow the procedures outlined for undergraduate students except that in all cases where the student is found to have violated the Code, the faculty member (and in the case of appeals, the Department Head or Hearing Board) shall notify the Associate Dean of the Graduate College. This Code does not apply to students in the Colleges of Law and Medicine which have their own Codes.

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

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

Rights and Responsibilities of Witnesses
Witnesses are expected to cooperate in any proceedings under the Code. When the faculty member relies on the observations of witnesses other than him/herself as the basis for the charge of violation of the Code, such witnesses must testify at any proceedings under the Code and be subject to questioning by the accused student. Upon a showing of good cause, such testimony may be provided by sworn statement in lieu of the appearance of a witness, but the unavailability of the witness for questioning may affect the weight accorded the testimony of the witness.

The privacy of a witness shall be protected to the extent compatible with law and with fairness to the students charged and other affected persons. Retaliation of any kind against witnesses is prohibited and shall be treated as a violation of the Code or of the applicable University rules.

Students or Faculty Not Available For Conference
In cases where the student is not available, e.g. out of the area after final exams, the faculty member shall make every reasonable effort to contact the student through personal contact, telephone, or mail to inform the student of the charges. If contact can be established, the Faculty-Student Conference shall be scheduled as soon as both parties are available, e.g. at the beginning of the next semester, and a grade of Incomplete shall be given the student until the conference is held. If either of the parties will not be available for an extended period, the Faculty-Student Conference shall be held via the telephone or by mail. If after several efforts, contact cannot be established, the faculty member may impose sanctions but must send a letter or copy of the "Record of Faculty-Student Conference" form via certified return receipt requested mail to the student's last permanent address outlining the charges, sanctions, and any recommendations for suspension or expulsion.
Students Not In Class
If students not enrolled in the class are involved in a violation of the Code, faculty shall file a Code of Conduct complaint with the Dean of Students office.

Working Days
"Working days" are regular business hours Monday through Friday, excluding holidays, winter session, pre-session, or summer sessions. If possible, Faculty-Student Conferences and appeals may be heard during the summer or winter break. The Department Head or Dean of Students may extend these time limits when serving the interests of a fair consideration.

All policies found in the Policy Manual are subject to change from time to time as approved by the Arizona Board of Regents. The central office disseminates hard copies of additions/revisions not more than 3 times each year. The web copy, located at http://www.abor.asu.edu, is updated every 1-2 months, as needed. Prior to acting in reliance upon a specific board policy as it appears in any copy of the policy manual, please check to make sure that the board has not recently approved any additions/revisions to that specific policy.

FINANCIAL AID INFORMATION

It is worth exploring some of the financial resources available to you as both a College of Education and a UA graduate student! The College of Education also offers various types of financial aid, including scholarships, to graduate students beginning during fall semester for use the following academic year. For information about availability and types of scholarships, current dates, deadlines, how to apply, and the online application, visit the College of Education financial aid website at http://coe.arizona.edu/pages/finaid/index.php.

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

This is not the official Degree Certification document required by the Graduate College. It is a useful planning tool that can be used to generate your official Plan of Study, the document required by Degree Certification.

<table>
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<tr>
<th>Name</th>
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<tbody>
<tr>
<td>Street Address</td>
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<td>City</td>
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<td>Work Phone</td>
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<td>Home Phone</td>
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<td>Email</td>
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<tr>
<th>EDL Advisor</th>
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<tbody>
<tr>
<td>Major</td>
<td>Educational Leadership</td>
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<tr>
<td>EDL Concentration</td>
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<tr>
<td>Minor</td>
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Admissions:

| Admitted to EDL Doctoral Program (Date) |         |

Qualifying Procedures:

1. Current vita / resume
2. Proposed plan of study and timeline
3. A scholarly paper organized around an issue of significance to Educational Leadership. The paper is to include a minimum of 15 references and be written in APA style. The required length of the paper is 10 pages.

| Qualifying Examination (Date) |         |

Curriculum:
1. **EDL Major Core (24 units)**

<table>
<thead>
<tr>
<th>Semester</th>
<th>Grade</th>
<th>Units</th>
<th>Course #</th>
<th>Course Name</th>
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<tbody>
<tr>
<td></td>
<td>3</td>
<td>EDL 620</td>
<td>Advanced Foundations of Educational Leadership: Theory, Research, &amp; Practice</td>
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<tr>
<td></td>
<td>3</td>
<td>EDL 621</td>
<td>Organizational, Operational, and Resource Leadership</td>
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<tr>
<td></td>
<td>3</td>
<td>EDL 622</td>
<td>Research and Data-Based Decision Making</td>
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<tr>
<td></td>
<td>3</td>
<td>EDL 623</td>
<td>Curriculum and Instructional Leadership</td>
<td></td>
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<tr>
<td></td>
<td>3</td>
<td>EDL 624</td>
<td>Leadership and the Educational Environment</td>
<td></td>
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<tr>
<td></td>
<td>3</td>
<td>EDL 625</td>
<td>Leadership for the School and the Diverse Community</td>
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<tr>
<td></td>
<td>3</td>
<td>EDL 626</td>
<td>Leadership for Social Justice: Ethics and Law</td>
<td></td>
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<tr>
<td></td>
<td>3</td>
<td>EDL 627</td>
<td>Leadership for Educational and Organizational Change</td>
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</table>

2. **Concentration Electives (9 units minimum)**
   - Courses in an area of in-depth study

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<th>Semester</th>
<th>Grade</th>
<th>Units</th>
<th>Course #</th>
<th>Course Name</th>
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3. **Research Methods and Dissertation (27 units)**
   - 9 units in research methods include 3 units of quantitative methods, 3 units of qualitative methods, and 3 units of advanced quantitative or qualitative or methodologically specific

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<th>Semester</th>
<th>Grade</th>
<th>Units</th>
<th>Course #</th>
<th>Course Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3</td>
<td></td>
<td>EDL 6900</td>
<td>Quantitative Research Methods</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td></td>
<td>EDL 6901</td>
<td>Qualitative Research Methods</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td></td>
<td>EDL 6902</td>
<td>Advanced Quantitative / Qualitative / Other Methods</td>
</tr>
<tr>
<td></td>
<td>18</td>
<td>EDL 920</td>
<td></td>
<td>Dissertation</td>
</tr>
</tbody>
</table>
4. Minor Program: __________________________________________ (12-15 units)
   - Supportive Area in a Department other than EDL

<table>
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<tr>
<th>Semester</th>
<th>Grade</th>
<th>Units</th>
<th>Course #</th>
<th>Course Name</th>
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Proposed Committee:

<table>
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<tr>
<th>Major: EDL</th>
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<tbody>
<tr>
<td>Advisor</td>
<td></td>
</tr>
<tr>
<td>Member</td>
<td></td>
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<tr>
<td>Member</td>
<td></td>
</tr>
<tr>
<td>Minor: _______</td>
<td>By signing below the minor advisor confirms that the minor program of study has been discussed, approved, and meets the departmental requirements for coursework for the minor.</td>
</tr>
<tr>
<td>Advisor</td>
<td></td>
</tr>
</tbody>
</table>

Comprehensive Examinations:

- Written and oral exams must be taken in your major and minor areas at the time of completion of your course work.

Dissertation:

- Your dissertation (research project) will focus on a problem or issue of education and leadership.
- A final oral defense of the dissertation is the final requirement of the program.
ANNUAL STUDENT SELF-EVALUATION

EDL doctoral students are required to complete an annual self-evaluation, the purpose of which is to assist you in making progress toward your academic goals; help faculty members provide better advisement and support, and contribute evidence of student progress for scholarship / fellowship eligibility. Your responses will be forwarded to your advisor; one copy will be placed in your file. PLEASE RETURN THE FORM TO THE GRADUATE COORDINATOR IN EDUCATION 218 BY FRIDAY, (month/day/year).

Name ________________________________ Advisor __________________________ Cohort ____

Current Contact Information: ___________________________ __________________________

Address ___________________________________________ Email __________________________

_________________________ Work Phone __________________________ Home or Cell Phone

School

Major / Minor Committee Members __________________________________________________

Indicate the progress you have made in your program from May 200_ – May 200_, or in the time you’ve been here if less than one year:

EDL Units Currently Enrolled ________ Units Completed ________

Units Remaining to Complete Degree _________

Minor ___________________________ Minor Units Currently Enrolled ________

Minor Units Completed ________ Minor Units Remaining to Complete Degree _________

Doctoral Plan of Study filed with the Graduate College?  Yes _____ No ______

If Yes, Date Filed ___________________________ If No, Date Anticipated to File ___________________________

Advancement to Candidacy Form Filed?  Yes _____ No _____

Work on dissertation: Proposal _____ Gathering data _____ Est. time to completion ____________

Exams Taken/passed Scheduled (list date) Planned (est. date)

Qualifying ___________________________ ___________________________ ___________________________

Written Comp ___________________________ ___________________________ ___________________________

Oral Comp ___________________________ ___________________________ ___________________________

Proposal accepted ___________________________ ___________________________ ___________________________

Dissertation defense ___________________________ ___________________________ ___________________________

1. What are your current plans for completing your program? Have your plans changed significantly since you entered the program? If so, how?

2. What changes if any have you made in your committee since your last exam? If changes have been made, have you notified your advisor and other committee members?

3. What progress have you made toward your degree in the past year? In what area would you like more support?
REPORT ON THE DOCTORAL QUALIFYING EXAM

Student Name: _______________________________________________________

Minor: _________________________

Date: _________________________

Committee to circle one:

Exam  Passed  Failed

Major Committee:
(student to type or neatly print)

_____________________________
(major committee chair)

_____________________________
_____________________________

Minor Committee:
(student to type or neatly print)

_____________________________
(minor committee chair)

_____________________________
(minor committee member)

_____________________________

Initials
(committee to initial approval)
DOCTORAL PLAN OF STUDY

This form must be completed and generated from the Graduate College website at http://grad.arizona.edu/Current_Students/Forms/

1. Every doctoral student is responsible for developing a Plan of Study, to be filed with the Graduate College no later than the student's third semester in residence.

2. The Plan of Study identifies courses the student intends to transfer from other institutions; courses already completed at The University of Arizona which the student intends to apply toward the graduate degree; and additional course work to be completed in order to fulfill degree requirements.

3. The Plan of Study must have the approval of the student's major professor and department head (or Director of Graduate Studies) before it is submitted to the Graduate College.

4. Please be sure all signatures are legible, and if not, print or type the correct name below the signature.

5. Give the completed form to the Graduate Coordinator, who will submit the original and three copies to the Graduate Degree Certification Office.
APPLICATION FOR ORAL COMPREHENSIVE EXAMINATION
AND COMMITTEE APPROVAL

This form must be completed and generated from the Graduate College website at
http://grad.arizona.edu/Current_Students/Forms/

1. When the time and date are set for the exam, the student submits the Application for Oral
Comprehensive Examination for Doctoral Candidacy to Graduate Degree Certification at
least seven days before the date of the exam.

2. Graduate Degree Certification will approve the committee members and return copies to the
student and department.

3. The Graduate College sends the required forms to the student’s advisor.

4. Please attach a Request for Special Member of Committee form for any committee member
who does not meet the qualifications for serving on doctoral committees. Refer to
Composition of Graduate Examination Committees in your handbook.

5. The written preliminary examinations must be passed before the oral examinations may be
held. The written and oral portions of the preliminary examination shall take place within
two successive semesters, not including summer sessions.

6. The Examination Reporter will return the results of the examination to the Graduate Degree
Certification, Room 316 Administration Building.

7. A second attempt to pass the preliminary oral must be recommended by the examining
committee, endorsed by the major department and approved by the Graduate College. Four
months must elapse between any first and second attempt.
DISSEPTION PROPOSAL APPROVAL

Committee member signatures attest to the appropriateness and accuracy of the proposal in content, format, design, grammar, instrumentation, referencing, and protection of subjects. After the dissertation proposal is approved and the form is appropriately signed, please submit this form with one copy of the approved proposal to the graduate coordinator, Educational Leadership, Room 218.

Name: _____________________________________________________________________

The Dissertation Committee met on _____________ and approved the dissertation proposal.

(date)

MAJOR

Note: All three members of the committee from the major department should sign below if the proposal is approved.

Dissertation Director: ________________________________

Major Committee Member: ________________________________

Major Committee Member: ________________________________

MINOR

Note: The minor division may waive participation in the dissertation preparation and final oral examination, unless the major division requests participation of one or two members from the minor division. Therefore, members from the minor division should sign in the space provided and circle either “Approved” or “Participation Waived.”

Minor Committee Member: ____________________________ Approved Participation Waived

Minor Committee Member: ____________________________ Approved Participation Waived

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ADVANCEMENT TO CANDIDACY

This form must be completed and generated from the Graduate College website at
http://grad.arizona.edu/Current_Students/Forms/

1. Every doctoral candidate submits this form to Graduate Degree Certification after passing the written and oral preliminary examinations.

2. The form needs to be signed by the graduate advisor(s) and department head(s) and have unofficial transcripts for transfer coursework attached.

3. The form is submitted the semester before the graduation semester. Check current deadline sheets for exact dates.

4. The diploma mailing address may not be a campus address.

5. Submit the original and three copies to Graduate Degree Certification. After approval, copies are returned to the departments and the student.

6. Applications with errors or omissions are returned to the department. The student and department correct errors or omissions and return the form to Graduate Degree Certification, Room 316, Administration Building.

7. The name on the form must agree with the student’s permanent record and/or passport name.

8. If the dissertation research involves use of human/animal subjects, which is subject to review, the approval letter from the Human or Animal Subjects Committee must accompany the library copies of the dissertation.

9. If any changes are made in name, address, course work or dissertation title, the student files the form, “Changes in Student Records,” to correct the “Application to Candidacy.”

10. Please be sure all signatures are legible, and if not, print or type the correct name below the signature.
ANNOUNCEMENT OF FINAL ORAL EXAMINATION

This form must be completed and generated from the Graduate College website at http://grad.arizona.edu/Current_Students/Forms/

1. This form may be filed after approval of the “Advancement to Candidacy.”

2. The original and three copies of the announcement are submitted to Graduate Degree Certification three weeks before the date of the examination.

3. The student may be registered in the semester or summer session in which the examination is held. A minimum registration of one unit of graduate credit is required for academic semesters (summer is required only if the student intends to defend his/her dissertation during that time period).

4. The committee members sign the “Announcement of Final Oral Examination” to indicate that the dissertation is ready to defend and they agree to examine the candidate at the time and place specified.

5. When the time and date are set for the examination, the student submits the “Announcement of Final Oral Examination” to Graduate Degree Certification three weeks before the date of the examination.

6. After approval of the “Announcement of Final Oral Examination” by Graduate Degree Certification, copies are returned to the department, to the student and to the Graduate College Representative.

7. Before the final examination date, the student picks up the following documents at Graduate Degree Certification:
   a. Dissertation Approval Pages
   b. Microfilm Form
   c. Survey of Earned Doctorates
   d. Page count forms

8. The student’s advisor returns the results of the final oral examination and all other paperwork to Graduate Degree Certification, Room 316, Administration building, following the examination. Results of the examination are not to be retained in the department awaiting completion of minor corrections.
Discussion of performance is initiated after the oral presentation and questioning and after the candidate and all visitors have left the room. Unless the CGS Representative deems otherwise, only the appointed members of the examining committee are present for the discussion and balloting. The discussion and ballot may result in one of the four alternatives:

1. **Unconditional Pass.** The committee agrees that the dissertation and defense are acceptable. The committee members and dissertation director then sign the *Notice of Completion of Final Examination and Dissertation Requirements*, indicating “Pass.” The dissertation director signs a second time in the appropriate space, certifying that the dissertation is satisfactory and has been accepted by the Committee.

2. **Pass with Minor Dissertation Revision.** The committee agrees that the defense is acceptable but that the dissertation still requires revision. The committee members and dissertation director then sign the *Notice of Completion of Final Examination and Dissertation Requirements*, indicating “Pass,” but the dissertation director withholds the signature certifying approval of the dissertation pending satisfactory revisions and corrections.

3. **Pass with Major Dissertation Revision.** The committee agrees that the defense is acceptable, but the dissertation requires substantial revision. In this case, the committee members and dissertation director mark “Pass” on the *Notice of Completion of Final Examination and Dissertation Requirements*, but the director withholds signing off on the dissertation. Such signing may take place only after the committee members have examined and approved the revised dissertation.

4. **Failure.** If the dissertation and/or its defense is not acceptable, the candidate fails. The *Notice of Completion of Final Examination and Dissertation Requirements* form is marked “Fail” and signed by the committee members and dissertation director. If the committee foresees the possibility that the student can revise the dissertation in a way that might eventually be acceptable, it may recommend a reexamination. The Dean of the Graduate College and Vice President for Research makes the decision as to whether to allow a second examination.