Educational Leadership Program

COHORT 12

DOCTOR OF EDUCATION (Ed.D.)

STUDENT HANDBOOK

2008 – 09

Educational Leadership Program
College of Education
P.O. Box 210069
Tucson, AZ 85721-0069
http://coe.arizona.edu/pages/dep_edl

The University of Arizona
Tucson Arizona
# TABLE OF CONTENTS

Welcome Letter............................................................................................................. 1  
Faculty and Staff .......................................................................................................... 2  
EDL Purpose and Standards ....................................................................................... 3  
Course Requirements ................................................................................................... 6  
Core Course Descriptions .......................................................................................... 7  
Doctoral Program Requirements ................................................................................... 9  

## Steps in the Process

The EDL Graduate Office ............................................................................................ 10  
Important References ................................................................................................. 10  
Advisor and Committee ............................................................................................... 10  
Qualifying Exam .......................................................................................................... 11  
Plan of Study ................................................................................................................ 12  
Comprehensive Exam .................................................................................................. 12, 13  
Human Subjects .......................................................................................................... 14  
Dissertation Proposal Meeting .................................................................................... 14  
Dissertation Oral Defense ......................................................................................... 15  
Advancement to Candidacy ....................................................................................... 15  
Convocation and Commencement ............................................................................ 16  
Student Annual Review ............................................................................................ 16  
Leave of Absence / Readmission .............................................................................. 16  
Financial Aid Information ............................................................................................ 16  
Checklist: Doctoral Degree Requirements ................................................................. 18  

## Policies and Procedures

Delaying the Qualifying Exam .................................................................................... 19  
Grievance Procedures ................................................................................................. 19  
Grade Appeal ............................................................................................................... 23, 24  
Code of Academic Integrity ....................................................................................... 25-30  

## EDL and Graduate College Forms

Program Planning Document ....................................................................................... 31-33  
Annual Student Self-Evaluation .................................................................................. 34  
Report on the Qualifying Exam .................................................................................. 35  
Doctoral Plan of Study .................................................................................................. 36  
  Sample of blank form follows  
Application for Oral Comprehensive Exam and Committee Approval ...................... 37  
  Sample of blank form follows  
Dissertation Proposal Approval .................................................................................. 38  
  Sample of blank form follows  
Advancement to Candidacy ....................................................................................... 39  
  Sample of blank form follows  
Announcement of Final Oral Examination .................................................................. 40  
  Sample of blank form follows  
Dissertation: Evaluation of Performance, Electronic Submission and Bound Copies .... 41
**WELCOME TO YOUR EDL DOCTORAL PROGRAM**

Dear EDL Doctoral Student,

Welcome to Cohort 12 in the 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 must download some forms to be filed with the Graduate College from their website at [http://grad.arizona.edu/Current_Students/Forms/GC_Forms.php](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: 520-626-6005  
Email: edlprog@email.arizona.edu

Web: [http://coe.arizona.edu/pages/dep_edl](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, Ph.D.  
Kris Bosworth, Ph.D., Head  
J. Robert Hendricks, Ed.D.  
John Pedicone, Ph.D.  
John Taylor, Ed.D.  
Rose Ylimaki, Ph.D.
**FACULTY**

Jeffrey Bennett, Ph.D. Assistant Professor, (Educational Administration, The Ohio State University)  
626-4549 Room 226 jbennett@u.arizona.edu  
Research Interests: Collaborative Leadership, School-Community Partnerships, Systems-Thinking, and Youth Development Programs in High School.

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

J. Robert Hendricks, Ed.D., Associate Professor and Associate Dean (Educational Administration, Arizona State University)  
621-1573 Room 201 hendricks@arizona.edu  
Research Interests: Organizational Theory and Management, Educational Policy Issues, Curriculum Development, and Accreditation.

John Pedicone, Ph.D., Senior Faculty Fellow (Educational Administration, University of Wisconsin-Madison)  
626-8605 Room 222 pedicone@u.arizona.edu  

John Taylor, Ed.D., Professor with courtesy faculty appointment in Africana Studies, College of Humanities (Curriculum, Instruction, and Teacher Education, Stanford University)  
626-7933 Room 232 johnt@u.arizona.edu  

Rose Ylimaki, Ph.D., Associate Professor (Educational Administration, University of Wisconsin-Madison)  
626-0401 Room 230 ylimaki@email.arizona.edu  
Research Interests: Literacy Education, Curriculum Leadership, Social Change as Reflected in Education, Leadership and Accountability, Postmodern Discourse.

**STAFF**

Kathy Bayham, Graduate Coordinator  
T: 520-621-6658  F: 520-626-6005 edlprog@email.arizona.edu  
http://coe.arizona.edu/pages/dep_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 cohort 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 12

<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>Electives</td>
<td>9</td>
<td>3 courses in an area that will enhance knowledge and expertise</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 methodological</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>54</td>
</tr>
<tr>
<td>Dissertation</td>
<td>18</td>
<td>Units of Dissertation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>72</td>
</tr>
</tbody>
</table>
**COHORT CORE COURSE DESCRIPTIONS**

**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 (ELCC). Applicable ELCC Standards: 3.1, 3.2 and 3.3

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

**EDL 622: Research and Data-Based Decision-Making in Educational Leadership**
The purpose of this class is to engage the creation, analysis and use of data for research and school planning purposes. Part of the course will focus on the use of data in the research process. Procedures for gathering valid secondary data sources will be examined and data collected by others will be analyzed and critiqued. The use of APA style will be emphasized throughout. The foundations for this course are standard data analysis and representation techniques.

**EDL 623: Curriculum and Instructional Leadership**
This course is designed to examine leadership and its relationship to curricular development and organization; instruction and supervision; student learning; and school change processes. Curricular and instructional theories will be studied from political and policy perspectives and how they apply to current reform efforts, especially in the context of state and national agendas (AZ Learns and NCLB). Emphasis will also be placed on understanding the role of leadership in various reform movements and the implications these reform activities have for issues of equity and diversity in the school and/or district setting. In addition, the specifics of curricular and instructional reform components, such as standards and high stakes testing, will be critically examined as they apply to classroom practice, student achievement, program evaluation, school improvement, and school restructuring. This course will utilize a variety of methodologies to include direct instruction, case studies, simulations and authentic assessments. Students will be expected to understand and apply a broad theoretical foundation supported by literature in both the leadership and curriculum fields. Applicable ELCC Standards: 2.2, 2.3 and 2.4.

**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. Applicable ELCC Standards: 6.1, 6.2 and 6.3.

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). Applicable ELCC Standards: 4.1, 4.2, 4.3, and 1.5.

EDL 626: Leadership for Social Justice, Ethics, and Law
This course addresses the need for, resurgence of interest in, and recognition of the importance of the study of law and ethics for educational administrators and leaders. The purpose is to study the knowledge base of the multiple perspectives on ethics essential for administrators to know as they grapple with the ethical dilemmas inherent in school leadership. This is an interdisciplinary course drawing upon traditional readings in law, ethics, justice and human rights, newer paradigms such as feminist ethics and the ethics of care, and political, public and spiritual ethics, as these affect making meaningful and ethical decision making for children and society. The knowledge bases for this course rest in the Standards for Arizona School Administrators and the standards developed by the Educational Leadership Consortium. Applicable ELCC Standards: 5.1, 5.2, 5.3, 6.1 and 6.3

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. Applicable ELCC Standards: 2.1, 1.1, 1.2, 1.3 and 1.4.
## DOCTORAL PROGRAM REQUIREMENTS

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

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

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.

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 when you are accepted to the cohort. You should begin the process of choosing a committee that will mentor you throughout your program in your first semester. The committee consists of three tenured or tenure-track faculty members from the major program and one from the minor program. You and your advisor will discuss the make-up of the committee.

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 not have any potential conflict of interest with an advisee (e.g. employment, family relationship, business or financial).

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.

**Qualifying Exam**

The Qualifying Examination is administered in the second semester of cohort classes. 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, 10 to 12-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 two weeks prior to the scheduled oral examination. A minimum of fifteen scholarly references is required. The student should include an updated vita, the Program Planning Document, and verification from the minor advisor that requirements for the minor will be met by the plan of study. See page 32 for the Program Planning Document.
**Oral Component:** The student will present a 45-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 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.

**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. The Plan of Study is approved by the student’s committee at the oral qualifying exam.

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. See page 37 for the Plan of Study.

**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 coursework has been completed. Each minor 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 written 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, citations and references.

**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. The deadline for submitting the written exam is the third Friday of the fall or spring semester. Committee members give their feedback directly to the advisor who then alerts the student as to whether an oral comprehensive exam can be scheduled. Both the major and minor written examination must be completed before the oral examination can be scheduled. The student is responsible for scheduling the exam with the EDL Graduate Coordinator.

**Oral Comprehensive Exam:** The Oral exam will be a minimum of 1 hour and a maximum of 3 hours in duration. 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. Check with each of your committee members to determine whether there are particular issues or areas for which you should prepare. 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.* See page 37 for the Application for Oral Examination.

After the exam, the Examination Reporter submits the exam results to the Graduate Degree Certification Office in the Graduate College.

Once you have passed your oral examination, you may register for dissertation units.
**Human Subjects**

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. You may not collect data until you have written notification of approval from Human Subjects Board.

**Dissertation Proposal Meeting**

The dissertation proposal meeting is be held after the comprehensive oral examination and prior to the beginning of your inquiry. You and your dissertation committee members will discuss your proposal. 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 and take it to the meeting for signatures. Return the form to the graduate coordinator.

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

**Advancement to Candidacy**

After your proposal is approved by your committee, and at least 6 months prior to the Oral Defense, a **Doctoral Advancement to Candidacy** form must be filed with the Graduate College. If applicable, you must attach the letter from Human Subjects regarding authorization to conduct research. See page 40 for the **Advancement to Candidacy** sample form.

At the time you submit your application for Advancement to Candidacy your bursar account will be billed fees for candidacy, dissertation processing, archiving. This is a one-time fee and you will not be billed again if you change your anticipated graduation date.
**Dissertation Oral Defense**

This step involves paperwork for the Graduate College, the preparation of the final 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. Provide a plan for sharing the results with the school or district that cooperated in the study if appropriate.

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

6. It is customary to give a bound copy of the dissertation to your advisor and to the EDL department.
Convocation and Commencement

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

The College of Education Convocation is a smaller, more personal ceremony in which 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 commencement. Family and friends are invited to this ceremony.

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

You will receive announcements about these two events, asked whether you will attend convocation, and provide an estimate of the number of family members and friends will be attending.

EDL Student Annual Review

Student progress is reviewed annually. Continuing status is based on academic progress. It is evaluated at the end of spring semester, when you will be asked to complete a form that outlines your progress to date. Faculty will use your self-evaluation with their assessments. See page 34 for the Annual Student Self-Evaluation.

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 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

Financial Aid Information

The College of Education also offers various types of financial aid, including scholarships, to graduate students for use in the following academic year. For information about availability and
types of scholarships, current dates, deadlines, how to apply, and the online application, visit the College of Education financial aid website at http://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
CHECKLIST: DOCTORAL DEGREE REQUIREMENTS

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

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

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

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

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

- Were all requirements completed within a 5-year period following the comprehensive oral examination (including transfer work)?
- Did the registration meet the minimum number of units (36 in the major and 9 in the minor, and 18 units of dissertation)?
- Were 30 units completed on campus?
- Were one-half the total units on the Doctoral Plan of Study in coursework graded A, B or C?
- Did all transfer units receive graduate level grades of A or B?
- 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

Delaying the Qualifying Examination

EDL policy is to have all first year doctoral students complete their qualifying examination during the second semester of their Cohort. On rare occasions and for extraordinary circumstances exceptions will need to be considered. The procedure in such cases is as follows:

1. The student, with support of the advisor, will petition the EDL faculty for a delay in the qualifying exam. The petition should contain the rationale for request for a delay.
2. If the EDL faculty approves the delay, the student will complete the written examination prior to the beginning of the third semester of doctoral study. The student may not enroll in third semester classes until the written examination has been successfully completed and approved.
3. The advisor and student will establish a written contract listing specific dates for the written and oral exam. The written paper is to be completed no later than August 1 of the current year and the oral examination completed no later than September 15.
4. The contract will be signed by all committee members and the department head and placed in the student’s file.
5. It is the student’s responsibility to make all the arrangements for the oral exam.

Grievance

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

Grievances that will be Reviewed by the Graduate College:

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

1. allege violation of a specific University rule, regulation, policy or practice;
2. are not remediable by other university grievance policies and procedures; and
3. are within the decision-making jurisdiction of the Graduate College.
The Associate Dean of the Graduate College or other delegate of the Dean of the Graduate College (hereinafter "Associate Dean") shall determine whether a complaint is within the decision-making jurisdiction of the Graduate College. Examples of complaints that are NOT suitable for formal grievance through the Graduate College are listed at the end of this section.

**Grievance Procedure**

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

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

2. The academic unit head must review the grievance complaint and provide a written response to the student within 15 class days*. A student who wishes to appeal the unit head’s response, must file a copy of the grievance complaint and the unit head’s response with the Graduate College within 5 class days of receiving the unit head’s response.

3. The Associate Dean (or designee) will then try to negotiate a resolution. If acceptable mediation of the grievance is not achieved within 15 class days of filing with the Graduate College, the student may request that it be forwarded to the Grievance Committee.

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

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

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

**Grievance Procedure Deadlines**

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

The Graduate Grievance Committee

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

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

The Graduate Grievance Hearing

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

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

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

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

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

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>
Code of Academic Integrity

Principle

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

Prohibited Conduct

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

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

Student Responsibility

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

Faculty Responsibility

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

Student Rights

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

Academic Integrity Procedures

I. Faculty-Student Conference

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

Multiple violations of this Code may subject students to additional sanctions, including suspension or expulsion at the discretion of the Dean of the student’s College (“Academic Dean”) or his/her designee. Students found responsible by a faculty member for a violation of the Code must immediately contact the Dean of Students Office to determine if they have multiple violations subjecting them to additional sanctions by their Academic Deans. Upon receiving the Record of Faculty-Student Conference, the Dean of Students Office will notify the student and the Academic Dean of the existence of multiple violations. The Academic Dean will decide if any additional sanctions are to be imposed on the student as a result of multiple violations. The Academic Dean will convey this information to the faculty member, the student and the Dean of the college where the violation occurred (“Dean of the College”), as provided in the “Notice” section under General Provisions. The Academic Dean should use the form entitled “Sanctions for Multiple Violations,” and outline the findings and conclusions supporting his/her decision for an additional sanction. If the case is appealed as set forth below, the Academic Dean will present the case for the additional sanction.

III. Appeal to Dean of the College

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

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

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

**IV. Interim Action**

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

**V. Appeal to University Hearing Board**

The student may appeal any decision of the Dean of the College or the Academic Dean that imposes suspension or expulsion or provides for a notation on the student’s transcript. The student may also appeal if the Dean of the College failed to act within the 15 day period. The Dean may grant the student the option to appeal if the sanction of a failing grade is imposed and the Dean believes reasonable persons would disagree on whether a violation occurred. The appeal must be filed within 10 days from receipt of the decision or the Dean of the College’s failure to act, by providing written notice of appeal to the Dean of Students Office. If a student does not appeal within the time provided, the decisions of the Academic Dean, and the Dean of the College or the faculty member if the Dean of the College failed to act, will be final. The University Hearing Board shall follow the procedures set forth in the Student Disciplinary Procedures ABOR Policy 5-403.D. with the following modifications:
1. The Hearing Board shall be composed of three faculty and two students and shall convene within 30 days of the time the student files the appeal.
2. Wherever the term Vice President of Student Affairs appears, it shall be replaced with Senior Vice President for Academic Affairs/Provost. The Provost is empowered to change grades and the Registrar shall accept the Provost’s decision. The Provost shall also notify the parties of the final decision.
3. Wherever the Dean of Students is indicated as presenting evidence or witnesses, it shall be replaced with the faculty member who made the charges or his/her representative. Additionally, the Academic Dean or designee may also present evidence to support sanctions for multiple violations.
4. The student may be assisted throughout the proceedings by an advisor or may be represented by an attorney. If the student is represented by an attorney, the faculty member may also be represented by an attorney selected by the University Attorneys Office.
5. The faculty member has the same right as students to challenge the participation of any Board member, as noted in the Student Disciplinary Procedures (5-403.D.3.f.).
6. The Board may, in its recommendations, address any egregious violations of process.
7. Sanctions for multiple violations will be recommended and presented to the Board by the Academic Dean or his/her designee

General Provisions

Academic Days

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

Advisor

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

Grade Before Appeals

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

Graduate Students

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

Notice

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

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

**Rights and Responsibilities of Witnesses**

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

**Students or Faculty Not Available For Conference**

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

**Students Not In Class**

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

This is not the official Degree Certification document required by the Graduate College. It is a helpful planning tool used to generate your official Plan of Study, the official document required by Degree Certification. Bring this completed form to your qualifying examination.

<table>
<thead>
<tr>
<th>Name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Street Address</td>
<td></td>
</tr>
<tr>
<td>City</td>
<td></td>
</tr>
<tr>
<td>Work Phone</td>
<td></td>
</tr>
<tr>
<td>Home Phone</td>
<td></td>
</tr>
<tr>
<td>Email</td>
<td></td>
</tr>
</tbody>
</table>

| EDL Advisor |  |
| Major | Educational Leadership |
| Minor |  |

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

2. **EDL Electives (9 units minimum)**

<table>
<thead>
<tr>
<th>Semester</th>
<th>Grade</th>
<th>Units</th>
<th>Course #</th>
<th>Course Name</th>
</tr>
</thead>
</table>

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 methodological.

<table>
<thead>
<tr>
<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></td>
<td>Quantitative Research Methods</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td>Qualitative Research Methods</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td>Advanced Quantitative / Qualitative / Other Methods</td>
</tr>
<tr>
<td>18</td>
<td>EDL 920</td>
<td></td>
<td></td>
<td>Dissertation</td>
</tr>
</tbody>
</table>
Minor Program: _______________________________________________ (12-15 units)

- Supportive Area in a Department other than EDL

<table>
<thead>
<tr>
<th>Semester</th>
<th>Grade</th>
<th>Units</th>
<th>Course #</th>
<th>Course Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Proposed Committee:

<table>
<thead>
<tr>
<th>Major: EDL</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Advisor</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Member</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Member</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Minor: ____________**

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.

<table>
<thead>
<tr>
<th>Advisor</th>
</tr>
</thead>
</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 ________________________________

______________________________ School ________________________________ Work Phone ________________________________ Home or Cell Phone

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:

<table>
<thead>
<tr>
<th>Exam Result</th>
<th>Passed</th>
<th>Failed</th>
</tr>
</thead>
</table>

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 third semester of your program.

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
DISSERTATION 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.”

Circle one:

Minor Committee Member ___________________________ Approved Participation Waived

Signature

Circle one:

Minor Committee Member ___________________________ Approved Participation Waived

Signature
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 paper work 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.
DISserTATION: EVALUATION OF PERFORMANCE, ELECTRONIC SUBMISSION, AND BOUND COPIES

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

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

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

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

4. **Failure.** If the dissertation and/or its defense 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.

Upon successful completion of the Final Oral Defense Examination, you must submit your dissertation electronically. For information about submitting your dissertation electronically: [http://grad.arizona.edu/Catalog/Program_Requirements/Submission_of_the_Dissertation.php](http://grad.arizona.edu/Catalog/Program_Requirements/Submission_of_the_Dissertation.php)

EDL also requires that you submit two bound copies, one to your advisor and one to the department.