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Sample Forms
Yellow = Departmental Forms \hspace{1cm} White = Graduate College Forms
WELCOME

Dear EDL Doctoral Student,

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

This 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 https://grad.arizona.edu/gc/forms/blankForms.

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

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.  
J. Robert Hendricks, Ed.D., EPSP Head  
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@email.arizona.edu
Research Interests: Collaborative Leadership, School-Community Partnerships, Systems-Thinking and Youth Development Programs in High School.

Kris Bosworth, Ph.D., Professor, Smith Endowed Chair (Adult Education and Evaluation, University of Wisconsin-Madison)
626-4350    Room 234    bosworth@email.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 Head, EPSP (Educational Administration, Arizona State University)
626-7313    Room 319    hendricks@arizona.edu

John Pedicone, Ph.D., Senior Faculty Fellow (Educational Administration, University of Wisconsin-Madison)
626-8605    Room 224    pedicone@email.arizona.edu

John Taylor, Ed.D., Professor with courtesy faculty appointment in Africana Studies, College of Humanities (Curriculum, Instruction, and Teacher Education, Stanford University)
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Rose Ylimaki, Ph.D., Associate Professor (Educational Administration, University of Wisconsin-Madison)
626-0401    Room 230    rylimaki@email.arizona.edu

STAFF

Kathy Bayham, Graduate Coordinator
T: 520-621-6658 F: 520-626-6005 Room 222
edlprog@email.arizona.edu    http://coe.arizona.edu/pages/dep_edl/
EDL PURPOSE AND STANDARDS

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

1. translating theory and knowledge into practice;
2. applying research skills to solve educational problems;
3. applying skills in interpersonal relations and political diplomacy; and
4. following ethical principles.

Graduates will be able to adapt to a changing world, predict the consequences of proposed action, and sustain continuous education improvements over time. The development of skills and qualities that will enhance the ability of leaders to empower, inspire, and guide the performance of others in achieving the desired goals of a school, a school district or a community will be the focus of this program. All cohort courses in the cognate core as well as the specialization classes leading to certification are correlated with the Standards for Arizona Administrators and the Educational Leadership Policy Standards for School Leaders: ISLLC 2008 as adopted by the National Policy Board for Educational Administration (NPBEA).

**Standard 1:** An education leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders

**Functions:**
- A. Collaboratively develop and implement a shared vision and mission
- B. Collect and use data to identify goals, assess organizational effectiveness, and promote organizational learning
- C. Create and implement plans to achieve goals
- D. Promote continuous and sustainable improvement
- E. Monitor and evaluate progress and revise plans

**Standard 2:** An education leader promotes the success of every student by advocating, nurturing and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

**Functions:**
- A. Nurture and sustain a culture of collaboration, trust, learning, and high expectations
- B. Create a comprehensive, rigorous, and coherent curricular program
- C. Create a personalized and motivating learning environment for students
- D. Supervise instruction
- E. Develop assessment and accountability systems to monitor student progress.
- F. Develop the instructional and leadership capacity of staff
- G. Maximize time spent on quality instruction
- H. Promote the use of the most effective and appropriate technologies to support teaching and learning
- I. Monitor and evaluate the impact of the instructional program
**Standard 3:** An education leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.

**Functions**

A. Monitor and evaluate the management and operational systems  
B. Obtain, allocate, align, and efficiently utilize human, fiscal, and technological resources  
C. Promote and protect the welfare and safety of students and staff  
D. Develop the capacity for distributed leadership  
E. Ensure teacher and organizational time is focused to support quality instruction and student learning

**Standard 4:** An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.

**Functions**

A. Collect and analyze data and information pertinent to the educational environment  
B. Promote understanding, appreciation, and use of the community’s diverse cultural, social, and intellectual resources  
C. Build and sustain positive relationships with families and caregivers  
D. Build and sustain productive relationships with community partners

**Standard 5:** An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.

**Functions**

A. Ensure a system of accountability for every student’s academic and social success  
B. Model principles of self-awareness, reflective practice, transparency, and ethical behavior  
C. Safeguard the values of democracy, equity, and diversity  
D. Consider and evaluate the potential moral and legal consequences of decision-making  
E. Promote social justice and ensure that individual student needs inform all aspects of schooling

**Standard 6:** An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context.

**Functions**

A. Advocate for children, families, and caregivers  
B. Act to influence local, district, state, and national decisions affecting student learning  
C. Assess, analyze, and anticipate emerging trends and initiatives in order to adapt leadership strategies
UNIT REQUIREMENTS – ALPHA COHORT

A minimum of 63 units are required by the Graduate College for graduation with an Ed.D. A student may need to complete more units depending on research interests, dissertation topic and skill levels.

<table>
<thead>
<tr>
<th>Type of Coursework</th>
<th>Units</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>EDL Core</td>
<td>21</td>
<td>7 courses addressing educational leadership and research issues based on ISLLC standards</td>
</tr>
<tr>
<td>EDL Elective</td>
<td>3</td>
<td>Coursework to support research interest or enhance skills</td>
</tr>
<tr>
<td>Research Methods</td>
<td>9</td>
<td>3 units quantitative, 3 units qualitative + 3 units of an advanced quantitative or qualitative or methodology course</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>45 Units of Coursework</td>
</tr>
<tr>
<td>Dissertation</td>
<td>18</td>
<td>Units of Dissertation (taken after completing the comprehensive exam)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>63 Minimum Total Units</td>
</tr>
</tbody>
</table>
EDL 620: Advanced Foundations of Educational Leadership
The purpose of this course is to examine leadership theories, the macro theories in which leadership is grounded, and how these theories inform leadership practices in school organizations. Classic and contemporary theory and research literature in educational administration will be explored as well as research processes for examining school leadership in practice. Further, this course will provide students with a knowledge bases in the Standards for Arizona School Administrators and the Educational Leadership Policy Standards: ISLLC 2008 as adopted by the National Policy Board for Educational Administration (NPBEA). This course will utilize a variety of methodologies to include direct instruction, case studies, simulations and authentic assessments. Students will be expected to articulate a broad theoretical foundation supported by literature from leadership and organizational research and apply this foundation in scholarship related to educational leadership. Applicable ISLLC Standards: 1.A., 1.C. and 1.D.

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. Applicable ISLLC Standards: 3.A., 3.B., 3.C., 3.D. and 3.E.

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. Applicable ISLLC Standards: 1.B., 1.E. and 4.A.

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 ISLLC Standards: 2.B., 2.D., 2.E., 2.F., 2.G., 2.H. and 2.I.

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. Applicable ISLLC Standards: 2.

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 ISLLC Standards: 4.

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 Educational Leadership Consortium. Applicable ISLLC Standards: 1.D., 2.A. and 2.C.
# DOCTORAL PROGRAM REQUIREMENTS

<table>
<thead>
<tr>
<th>Activity</th>
<th>Timing</th>
<th>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. Qualifying Exam</td>
<td>2nd semester</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Submit <strong>Doctoral Plan of Study</strong>  Page 12</td>
<td>3rd semester</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Select committee members: 3 major and 1 minor Page 10</td>
<td>Prior to comprehensive exam</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Complete written Comprehensive Exam</td>
<td>Courses close to completion</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Schedule and sit for oral Comprehensive Exam; bring <strong>Results of Oral Comprehensive Examination for Doctoral Candidacy</strong> form (3 major members, 1 minor member)</td>
<td>Bring this form to your exam for signature by your committee after the exam</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. 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>8. Take Human Subjects Certification  Page 14</td>
<td>After oral comps</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Schedule dissertation proposal review; bring <strong>Dissertation Proposal Approval</strong> form  Page 14</td>
<td>After oral comps</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Submit <strong>Committee Appointment Form</strong>  Page 14</td>
<td>No later than 6 months prior to Final Oral Exam</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. 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>13. Schedule final oral examination (submit <strong>Announcement of Final Oral Examination</strong> form)  Page 15</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>14. Submit bound copy of dissertation to EDL office and advisor</td>
<td>X</td>
<td>X</td>
<td></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 Monday to Friday between 8 and 5 except during the 12 and 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.


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

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

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

**Degree Options**

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

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

Ed.D. – A doctorate in Educational Leadership has a strong emphasis on theory and research applied to practical situations. With an Ed.D., leaders are able to work in public school, policy or academic settings. A minimum of 63 units and a dissertation is required for this degree program.

**Selecting a Minor and Minor Advisor**

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

**Qualifying Exam**

The Qualifying Examination is administered in the second semester of cohort classes. Guidance for the preparation is given during your first semester of cohort classes. You are strongly urged
to consult your individual faculty advisor early in the semester with questions related to exam preparation and the selection of a minor area of study.

**Purpose:** The purpose of the Qualifying Examination is to provide a formal opportunity for the EDL faculty to decide what direction your studies may take, either Educational Specialist (Ed.S.) or Doctor of Education (EdD). After one and a half semesters of doctoral study in the foundations of educational leadership, faculty members will be in a position to determine if your grasp of the literature and written and verbal communication skills would qualify you for the educational specialist. As well, this will be your opportunity to determine whether this is the field and the program in which you should choose to devote several years of serious study. There are three directions that a student can take after the qualifying examination: continue in the doctoral program, transfer to an Educational Specialist degree or exit the EDL doctoral program.

**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 you 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 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. You should include an updated vita and the **Program Planning Document.** See pages 31-32 for the **Program Planning Document.** Important: this should not be confused the Plan of Study, which must be filed with the Graduate College.

**Oral Component:** The exam will be about 90 minutes and will include a discussion of your paper with a short, formal, scholarly presentation without visuals. Members of the examination committee will read and evaluate your paper prior to the oral exam. At the exam, they will question you 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 your proposed minor and other elements of the **Program Planning Document.** You should not provide refreshments for the committee. Please bring the **Qualifying Exam Report** (see page 35) with you to the exam for committee members to sign.

**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.

At the end of the examination, the faculty committee will discuss with you their recommendation for continued study.
**Plan of Study**

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

The **Plan of Study** form is based on the **Program Planning Document** and identifies courses the student intends to transfer from other institutions, courses already completed at The University of Arizona which the student intends to apply toward the graduate degree, and additional course work to be completed in order to fulfill degree requirements. See page 36 for a sample Plan of Study form. The Plan of Study form can be accessed at [https://grad.arizona.edu/ge/forms/blankForms](https://grad.arizona.edu/ge/forms/blankForms).

**Comprehensive Exam**

The comprehensive examination is designed to assess your 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. The oral exams include both the major (EDL) and minor.

**Goals:** In both the written and oral comprehensive examination, you 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 details on the written comprehensive exam will be presented at the end of the first year of cohort courses.

**Timeline:** You will submit the written exam to the advisor. If the advisor thinks that the exam is acceptable, you will be permitted to distribute copies 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 after the start of the fall or spring semester. Committee members give their feedback directly to the advisor who then notifies you as to whether you can schedule the oral comprehensive exam with them. Both the major and minor written examination must be completed before the oral examination can be scheduled. You are responsible for scheduling the exam with the EDL Graduate Coordinator.

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

**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 you have taken in the doctoral program. An understanding of research design and methodology necessary to complete a dissertation may be part of the exam. This is NOT a proposal meeting; however, your dissertation topic may be discussed.

After checking with your advisor and other committee members’ schedules, set a time and date for the oral exam. Check with each of your committee members to determine whether there are particular issues or areas for which you should prepare. Schedule an exam room with the Graduate Coordinator after you have confirmed a time and date of committee availability. Complete the top part of the **Results of the Oral Comprehensive Examination for Doctoral Candidacy** form and bring it with you to the exam.

After the exam, the committee chair submits the exam result containing your signature and the signatures of committee members to the Degree Certification Office in the Graduate College. At this time, you will be assessed a $135 fee by the Graduate College to cover degree processing and dissertation processing/archiving, which is billed to your UA Bursar’s account upon passing.

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 a sample of the **Results of the Oral Comprehensive Examination for Doctoral Candidacy** form. The form can be accessed online at https://grad.arizona.edu/gc/forms/blankForms.

Once you have passed your oral examination, you may begin registering for dissertation units (EDL 920). Once you have passed your comprehensive exam, you must complete your degree within five years.

**Dissertation Proposal Meeting**

The dissertation proposal meeting is held after the comprehensive oral examination and prior to the beginning of your study. 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. Assemble a committee of eligible faculty members. Your committee must have at least 3 members. At least two of them must be EDL tenure or tenure-track faculty members. There must be no conflict of interest (e.g., employment, family or business connections).
2. Work with your advisor to choose the committee members that you want to serve on your dissertation committee. Usually, three major members from the preliminary exam are asked, and the minor members may waive their rights to be on the committee. However, more than three members may serve on your committee if you wish.

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

4. Schedule a proposal meeting with the committee members. Obtain a Dissertation Proposal Approval form from the Graduate Coordinator and take it to the meeting for signatures. Return the form to the graduate coordinator after the form has been completed and signed by the committee.

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

**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. Your advisor plays a critical role in preparation of an accurate and complete Human Subjects application. Your Human Subjects application needs to be approved by a department committee, the department head and the University committee. Allow at least 4 – 6 weeks for your Human Subjects application to be approved.

**Advancement to Candidacy – Committee Appointment Form**

After you have completed all of your coursework, passed your written and oral comprehensive exams, a Committee Appointment Form must be filed with the Graduate College at least 6 months prior to the Oral Defense. If applicable, you must attach the letter from Human Subjects regarding authorization to conduct research. See page 40 for a sample Committee Appointment Form. The form can be accessed online at [https://grad.arizona.edu/gc/forms/blankForms](https://grad.arizona.edu/gc/forms/blankForms).

**Oral Defense of Dissertation**

Once you have completed your written dissertation and obtained approval from your advisor, you may schedule your final oral defense with your committee. During the semester in which you defend your dissertation, you must be registered for a minimum of one unit only if you have already met all other program requirements, including the 18 dissertation units. If you have not completed all 18 dissertation units, you must be enrolled for a minimum of 3 units.
There is no time limit for the oral defense, however the entire time period may not exceed three hours.

To prepare for defending your dissertation, you should:

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

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

3. Prepare and submit an **Announcement of Final Oral 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 seven working days 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.

**Student Annual Review**

Student progress is reviewed annually. Continuation in the program is based on your academic progress, which is evaluated at the end of spring semester. You will be asked to complete a form that outlines your progress to date. Faculty will use your self-evaluation as part their assessment of your progress. See page 34 for the **Annual Student Self-Evaluation** form.

**Incomplete Grades**

The grade of I may be awarded only at the end of a term, when all but a minor portion of the course work has been satisfactorily completed. The grade of I is not to be awarded in place of a failing grade or when the student is expected to repeat the course; in such a case, a grade other than I must be assigned. Students should make arrangements with the instructor to receive an incomplete grade before the end of the term.
EDL faculty will use the **Report of Incomplete Grade** form as a contract with the student as to what course work must be completed by the student for the I grade to be removed and replaced with a grade. On the form, the instructor states: (1) which assignments or exams should be completed and when; (2) how this work will be graded; and (3) how the student's course grade will be calculated. Both the instructor and student sign this agreement and both should retain copies.

**Continuous Enrollment /Leave of Absence /Readmission**

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

If it becomes necessary to interrupt your studies, you must file a **Leave of Absence** form with the Graduate College. [http://grad.arizona.edu/Degree_Certification_Forms/absence.pdf](http://grad.arizona.edu/Degree_Certification_Forms/absence.pdf) to download and complete the form.

If you do not maintain continuous enrollment and fail to file a leave of absence prior to the vacant semester, you must apply for readmission. Contact the EDL office to obtain a departmental **Application for Readmission** form and reapply for admission to the Graduate College at [http://grad.arizona.edu/Prospective_Students/Apply_Now/Apply_Online.php](http://grad.arizona.edu/Prospective_Students/Apply_Now/Apply_Online.php). Readmission is dependent upon advisor and department head approval.

**Financial Aid Information**

The College of Education also offers various types of financial aid, including scholarships, to graduate students for use in the following academic year. For information about availability and types of scholarships, current dates, deadlines, how to apply, and the online application, visit the College of Education financial aid website at [http://coe.arizona.edu/pages/finaid/index.php](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](http://grad.arizona.edu/Prospective_Students/Financial_Resources/University_of_Arizona_Resources.php).

**Convocation and Commencement**

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

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

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

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

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

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

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

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

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

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 AffairsProvost. The Provost is empowered to change grades and the Registrar shall accept the Provost’s decision. The Provost shall also notify the parties of the final decision.

3. Wherever the Dean of Students is indicated as presenting evidence or witnesses, it shall be replaced with the faculty member who made the charges or his/her representative. Additionally, the Academic Dean or designee may also present evidence to support sanctions for multiple violations.
4. The student may be assisted throughout the proceedings by an advisor or may be represented by an attorney. If the student is represented by an attorney, the faculty member may also be represented by an attorney selected by the University Attorney’s Office.

5. The faculty member has the same right as students to challenge the participation of any Board member, as noted in the Student Disciplinary Procedures (5-403.D.3.f.).

6. The Board may, in its recommendations, address any egregious violations of process.

7. Sanctions for multiple violations will be recommended and presented to the Board by the Academic Dean or his/ her designee

**General Provisions**

**Academic Days**

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

**Advisor**

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

**Grade Before Appeals**

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

**Graduate Students**

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

**Notice**

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

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

**Rights and Responsibilities of Witnesses**

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

**Students or Faculty Not Available For Conference**

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

**Students Not In Class**

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

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

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

<table>
<thead>
<tr>
<th>EDL Advisor</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Major</td>
<td>Educational Leadership</td>
</tr>
<tr>
<td>Minor</td>
<td></td>
</tr>
</tbody>
</table>

Admissions:

<table>
<thead>
<tr>
<th>Admitted to EDL Doctoral Program (Date)</th>
</tr>
</thead>
</table>

Qualifying Procedures:

1. Current vita / resume
2. Proposed plan of study and timeline
3. A scholarly 10-15 page paper organized around an issue of significance to Educational Leadership.

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

2. **Research Methods and Dissertation (27 units)**

9 units in research methods including 3 units of quantitative methods, 3 units of qualitative methods, and 3 units in an advanced quantitative or qualitative or methodology course.

<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>TBD</td>
<td></td>
<td>Quantitative Research Methods</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>EDL 601</td>
<td></td>
<td>Qualitative Research Methods</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>TBD</td>
<td></td>
<td>Advanced Quantitative / Qualitative / Other Methods</td>
</tr>
<tr>
<td></td>
<td>18</td>
<td>EDL 920</td>
<td></td>
<td>Dissertation</td>
</tr>
</tbody>
</table>

3. **Minor Program** _______________________________________________ (12-15 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>
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</tbody>
</table>

**TOTAL UNITS ____________**
ANNUAL STUDENT SELF-EVALUATION

You 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, (current month/day/year).

Name ____________________________________ Advisor ____________________ Cohort ____

Current Contact Information: ________________________________________________

_________________________________________ ________________________________
Email

_________________________________________ ________________________________
Address

_________________________________________ ________________________________
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?
The University of Arizona
Report of Incomplete Grade

College_______________________________ Department ________________________________

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

Student’s name____________________________________ SID# _____________________________
Year & Semester Enrolled ________________________
Course Number and Title ______________________________________________ Credit hours _____

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

The following work must be completed either by the above date or within one year for the “I” to be removed and replaced by the appropriate grade. Any exams to be taken and specific information for grading should be attached to the department copy of this form. The one year period starts on the last day of final exams of the term when the student was enrolled in the course. Thus, a student with an “Incomplete” grade for a course taken in Spring 2007 must submit the completed work no later than the last day of final exams for the Spring 2008 Semester. During the year that the “Incomplete” grade is active, the student cannot re-enroll in the course to remove the “I.” If the “Incomplete” grade is not replaced within one year, it changes to an “E.” Once the “I” has been replaced with a final grade, the student has the option of re-enrolling in the course and possibly using the Grade Replacement Opportunity (GRO). [Note: GRO policies differ for undergraduate and graduate courses.]

______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________

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

______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________
______________________________________________________________________________________

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

Date __________ Student’s signature ______________________________________________________
Date __________ Instructor’s signature _____________________________________________________

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

Student Name: ________________________________________________________________

Minor: _______________________________________________________________________

Date: _______________________________________________________________________

Committee Chair Circles an Exam Result:

Qualified for:

Ed.D  Ed.S.  Not Qualified

Comments:

Major Committee
(student to type or neatly print committee members’ names)

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

Initials
(committee to initial approval)

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

Minor Committee
(student to type or neatly print)

___________________________________________________________________________

Initials
(committee to initial approval)

___________________________________________________________________________

(minor committee chair)
DOCTORAL PLAN OF STUDY

This form must be downloaded from the Graduate College website at https://grad.arizona.edu/gc/forms/blankForms

1. You are responsible for submitting a Plan of Study to be filed with the Graduate College no later than the third semester of your program.

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

3. Your Plan of Study must have the approval of your major and minor advisors and department heads before it is submitted to the Graduate College.

4. Please be sure all signatures are legible, and if not, print or type it next the signature.

5. Give the completed form to the EDL Graduate Coordinator, who will submit the original and three copies to the Degree Certification Office.
RESULTS OF THE ORAL COMPREHENSIVE EXAMINATION
FOR DOCTORAL CANDIDACY

This form must be downloaded from the Graduate College website at
https://grad.arizona.edu/gc/forms/blankForms

1. Bring the Results of the Oral Comprehensive Examination for Doctoral Candidacy form
to the exam with the top portion completed. You must obtain approval in advance for special
members to serve on your committee. See page 13 for complete information.

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

3. The committee chair will return the results of the examination to the Graduate Degree
Certification office.

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

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

Dissertation Director ____________________________________________

Major Committee Member ____________________________________________

Major Committee Member ____________________________________________

MINOR

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 below and circle either Approved or Participation Waived.

Circle one:

Minor Committee Member ________________________________________ Approved Participation Waived

Signature

38
COMMITTEE APPOINTMENT FORM

This form must be downloaded from the Graduate College website at https://grad.arizona.edu(gc/forms/blankForms

1. After completing and signing the form and obtaining signatures from the major and minor department heads, submit this form to the Graduate Coordinator in the EDL office no later than six months before you schedule the Final Oral Examination.

2. The diploma mailing address may **not** be a campus address. Use your permanent residence as your mailing address.

3. If the dissertation research involves use of human subjects, which is subject to review, the approval letter from the Human Subjects must accompany this form.
ANNOUNCEMENT OF FINAL ORAL EXAMINATION

This form must be downloaded from the Graduate College website at https://grad.arizona.edu/gc/forms/blankForms

1. You must 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 you intend to defend your dissertation during that time period).

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

3. You submit the Announcement of Final Oral Examination form within ten business days of the scheduled exam date to the EDL office, which forwards it to Graduate Degree Certification.

4. Complete and print two copies of the Approval Page Form, which requires signatures of the dissertation director and committee members and bring them to your exam. The form is available at https://grad.arizona.edu/gc/forms/blankForms.

5. The dissertation director returns the results of the final oral examination and all other paperwork to Graduate Degree Certification immediately following the examination.
DISSESSATION: ELECTRONIC SUBMISSION AND BOUND COPIES

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

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

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

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

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

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

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