

**UNION INSTITUTE & UNIVERSITY  
GRADUATE COLLEGE  
Ed.D. LEARNER HANDBOOK**

The policies and procedures described in this Handbook **apply to learners matriculated into the Ed.D. program with a specialization in Educational Leadership or Higher Education on January 1, 2008 or later** and are continually updated. Union Institute & University reserves the right to amend, to modify, or to revise the policies and procedures stated herein as deemed necessary and appropriate and as approved by the Board of Trustees.

As a learner, you should read the Handbook carefully to become familiar with its content, and discuss any questions you have with an Ed.D. program representative. You should consult the Handbook regularly throughout your doctoral training, particularly when you are unsure about policy and procedural matters and when you have to meet particular program requirements.

*Union Institute & University is accredited by The Higher Learning Commission and a member of the North Central Association of Colleges and Schools. Union Institute & University is authorized as a degree-granting institution by the Ohio Board of Regents, the Florida Commission for Independent Education, the California Bureau for Private Postsecondary and Vocational Education, and the Vermont Board of Education..*

*Union Institute & University does not discriminate in admissions, employment, or policy on the basis of age, race, color, sex, sexual orientation, religion, national origin, or physical impairment. Union Institute & University policies and practices conform with Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, and the Age Discrimination Act of 1975. Union Institute & University conforms with the provisions of student rights under the Family and Student Educational Rights and Privacy Act of 1974 as amended. Files are maintained and released under the provisions of the act.*

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## **MISSION STATEMENT**

Union Institute & University provides innovative educational programs of the highest quality that broaden access to higher education for adults through transformative collaborative learning.

## **A MESSAGE FROM THE PRESIDENT**

*Union Institute & University challenges minds, touches hearts, and transforms the lives of adults who view learning as a lifetime adventure and commitment to be shared with the world around them.*

Dear Learner,

On behalf of the trustees, administration, faculty, and staff, allow me to welcome you to the Union Institute & University Ed.D. program. Because we have a rich history of academic innovation, we take pride in our reputation as one of the premier universities for adult learners. Our faculty scholars, educators, and researchers, and our community of accomplished administrators, are dedicated to creating an academic environment that is challenging, supportive, nurturing, and intellectually stimulating.

I trust that this publication will be a valuable guide as you matriculate into the Ed.D. program and progress toward achieving your very important goal — the Doctor of Education in Educational Leadership or Higher Education Studies. The Ed.D. Learner Handbook describes the program and its offerings, defines the procedures and requirements of the program, and provides other information that will guide you through the program, help you meet your obligations to the Ed.D. program and to the university community, and produce superior doctoral-level work that will enhance your academic credentials and expand your career opportunities.

To benefit fully from the Ed.D. program and to ensure efficient progress through the program, learners must have a working knowledge of this Handbook. Please review the Learner Code of Conduct and incorporate it into your daily activities as an active, loyal learner and member of the university community. The rules, regulations, and appendices in this Handbook are approved under the authority of Union Institute & University's Board of Trustees and, therefore, constitute official university policy.

We also ask you to accept the responsibility for fulfilling the requirements of your doctoral degree program. Your professional reputation and the reputation of our university depend on the work that you produce in your program. Of course, our administrative and academic staff professionals are always eager and available to serve you in all the ways that promote your academic success at the university. Best wishes as you embark on your Ed.D. program.

Sincerely,

Roger H. Sublett, Ph.D.  
President

## PROGRAM HISTORY AND MISSION

The Ed.D. program has long and deep institutional roots. The consortium of colleges and universities that founded Union in the 1960's did so because they sought to develop and share alternative approaches to education with the broader academy. The consortium's initial focus was higher education- resulting in development of both baccalaureate and doctoral programs designed specifically for adults. Over time, the focus on educational issues has come to manifest itself across the institution at all academic levels (Undergraduate, Masters and Doctoral). At the doctoral level, the consortium's interest in and advocacy of change in the academy was initially manifested (in the 1970's) by learners who were faculty and academic administrators at consortium member institutions, and whose programs operationalized the consortium's goals. Since then, interest in the field of education has remained high.

The mission of the Ed.D. program is to support education professionals to acquire advanced knowledge of scholarship in the field and to develop the skills and attributes that will help them become effective researchers and professionals in their area of specialization (Educational Leadership or Higher Education). An additional distinctive purpose relates to the program's emphasis on social justice. The Ed.D. program prepares learners who, on completion of the program will have: 1) a critical understanding of alternative conceptions of social justice; 2) the ability to assess the implications of different views of social justice; and 3) the ability to serve as facilitators among various constituencies for discussion of issues of education related to social justice.

The Ed.D. program supports individuals who seek to acquire the scholarship and skills required for them to serve as educational researchers, advocates, and leaders. The program's blend of core, specialized, and *praxis* experiences through professional development practica and internship is intended for individuals with significant experience in and knowledge of the field and profession of education, who seek to explore, explain, and possibly resolve the challenges they face within their organizations and communities.

The field of education is understood to be interdisciplinary in that educational issues draw from academic study in a number of related fields such as: history, public policy and political science, leadership and organizational studies, and more. The Ed.D. program retains and strengthens the institution's long standing commitment to interdisciplinary learning which is grounded firmly in the belief that learners must examine the knowledge base and approach to discovery of more than a single academic discipline.

Thus, the Ed.D. program continues Union Institute & University's historical commitment to provide doctoral education that brings advanced knowledge to bear on critical social issues within an academic delivery model that acknowledges and meets the circumstances of adult learners.

## **VALUES OF THE Ed.D. PROGRAM**

UI&U's commitment to learning includes the following Ed.D. values and goals:

### **Excellence in Scholarship**

Ed.D. doctoral learners will participate in a developing tradition of thought, discussion, exploration, and inquiry in their field of study. Achieving excellence in scholarship requires full and meaningful participation in this evolving, cooperative endeavor.

The Ed.D. program follows a practitioner-scholar model. The professional practice of education, informed by scholarly inquiry, is the program's primary focus. The program employs a developmental approach, where expectations of competency increase as learners proceed through the sequence of seminars, supervised internships, and completion of other requirements. Learners will assume increased responsibility and independence as they progress from their first year to completion. Graduates of the program are expected to be competent and ethical professionals and leaders in the field of education.

### **Attentiveness to Social Justice**

Social justice is a matter of ensuring that each person and group receives their proper *due* from the storehouse of primary and secondary goods that are available, at any given time, within the context of social and political life. Primary goals of the Ed.D. program are: (1) to explore alternative theoretical conceptions of the proper distribution of a society's resources; (2) to examine the implications of alternative systems of social exchange (market systems, moral systems, organizational systems) for realizing the alternative ideals associated with social justice; and (3) to examine the importance of attending to social justice within the framework of present and future historical circumstances. A concern for the goal of social justice is incorporated into the program of study for each of the Ed.D. program's two areas of specialization.

### ***Praxis*: The Integration of Theory and Practice**

In the process of lifelong learning, the study of empirical theories provides an understanding of patterns of underlying causes and their effects within specific areas of natural and social worlds. Normative or value-oriented theories offer insight into the principles and practices that have served and might better serve as a guide to the organization of social, economic, and political life. While theoretical study has an importance in itself, the primary value of theoretical understanding, nonetheless, depends on the relative applicability of theories within the limits, tensions, and vicissitudes of specific personal, organizational, and institutional contexts. A thorough understanding of the problem of *praxis*, of relating and assessing the applicability and effectiveness of theories to practical circumstances—and, on occasion, of altering theories in light of such relative applicability and effectiveness—is another central value of the Ed.D. program.

## **THE Ed.D. DEGREE PROGRAM STRUCTURE**

Learners admitted into the Ed.D. program complete 66 credits beyond the master's degree. The minimum time to complete the degree is three years (six semesters). UI&U's Ed.D. program consists of the following components:

- foundational interdisciplinary seminars related to ethics, social justice and research;
- academic studies that include a core curriculum and advanced study within educational leadership and higher education;
- *praxis* (connecting theory to practice through the Professional Development Practica (PDP) and Internship);
- study in research methods;
- individualized study that is directly related to the learner's area of study, professional interests, and dissertation research; and
- dissertation research that, when completed, contributes new knowledge to the learner's field of study.

### **A Cohort-based, Low-residency Model**

Twice each year new learners are admitted to the Ed.D. program and come together for an Initial Academic Residency (IAR) of seven (7) days. Learner's also come together for a 3 day mid-semester Professional Development Practica (PDP). The learners begin and move through the Ed.D. program as members of cohorts that are formed within and across the program's two areas of specialization, Educational Leadership and Higher Education.

Learning centers on a series of academic residencies that convene on two occasions (January and July) each year and that meet at the same time as the Initial Academic Residency for newly-admitted learners. The academic residencies include the following learning activities:

- the beginning of a required sequence of seminars that are completed through online teaching;
- lectures by leading scholars
- panel discussions that address important intellectual, professional, and social issues; and
- professional/creative activities that bring together theory and practice.

The Ed.D. cohort model leads to the formation of academic communities through regular and sustained interaction among learners and between learners and faculty. These communities begin to form at the Initial Academic Residency and are strengthened through online learning activities, through email and telephone conversations, and through the one-on-one and small group conversations that occur when learners return and meet each other and faculty again during the semi-annual academic residencies.

### **Professional Development Practica (PDP)**

PDP's are 3 day mid-semester residency events offered each semester. In addition to their emphasis on Social Justice, PDP's also include a variety of other activities such as continuation

of academic work assigned during the 7 day academic residency that took place in the beginning of the semester.

## **Areas of Specialization**

Learners focus their studies in one of the two areas of specialization:

- Educational Leadership

The goals and objectives of the Educational Leadership specialization are met through core and advanced seminars that provide the knowledge base and professional skills needed for learners to serve effectively in a wide range of educational settings. The specialization in Educational Leadership also places a primary emphasis on issues of ethics and social justice. Learners who pursue the specialization in Educational Leadership complete a program of academic study and professional training that is strongly aligned with the National Council for Accreditation of Teacher Education (NCATE) standards for an advanced program in Educational Leadership. Learning goals and objectives for the specialization in Educational Leadership are designed to educate learners who are able to serve as effective leaders within the social, organizational, and educational contexts of the present and foreseeable future.

- Higher Education

The over-arching goal of the Higher Education specialization is to enable learners, through their advanced understanding of social, cultural, organizational, and ethical/justice issues, to guide the development of education in a complex, dynamic and diverse society. An accepted set of curricular and program standards for a specialization in Higher Education, is based upon Higher Education professional organizations and parallel doctoral programs in Higher Education. The learning goals and objectives of the specialization in Higher Education are met through academic residencies, core and advanced seminars, professional development practica, an internship experience, and original dissertation research.

Expectations of learners pursuing Educational Leadership or Higher Education specializations will complete a program of study aligned with the core values of UI&U and the Ed.D. program; achieve proficiency in general principles and approaches to doctoral inquiry; acquire both core and advanced knowledge; develop field/research proficiency; and conduct doctoral level research completing a dissertation meeting national standards for research at the doctoral level.

Upon successful completion of degree requirements, Ed.D. doctoral learners will be awarded the degree of Doctor of Education (Ed.D.) with a specialization in Educational Leadership or Higher Education. The transcript will denote the degree, area of specialization, and dissertation title. The Doctor of Education in Educational Leadership or Higher Education degree is awarded in recognition of advanced research and demonstrated abilities in a field of study.

## Program Degree Requirements

Union Institute & University utilizes a distributed learning model that combines online learning with face-to-face meetings (at academic residencies) with faculty, colleagues, and other professional educators. The program is designed to present learning activities in an organized manner, with the work completed each semester building upon learning experiences of previous semesters.

Seminars are equivalent to courses in the Ed.D. program. They commence during each semester's residencies and continue online throughout the semester. The residency seminars are taught by faculty and explore significant topics and issues from an educational perspective. Faculty will address relevant topics, learning goals, planned activities, and academic requirements for each seminar at the time they begin. Seminar content is presented in a way that leaves room for divergent points of view with faculty positioning the topic in its conceptual, historical, and methodological contexts.

The Ed.D. with specializations in Educational Leadership or Higher Education is composed of seminars in the following areas:

- Foundational knowledge
- Core knowledge
- Advanced knowledge
- Research methodology

The syllabus for each seminar will specify the learning documentation to be completed for evaluation. The faculty assigned to each seminar will use a **Completed Learning Activity Form** to evaluate the documentation required, determine the extent to which proficiency is met and assign a final grade. See the Grading Policy. Learners must complete each seminar in the order listed in the academic program requirements and curriculum sequence.

## Academic Program Requirements

### Foundational Seminars (9 credit hours)

There are three required foundations seminars learners register for in their first semester:

- Education and Social Justice 3cr
- Ethical Leadership 3cr
- Educational Research Design & Methods 3cr

### Core Seminars in Educational Leadership (9 credit hours)

- Leadership & Change in Schools & Educational Systems 3cr
- Legal Issues in Education Pre K-12 3cr
- Current Issues in Education Pre K-12 3cr

**Core Seminars in Higher Education (9 credit hours)**

- Leadership & Change in Institutions of Higher Education 3cr
- Legal Issues in Higher Education 3cr
- Current Issues in Higher Education 3cr

**Advanced Seminars in Educational Leadership (12 credit hours)**

- Educational Policy Implementation 3cr
- Resource Management in Education 3cr
- Educational Leadership & Technology 3cr
- Schools, Society, and Culture 3cr

**Advanced Seminars in Higher Education (12 credit hours)**

- History of Higher Education in America 3cr
- Resource Management in Higher Education Settings 3cr
- Technology in Higher Education Settings 3cr
- Higher Education Culture and Choice 3cr

**Three Research Methods Seminars (9 credit hours)**

There are three required research methods seminars:

- Quantitative Methods in Educational Research 3cr
- Qualitative Methods in Educational Research 3cr
- Focused Research Design Project 3cr

**Elective Seminars (6 credit hours)**

- Program Evaluation 3cr
- Literature Review 3cr

**Internship (300 clock hours required) 6cr**

**Dissertation**

Each doctoral learner must make a significant, original contribution to human knowledge by preparing a dissertation.

- Dissertation Research\* 6cr
- Dissertation\*\* 9cr

\*Dissertation Research: If a learner does not successfully complete their dissertation proposal which is a part of the Focused Research Design Project (FRDP) in semester 4, the learner will: (1) receive an incomplete (“I”) grade for the FRDP course; (2) not be permitted to register for Dissertation Research in semester 5; (3) be required to register for the two (2) required seminars in semester 5; (4) complete the dissertation proposal

as part of the incomplete FRDP in semester 5.

\*\*Dissertation: As a part of the Dissertation Course, learners are required to present a central idea, aspect, or argument related to their dissertation during the semester 6 Professional Development Practica (Educational Leadership or Higher Education).

<b>Ed.D. Curriculum Sequence</b>		
	<b>Learning Activity</b>	<b>Credit Hours</b>
<b>Year One</b>		
<b>Semester 1</b>	EDU 700 Academic Residency: Education and Social Justice	3
	EDU 701 Ethical Leadership	3
	EDU 783 Educational Research Design and Methods	3
	Professional Development Practicum I	0
	EDU 860 Portfolio II	0
	Total	9
<b>Semester 2</b>	EDU 702 Legal Issues in Education Pre K-12 OR EDU 703 Legal Issues in Higher Education	3
	EDU 784 Quantitative Methods in Educational Research	3
	Specialized seminar 1: EDU 823 Resource Management in Education OR EDU 843 Resource Management in Higher Education Settings	3
	Specialized seminar 2: EDU 824 Educational Leadership and Technology OR EDU 844 Technology in Higher Educational Settings	3
	Professional Development Practicum II	0
	Total	12
<b>Year Two</b>		
<b>Semester 3</b>	EDU 704 Current Issues in Education Pre K-12 OR EDU 705 Current Issues in Higher Education	3
	EDU 785 Qualitative Methods in Educational Research	3
	Specialized seminar 3: EDU 821 Leadership and Change in Schools & Educational Systems OR EDU 841 Leadership and Change in Institutions of Higher Education	3
	INTP 790 Internship Part I	3
	Professional Development Practicum III	0
	EDU 860 Portfolio III	0
		Total
<b>Semester 4</b>	EDU 786 Focused Research Design Project: Dissertation Proposal	3
	Specialized seminar 4: EDU 822 Educational Policy Implementation OR EDU 842 History of Higher Education in America	3
	Specialized seminar 5: EDU 825 Schools, Society, and Culture OR EDU 845 Higher Education Culture and Choice	3
	INTP 791 Internship Part II	3
	Professional Development Practicum IV	0

<b>Ed.D. Curriculum Sequence</b>		
	<b>Learning Activity</b>	<b>Credit Hours</b>
	Total	12
	<b>Year Three</b>	
<b>Semester 5</b>	RSCH 880 Dissertation Research	6
	Elective: EDU 890 Program Evaluation	3
	Elective: EDU 891 Literature Review	3
	Professional Development Practicum V	0
	Total	12
<b>Semester 6</b>	RSCH 900 Dissertation	9
	EDU 860 Portfolio IV	0
	Professional Development Practicum VI	0
	Total	9
	<b>Total (minimum) credits</b>	<b>66</b>

### **Faculty Advising**

During the Initial Academic Residency (IAR), a Faculty Advisor is assigned to each learner. The Faculty Advisor helps the learner to maintain an administrative link with the Graduate College. The Faculty Advisor is responsible for providing signed approval on Registration Forms attesting that the learner is in attendance and has begun engagement with the academic work for the current six-month semester. Learners meet face-to-face with his/her Faculty Advisor at each academic residency. The faculty advisor will work closely with the learner until they are ready to begin their Dissertation Research.

The Dissertation Committee should be formed by the end of Semester 3. The Dissertation Chair will then become the learner's final Faculty Advisor throughout the remainder of the learner's program.

### **Transfer Credit Policy**

Up to 12 semester hour credits (the equivalent of 4 doctoral level courses) from a regionally accredited university are eligible to be reviewed by the Admissions Committee for approval of transfer. The transfer courses must have been completed in the past 5 years with an equivalent grade of "B" or above. Courses applied towards an earned master's degree are not eligible to be reviewed for transfer.

A **Transfer Credit Petition Form**, transcripts, syllabi and all written assignments for courses considered for transfer must be submitted as part of the Ed.D. in Educational Leadership or Higher Education application package. Union Institute & University reserves the right to apply, or not apply, acceptable transfer credit toward its degree requirements. In no case will transfer credit negate the 36 month time in program length. Union Institute & University operates on a 6 month term system; therefore, courses taken at colleges operating on the quarter system are converted to semester credit hours.

## **Academic Calendar & Term Based Program**

The academic year for the UI&U Ed.D. program is 12 months. The academic year is divided into two six-month semesters. Each doctoral learner's academic year is based on his or her start date (Initial Academic Residency). Learners register for specific learning activities each semester based on program requirements. Full-time enrollment status is defined as registering for 9 or more credit hours per semester.

## **Minimum/Maximum Program Length**

Union Institute & University defines the minimum amount of time for a learner to complete and earn a doctoral degree as three academic years of full-time enrollment (36 months). The 36 month time in program length will be not compromised. The Ed.D. degree program is 66 credit hours. Any learning activities in addition to the required 66 credit hours do not bear credit and must be registered for "audit." Courses may be audited on a space available basis as determined by the faculty and program director. Conditions or requirements for the audited class are determined by the faculty and the program director. Learning activities taken for "audit" earn zero credits and are not calculated into the grade point average. The maximum amount of time allotted for a learner to earn a doctoral degree is seven (7) years from the date of first enrollment in the program. Learners who do not complete the degree requirements within the seven year time frame will be subject to academic dismissal from the program.

## **RESIDENCY**

### **Academic Residency Requirements**

As a member of the Ed.D. program community, learners have an important contribution to make to its growth. The program is designed so that the learner's knowledge and experience, as well as that of other learners, will be available to the community. Academic residencies provide formal opportunities for learners to interact with faculty and other learners in mutual sharing and learning. A variety of learning activities occur at academic residencies. In addition to the introductory meetings of the seminars you will complete in the semester, the residencies will include such activities as an overview of Union's administrative processes, lectures by visiting speakers, presentations, roundtable discussions and panels organized by learners and faculty, academic advising, and presentation and discussion of dissertations. Networking, collaborative learning, and peer learning are essential features of the Ed.D. program educational process. Academic residencies are held at sites arranged by the Graduate College.

Learners fulfill the academic residency requirement by attending a residency at the beginning of each semester consisting of:

#### Semester 1:

7-day Initial Academic Residency (IAR) & 3-day Professional Development Practica: 10-day total

Semester 2:

7-day Residential Seminars & 3-day Professional Development Practica: 10-day total

Semester 3:

7-day Residential Seminars & 3-day Professional Development Practica: 10-day total

Semester 4:

7-day Residential Seminars & 3-day Professional Development Practica: 10-day total

Semester 5:

7-day Residential Seminars & 3-day Professional Development Practica: 10-day total

Semester 6:

7-day Residential Seminars & 3-day Professional Development Practica: 10-day total

**Residency Attendance Policy**

The academic residencies occur twice each semester, one at the beginning (7-days) and one mid semester residency (3-days). The daily schedule during the academic residencies is determined by the Graduate College. Learners are required to be in attendance throughout the duration of the academic residencies. In addition, learners are asked to be in residence alone (no spouses, guests, etc., please) for the duration of each academic residency. Attendance at the academic residency is required for continuation in the program. If a learner misses an academic residency, s/he is subject to review by the Office of the Dean of the Ed.D. program for continued matriculation in the Ed.D. program.

**Initial Academic Residency (IAR)**

The IAR is the initial academic residency. Learners may choose to attend one of two IARs in each year, either January or July. Matriculation is effective the first day of the month.

Each IAR is guided by knowledgeable faculty and staff experienced in the process of group interaction. They seek to create an atmosphere of mutual respect and affirmation and to encourage overall participation in discussions of the history, philosophy, and expectations of the Ed.D. program. As the IAR experience unfolds, the learner will develop new ideas about how to meet his or her learning needs. The learners also will affirm their decision to enroll in the Ed.D. program and will be well on the way toward building a network of contacts with members of the university community.

By the end of the IAR the learner will have a working understanding of the required outcomes.

**Outcomes of the IAR:**

- 1) Learners will be introduced to the goals and expectations of the Ed.D. with specializations in Educational Leadership or Higher Education:

- A) Measurable Action: Learners will attend a Learner Handbook training and question and answer session.
  - B) As part of an evaluation of the IAR experience, learners will produce a reflection paper that discusses their understanding of the goals and expectations of the Ed.D. program.
- 2) Learners will begin seminars that are in alignment with the Ed.D. program mission and values:
- A) Measurable Action: Learners will receive syllabi that clearly indicate how the course aligns with the Ed.D. program's mission and values.
- 3) Learners will be provided with an overview to UI&U processes and support staff:
- A) Measurable Action: Learners will complete the eCollege online tutorial.
  - B) Measurable Action: Learners will complete and submit the Online Library Borrower Registration form.
- 4) Learners will build academic community with their cohort members:
- A) Measurable Action: Learners will initiate a group listserv.
  - B) Measurable Action: Learners will meet at scheduled networking times throughout the residency.
- 5) A Faculty Advisor will be assigned to Ed.D. program learners to maintain administrative link with the Graduate College.
- A) Measurable Action: Learners will complete their Registration and Billing Authorization forms for the first semester. The Dean will review, sign and approve the Registration forms.

### **Learner Evaluation of the IAR**

An evaluation will be administered on the final day of the IAR. The learner's written analysis of the IAR is an important opportunity to consider how well he or she made use of the experience and to make suggestions for how future IARs might be improved. The IAR evaluation reviews the required outcomes for the IAR and assesses how well these outcomes were met.

### **DISSERTATION COMMITTEE FORMATION**

The Dissertation Committee is the formal decision-making body whose purpose is to guide the learner's dissertation and progress towards degree completion. The learner must be actively working with the Program Director and faculty to begin to identify Dissertation Committee members as early as Semester 1 (or Semester 2). The committee should be in place by the end of Semester 3 in order to ensure the learner completes their dissertation proposal by Semester 4

(which requires committee approval). To facilitate progress in his or her program, it is to the learner's advantage to have their Dissertation Committee in place by Semester 3 in order for the committee to support the learner's progress in the Dissertation Proposal developed during Semester 4. The Dissertation Committee is composed of three faculty members, one of whom serves as the Chair. The Dissertation Committee is nominated by the learner.

The learner must prepare a **Dissertation Committee Rationale/Approval Form** that includes nominations for each member of their Dissertation Committee. In each case, the form must be accompanied by each committee members current vita and an accompanying statement as to the nominee's scholarly and professional background and his/her expected committee role. It is important for the learner to indicate in each statement not only the role they expect each member to play, but also how each member will complement the others in supporting the learner's program. The learner should be careful to provide information about any relevant prior relationship between the learner and the nominee. The Dean reviews and approves or disapproves the faculty nominees. If, for any reason, the Dean does not approve one or more of the learner's nominations, the learner may then provide further information about their present nominees or prepare other nominations.

It is the learner's responsibility to initiate and to maintain communication with the members of the Dissertation Committee as a means of receiving timely responses and evaluations.

*The learner is expected to:*

- Communicate productively and regularly with the Dissertation Chair, and committee, and the Graduate College concerning their program.
- Design and carry out their dissertation with the advice and consent of the Dissertation Committee.
- Submit dissertation materials to the Dissertation Committee in a timely manner and work within the time frames outlined in this Doctoral Learner Handbook.
- Schedule and conduct meetings of the Dissertation Committee.
- Submit all forms and documents to the Dissertation Chair for review and signature before they go to the Graduate College.
- Provide all necessary information to the Dissertation Chair and the Dean whenever either must make a decision concerning their program.
- Ensure that their dissertation is of the highest academic quality.

*Dissertation Committee members are expected to:*

- Be open to divergent opinions in the committee and to evaluate them based upon what will promote the learning objectives of the learner.

- Be responsible for managing their own roles and perform them with the same high standards expected of the learner.
- Return dissertation material to the learner in a timely fashion.
- Share in the responsibility for helping to make the committee an effectively functioning body.

### **Dissertation Chair**

The learner's first step in nominating a Dissertation Chair is to establish a relationship with a member of the faculty of the Graduate College. The faculty member must be qualified in the learner's area of specialization, either Educational Leadership or Higher Education. This individual must be someone with whom the learner feels comfortable; who can challenge the learner to do excellent work and to make full use of available learning resources; and who serves as advisor, guide, supporter, and evaluator.

The Dissertation Chair helps the learner to maintain an administrative link with the Graduate College. As keeper of the process, he or she is responsible for seeing that Ed.D. Dissertation procedures are understood and respected in order to assure quality throughout the learner's Ed.D. program. The Dissertation Chair also supervises the committee and has veto power.

Learners nominate members of the Dissertation Committee with the advice and consent of the nominated Dissertation Chair and Director of the Ed.D. Program. The Dissertation Chair must be approved by the Program Director of the Ed.D. by the end of Semester 2.

### **Dissertation Committee Members**

Faculty who serve as Dissertation Committee members ensure that the learner has achieved a high level of scholarship and that their contributions to the body of knowledge will be acceptable to others in their field. Although faculty who live in the learner's geographical area offer the advantage of frequent face-to-face contact, it is more important to consider their expertise and their readiness to demand high quality work.

Learners work with the Program Director to have Dissertation Committee members from the Ed.D. faculty, but may be able to seek out and to approach the best authorities in their field. Learners can begin developing a list of potential faculty by reading works by scholars in their field by consulting journals, by conferring with professors and students at other universities, and by generating information through their own developing network of contacts both inside and outside the Graduate College.

Among the total membership of the committee including the chair, the following areas of expertise and roles should be included. Please note that these roles and areas of expertise may overlap:

a. Content expertise. At least one member of the committee, who may or may not be the chair, will have expertise in the field of study most closely related to the student's dissertation topic. If other than the chair, it is the learner's responsibility to find a qualified individual for this position in consultation with the chairperson. Responsibilities of this person include, but are not limited to the following:

- To serve as the subject matter expert in guiding the learner's literature review.
- To advise other committee members on the importance and timeliness of the learner's topic.

b. Research methodology expertise. At least one person on the committee, who may or may not be the chair and who may or may not be the content expert described above, will have expertise in the research methodology used in the dissertation study, typically representing the Ed.D. faculty. If other than the chair, it is the learner's responsibility to find a qualified individual for this position in consultation with the chairperson. Responsibilities of this person on the committee include, but are not limited to the following items:

- To provide support to the learner in the area of research methodology.
- To support the committee chair in the performance of his or her responsibilities (unless the chair is the expert in research methodology).
- To ensure appropriate research methodology.

Learners may not select relatives for their committee. Learners may not select committee members with whom they have dual professional relationships that would compromise academic judgment. Learners may not select a member of their cohort, even if that person has completed the program. The Program Director maintains the prerogative of disapproving any prospective committee member or structure that in the Director's judgment does not represent appropriate educational research practice.

### **Replacement of Dissertation Committee Members**

Careful selection normally will enable the learner's Dissertation Committee to retain the same membership throughout their program. Replacement of a member may become necessary, however, for such extreme reasons as illness, death, resignation, or change in the direction of their dissertation. Any such changes must be discussed with the Dissertation Chair and the members of the Dissertation Committee.

If the learner wishes to replace the Dissertation Chair, the learner must first discuss the issues with this person. If agreement is not reached, a written request must be made to the Ed.D. Program Director, stating the name of the new Dissertation Chair, the rationale for the nominee, and the reasons for the change. The **Dissertation Committee Rationale/Approval Form** must be used. The Dean will make the final decision.

## **INTERNSHIP (6 credit hours)**

The Internship with a specialization in Educational Leadership or Higher Education is a 300 clock hour (minimum) experience that occurs in the second year of each learners academic program (Semester 3 and 4). The learner's initial preparation for the Internship begins during training and discussions at the academic residency that occurs at the beginning of the third academic semester. The faculty advisor and other program faculty assists with the development of an appropriate Internship. The Internship must be overseen and evaluated by a qualified field supervisor at the Internship site; the Internship will also be evaluated by a member of the Ed.D. program faculty.

In proposing the Internship, the learner must identify and clearly define her/his goals and objectives. The Internship must also be relevant to the practice of education and reflect increasing levels of responsibility over its duration.

The Internship cannot be "business as usual." The purpose of the Internship is to challenge you, the learner, and your thinking by putting you outside your "comfort zone" (the norms of your professional experience), thus expanding your awareness of and sensitivity to social justice issues in education.

Internships are expected to span two (2) semesters and are evaluated at the end of each semester with a letter grade awarded. Over the course of the Internship, the learner will be expected to communicate regularly (at least once a month) with their faculty advisor. The learner will also be expected to share a log and journal of their experiences with the Internship Supervisor and Faculty advisor.

### **Preparation for the Internship Experience**

Learners' initial preparation for the internship occurs during training and discussions at the academic residency that precedes the third academic semester. The internship syllabus establishes program and specialization-driven learning goals and includes core readings and assignments that will provide the basis for evaluating each learner's internship experience. The internship syllabus will be posted on the Ed.D. web site along with an internship handbook.

The processes for development and implementation of the internship experience are described below.

- Each learner meets with her or his faculty advisor to discuss possible internship settings and activities. When a specific internship has been proposed and approved in concept by the faculty advisor, the learner prepares an Internship Application and Approval form. The form includes a rationale for and detailed description of the proposed internship, the competencies the learner proposes to achieve through the experience, and the qualifications of the individual who will serve as the internship field supervisor. The

internship application must also incorporate programmatic goals and outcomes. (See Appendix R for the Internship Application and Approval Form.)

- The learner's faculty advisor reviews and evaluates the application, indicating her or his approval for the learner to make final arrangements for the proposed internship.
- The learner then meets with the internship field supervisor to negotiate final details of the internship. Once agreed upon, these details are attached to the Internship Application and Approval form, which is then signed by the learner and the field supervisor. Details to be attached include hours and days that the intern will be at the internship site and all tasks and goals to be accomplished.
- During the approval meeting, the learner provides the field supervisor with the Ed.D. program's Internship Agreement Form. The learner and field supervisor sign the form, which is then forwarded to the Ed.D. program Director for final review and approval. Copies of the signed Agreement Form are sent to the internship field supervisor, the learner's faculty advisor, and the learner. (See Appendix S for the Internship Agreement Form.)
- The learner may not begin the internship until both the Internship Application and Approval form and the formal Internship Agreement have been signed by the learner, the field supervisor, and the faculty advisor.

### **Elements of the Internship Experience**

The learner maintains a log of internship activities (meetings, discussions, workshops, training sessions) and a reflective journal that examines internship experiences in relation to one or more ideas/theories from her/his formal academic studies. The learner must meet at least weekly with the internship field supervisor and at least once a month with the faculty advisor. The internship syllabus establishes expectations and goals common to all internship experiences.

### **Internship Evaluations**

Internships are expected to span two semesters and are evaluated at the end of each semester. At the conclusion of the first semester of the internship, the learner completes a portfolio that presents all activities completed during the internship to date and reflections on the experience to that point in time. The portfolio should also include a separate section in which the learner describes any changes to the internship that will occur in the second part, and any revisions to internship goals and objectives. (See Appendix T for the Internship Evaluation Form.)

- The portfolio is first reviewed by the internship field supervisor, who completes and signs an internship evaluation form to attest that the internship is proceeding satisfactorily. The learner submits the portfolio and the signed evaluation form to the faculty advisor, who reviews all of the materials and assigns a grade for the first internship semester.

- The process is repeated at the conclusion of the internship, at which point the portfolio and the internship field supervisor's evaluation must document that all proposed internship activities have been completed and all proposed competencies have been achieved.
- If a learner does not satisfactorily complete the Internship, he or she will be given an Incomplete (I) grade, with one semester to work with her or his faculty advisor, internship supervisor and Director of the Ed.D. to successfully complete the internship requirement. If the Internship is not successfully completed during this additional semester, the Dean, Ed.D. Director, and faculty advisor will meet to discuss the issues that have prevented successful completion of the Internship. A possible outcome of this meeting is the initiation of the Special Review Process to be outlined later in this Handbook.

### **Internship Field Supervisor Training and Quality Assurance**

The internship field supervisor must be an individual with expertise in the learner's area of specialization as well as someone who fosters a learning environment that emphasizes appropriate behavior/professional conduct, the value of diversity, and the importance of ongoing communication and constructive feedback. Qualifications of proposed field supervisors will be examined by the learner's faculty advisor in light of the work that the learner proposes to do. While field supervisors will not always be required to hold an earned doctorate, they must have had prior experience in advising/supervising graduate level interns.

The faculty advisor has overall responsibility for training/orientation of internship field supervisors. The faculty advisor will be responsible for communicating with internship field supervisors via telephone and email prior to the start of the internship, for acquainting supervisors with applicable programmatic and institutional policies and procedures as well as with the University's expectations of field supervisors and the criteria and processes for evaluating interns' performances.

Additional information regarding the internship will be posted on the Ed.D. website as well as reviewed during the academic residency during Semester 3.

### **ELECTRONIC PORTFOLIO (E-PORTFOLIO) (0 credit hours)**

#### **Intellectual/Professional Growth: E-Portfolio and Levels of Thinking**

The Ed.D. program seeks to attract learners who demonstrate clear potential to be effective, thoughtful, and ethical scholar-practitioners in the field of education and who, through the course of their studies, exhibit continuing intellectual and professional growth. Beginning with the application for admission, learners complete four reflective essays that are submitted and maintained in the electronic portfolio (e-portfolio). The purpose of these essays is to provide an additional basis for assessing intellectual, professional, and scholarly growth. In the essays, learners will discuss and, as appropriate, explain ideas and information gained from their seminar

readings and discussions; yet, the primary purpose of the e-portfolio essays is for the learners to reflect on what they have learned and to demonstrate how their thinking has changed as a result of their academic studies. As such, the e-portfolio essays, when considered together, provide a series of closely related learning activities where the development of learners' thinking in relation to Bloom's taxonomy is stored and can be assessed, in the e-portfolio, as a developmental learning tool.

The electronic portfolio is seen as serving as a way for the Ed.D. program to effectively maintain quality as well as a platform for assessing learning outcomes at four specific points in the program:

1. Admissions (Portfolio I)
2. Semester 1, Year One (Portfolio II)
3. Semester 3, Year Two (Portfolio III)
4. Semester 6, Year Three (Portfolio IV)

The portfolio of reflective essays is expected to explain/document how the learner is meeting learning objectives and how the learner is progressing over time. It will incorporate diverse content that demonstrates breadth and depth of learning, as well as indicate growth on Bloom's Taxonomy. At their initial academic residency, learners will learn to digitize the essay they used as part of the application process. As noted above, following the first assessment (at admissions) and completion of the learner's first academic residency, there will be three additional formal faculty assessments of the portfolio.

In addition, the portfolio process also supports a review process which will occur at the end of Semester 1, 3, & 6. The purpose of this review is to:

- 1) discuss the learner's growth and development since the previous portfolio submission which includes reflections on seminars and practica experiences;
- 2) identify areas of the learner's strengths and weaknesses;
- 3) review progress in the program; and
- 4) establish required or requested strategies to address where work is needed.

This review process occurs between the faculty advisor and the learner using the e-portfolio submission as the base. The faculty advisor summarizes this review and adds this summary to the learner's e-portfolio submission.

The electronic portfolio also serves as a benchmarking tool. Each portfolio following matriculation will incorporate elements from preceding portfolios, including Portfolio I (the applicant's expectations and philosophy before matriculation). Each subsequent portfolio will present an updated reflective essay with additional length requirements to correspond to the new learning experiences that are now apart of the learner's intellect. By reflecting on these same criteria as the requirements of this part of the electronic portfolio, higher level achievement is either demonstrated or not

## **FIELD PROFICIENCY**

### **Proficiency Review**

A three question proficiency review will be developed for the Ed.D. learner so that he/she can demonstrate acquisition of a comprehensive knowledgebase in the areas of research, core knowledge and specialization (Educational Leadership or Higher Education). Each of these three areas will be addressed within their corresponding final, capstone seminar.

1. **The Focused Research Design Seminar** (Semester 4) will serve as the capstone seminar in which a focused question demonstrating proficiency and comprehensive understanding of research methodology will be given.
2. **Current Issues** (Semester 3) will serve as the capstone seminar which will include one question as assessment documentation for all foundational/core seminars.
3. **Schools, Society and Culture**, (Semester 4) will serve as the capstone seminar for the area of specialization, Educational Leadership or Higher Education. At the end of this capstone seminar, the learner will be asked to respond to one question which will demonstrate focused proficiency.

As the three proficiency questions are a part of a seminar, if the learner cannot demonstrate proficiency in any one, he/she will receive an incomplete (“I”) grade for that seminar and complete the applicable proficiency question in the subsequent semester. The question will then be reviewed by the appropriate faculty from the Committee of the Whole who will resubmit the grade to the Director of the Ed.D.

You may not register for RSCH 880 Dissertation Research without a positive evaluation from the proficiency review and the dissertation committee’s acceptance of the dissertation proposal. If either group determines that you have not demonstrated an appropriate level of proficiency in any one or more of the three program components, you will be unable to begin your dissertation research until you demonstrate proficiency (to be verified by a second proficiency committee and/or dissertation committee review).

### **Dissertation Committee Review**

You will complete your dissertation proposal as part of the research seminar, Focused Research Design Project. Once complete, you will submit your proposal to the chair of your dissertation committee at the end of Semester 4, who will determine if it is ready for review by the full committee. It is imperative that you give your committee members sufficient time to read and react to each iteration of your dissertation proposal and your subsequent dissertation drafts. As a matter of courtesy it is best to plan on allowing three (3) weeks time to receive feedback from your committee members.

## **THE DISSERTATION**

### **Dissertation Guidelines**

The Dissertation integrates and adds to the learning accomplished in other phases of his/her program. It addresses the appropriate intellectual, cultural, and/or artistic traditions of the field and signifies grounding in the theoretical and critical scholarship in this field. It allows the learner to exercise his/her originality and creativity so the work provides new knowledge and approaches to the larger scholarly community.

Learners may incorporate qualitative and quantitative research methods or mixed methods appropriate to the research problem and the discipline(s) involved. Regardless of which research design and methods the learner may choose, the Dissertation proposal must include an explicit, detailed discussion of the proposed research methods and a rationale for the selection of methods. Discussion of methods should be framed in such a way that other scholars will understand the methods discussed and can critically evaluate them. In order to develop a sound proposal for the Dissertation, the learner must be conversant with both general research methods and the research methods that characterize the field of study. When appropriate to the Dissertation topic, the learner must also achieve and document knowledge of statistics. A thorough grounding in research methods, both quantitative and qualitative, and in the literature related to the area of inquiry, will prepare the learner to read and evaluate the research of others in order to conduct their own doctoral level research. To achieve proficiency in research design and methodology, the learner must complete four research courses before engaging in his or her own research.

Where doctoral work involves human subjects, the dissertation must include a section that addresses procedures for the protection of research subjects. That section should address any risks to research participants, Informed Consent, issues of confidentiality, and any other ethical or human subjects matters normally addressed within the disciplines or professions most closely related to the learner's area of inquiry. (See section on "Research with Human Subjects: Institutional Review Board.")

Your completed Dissertation must demonstrate an advanced level of knowledge: that you can critically examine a problem, integrate information, operationalize concepts, implement a research project and communicate the essential aspects of the study. The Dissertation must be relevant to the advancement of knowledge about a professional practice in education.

### **Traditional Dissertations**

Traditional Dissertations require a review of the literature and the collection and analysis of data. Traditional Dissertations may use quantitative or qualitative methodologies. The Dissertation can include the implementation and evaluation of an intervention or training program; a needs assessment; a correlational examination of a set of related variables; or in-depth interviews that can elucidate an important issue among other approaches. The final product must demonstrate that you can critically examine a problem, integrate information, operationalize concepts, implement a research project and communicate the essential aspects of the study. The dissertation will help you to develop the critical thinking skills and writing skills essential for professional practice in education.

### **Dissertation Proposal**

Once your Dissertation Committee has been formed, you should consult regularly with committee members as you develop your proposal, obtaining their guidance on the manageability of your topic and general consensus on its direction and suitability. You submit your written dissertation proposal first to the Dissertation Committee Chair; then, with the approval of the Chair, to other members of the committee. Dissertation Committee members are expected to provide timely feedback to learners regarding their proposals. Your proposal must include:

1. A well-written introduction to the topic and statement of the research question;
2. A clear rationale for the study (why you are motivated to conduct it, and a description for the need for it);
3. a current preliminary literature review; and

4. a well-developed research design, including the method(s) for analyzing the data.

The introduction and the methods sections should be quite detailed, as they will, in most cases, not change substantially from the proposal to the finished Dissertation. The main differences between the proposal and the completed Dissertation are that the completed Dissertation will include a results section with actual data instead of proposed analyses and a more comprehensive discussion section. Your proposal must be written in APA style, commonly used in your area of specialization, Educational Leadership or Higher Education. The literature review, theoretical foundations, and methods must be well-developed for the Dissertation proposal to be accepted. The proposal should include an annotated bibliography with summaries of scholarly theoretical and research based articles and books relevant to the proposed topic. Although it is not possible to specify how many references will be needed for the proposal, there needs to be a substantial number to indicate that you are well advanced and knowledgeable in the topic.

No credit is awarded for the Dissertation Proposal.

### **The Dissertation Proposal Meeting**

The learner must have received approval on all three Proficiency Essays, one essay to address each of the following: 1. Core Knowledge, 2. Area of Specialization, and 3. Research before being permitted to hold the Dissertation Proposal Meeting. The Dissertation Proposal Meeting is conducted at the end of Semester 4 using a desktop conferencing tool that provides a way to hold real-time meetings and recorded sessions in an online environment. The Dissertation Proposal Meeting can only be scheduled after the Dissertation Chair gives the learner approval to send a draft copy of the Dissertation Proposal to the Committee. The Dissertation Chair then confirms receipt of the Dissertation Proposal by all committee members and approves the learner to schedule the Dissertation Proposal Meeting. The learner must schedule the Dissertation Proposal Meeting at a time when all members of the committee can be present. Non-attendance of any faculty must have prior approval the Dissertation Chair. If more than one member cannot attend, or if the Dissertation Chair cannot be present, the meeting may not be held and must be rescheduled. No credit is awarded for the Dissertation Proposal Meeting.

The purpose of the Dissertation Proposal Meeting is to bring the Dissertation Committee together to evaluate the learner's Dissertation Proposal. It is a working meeting so that the learner can benefit from the committee's collective wisdom as the learner prepares to request IRB approval and collect their data. An important component of the Dissertation Committee's review of the research proposal will be consideration of the protection and safety of human subjects used in research and other ethical concerns. Learners and his or her committee should be guided by the policies and procedures of Union Institute & University's Institutional Review Board (IRB) and professional standards of the discipline most clearly related to the learner's area of concentration. The committee's charge is to review the learner's proposal according to the Ed.D. program dissertation guidelines. The Dissertation Committee may make recommendations for additional study or research, revisions of the Dissertation Proposal or any other adjustments believed necessary. The committee chair will work with the learner to incorporate committee recommendations into the proposal and will work with the learner to develop, implement and monitor a plan for work on the Dissertation.

## Research with Human Subjects: Institutional Review Board (IRB)

Union Institute & University is committed to ongoing dialogue about the ethical foundations of all forms of research and scholarly inquiry. Protecting human research participants is one particularly important and visible dimension of ethical inquiry.

The IRB's policies and procedures are guided by the Code of Federal Regulations Title 45 CFR Part 46, "*Protection of Human Subjects*" (Revised June 23, 2005), of the U.S. Department of Health and Human Services (HHS), and the National Institutes of Health (NIH), the Office for Human Research Protections (OHRP), or any other successor office, and *The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research*. Union Institute & University's IRB is registered with the OHRP.

All planned research projects and studies that involve human participants or subjects-whether part of a seminar, internship, course, or dissertation-must be reviewed and approved, in advance, by the IRB. The IRB has been empowered by the Board of Trustees to review and approve proposed research with human subjects. Union Institute & University and the IRB do not have the authority or expertise to review or approve research involving animals. Researchers who wish to conduct research using animal subjects are required to familiarize themselves with the criteria for conducting such research and to secure consent of an appropriately constituted animal subjects review board external to Union Institute & University.

After successful completion of the Dissertation Proposal Meeting, you are required to seek and secure IRB approval for any aspect of your program that involves interaction with or collection/analysis of data from or about human subjects. No part of a research project, including recruitment, may begin until all academic approvals and the IRB approval process are completed. Obtaining IRB approval is a requirement that is not limited to dissertation research. Other activities involving human subjects that may be part of seminars or internships also require IRB approval.

Learners proposing to conduct research projects that involves human participants (such as surveys, interviews, observations, etc.) should consult with their Dissertation Chairs for assistance in developing and submitting an IRB application and research proposal. Contact the IRB Coordinator whenever you are unsure whether IRB approval is required for a research project. Once the Dissertation Committee and the Dean have approved your Dissertation Proposal, you must prepare and submit the **IRB Application and Research Proposal Outline Form**. The IRB application should be reviewed and approved by the Dissertation Chair before it is submitted to the IRB. All academic approvals must have been completed and documented.

Completion of the CITI Course for the Protection of Human Research Subjects is a prerequisite for submitting an IRB application and research proposal. A completion report will be sent automatically to the IRB Coordinator. The CITI course may also be a requirement for one or more seminars. Detailed information about the IRB and its requirements is available on the IRB web site: <http://www.tui.edu/offices/irb>. Extensive information about research with human subjects may be accessed and read in the IRB *Handbook on Research with Human Subjects*. *The Belmont Report* is also available on the IRB web site.

## **Conducting the Study and Writing the Dissertation**

Once a Dissertation Proposal has been accepted by the doctoral committee and approved by IRB, a working agreement exists between the learner and the committee. The thoroughness and quality of the proposal will determine, to a great extent, the difficulty of the implementation. A well-planned, detailed proposal will greatly facilitate the learner's work. Successfully completing the proposed study requires planning, time management and discipline. All too often there is a dangerous tendency to relax and lose momentum once the overview is approached. It is advisable that learner develop their own personal time line for performing the task and meeting deadlines. It is critical that the learner thinks through all of the dimensions of the proposed study. The learner's committee may require the learner to create and validate specific research instruments and/or to conduct a pilot study. Frequent meetings with the Committee Chair will keep the learner apprised of these conditions.

During the implementation of the Dissertation, the learner will meet periodically with the committee chair. The number of meetings will vary from learner to learner, depending upon the nature of the project. The purpose of these meetings is to provide incentive to keep the learner on track and to offer advice and encouragement.

### **Dissertation Supervision (DS-980)**

If a learner registered for RSCH-900 Dissertation in Semester 6 does not complete the research and writing of the Dissertation by the end of Semester 6, he/she must register for Dissertation Supervision. The Dissertation Chair must approve this registration. Dissertation Supervision is a non-credit course which is considered the equivalent of full time academic work for registration status. Learners may register for up to four Dissertation Supervision semesters while completing research and writing of the dissertation.

### **The Dissertation Defense Meeting**

The Dissertation Defense Meeting is conducted using a desktop conferencing tool that provides a way to hold real-time meetings and recorded sessions in an online environment. When the Dissertation Committee members are satisfied with the learner's dissertation and have no or only minor changes to recommend, the learner may schedule their Dissertation Defense Meeting. If the Dissertation Committee members are not satisfied with the learner's work, they will recommend changes and/or additions. Upon completion of the required revisions, the learner will send the dissertation back to the Dissertation Chair for review. The Dissertation Chair evaluates the dissertation again. The learner may circulate the dissertation after the Dissertation Chair approves. The Dissertation Chair must approve the dissertation as completed before the Dissertation Defense Meeting can be scheduled. The Dissertation Defense Meeting may take place as early as the latter part of Semester 6.

The Dissertation Committee will evaluate the dissertation document representing the completed research study, and the committee will participate in an oral discussion at the dissertation defense. Additionally, the Program Director may select an external reviewer from either inside or outside the program to provide additional independent feedback regarding the content and process of the Dissertation Defense.

## Oral Defense of the Dissertation

The purpose of the oral defense is to demonstrate the extent of the learner's knowledge in the field. The learner should expect questions that are thorough and critical. The learner should plan to begin the defense of the dissertation with a brief (30 minutes or so) overview of the problem and research questions. The learner's chair will then generally ask the first question. Each member of the learner's committee will probably have questions for the learner and, with the learner's thorough knowledge of these individuals, the learner should be able to anticipate those questions. Beyond that, the learner may be asked other questions from people attending the defense, if invited to do so by the Chair.

The defense is an open event publicized. It is intended to be an important academic event as well as a milestone in the learner's education. While visitors may be welcome to attend at the discretion of the dissertation chair, it is important to maintain an atmosphere of academic inquiry. It is inappropriate to set up a reception ahead of time and treat the defense as a party or social event. Learners who wish to celebrate successful defenses must schedule social events at other times and places than at the defense itself. Dissertation chairs maintain final authority regarding who may attend and/or participate in Dissertation Defenses.

At the Dissertation Defense Meeting, the committee approves or disapproves of the learner's Dissertation. The Dissertation Committee must be satisfied that the learner has fulfilled the Dissertation requirements and met all Ed.D. program criteria for the doctoral degree. All three Dissertation Committee members must agree. The signatures of Dissertation Committee members on the **Dissertation Recommendation and Approval form** indicate that, in their view, the learner's work has provided evidence of:

- 1) A well-written introduction to the topic and statement of the research question;
- 2) A clear rationale for the study (why you are motivated to conduct it, and a description for the need for it);
- 3) A current and comprehensive literature review;
- 4) A well-developed research design;
- 5) Originality of approach in the research and application aspects of the dissertation;
- 6) A careful analysis of data obtained; and
- 7) Clarity of written and oral presentations.

Several outcomes may result from a defense:

- (a) The committee may agree on the spot that the work is of outstanding quality and needs no editorial or substantive revisions, and may sign the **Dissertation Recommendation and Approval form** indicating final approval.
- (b) The committee very often finds some minor changes that members believe will strengthen the dissertation. The learner will be asked to make those changes before committee members officially sign the **Dissertation Recommendation and Approval form** indicating final approval.
- (c) The committee may feel additional substantive work is needed, return the dissertation for additional work, and ask the learner to schedule another defense when the work is completed.

## Preparation of the Dissertation Manuscript

The Dissertation is the most significant academic outcome the learner will produce during the Ed.D. program. It demonstrates that the learner has achieved excellence in scholarship and proficiency in the chosen field and has made original and significant contributions to knowledge. All Dissertations are published digitally and on microfilm by UMI Dissertation Publishing. Many learners have subsequently published dissertations in book form.

Because all Dissertations include a major portion of text, the Graduate College recommends that learners observe the following guidelines to produce a document suitable for microfilming:

1. Usage of the American Psychological Association ([www.apastyle.org](http://www.apastyle.org)) publication style manual is required. A professional style editor is strongly recommended. Copyedit thoroughly and have the dissertation proofread by at least one other person.
2. The Dissertation must be submitted on plain white paper in letter-quality print.
3. Double-space the text and leave a one-and-one-half-inch margin on the left side and one inch margins on the other three sides, numbering each page.
4. Begin with the title page followed by the Dissertation Title and Signature Page (See Appendices D and E).
5. The Dissertation Title Page will include the approved degree and area of concentration.
6. Follow the Dissertation Committee signature page with an abstract, no longer than 350 words.
7. Follow the abstract with a table of contents.
8. Place references at the end of the dissertation in the form dictated by the style you are using. For footnotes and bibliographic citations, use the format appropriate for the major field, as reflected in the selected style manual. Hybrid styles are not accepted.
9. In the text, use standard English whenever possible. The Union Institute & University has adopted a policy that requires the use of nonsexist language.

Dissertation Guidelines have been developed to assist in preparing the document. A copy is available online at <http://www.tui.edu/pdf/PDEGuidelinesRev5.pdf>

## PCX 799 Program Completion Extension

When a doctoral learner reaches the end of their intended final semester of full-time academic enrollment (last registered semester of 9.00 or more credit hours) and needs additional time to prepare final documents for Dean's review/approval, the learner is required to register for **PCX 799 Program Completion Extension (0.00 credits)** for the subsequent six month semester. In order for a learner to have this 6-month completion extension approved, the learner must have successfully completed all prior enrollment semesters.

Registration of **PCX 799** is required as follows: (1) The program completion extension affords a learner additional time to respond to recommendations for edits as a result of the Dissertation

Defense meeting or Associate Dean's Review. No new academic learning activities may be undertaken during or after this program completion extension registration period. The extension period is not a new term of enrollment for academic credit. Registration of PCX 799 will be for a six-month extension of the learner's non-academic registration status so that final documents can be reviewed and approved. No more than two (2) extension semesters will be approved.

The PCX 799 Program Completion Extension does not qualify learners for continuing federal financial aid or for in-school loan deferent status. The Registrar's Office is required to report learners on this extension as registered less than half-time during the next scheduled report to the National Clearinghouse.

## **TIME IN PROGRAM/TIME TO DEGREE**

You must complete all requirements for the Ed.D. program within a minimum of three years (six semesters) and a maximum of **7 years (14 semesters)** of the date you first enroll.

You may petition the Dean for an extension of up to two semesters to complete your dissertation; petitions for extensions must be submitted to the Dean at least three months prior to the end of your **seventh year of enrollment in the program**. Your petition for extension must receive the support of a majority of program faculty, including your dissertation chair.

Learners who do not complete the degree requirements within the three year expected time frame and who have not petitioned for and been granted an extension will be dismissed from the program. Learners who have been granted an extension and fail to meet all program requirements within the extended time period will be dismissed from the program.

## **GRADUATION AND BEYOND**

The graduation process has three stages: 1) Dean's Review, 2) Submission of Graduation Materials to the Graduate College, and 3) Administrative Review.

### **Stage One: Dean's Review**

Once the learner has held her/his Dissertation Defense Meeting, the learner must submit any necessary revisions back to the Dissertation Committee for review and approval. Once the Dissertation has been formally approved, the Dissertation Chair should submit the **Dissertation Recommendation and Approval form**, the **Graduation Recommendation and Approval Form** (signed and dated by each member of the Dissertation Committee) and two unbound, hard copies of the dissertation to the Graduate College. Each hard copy of the dissertation should include an original (not copied) Dissertation Title Page and Signature Page (See Appendices C and D).

The Dean will review the dissertation and take final inventory of the academic record. The Dean may accept the Dissertation Committee's recommendation for graduation or may determine that additional work is needed.

## Stage Two: Learner's Submission of Graduation Materials

After the learner has successfully completed the Dissertation Defense meeting and has made all corrections required by the committee, the following materials must be sent to the Graduate College:

- An electronic copy of the Dissertation in MS Word format
- 1 extra title page
- 1 extra abstract
- 1 check made out to ProQuest in the current fee amount required for microfilming. Contact the Graduate College for information on the current fee.
- If copyrighting is desired, the current fee required maybe combined with the microfilming fee.
- A completed UMI (University Microfilming, Inc.) form (available from the Graduate College)

One unbound copy of the Dissertation will be shipped from the Graduate College to University Microfilms Inc./ProQuest where it becomes the original version that UMI will use to create both a microfilm archival copy as well as the digitized PDF version that is added to UI&U's online dissertation database linked from Union's Gary Library homepage. UMI also accepts electronic versions of the Dissertation, submitted as a PDF file on a CD. UMI stores the microfilm version of each dissertation at their production facility in Michigan for archival purposes on UI&U's behalf. The second unbound copy of the Dissertation is forwarded to the university Registrar for storage in the learner's permanent academic record.

All of the above should be sent to the Graduate College, Union Institute & University in one package, using certified mail or other method verifying the date of shipment.

## Stage Three: Administrative Review

Following the Dean's Review, members of the Administrative Review Committee inventory all academic requirements and financial records. The Record of Registration is reviewed by the Registrar's Office; the Financial Aid Office checks the status of financial aid, if applicable; and the Business Office audits the financial records (learner account). Graduation is approved and the degree awarded when all academic and financial obligations to the University have been met. The conferral date is the last day of the semester in which the Dean approves graduation. Therefore, a learner must be registered for 9 or more credit hours, on Dissertation Supervision (DS-980), or PCX 799. The final transcript and diploma will be released when all clearances of the administrative review have been completed.

## Diplomas and Transcripts

Learners who have **met the academic requirements** but owe funds will not have their diplomas issued, cannot attend commencement activities and will not receive transcripts until all amounts due have been paid. Minimum collection fees are 25% of the unpaid balance, and can go higher depending upon legal and other administrative fees that may be incurred.

## Commencement

Commencement (participation in the Graduation ceremony) typically occurs annually in early fall. Participation in the commencement ceremony is contingent upon graduation approval no less than 11 weeks prior to the commencement date. Those who do not meet the 11-week minimum are welcome to attend commencement the following year. Learners who are eligible to participate in

commencement will receive information in advance. Academic regalia may be ordered at that time. Questions regarding commencement should be directed to the Office of Special Events.

## **Career Counseling**

Union Institute & University has partnered with ReadyMinds, an organization that provides career counseling services to a wide range of clients in private, governmental, non-profit, and educational communities. You may access ReadyMinds services through the university's Web site. ReadyMinds provides one-on-one service from counselors certified by the National Board of Certified Counselors, at no additional charge to learners who choose to use the service. Each counseling "session" has five components:

Three online surveys to assist the learner and counselor in defining the learner's values, skills, and interest as they relate to career planning and/or job searches.

An assigned career counselor.

Telephone counseling session or sessions.

A summary report from the counselor to the learner that will suggest resources for moving forward with career planning.

E-mail access to the counselor for up to six months to allow for extended discussion and questions and answers.

## **The Alumni Association**

Union Institute & University's Alumni Association encompasses graduates from all colleges and programs of the undergraduate, master's, and doctoral degree programs, including the College of Undergraduate Studies in all locations in California, Florida, and Ohio; undergraduate programs of Vermont College, including the Adult Degree Program (ADP), Vermont College Undergraduate Program, and New College; all master's programs including the MA, MFA Writing and MFA in Writing for Children; the MFA in Visual Arts, the Graduate Program in Psychology and Counseling; the Master of Education in both Florida and Vermont; the Education Specialist program; and all Cohort Ph.D. programs, including the Union for Experimenting Colleges and Universities and The Union Institute.

The Board of Directors of the Union Institute & University Alumni Association serves as an advisory board between the university and the Alumni Association to promote opportunities that foster active alumni participation in compliance with the Constitution and Bylaws of the Association. The Board of Directors may also assist the university with its goals, including learner recruitment, legislative advocacy, aligning with corporate donors, attracting top faculty, and locating lost alumni. The Board of Directors is composed of UI&U graduates from various colleges and programs. Directors are appointed by the president of the University to serve for specific terms. Service on the Board of Directors is on a volunteer basis and demonstrates the highest level of commitment from our alumni community. Approximately 15-20 people are selected to serve on the Board of Directors. Alumni who wish to serve on the alumni board are to apply for appointment through the University Alumni Office.

## REGISTRATION

Union Institute & University operates its Ed.D. program on a two-semester, 12-month academic year calendar. Ed.D. program learners are required to register each semester at the beginning of their onsite academic residency through the use of **Registration and Billing Authorization Forms**. The first semester's registration process will be conducted during the Initial Academic Residency. The Faculty Advisor will approve registration based on the curriculum for the selected area of specialization and confirm the learner's attendance and engagement at the semester's residency as part of the registration approval process.

The program length is 66 credit hours. Any academic work in excess of 66 credit hours will carry zero credit.

Learners must register for the sequence of courses/seminars as described in the curriculum. Full-time is defined as 9 credit hours and tuition is charged per credit hour. The learner's academic year is determined by the month of his/her Initial Academic Residency (IAR). The first day of the term is the matriculation date throughout the learner's program. Registration forms are initiated by the learner and must be approved by the faculty advisor.

### **Academic Year Registration Group, Year & Semester**

Each learner is assigned to an Academic Year Registration Group, which is determined by the month the learner's IAR was attended. An example is outlined below:

Academic Year Registration Period:

- July start date:  
1<sup>st</sup> registration semester is 8A July 1 thru December 31  
2<sup>nd</sup> registration semester is 7A Jan 1 thru June 30
- January start date:  
1st registration semester is 7A Jan 1 thru June 30  
2nd registration semester is 8A July 1 thru December 31

Once registered, enrollment is presumed to be continuous until one of the following occurs:

1. Graduation – The learner has been approved for graduation. Tuition is charged through the end of the semester in which academic credit is registered for.
2. Withdrawal – The learner has informed UI&U of his/her intent to withdraw from the program. (See Withdrawal Policy.) Withdrawal also includes short-term absences from the program in cases where learners do not immediately register in their next academic year/semester. Withdraws are exit dates from the program, with accompanying dates.
3. Dismissal – The learner has been notified that he/she has been terminated for cause. The causes of dismissal are two-fold in nature: academic dismissal or dismissal for failure to fulfill financial obligations. In the case of dismissal for financial reasons, a registration form accepting financial liability for the tuition obligation and detailing payment arrangements must be filed by the deadline in order to be reinstated.

## Registration Status Codes

All learners carry one of the following registration status codes to describe their current relationship with the university:

- RA - Registered Active: Registered for six or more credits per semester. Maintains active connections to university passwords and technology accounts.
- NR - Not Registered: Maintains active connections to university passwords and technology accounts.
- GI - Graduation in Progress.
- W - Learner initiated Withdraw from program. Discontinues connection to university passwords and accounts. See Withdrawal Policies for reasons for withdrawal.
- WA - See Withdrawal Policies
- Extensions:
  - DS 980: Dissertation Supervision
  - PCX 799: Extension, Ed.D. Doctoral Program Completion

## WITHDRAWAL POLICIES

### Withdrawal and Tuition Refund Policy

A withdrawal is considered to be a complete withdrawal from the university. The date of withdrawal is the earlier of:

- The date the learner notifies the university.
- The ending date of the previous semester if the learner fails to register for a new semester.
- The date the learner specifies as the date of withdrawal if this date is after the date of notification.

A written withdrawal must be sent directly to the program office or communicated directly to the Registrar's Office. The learner is strongly encouraged to submit a Withdrawal form to facilitate the process.

When a learner withdraws from the university prior to the end of a semester all courses for which the learner is currently registered at the time of withdrawal will be recorded as withdrawn on the learner's grade record with no credit awarded. If the withdrawal is effective at the end of the semester, the grade as supplied by the evaluating faculty for each course will be posted to the learner's course history.

- Learners registering for a semester after a withdrawn semester must join the cohort which matches his/her progress in the program.
- Learners must follow the reinstatement procedures after withdrawal.

- Learners may not receive any academic credit or university services during periods of withdrawal.
- Periods of withdrawal do not count toward minimum or maximum time in program.
- Withdrawn learners are reported to the National Student Clearinghouse as not registered. This may impact loan deferrals.

It is understood that a learner who fails to notify Union Institute & University of withdrawal from the program is obligated for all tuition assessed for the complete semester. Learners who withdraw prior to the end of the semester should refer to the current tuition policies statement for information about appropriate tuition refunds. Tuition is not prorated for the last semester of enrollment with earned academic credit. The amount of the refund, if applicable, will be determined by the effective date of the withdrawal and the balance of the learner account, after financial aid adjustments, as of the withdrawal date. Financial aid adjustments are based on federal guidelines.

Tuition is partially reversed or refunded when learners withdraw completely from the program. The amount of the refund, if applicable, will be determined by the effective date of the withdrawal.

The following table shows the percentage of tuition to be reversed for complete withdrawals from the program:

#### **Schedule of Tuition Refunds for Withdrawal**

1st – 15th month one	100%
16th – end month one	88%
1st – 15th month two	76%
16th – end month two	64%
1st – 15th month three	52%
16th – end month three	40%
1st – 15th month four	28%
16th – end month four	16%
Fifth and sixth months	0%

#### **Add/Drop of Courses**

Due to the structured cohort based curriculum for the Ed.D. program, adding or dropping individual courses is not permitted. If a learner is concerned that personal time needs may prevent completion of all courses in a semester he/she should consult with the faculty advisor to determine whether withdrawal is best or whether he/she can complete enough courses with passing or incomplete grades to allow progression to the subsequent semester.

#### **Administrative Withdrawal**

Actions that lead to Administrative Withdrawal; include, but are not limited to:

- Failure to meet financial obligations
- Failure to Register for any given semester
- Failure to maintain Satisfactory Academic Progress

Learners will receive a letter confirming their administrative withdrawal and the grounds for this determination. Learners who are administratively withdrawn from the university are excluded from

all university educational activities, functions and facilities. Learners who wish to be reinstated after they have been administratively withdrawn should follow the Reinstatement procedures.

## **Reinstatement**

Learners who have been administratively withdrawn for financial reasons for a period of 18 months or less may apply for reinstatement by letter to the Dean. A clearance form will be sent by the Graduate College to the Business Office. Both offices must indicate clearance before reinstatement can be processed for approval. A letter from the Dean will be sent to the learner indicating the date and semester of reinstatement. A copy will be forwarded to the Faculty Advisor and to the Registrar's Office. The Registrar's Office will post date of re-entry. The date of re-entry is most commonly the first day of the new registration period. The reinstated learner will be assigned to the appropriate year/semester registration group based on the reentry date. Reinstatement by the Graduate College within 18 months will not require reappointment of previous dissertation committee members, unless the dissertation committee members are not able to continue serving on the learner's committee. Learners who have been administratively withdrawn for a period greater than 18 months should follow the Readmission procedures.

## **Readmission**

A learner who has been administratively withdrawn from the Ed.D. program at Union Institute & University for a period greater than 18 months is only readmitted by formal consideration and action of the Graduate College Admissions Committee and the Dean of the Graduate College Ed.D. program. Learners considered for readmission to the Ed.D. program with a specialization in Educational Leadership or Higher Education must follow the revised (as of January 1, 2008) degree requirements. All readmitted learners will enter under the current academic and administrative policies at the time of readmission. It is the learner's responsibility to inform him/herself of, and to adhere to, all current policies. Before applying for readmission, the learner must resolve all prior financial and administrative obligations. The learner must also contact the Doctoral Admissions Office as soon as s/he intends to apply for readmission. They will begin processing the "Readmission Clearance Form," which determines whether the learner has met all prior financial and administrative obligations, and is eligible to apply for readmission. The Doctoral Admissions office will contact the learner as soon as s/he is cleared to apply for readmission. The learner may then prepare the application for readmission. A learner who is approved for readmission will enter the program during the semester (January or July) when the seminars they need are offered. Therefore, they will join a new cohort.

The application for readmission includes the following items:

- 1) A new application form (no admission fee will be charged)
- 2) A letter explaining the request for readmission
- 3) A narrative that details the learner's professional and educational accomplishments while withdrawn from the program
- 4) Transcripts originally submitted for admission, as well as transcripts for any academic work completed since withdrawal (original transcripts should be on file in the Registrar's Office if the date of withdrawal was less than five years prior)

- 5) A recommendation from the learner's Faculty Advisor, if s/he is currently active on the Graduate College faculty (if no Faculty Advisor was ever assigned, one reference letter is required).

## **ACADEMIC POLICIES**

### **Academic Integrity**

Union Institute & University mandates absolute academic integrity of every learner--in your learning as well as in every professional relationship and interaction connected to the educational process. As a learner, you have the right to expect a similar level of integrity from other learners and from faculty.

When you submit work for credit or any non-credit work that is required by your degree program, it is expected that the work is your own--you must acknowledge any outside assistance. The over-riding principles of academic integrity mean that:

1. You shall in no way represent the work of others as your own;
2. You shall in no way misrepresent your work;
3. You shall refuse to be a party to another learner's failure to maintain academic integrity; and
4. You shall not in any other manner violate the principle of academic integrity.

The Ed.D. program will apply the procedures described for Special Review when any breach of academic integrity occurs. Learners are encouraged to locate and read about plagiarism and other kinds of academic dishonesty so there is no confusion about such academic misconduct.

### **Satisfactory Academic Progress (SAP) Policy**

Union Institute & University (UI&U) and federal regulations which govern the university's participation in the Federal Student Aid programs require that all UI&U learners maintain satisfactory academic progress (SAP) toward achieving their certificate or degree. SAP standards apply to all semesters of attendance regardless of whether a learner received financial aid. Satisfactory academic progress requirements for receipt of financial aid are not separate and distinct from the university's academic progress requirements for academic continuance.

Satisfactory academic progress requirements are reviewed each year by the Graduate College and Financial Aid Office for learners matriculated in the Ed.D. program in accordance with both the SAP *qualitative and quantitative components*.

#### SAP Qualitative Component

Learners enrolled in the Ed.D. program are required to maintain a minimum 3.0 cumulative grade point average (CGPA) in order to meet the qualitative component of Ed.D. SAP policy.

#### SAP Quantitative Component

The SAP quantitative component includes a maximum timeframe and minimum credit hour completion requirements in order to complete the Ed.D. program within the maximum timeframe.

### *(1) Minimum/Maximum Timeframe*

The Ed.D. program is a minimum three (3)-year sixty-six (66) credit hour degree program. The maximum timeframe for completion of the degree program is seven (7) years *including* semesters in which a doctoral learner is registered for Dissertation Supervision DS 980.

### *(2) Minimum Credit Hour Completion Requirements*

Learners enrolled in the Ed.D. program must successfully complete or earn sixty-seven percent (67%) of all credit hours *attempted* in order to meet the quantitative component of the Ed.D. SAP policy.

Incomplete grades: Credit hours for incomplete courses are counted in attempted credit hours.

Satisfactory/unsatisfactory rating: credit hours for satisfactory/unsatisfactory rated credit hours including Dissertation Research RSCH 900 are counted in attempted credit hours.

### **Academic and Financial Aid Probation**

Doctoral learners who do not meet the requirements of satisfactory academic progress will be placed on academic probation by the Ed.D. program Dean and financial aid probation by the Financial Aid Office. This includes the qualitative/CGPA requirement as well as the quantitative maximum timeframe and minimum credit hour completion requirements. The learner will be notified in writing of their academic and financial aid probation status. A learner remains eligible for financial aid during a probationary semester. Financial aid and registration for semesters subsequent to the probation term will be placed on hold until the learner's academic progress status can be determined based on final grades/ratings which must be posted to the learner's academic transcript for the probation semester.

- (1) A learner who is making satisfactory academic progress by the end of the probation Semester will be removed from financial aid probation and from academic probation.
- (2) A learner who is not making satisfactory academic progress by the end of the probation semester will become ineligible to receive financial aid. The learner will be notified in writing of their financial aid denial/termination by the Director of Financial Aid. The Graduate College will determine whether the learner can continue their matriculation or be academically dismissed from the program in accordance with the Special Review Process Policy. Refer to the "Special Review" section of this Handbook.

### **Right to Appeal Financial Aid Termination**

A learner may appeal their ineligibility to receive financial aid by submitting a written appeal to the Financial Aid Office no later than ten business (10) days following the notification of financial aid denial/termination *IF* s/he can document extenuating or mitigating circumstances beyond their control which contributed to their non-compliance with the SAP requirements. Written appeals must include a description of the mitigating or extenuating circumstance(s) and which must be of a personal nature. A learner must also submit appropriate documentation to support their appeal. The Financial Aid Office may request additional information and/or documentation as needed. A learner *is not* eligible for financial aid during this appeal process.

The Financial Aid Office will consider all written appeals and render a decision in writing to the learner within twenty (20) business days of receipt of the learner's appeal and all supporting

documentation. Possible decisions resulting from the appeal are: (1) the granting of an additional financial aid probation term(s); or (2) confirmation of financial aid denial/termination. If an additional financial aid probation term(s) is granted, the financial aid office will stipulate to the learner in writing any conditions for their continued financial aid eligibility. When financial aid eligibility is restored it is usually made retroactive to the beginning of the applicable semester in which financial aid eligibility was terminated or denied. Learners may not appeal the decision a second time.

### **Special Review and Academic Dismissal**

Special Reviews indicate that a learner is at risk for not successfully completing the program. Special Reviews may be initiated at any time by a faculty member or university administrator through a written request to the Graduate College. The learner will receive notice that the learner is undergoing Special Review. Special Reviews will always be initiated 30 days after notification of the following circumstances:

- The learner is placed on Academic Probation.
- The learner has received a grade of C. Two C grades received in the program puts the learner at substantial risk for academic dismissal.
- The learner has not formed their Dissertation Committee by the end of Term 4.
- The learner has received I grades in consecutive semesters or in two or more seminars in a given semester.
- The results of the Portfolio Reviews are not satisfactory.
- Evidence that the learner has violated program and/or institutional policies, such as not attending a residency event.
- The learner commits a breach of the Academic Integrity Policy or Learner Code of Conduct (Appendix A).

### **Special Review Process**

The Ed.D. program Director will form a Special Review Committee of three university faculty appropriate to the concern to be reviewed, and will provide the Committee with documentation pertinent to the issue to be considered. Probation? Academic Dismissal? Retaking Course? Special Review could result in academic dismissal.

The Special Review Committee will make a written recommendation to the Ed.D. program Director. The Ed.D. program Director will consider the recommendation of the Special Review Committee, consulting with committee members as needed and, in cases where the Committee has recommended academic dismissal, with the Ed.D. program Dean and the university's Provost.

### **Readmission after Academic Dismissal**

Ordinarily academic dismissal is permanent. However, the Ed.D. program Dean will review requests for readmission after academic dismissal on a case-by-case basis.

### **Grading Policy**

The Ed.D. program uses a letter grade system. The syllabus for each seminar will specify the learning documentation to be completed for evaluation. The faculty assigned to each seminar will use a **Completed Learning Activity Form** to evaluate the documentation required, determine the extent to which proficiency is met and assign a final grade. While the A, B, C, U grades are used to document

the overall completion of learning activities each term, several other grading codes (W, I) are used to indicate the specific status of each learning activity at any time. All learning activities registered will receive one of the following grade codes at the conclusion of each semester. The following grade summary provides definitions for each grade that may be found in a learner’s registration record.

NOTICE – Grades of U, I, and C may adversely affect a learner’s satisfactory academic progress.

Grade	Criteria
A	Academic work reflects: Impressively thorough and accurate knowledge of assigned material, including the complexities and nuances of major and minor theories, concepts, and intellectual frameworks; exceptional evidence of capability to compare, assess, and synthesize material; especially strong capability to logically critique extant theories and claims and to develop persuasive arguments based on original thinking. <b>4.0 Quality Points</b>
B	Academic work reflects: Accurate grasp of major concepts, theories, and prevailing knowledge; abundant evidence of capability to offer informed analysis of extant knowledge and ideas; clear capability to synthesize and apply key information from prevailing knowledge; appropriate critiques of extant theories and knowledge; considerable demonstration of capability to develop and logically present own judgments. <b>3.0 Quality Points</b>
C	Academic work reflects: Adequate familiarity with key ideas and knowledge, although interpretations of key theories and concepts are occasionally incomplete and flawed; written and verbal accounts of information, theories, and concepts remain primarily at the level of description; critiques are present but not well developed with occasional interpretive errors. <b>2.0 Quality Points</b>
U	Academic work reflects: Insufficient capability to comprehend and accurately present ideas and information; superficial and unpersuasive critiques; little evidence of capability for original thinking. Unsatisfactory performance is defined as any performance less than C at the doctoral level. If a learner is unable to complete 60% of the academic work in a seminar, the learner will receive a U grade. <b>0.00 Quality Points</b>
I	Academic work reflects: Substantial completion (at least 60%) of the learning activities assigned but additional time needed beyond the end of the enrollment period in which to successfully achieve and document all learning results. Learners must initiate a request for an Incomplete grade with their Instructor, by completing the <b>Petition For An Incomplete Grade Form</b> , which indicates work to be completed. Learners have six (6) months (the end of the next semester) to convert I grades to final grades, even if the learner withdraws in the I extension term. If the learner has not satisfactorily completed the work by the end of the extension, the I grade will be converted to a U grade. The U grade will be posted automatically by the Registrar when an activity previously graded as incomplete (I) is not successfully completed within specified program timelines. No credit is earned for the “I” grade until it is converted to the final grade. <b>0.00 Quality Points and does not calculate into the GPA</b>
AU	Any learning activities in addition to the required 66 credit hours do not bear credit and must be registered for “audit.” Courses may be audited on a space available basis as determined by the faculty and program director. Conditions or requirements for the audited class are determined by the faculty and the program director. Learning

	activities taken for “audit” earn zero credits and are not calculated into the grade point average. <b>0.00 Quality Points and Does not Calculate into the GPA</b>
W	Academic work reflects: the learner has withdrawn from the program (either officially or unofficially) at a time when learning activities remain open. The “W” grade is also posted to indicate term registration that is dropped. <b>0.00 Quality Points and does not calculate into the GPA</b>
S	Academic work reflects: satisfactory completion of all prescribed learning and is equivalent to B or better at the doctoral level on a standard letter grading scale. The S grade is used only for Field Proficiency Exam, Dissertation Research, RSCH 900 Dissertation. <b>0.00 Quality Points and does not calculate into the GPA</b>

### **Ed.D. Program Grade Point Average (GPA)**

The grade point average is obtained by dividing the total number of quality points earned by the total number of semester hours attempted for credit (excluding RSCH 900). To remain in good academic standing, the Ed.D. program requires a cumulative GPA of 3.00. See the Satisfactory Academic Progress Policy for the relationship between GPA and Academic Probation.

### **Completed Learning**

Academic work completed must be evaluated, graded and recorded by the end of the semester by utilizing the **Completed Learning Activity Form**. The Instructor reviews and evaluates the academic work to determine that the learner has satisfactorily completed the requirements for the learning activity. Faculty submit all Completed Learning Activity forms to the Graduate College.

### **Academic Appeals**

An academic appeal relates to disagreement concerning academic issues (e.g., evaluation, grading, advising). Issues related to sexual harassment and discrimination are handled through Grievance and Appeals procedures. Appeals concerning academic issues should follow the procedure described below.

**Step 1:** When a learner questions an academic decision, s/he must first discuss the matter with the faculty member as an informal complaint. Only if the result of that discussion is unsatisfactory should a formal academic appeal be pursued. The learner has a 30 day limit after the end of each semester to initiate step 1 of the Academic Appeal process.

**Step 2:** If the complaint is not mutually resolved, the learner may file a written appeal to the Ed.D. program Director. Following the completion of step 1, the learner has another 30 days to initiate step 2 of the Academic Appeal process. The appeal must describe the problem, summarize the circumstances surrounding it, and indicate what has already been done to resolve it. The faculty member is to be given a copy of the appeal and must respond to the Ed.D. program Director in writing. The Ed.D. program Director shall convene an Academic Appeal Committee (composed of 3 faculty) who will review the allegation and all other relevant material. The Academic Appeal Committee must maintain confidentiality concerning all information related to the appeal, and must submit their findings to the Ed.D. program Director within 15 days of receipt of all information. The learner will receive a response from the Ed.D. program Director no later than 15 days after the

recommendation of the Academic Appeal Committee. With the agreement of both parties the time limits indicated here can be extended.

The learner is expected to continue enrollment during the Academic Appeal process. The learner may withdraw the appeal/or stop the appeal process at any time by making a written request to the Ed.D. program Director.

### **Grievance and Appeals**

A grievance relates to non-academic university issues. For instance, there are occasions when learners feel they are not being treated fairly based on one or more of the following factors:

1. Discrimination (e.g. race, religion, national origin, gender, age, ancestry, handicapped status, sexual orientation, or personal beliefs)
2. Sexual Harassment

A learner who wishes to file a grievance related to non-academic issues should refer to University policy.

### **Exceptions to Academic Policy**

Exceptions to academic policy may be submitted to the Ed.D. program Director through the use of a **Waiver Petition form**. Waivers will be reviewed by the Associate Dean on a case-by-case basis.

### **TUITION**

Tuition is due on a semester basis on the first day of each new semester. The Tuition and Registration Policies for each program are published annually on the web.

Payment may be made by check, written credit card authorization, or online credit card payment through CampusWeb (<https://campusweb.tui.edu>). A learner may elect, at the time of registration, a deferred payment option that requires equal monthly payments over the number of months of the semester. Only the amount remaining due after deducting financial aid may be divided into monthly payments. The monthly payment option is the only deferred payment option available for learners. Learners will not be allowed to register for the next semester if the balance from a previous semester has not been paid without making special arrangements with the Business Office.

Financial aid is a means of payment, and the absence of or delay in receipt of financial aid funds does not affect the financial responsibility of the learner for charges due to the University. Balances unpaid at the time of leaving your UI&U program will be processed for collection after 60 days. Should the learner seek readmission at a later date all unpaid balances and collection costs incurred by UI&U must be paid in full before consideration of the application for readmission.

### **Credit Balances**

Credit balances created by federal or state financial aid funds will be automatically refunded to the learner. Credit balances created by funds other than federal or state financial aid funds will not be automatically refunded to the learner. Please contact the Business Office to receive these other credit balances. Refund requests must be received by the Business Office in Cincinnati before Monday at 12 noon (EST) to be included in that week's refund checks.

## **Payment Plans**

1. **Term Payment.** Tuition payment is due on the first day of the new semester according to the learner's date of matriculation. Payment may be made by check, credit card, or financial aid eligibility. In order to encourage prompt payment, the institution rewards those who meet their obligations in a timely manner by providing a discount of \$200 per semester for payment postmarked no later than the first day of the term. To qualify, a learner must have no prior account balance by satisfying all prior charges no later than the first day of the semester and also pay the new semester by the first day of the semester.
2. **Deferred Payment Option.** A learner may elect at the time of registration a deferred payment option that spreads the payments over the six months of the semester. The deferred payment option is the only option for delayed payment without special arrangements with the Business Office.
3. **Special Payment Options.** Special payment options and multi-term discount plans are available by contacting the Business Office.

## **Unpaid Balances**

Balances unpaid at the time of leaving Union Institute & University will be processed for collection after 60 days. Should the learner seek readmission at a later date, all unpaid balances and collection costs incurred by UI&U must be paid in full before consideration of the application for readmission.

## **Additional Costs and Fees**

**IAR and Academic Residency Costs** – The costs incurred through participation in the IAR and subsequent Academic Residencies are the responsibility of the learner, and are in addition to the IAR and registration deposit (See Annual Tuition and Fee Schedule). These costs vary for each event, based upon such variables as location and housing. After the learner completes each event, the registration deposit will be credited to the tuition account. If the learner fails to attend an event for which he/she has registered, or if the learner cancels his/her registration less than 45 days prior to the event, the registration deposit is forfeited.

**Hold Fee** – A non-refundable hold fee is required upon admission to the Ed.D. program. This is deducted from the first tuition payment and holds the learner's acceptance into the program for twelve months.

**Other Fees** – The Graduate College requires payment of a non-refundable application fee and a transcript fee.

**Technology Fee**- All Ed.D. learners are required to pay an annual technology fee which supports the technology required to maintain efficient communications with a dispersed learner population, provide full-text library databases, and provide online teaching tools.

## **Financial Aid Information**

Financial assistance in the form of grants, loans, scholarships and work-study, is available to learners attending all UI&U academic degree programs. In order to receive financial aid from federal and

most state sources, a learner must first establish their eligibility by filing the *Free Application for Federal Student Aid (FAFSA)*. The *FAFSA* must be filed annually. Detailed information on all of the financial aid programs administered by UI&U can be found on the financial aid pages of the university Web site. Learners can also request a copy of the “UI&U Guide to Financial Assistance” and “UI&U Award Guide” by contacting the Financial Aid Office.

Federal aid recipients who withdraw prior to the completion of 60 percent of the current semester are subject to a federal aid refund (also called a Title IV refund calculation) which can impact the amount of aid a student can retain upon withdrawing from UI&U. In addition, a decrease in a learner’s enrolled credit hours can require a modification to some financial aid awards. Learners who drop below half-time status begin repayment of their federal student loans. Courses that are audited do not count toward enrollment status for financial aid purposes and eligibility.

Many private or alternative student loan sources are available to help with payment of your educational costs. Most private/alternative loans do not require completion of the annual *FAFSA* to determine eligibility; however most consider your credit history. Many of these lending sources are available by searching the Internet. Information about the financial aid eligibility, including scholarships, is available online at <http://www.tui.edu/tuition/finaid/index.asp>

## **TECHNOLOGY SERVICES**

The departments of Instructional Technology and Computer Services offer learners resources for technology services. Instructional Technology offers instruction and support for learners and faculty in the use of technology for teaching and learning. Computer Services offers support for web-based technologies, as well as suggested specifications for purchasing personal home computer equipment. The following descriptions offer more information about these departments and their services to learners.

### **Instructional Technology**

The Department of Instructional Technology serves the technology needs of UI&U faculty and learners. Learners are issued a “@tui.edu” email address, which will be the primary method of university communication. Instructional Technology provides:

- general support for UI&U faculty and learners in the use of technology in teaching and learning
- technology training and workshops, for faculty and learners, both online and face-to-face
- the technological and pedagogical infrastructure to support online learning at UI&U
- instructional design and pedagogical assistance to faculty in the use of learning management system software for online learning
- consultation on specific technology-related projects
- assistance to administration in institution-wide, technology-related decision-making and planning

Contacting Instructional Technology:

Phone: (802) 828-8845 or (800) 336-6794

Email: [online@tui.edu](mailto:online@tui.edu)

Web: <http://faculty.tui.edu/it>

## **Getting Technology Assistance**

If you require training in the use of technology related to your work in a UI&U program, contact Instructional Technology at [online@tui.edu](mailto:online@tui.edu) or by phone at (800) 336-6794, ext. 8845.

If you require help desk-type assistance to troubleshoot technology problems related to your work in a UI&U program, contact Instructional Technology at [online@tui.edu](mailto:online@tui.edu) or by phone at (800) 336-6794, ext. 8554.

If you require assistance in using eCollege, the learning management system at UI&U, contact eCollege Help Desk at [helpdesk@online.tui.edu](mailto:helpdesk@online.tui.edu), or by phone (toll free) at (866) 848-8559.

## **Computer Services**

The Department of Computer Services serves faculty, staff, and learners at all six sites to solve daily computer problems, to keep computer equipment and infrastructure running, to maintain Web sites, to manage and monitor security to University systems, to enhance the Student Information System (SIS) and to produce a variety of reports. The four primary areas of Computer Services are the Help Desk Team, the SIS Team, and the Network Team. For more information about Computer Services, visit the department Web pages at [www.tui.edu/cs](http://www.tui.edu/cs) or email [help@tui.edu](mailto:help@tui.edu) or call (888) 899-8501.

## **UI&U Minimum Computer Proficiency/Literacy**

Learners entering into Union Institute & University's degree programs are expected to have a basic working knowledge of computers, including the following minimum skills:

1. Basic knowledge of computers and standard productivity software:
  - Understand the concept and basic functions of a Windows operating system.
  - Save to disks, find files, create directories, and run/execute programs on a Windows 2000 Professional or newer system.
  - Copy and paste text and images.
  - Create, edit, and save a document using word processing software.
  - Install and remove application programs.
  - Upload and download software and files.
2. Information retrieval skills:
  - A working knowledge of the World Wide Web and its functions, including searching, surfing, and installing and upgrading a Web browser.
3. Electronic communication skills:
  - Use of e-mail, listservs, and bulletin boards.
  - Proper "netiquette."

If a learner does not meet these skills and technology requirements at the time of acceptance into the program, it is the personal responsibility of the learner to meet them within a few weeks of acceptance.

Print instructions for most basic computer skills can be found at <http://faculty.tui.edu/it>  
From here, click on the **Self-Assessment** tab and choose **Basic Technology Proficiency**. There is a **Checklist** of technology competencies, and resources for gaining those defined skills.

If a learner needs to have these instructions sent via postal mail for self-guided instruction, please call (800) 336-6794 ext. 8547.

UI&U Computer/tech requirements & Dell purchase program:

<http://www.tui.edu/offices/cs/dell.asp>

## **UNIVERSITY WEB SITE**

Learners will need to review the University's Web site often for program changes, updates, and news. The UI&U Web site offers learners a wealth of information and a variety of resources and services. These include, but are not limited to:

### **MyUnion**

<http://www.tui.edu>

By logging into MyUnion, information can be accessed that is stored behind a password-protected area. To log in, use your UI&U ID number and the last four digits of your Social Security number.

### **CampusWeb**

<https://campusweb.tui.edu/>

CampusWeb is a way of accessing academic record information about your program and your financial account including the ability to pay online with a credit card. You can update your contact information and your Web directory information and also find a list of links, usernames, and passwords to access library research databases. To log in, use your UI&U ID number and the last four digits of your Social Security number.

### **Directories**

<http://www.tui.edu/directories/>

Once logged into MyUnion, you can access directories for alumni, learners, faculty, staff, committees, and PDE (Dissertation) titles and authors. Because UI&U protects the privacy of learners and alumni, you may not always find the contact information you seek. Learners and alumni are encouraged to add their own personal contact information to the web so it will appear to those logged into MyUnion. For instructions on how to do this, email [online@tui.edu](mailto:online@tui.edu).

### **eCollege**

<http://online.tui.edu>

eCollege is the learning management system used for hosting online learning spaces in a number of different UI&U programs at the undergraduate, master's, and doctoral levels. If you are asked to do work using eCollege, you will be given instructions in how to log in, navigate around the learning spaces, and learn how to make use of the communication and file-sharing features and functions. Not all programs or all faculty members use eCollege so this may or may not become a part of your program.

### **Illuminate**

<http://www.illuminate.com/>

Illuminate is a desktop conferencing tool that provides a way to hold real-time meetings and recorded sessions in an online environment.

## **Adobe Connect Pro**

<http://www.adobe.com/products/acrobatconnectpro/>

Replacing Elluminate, Adobe Connect Pro is a video conferencing system that allows online collaboration and meetings.

## **FolioTek**

[www.foliotek.com](http://www.foliotek.com)

FolioTek is the website used for hosting the Electronic Portfolio. During the IAR, you will be given instructions in how to log in, submit your portfolio essays onto the website, as well as navigate around the portfolio and learn how to make use of the communication and file-sharing features and functions.

## **Forms**

<http://www.tui.edu/forms/default.asp>

Once logged into MyUnion, you can access nearly all of the forms used by the institution and your particular program. Use the filtering options at the top to narrow the list of forms to your program, including particular keywords. If you are not able to find a particular form, contact the Graduate College for more information. **The forms included in this learner handbook are samples for informational purposes only and should not be copied or reproduced. Please utilize the forms found on the Ed.D. website [www.tui.edu/edd/index.asp](http://www.tui.edu/edd/index.asp) or go to [www.tui.edu/forms/default.asp](http://www.tui.edu/forms/default.asp) for current forms.**

## **Financial Aid**

<http://www.tui.edu/tuition/finaid/index.asp>

Here you will find information about the financial aid eligibility, including scholarships.

## **University Policies**

<http://www.tui.edu/policies/>

Here you will find information about university policies such as ADA compliance (<http://www.tui.edu/policies/ada.asp>) Affirmative Action, Drug and Alcohol Policy, Ethics and Conduct, FERPA, Technology Resources Acceptable Use Policy, International learners, non-sexist language, racial and ethnic harassment, and sexual harassment.

## **LIBRARY SERVICES**

The Gary Library offers library resources and assistance for conducting research.

### **Collections**

Gary Memorial Library houses collections of approximately 45,000 bound circulating books, more than 30,000 ebooks, and more than 800,000 electronic full text doctoral dissertations from colleges and universities throughout North America. We maintain subscriptions to more than 25,000 online full text journals and approximately 125 print journals, providing direct access to millions of full text articles. We also provide access to more than 75 online research databases.

### **Services**

The Gary Library provides a broad range of library services to currently enrolled learners, faculty members, and staff of the Union Institute & University. Our services include a circulating book collection, bibliographic instruction, reference, and Web-based resources. The library also provides remote document delivery and interlibrary loan services.

**Online Resources**

Every physical resource housed at the Gary Library is searchable via our online catalog. Our online catalog also serves as a gateway to over 30,000 ebooks as well as full text electronic versions of UI&U doctoral dissertations. In addition to our online catalog, we offer a wide range of licensed research databases that provide full text online access to trade and scholarly journals in the arts, humanities, and social sciences.

**Contact Information**

Internet Homepage: [www.tui.edu/library](http://www.tui.edu/library)      Online Catalog: <http://cardcatalog.tui.edu>

General Inquiries: [library@tui.edu](mailto:library@tui.edu)

Main Phone: 802.828.8747 (or toll free: 800.336.6794, ext. 8747)

Fax: 802.828.8748

## **Appendix A**

### **Learner Code of Conduct**

Learners enrolled at the Union Institute & University assume an obligation to conduct themselves in a manner compatible with that of any educational institution and in a way that is suitable for a member of an academic community. UI&U, therefore, expects its learners to conduct themselves as responsible individuals who are considerate and who are respectful of the rights, views, and interests of others.

Administrators, faculty, and learners are expected to help maintain an environment in which there is freedom to learn. As members of the university community, learners are encouraged to develop the capacity for truth and to exercise their rights of free inquiry and free speech in a reasonable manner.

Union Institute & University, through its faculty, reserves the right to dismiss at any time any learner whose conduct is deemed undesirable or prejudicial to the best interests of the university and the university community.

A learner is subject to institutional standards of student conduct as well as to the laws of the city, county, state, and nation. Actions that subject learners to disciplinary action include, but are not limited to:

- Dishonesty, such as cheating, plagiarism, or knowingly furnishing false information to the University or to its officials
- Forgery, alteration, or misuse of UI&U documents, records, or identification
- Obstruction or disruption of teaching, research, or administrative or other university activities
- Endangering the health and/or safety of any person on university-owned or controlled property or at a university-sponsored or supervised function
- Theft or intentional damage to property of the university or that of a member of the university community, including visitors, while on the premises of the institution or at institutional functions
- Unauthorized entry to facilities or use of Union Institute & University supplies, equipment and telephones
- Knowingly possessing and/or using explosives, dangerous chemicals, or deadly weapons on institutional property or at an institutional function
- The use, possession, distribution, or presence of illegal substances on institutional property, or attendance at an institutional function while under the influence of substances except as expressly permitted by law

If, in the assessment of the administrative officers of Union Institute & University, a learner's conduct does not conform to the above-stated standards, the university, through its officers, after following such procedures as they consider appropriate with due regard to the rights of the individual, may impose such penalties as they may determine the circumstances justify, including dismissal from the University, suspension, or academic or disciplinary probation.

Learners dismissed from the university for disciplinary reasons are excluded from all university educational activities, functions, facilities, and buildings.

Disciplinary probation indicates that the individual's relationship with Union Institute & University is tenuous and that the learner's record will be reviewed periodically to determine suitability for continued enrollment. Specific limitations and restrictions of the learner's privileges may accompany probation.

## **Appendix B**

### **Family Education Rights and Privacy Act of 1974 (FERPA as Amended)**

Union Institute & University has a long-standing commitment to the concern for and protection of learners' rights and privacy of information. Union Institute & University complies with the provisions of the Family Education Rights and Privacy Act (FERPA) of 1974, as amended. Learners have the right to inspect, review, and challenge the accuracy of their education records.

#### Release of Information

Directory information may be released for any purpose at the discretion of the institution. UI&I has designated the following items to be Directory Information: name, address, email, telephone number, dates of attendance, college, class standing/hours earned, concentrations, and/or areas of specialization, Faculty Advisor, enrollment status, previous institution(s) attended, awards, honors, and degree(s) conferred (including dates).

If the learner does not wish to have this information released for any purpose, including, for example, the learner directory and press releases, he or she must inform the registrar's office in writing at the beginning of each annual 6 month registration cycle. If the correspondence is not received in the registrar's office at the time of registration, the above information will be disclosed by the institution for the remainder of the academic year.

#### Right to Review Learner Records

Once enrolled, learners have the right to review their educational records except those excluded by the law (medical and counseling records, law enforcement records). To review learner records, contact the Registrar's Office.

It is the policy of this institution that the types of learner records referred to in this statement may be reviewed by any qualified learner at any reasonable time not to exceed 45 days. Copies of any portion of the record will be provided at cost, except transcripts of the permanent academic record, for which the University's transcript policy will apply.

#### Disclosure of Education Records

All learner records will be treated with confidentiality. University faculty and staff have access to student records on an educational need-to-know basis. The office responsible for any particular learner record will be responsible for ensuring that such confidentiality is maintained. Exceptions exist for FERPA authorized disclosures without consent. Contact the Registrar for a complete list of these exceptions. Please note that UI&U will disclose information from a learner's record to officials of another school/institution in which a student seeks to enroll or attend on written request from the learner.

Refer to the UI&U website, Registrar's office link for a complete description of learner's rights and obligations under FERPA. Learners have the right to file with the U.S. Department of Education a complaint concerning alleged failures by UI&U to comply with the requirements of FERPA. Written complaints should be directed to The Family Policy Compliance Office, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202-4605.

**DISSERTATION**

*The Title of the Dissertation Should Be Inserted Here in Italics*

**by**

**Xxxx Xxxx**

**Submitted in partial fulfillment of the Requirements for the Degree of**

Doctor of Education with a Specialization in Educational Leadership or  
Higher Education

**September 17, 2XXX**

**Dissertation Chair: Xxxx Xxxx, Ed.D.**

**Union Institute & University**  
**Cincinnati, Ohio**

**Appendix D**  
**Dissertation Signature Page**

The Title of the Dissertation Should be Inserted Here

By

John Doe

Baccalaureate degree: Institution X    Date

Master's Degree: Institution X        Date

A Dissertation Approved on: Date

by the following Dissertation Committee members:

Dissertation Chair:                    Signature/Date

Dissertation Committee member:    Signature/Date

Dissertation Committee member:    Signature/Date

Dean of the Graduate College:        Signature/Date

Graduate College  
Union Institute & University  
Cincinnati, Ohio

**Appendix E**  
**Completed Learning Activity Form**

## Union Institute & University

440 E. McMillan Street, Cincinnati, OH 45206-1925 -- 513.861.6400 – 800.486.3116 – FAX 513.487.1098

### COMPLETED LEARNING ACTIVITY FORM

Ed.D. program with a Specialization in Educational Leadership or Higher Education (learners matriculated after January 1, 2008)

Learner Name:		Learner ID#:	
Faculty Advisor:		Initial Academic Residency (Entry) Date (month/year):	

**Completed Learning Activity Information:** *(complete one form per activity)*

- Foundational Seminars: EDU 700-701
- Core Seminars: EDU 702-705
- Research Seminars: EDU 783-786
- Specialized Seminars: EDU 821-845
- Elective Studies/Courses: EDU 890-891
- Internship: INTP 790-791
- Dissertation Research: RSCH 880
- Dissertation: RSCH 900 Dissertation

Prefix:		Number:		Title:	
Registration Semester in which activity was registered: (Year-Semester):					
Credit hours:					

**\*Evaluator Assessment:** *A written assessment that is consistent with the assigned letter grade must be provided. Attach additional pages as needed.*

**Check the letter grade (REQUIRED):**

- A GRADE    B GRADE    C GRADE    U UNSATISFACTORY    S SATISFACTORY

**\* S grades can only be issued for RSCH 880 Dissertation Research and RSCH 900 Dissertation.**

**Faculty Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Appendix F**  
**Withdrawal Form**

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*UNION INSTITUTE & UNIVERSITY*

440 E. McMillan Street, Cincinnati, Ohio 45206-1925 -- 513.861.6400 -- 800.486.3116 -- FAX  
513.487.1098

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**WITHDRAWAL FORM**

Ed.D. Program with a Specialization in Educational Leadership or Higher Education (learners matriculated after January 1, 2008)

(Please Type or Print)

Learner's Name \_\_\_\_\_

Learner's ID # \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State/Province \_\_\_\_\_ Postal/Zip Code \_\_\_\_\_ - \_\_\_\_\_ Country \_\_\_\_\_

The above named learner has withdrawn from the Ed.D. program of Union Institute & University effective (date). Reason for withdrawal (attach explanation/documentation, if necessary):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Learner's Signature or Initiator Signature/Date \_\_\_\_\_

## Appendix G

### Registration and Billing Authorization Forms

#### Instructions for Completing the Doctoral Registration Process

Ed.D. Program with a Specialization in Educational Leadership or Higher Education (learners matriculated after January 1, 2008)

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The registration process is completed each semester at the end of an academic residency. The registration form must be approved by the Faculty Advisor. Please be sure to include both Sections A and B of the registration form when submitting it for approval. **The registration will be considered incomplete without both Sections A and B.**

Your registration request is confirmed when the learning activities are posted to your academic record and viewable on your CampusWeb account under the Registered/Completed learning section.

- Complete and sign the **Registration Form (Sections A and B)**
  - **Section A: Academic Semester Registration Form** – Reflects specific learning activities to be registered for the academic semester as approved by your Faculty Advisor.
  - **Section B: Billing Authorization** - Approval form.

#### Learning Activity Prefix/Numbers:

- Foundational Seminars: EDU 700-701
- Core Seminars: EDU 702-705
- Research Seminars: EDU 783-786
- Specialized Seminars: EDU 821-844
- Elective Studies/Courses: EDU 890-891
- Internship: INTP 790-791
- Dissertation Research: RSCH 880
- Dissertation: RSCH 900 Dissertation
- Dissertation Supervision: DS 780 (0.00 credit)

**Appendix Ha**

**SECTION A.**

**Ed.D.  
ACADEMIC SEMESTER REGISTRATION  
for Registration Group 7A: Jan-June and Registration Group 8A: July-Dec**

**REGISTRATION STATUS:**       **New Learner**       **Continuing Learner**

Continuing learner semester registration materials are to be submitted at the end of an academic residency. The Faculty Advisor must approve the registration plan prior to submission; therefore, learners are advised to consult with their faculty well ahead of time in order to plan their upcoming registration semester. The Faculty Advisor is responsible for providing signed approval on registration forms attesting that the learner is in attendance and has begun engagement with the academic work for the current six-month semester.

Full Legal Name		Learner ID#	
Address			
City		State/Province	Postal/Zip Code
Phone: (Home)		(Cell)	
Email			
Last 4 digits of SS#			

A complete registration includes a minimum of 6.00 credits of approved coursework registered in each semester. **Semester registrations of fewer than 6.00 credits will not be approved and will be returned to the learner for corrections.**

**REGISTRATION SEMESTER/YEAR:**     **YEAR \_\_\_\_\_ 7A (JAN-JUNE)**     **YEAR \_\_\_\_\_ 8A (JULY-DEC)**

Course Prefix	Course Number	Course Title	Credit Hours	Faculty Name/ID#
<b>TOTAL CREDIT HOURS</b>				

**(MINIMUM 6)**

**Learner Endorsement:** I am registering for the current academic semester/session. I certify that I have read the current Registration and Tuition policies presented on the UI&U Website, and that I understand the terms under which I am enrolled. I assume financial responsibility for any tuition or fees assessed and agree to pay per the plan addressed in Section B – Billing Authorization Form. I understand that transferability of credit to another institution is at the discretion of the accepting institution. I further understand that it is the responsibility of the learner to determine if credits earned while enrolled at Union Institute & University will be accepted by another institution.

**Learner Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Faculty Advisor Approval (Print)** \_\_\_\_\_

**Signature** \_\_\_\_\_

**Date** \_\_\_\_\_

**For Registrar Use Only**    Posted to SIS (Date) \_\_\_\_\_ Posted by \_\_\_\_\_

Registration Not Approved:     **Insufficient Credit hours**  
 **Other (specify)** \_\_\_\_\_

## Appendix Hb

### SECTION B.

#### BILLING AUTHORIZATION FORM

I certify that I have read the current year UI&U Registration and Tuition Policies and that I understand the terms and conditions under which I will be enrolled. By registering for the academic credit load outlined in Section A, I am aware that tuition and a technology fee will be assessed. My six-month semester tuition and technology fee amount is based on the annual rate in effect for the current fiscal year. I agree to meet my tuition obligation in a timely fashion per the plan outlined below (check one):

#### METHOD OF PAYMENT

- PAYMENT PLAN:**  Semester  
 Monthly

The full semester tuition amount plus the technology fee is payable on or before the first day of each six-month semester.

The tuition remaining after deducting financial aid, if applicable, is payable in six (6) equal installments due on or before the first day of each month of each six-month semester.

I understand that I must secure approval from Union Institute & University through the Business Office before changing the above payment plan.

- CREDIT CARD

<b>I plan to keep my account current by accepting charges against my Visa, MasterCard, Discover, or American Express card per the enclosed authorization (attach Credit Card Authorization Form with this registration which is available online at <a href="http://www.tui.edu/forms/doc/FORM007.doc">www.tui.edu/forms/doc/FORM007.doc</a>).</b>	<input type="checkbox"/> American Express	<input type="checkbox"/> Discover
	<input type="checkbox"/> Visa/MasterCard	<input type="checkbox"/> Campus Web on-line

- Student Loans
- Alternative Student Loan
- Federal Student Loan

**Learner Endorsement:** I am registering for the current academic semester indicated in Section A – Registration Form. I certify that I have read the current Registration and Tuition Policies outlined in the UI&U “Ed.D. Doctoral Learner Handbook,” and that I understand the terms under which I am enrolled. I assume financial responsibility for any tuition or fees assessed and agree to pay per the plan addressed in Section B – Billing Authorization Form. I further understand that transferability of credit to another institution is at the discretion of the accepting institution and I understand that it is the learner’s responsibility to determine if credits earned while enrolled at Union Institute & University will be accepted by another institution.

**Learner Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Appendix I**  
**Dissertation Supervision Engagement Form**

*UNION INSTITUTE & UNIVERSITY*

440 E. McMillan Street, Cincinnati, Ohio 45206-1925 -- 513.861.6400 -- 800.486.3116 -- FAX  
 513.487.1098

**DISSERTATION SUPERVISION ENGAGEMENT FORM**

Ed.D. Program with a Specialization in Educational Leadership or Higher Education (learners matriculated after January 1, 2008)

Learner:		Learner ID#:	
Dissertation Chair:		Initial Academic Residency (Entry) Date (month/year):	

Seminar Prefix:	DS	Number:	780	Credit hours:	0.0
Registration Semester in which activity was registered: (Year-Semester):					
Title:	Dissertation Supervision				

*I affirm that I have been in contact with this learner and can attest that the learner has begun engagement with the dissertation for this current six-month extension semester, as indicated above. I will retain evidence of this contact (copies of the learner's records and dates, discussion notes) which will attest to the method of contact.*

**Dissertation Chair Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Appendix J**  
**Dissertation Proposal Approval Form**

*UNION INSTITUTE & UNIVERSITY*

440 E. McMillan Street, Cincinnati, Ohio 45206-1925 -- 513.861.6400 -- 800.486.3116 -- FAX  
513.861.0779

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**Ed.D. PROGRAM**  
**DISSERTATION PROPOSAL MEETING**  
**RECOMMENDATION AND APPROVAL**

Learner \_\_\_\_\_  
(Type/Print Name)

ID# \_\_\_\_\_

Date of Initial Academic Residency (IAR) \_\_\_\_\_

Date of Dissertation Proposal Meeting \_\_\_\_\_

Area of Specialization \_\_\_\_\_

Dissertation Topic \_\_\_\_\_

\_\_\_\_\_j

The approval of the Dissertation Proposal is judged on evidence of: (1) a well-written introduction to the topic and statement of the research question; (2) a clear rationale for the study (why you are motivated to conduct it, and a description for the need for it); (3) a current preliminary literature review; and (4) a well-developed research design, including a plan for analyzing the data..

---

This is to certify that we, the undersigned, have examined all academic aspects of this learner's Dissertation Proposal, including those delineated above, and hereby approve the proposal for implementation.

Dissertation Chair \_\_\_\_\_  
Type/Print

\_\_\_\_\_  
Signature/Date

Dissertation Committee Member \_\_\_\_\_  
Type/Print

\_\_\_\_\_  
Signature/Date

Dissertation Committee Member \_\_\_\_\_  
Type/Print

\_\_\_\_\_  
Signature/Date

**Ed.D. DEAN'S REVIEW**

This is to certify that I have examined the recommendations of the Dissertation Committee Members and hereby recommend approval.

Dean \_\_\_\_\_  
Type/Print

\_\_\_\_\_  
Signature/Date

After review, the Ed.D. Dean will forward this form to the Registrar's Office for inclusion in the permanent academic record.

**IMPORTANT**

**This recommendation form shall be signed by all Dissertation Committee members and submitted to the Dean along with one hard copy of the Dissertation Proposal.**

**Appendix K**  
**Dissertation Recommendation and Approval Form**

*UNION INSTITUTE & UNIVERSITY*

440 E. McMillan Street, Cincinnati, Ohio 45206-1925 -- 513.861.6400 -- 800.486.3116 -- FAX  
513.861.0779

---

**Ed.D. PROGRAM**  
**DISSERTATION RECOMMENDATION AND APPROVAL**

Learner \_\_\_\_\_  
(Type/Print Name)

ID# \_\_\_\_\_

Date of Initial Academic Residency (IAR) _____	Date of Dissertation Proposal Meeting _____	Date of Dissertation Defense Meeting _____
--	---	--

Area of Specialization \_\_\_\_\_

Dissertation Topic \_\_\_\_\_

The approval of the Dissertation Defense is judged on evidence of: (1) a well-written introduction to the topic and statement of the research question; (2) a clear rationale for the study (why you are motivated to conduct it, and a description for the need for it; (3) a current literature review; (4) a well-developed research design; (5) originality of approach in the research and application aspects of the dissertation; (6) a careful analysis of data obtained; (7) clarity of written and oral presentations; and (8) a clear understanding of the creative art (or arts) where appropriate.

---

This is to certify that we, the undersigned, have examined all academic aspects of this learner's Dissertation, including those delineated above, and hereby approve the dissertation.

Dissertation Chair _____	_____
Type/Print	Signature/Date

Dissertation Committee Member _____	_____
Type/Print	Signature/Date

Dissertation Committee Member _____	_____
Type/Print	Signature/Date

---

**Ed.D. DEAN'S REVIEW**

This is to certify that I have examined the recommendations of the Dissertation Committee Members and hereby recommend approval.

Ed.D. Dean _____	_____
Type/Print	Signature/Date

After review, the Dean will forward this form to the Registrar's Office for inclusion in the permanent academic record

**IMPORTANT**

**This recommendation form shall be signed by all Dissertation Committee Members and submitted to the Dean along with one hard copy of the Dissertation.**

**Appendix L  
Ordering Diploma Form**

*UNION INSTITUTE & UNIVERSITY*

440 E. McMillan Street, Cincinnati, Ohio 45206-1925 -- 513.861.6400 -- 800.486.3116 -- FAX  
513.861.0779

---

**Ordering Your Union Institute & University Diploma  
(IMPORTANT)**

**Upon graduation, ONE diploma will be mailed to you at your permanent mailing address as posted in the Student Information System.** Your diploma, in a hunter green, protective padded cover stamped with the university name, will be sent via U.S Postal Mail.

*Additional or Replacement Diplomas* \$30.00  
(8 1/2" x 11")

**Additional or replacement** diplomas may be ordered by completing the order form below. Enclose a check, money order, or your VISA, MasterCard, Discover or AMEX card number with the expiration date (see attached Credit Card Authorization Form). Make checks payable to: **Union Institute & University.**

**Please return this completed form and payment to the Registrar's Office for processing of your order.** Please allow two weeks for delivery after your diploma order is placed.

For assistance, dial: 1-800-486-3116 (Ext. 1240)

**Thank you!**

**NOTE: Name on your diploma will appear as officially posted in the Student Information System** and your order will be processed using the mailing address on record in the student information system unless an alternative mailing address is indicated below. **If your name has changed, please follow the name change procedures available at the Registrar's Office web page at:** <http://www.tui.edu/offices/registrar/>

Mailing Address (please print clearly): \_\_\_\_\_

Name \_\_\_\_\_j

Address (indicate below if this is a permanent address change) \_\_\_\_\_j

City \_\_\_\_\_ State/Province \_\_\_\_\_j Postal/Zip Code \_\_\_\_\_ - \_\_\_\_\_j Country \_\_\_\_\_j

Telephone: Home (\_\_\_\_\_) \_\_\_\_\_j Work (\_\_\_\_\_) \_\_\_\_\_j

Fax Number (\_\_\_\_\_) \_\_\_\_\_j E-Mail for UI&U Business \_\_\_\_\_j

Graduation Date \_\_\_\_\_ Degree \_\_\_\_\_j

Check here if you wish to make this change to your permanent mailing address or phone.

**RETURN THIS FORM TO:**  
Registrar's Office  
Union Institute & University  
440 E. McMillan Street  
Cincinnati, OH 45206-1925

This Authorization Form must be filled out completely, signed, and dated to be valid.

**Appendix M CREDIT CARD AUTHORIZATION**

Union Institute & University, through cooperation with a local bank, offers you the convenience of paying your tuition as well as fees for residency events, and other services with your VISA, MASTERCARD, DISCOVER or AMERICAN EXPRESS. If you choose to pay by this method, please complete and return this authorization. Bank debit cards are not accepted.

Credit card and cash payments may be combined. You may pay up to your authorized charge limit by credit card and the balance in cash. If you have any questions regarding your credit limit, please contact your card-issuing bank.

Full Legal Name \_\_\_\_\_ Learner ID# \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State/Province \_\_\_\_\_ Postal/Zip Code \_\_\_\_\_ - \_\_\_\_\_ Country \_\_\_\_\_

Telephone: Home (\_\_\_\_\_) \_\_\_\_\_ Work (\_\_\_\_\_) \_\_\_\_\_

Fax Number (\_\_\_\_\_) \_\_\_\_\_ E-mail for UI&U Business \_\_\_\_\_

Check One:  VISA Credit Card Number \_\_\_\_\_

MASTERCARD Expiration Date \_\_\_\_\_

DISCOVER

AMERICAN EXPRESS

I hereby authorize Union Institute & University to charge VISA, MASTERCARD, DISCOVER or AMERICAN EXPRESS according to the options shown below.

1. \$ \_\_\_\_\_ Amount of Payment Shown Only
2. \$ \_\_\_\_\_ Each Month for the Following Months (you must specify)  
 \_\_\_\_\_  
 (for those electing deferred payment only)
3. \$ \_\_\_\_\_ Each for the Following terms (you must specify)  
 \_\_\_\_\_  
 (year, term )

Authorized Signature \_\_\_\_\_ Date \_\_\_\_\_

NOTE: This authorization must be renewed annually on or before the expiration date indicated above.

**Return this form along with your Registration Form to Union Institute & University:**

**Registrar's Office  
 440 E. McMillan Street  
 Cincinnati, Ohio 45206-1925**

**For Office Use Only**

Date	Amount	Auth #
01-		
02-		
03-		
04-		
05-		
06-		

Date	Amount	Auth. #
07-		
08-		
09-		
10-		
11-		
12-		

**Appendix N  
Dissertation Committee Formation Form**

*UNION INSTITUTE & UNIVERSITY*

440 E. McMillan Street, Cincinnati, Ohio 45206-1925 -- 513.861.6400 -- 800.486.3116 -- FAX  
513.487.1098

---

**DISSERTATION COMMITTEE RATIONALE/ APPROVAL**

Ed.D. Program with a Specialization in Educational Leadership or Higher Education (learners matriculated after January 1, 2008)

**COMPLETE ONE FORM WHICH INCLUDES ALL DISSERTATION COMMITTEE  
NOMINEES**

Learner's Name \_\_\_\_\_ Learner ID# \_\_\_\_\_  
Area of Specialization \_\_\_\_\_ Email \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State/Province \_\_\_\_\_ Postal/Zip Code \_\_\_\_\_ - \_\_\_\_\_ Country \_\_\_\_\_  
Telephone: Home (\_\_\_\_) \_\_\_\_\_ Work (\_\_\_\_) \_\_\_\_\_ Fax Number (\_\_\_\_) \_\_\_\_\_  
Learner's Signature / Date \_\_\_\_\_

---

**Dissertation Committee Member Information**

• **Dissertation Chair** \_\_\_\_\_ Social Security # \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State/Province \_\_\_\_\_ Postal/Zip Code \_\_\_\_\_ - \_\_\_\_\_ Country \_\_\_\_\_  
Telephone: Home (\_\_\_\_) \_\_\_\_\_ Work (\_\_\_\_) \_\_\_\_\_  
Fax Number (\_\_\_\_) \_\_\_\_\_ E-mail for UI&U Business \_\_\_\_\_

• **Committee member** \_\_\_\_\_ Social Security # \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State/Province \_\_\_\_\_ Postal/Zip Code \_\_\_\_\_ - \_\_\_\_\_ Country \_\_\_\_\_  
Telephone: Home (\_\_\_\_) \_\_\_\_\_ Work (\_\_\_\_) \_\_\_\_\_  
Fax Number (\_\_\_\_) \_\_\_\_\_ E-mail for UI&U Business \_\_\_\_\_

• **Committee member** \_\_\_\_\_ Social Security # \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State/Province \_\_\_\_\_ Postal/Zip Code \_\_\_\_\_ - \_\_\_\_\_ Country \_\_\_\_\_  
Telephone: Home (\_\_\_\_) \_\_\_\_\_ Work (\_\_\_\_) \_\_\_\_\_

Fax Number (\_\_\_\_) \_\_\_\_\_

E-mail for UI&U Business \_\_\_\_\_

For each Dissertation Committee Member, **except the Dissertation Chair**: State on a separate sheet your reason for requesting appointment of this person as a member of your Committee. The rationale should include the following: 1. The nominee's academic background and experience that are relevant to the program, 2. Any specific role expectations of this person in terms of the program, 3. The skills and expertise which will enable this person to evaluate your work, 4. The prior relationship (if any) between you and this person, 5. Any other information relevant to the appointment. Nominees for the position of Dissertation Committee Member should have as basic qualifications the earned Doctorate experience in working with graduate students, and a record of scholarly publications.

---

### Nominated Dissertation Chair Review

Recommended Action (check one)     Approved     Not Approved

Nominated Dissertation Chair \_\_\_\_\_  
Signature/Date

Forward this form, the rationale, and vita to the Nominated Dissertation Chair for review and signature.

This form should be signed by the Dissertation Chair and forwarded, with attachments, to the Ed.D. Dean's Office. Nominations for Dissertation Committee Members will be reviewed by the Ed.D. Dean after Dissertation Chair review.

---

### Dean's Review

Final Action (check one)     Approved     Not Approved    Ed.D. Dean's Signature and Date

---

**Appendix O**  
**Graduation Recommendation and Approval Form**

*UNION INSTITUTE & UNIVERSITY*

440 E. McMillan Street, Cincinnati, Ohio 45206-1925 -- 513.861.6400 -- 800.486.3116 -- FAX  
513.487.1098

---

**GRADUATION RECOMMENDATION AND APPROVAL**

Ed.D. Program with a Specialization in Educational Leadership or Higher Education (learners matriculated after  
January 1, 2008)

Learner \_\_\_\_\_ Social Security Number \_\_\_\_\_  
(Type/Print; Name should be recorded exactly as it appears in CampusWeb)

ID# \_\_\_\_\_

Date of  
Dissertation Defense Meeting \_\_\_\_\_ Area of Specialization \_\_\_\_\_

Dissertation Title \_\_\_\_\_  
\_\_\_\_\_j

The completion of the curriculum and the Dissertation are judged on evidence of : (1) a thorough proficiency in the fields of knowledge in which the degree is to be granted; (2) the use of appropriate research methodologies; (3) originality of approach in the research and application aspects of the dissertation; (4) understanding the role that the total learning experience and knowledge gained can play in the solution of practical societal problems; (5) clarity of written and oral presentations; (6) a clear understanding of the creative art (or arts) where appropriate. These constitute the criteria for granting the Ed.D. degree.

---

This is to certify that we, the undersigned, have examined all academic aspects of this candidate's program, including those delineated above, and reflected in the dissertation, and hereby recommend to the Ed.D. Dean and to the President of Union Institute & University that the degree of Doctor of Education with a Specialization in Educational Leadership or Higher Education be awarded.

Dissertation Chair	_____	_____
	Type/Print	Signature/Date
Committee Member	_____	_____
	Type/Print	Signature/Date
Committee Member	_____	_____
	Type/Print	Signature/Date

---

**IMPORTANT**

**This recommendation form must be signed and dated by all Dissertation Committee Members. The Dissertation Chair must submit this form, the Dissertation Defense Form, and two unbound, hard copies of the Dissertation to the Ed.D. Dean. Each hard copy of the dissertation should include an original (not copied) Dissertation Title and Signature Page**

---

**Ed.D. DEAN'S REVIEW**

This is to certify that I have examined all aspects of this candidate's academic program and the recommendation of the candidate's committee members and hereby recommend to the President of Union Institute & University that the Ed.D. degree be awarded.

Ed.D. Dean \_\_\_\_\_  
Type/Print Signature/Date

Mail/fax this form to:

- Union Institute & University Graduate College**  
440 E. McMillan Street  
Cincinnati, OH 45206-1925  
513.861.6400/ FAX 513.487.1098

**\*\* After review, the Office of the Ed.D. Dean will forward this form and one hard copy of the dissertation to the Registrar's Office for inclusion in the permanent academic record.**

#### **ADMINISTRATIVE REVIEW**

Following the Dean's review, the Record of Registration is reviewed by the Registrar's Office and the Business Office audits the financial records. The degree is noted on the academic record when all academic requirements have been met. All financial obligations must be met before the learner is approved for graduation and before a transcript or diploma may be issued.

**Appendix P  
Waiver Petition Form**

*UNION INSTITUTE & UNIVERSITY*

440 E. McMillan Street, Cincinnati, Ohio 45206-1925 -- 513.861.6400 -- 800.486.3116 -- FAX  
513.487.1098

**WAIVER PETITION FORM**

Ed.D. with a Specialization in Educational Leadership or Higher Education Studies (learners matriculated after January 1, 2008)

Directions: Exceptions to academic policy may be submitted to the Ed.D. Dean through the use of a Waiver Petition Form. The Waiver Petition Form should be completed with the appropriate documentation included for consideration by the Ed.D. Dean on a case-by-case basis.

**(Please Type or Print)**

Learner				Learner ID			
Area of Specialization							
Address							
City		State/Province		Zip Code		Country	
Faculty Advisor/Dissertation Chair							
IAR Entry Date				Current Semester			

Have you ever submitted a waiver request to the committee before?  Yes  No

Provide a detailed rationale for your waiver request. (Refer to the Waiver Philosophy and Criteria)

Describe the efforts you have made to comply with the Ed.D. program requirements before seeking a waiver.

List the documentation you are providing to support your waiver request and forward it with this form

When you have completed the form, send the form and the documentation to your Faculty Advisor/Dissertation Chair. S/he will complete this last section and forward it to the Ed.D. Graduate College Dean. Please use additional pages if necessary.

The Faculty Advisor/Dissertation Chair is asked to submit a letter to accompany the learner's waiver request form and documentation. In the letter, please explain the mutual agreement between yourself and the learner prior to the waiver request.

Select one:

I approve this waiver petition

I do not approve this waiver petition

---

Faculty Member's Signature

Date

## **WAIVER PHILOSOPHY AND CRITERIA**

The waiver process aims to protect the integrity of Union Institute & University Ed.D. Program while providing flexibility for learners with highly unusual or emergency situations. Union Institute & University process already includes a great deal of flexibility. Given the flexibility already built into the process, waivers are rare. Program integrity and accreditation require rigor, fairness, and equity in making exceptions to the established process.

In granting waivers the committee looks for evidence that the learner's situation is such that complying with the established process would place an inordinate and unfair burden on the learner, usually through no fault of the learner. For example, a learner who began the program in the United States and was proceeding normally was suddenly and unexpectedly reassigned overseas with little advance notice may merit a waiver request.

Examples of requests that are not looked on favorably by the Waiver Committee.

1. The learner thinks that a particular program aspect will not provide a "quality experience" and proposes a waiver or substitution.
2. Poor program management by a learner is not a good rationale for waivers.
3. Requests that come so early in the program that the learner has not had a chance to make good faith efforts at program compliance will likely result in the suggestion that the learner gain more program experience before requesting the waiver.
4. Waivers are not granted after the fact. A waiver must be approved in advance of program alterations and substitutions.
5. Waivers for early graduation are not granted.

These examples are meant to emphasize that waivers are only granted for exceptional circumstances. Where a learner has unusual and/or unanticipated circumstances that make program compliance unusually burdensome, the waiver process is available.

## **Appendix Q**

### **PCX 799**

#### **Ed.D. Doctoral Program Completion Extension- PCX 799**

Ed.D. Program with a Specialization in Educational Leadership or Higher Education (Effective January 1, 2008)

When a doctoral learner reaches the end of his/her intended final term of full-time academic enrollment (last registered term of 9.00 or more credit hours or Dissertation Supervision and needs additional time to prepare final documents for Ed.D. associate dean's approval, they are required to register for **PCX 799 Program Completion Extension (0.00 credits)** for the subsequent six-month term. In order for a learner to have this six-month completion extension approved, the learner must have successfully completed all prior enrollment terms.

Registration of **PCX 799** is required as follows: (1) The program completion extension affords a learner additional time to respond to recommendations for edits as a result of the dissertation defense meeting or Ed.D. Dean's review. No new academic learning activities may be undertaken during or after this program completion extension registration period. The extension period is not a new term of enrollment for academic credit. Registration of PCX 799 will be for a six-month extension of the learner's non-academic registration status so that final documents can be reviewed and approved. No more than two (2) extension terms will be approved.

#### **PCX 799 Registration Fee:**

The PCX 799 is due on a semester basis on the first day of each new semester. The Tuition and Registration Policies for each program are published annually on the Web and include the amount of the appropriate PCX 799 fee. The pro-rata refund of the extension fee is on a monthly basis as of the end of the month when the Ed.D. associate dean signs final approval for graduation documents.

#### **Financial Aid Learners:**

The PCX 799 Program Completion Extension does not qualify learners for continuing financial aid or for in-school loan deferent status. The UI&U Registrar's Office will report learners on this extension as registered less than half-time during the next scheduled report to the National Student Clearinghouse.

#### **Graduation Policy:**

Following the Ed.D. Dean's review, members of the Administrative Review Committee inventory all academic requirements and financial records. The Record of Registration is reviewed in the UI&U Registrar's Office; the UI&U Financial Aid Office checks the status of financial aid, if applicable; and the UI&U Business Office audits the financial records (learner account).

Graduation is approved and the degree awarded when all academic and financial obligations to the university have been met. The conferral date is the last day of the term in which the Ed.D. associate dean approves graduation. Therefore, a learner must be registered for nine (9) or more credit hours, on Dissertation Supervision DS 780, or PCX 799. The final transcript and diploma will be released when all clearances of the administrative review have been completed.

**Example Implementation of PCX 799 for Learner A:**

**2009-7A** (Jan-Jun 2009)

RSCH 900    Dissertation    Credit: 9.00    Grade: "I"

- At the conclusion of this term, the learner has not completed his/her dissertation or dissertation defense meeting. Since the learner needs to register for the next term, the learner must therefore register for Dissertation Supervision.

**2009-8A** (Jul-Dec 2009)

**DS 780** Dissertation Supervision    Credit: 0.00    Grade: Not applicable

- At the conclusion of this term, the learner has successfully completed his/her dissertation and dissertation defense meeting. However, this occurred in the final month of the term and the learner now needs to be processed through the Dean's Review, which will not happen until January 2010 or later. In order to be processed for graduation, the learner must therefore register for PCX 799 Program Completion Extension.

**2010-7A** (Jan-Jun 2010)

PCX 799    Program Completion Extension    Credit: 0.00    Grade: Not applicable

**Doctoral Program Completion Extension – Request Form**

\_\_\_\_\_, ID# \_\_\_\_\_ request to be registered for Program Completion Extension (PCX 799) for 0.00 credits.

**Choose One:**

My dissertation defense meeting **has been successfully completed** on \_\_\_\_\_ and I hereby request registration of Program Completion Extension (PCX 799) for the following upcoming enrollment period:

Indicate here the applicable term for this 6-month extension \_\_\_\_\_

**By requesting this extension, I understand:**

- That approval and registration of my Doctoral Program Completion Extension will provide me a full six-month period of time in which to make final edits to my program documents and submit them for Ed.D. Dean’s approval after my dissertation defense meeting.
- That once accepted and posted to my registration record, the UI&U Business Office will assess the applicable fee for this extension for the six-month enrollment period. Based upon the date of Ed.D. Dean’s approval of my program documents, the UI&U Business Office will calculate a refund of any remaining portion of this extension fee (on a monthly basis) according to the Ed.D. Dean’s approval sign off date.
- No additional credits will be registered or earned during the extension term, and I understand that I will be reported as registered less than half time to external agencies during the extension period. By requesting this extension, I am verifying that my record documents successful completion of all credits that will become approved in my official transcript.

Learner Signature _____	DATE: _____
Faculty Signature: _____	DATE: _____
Ed.D. Dean’s Office Approval: _____	DATE: _____

***For Registrar’s Office Use Only:***  
Date Accepted and Posted: \_\_\_\_\_; Notification Sent to Bus. Office:  
\_\_\_\_\_

**Appendix R**  
**Change of Grade Form**

*UNION INSTITUTE & UNIVERSITY*

440 E. McMillan Street, Cincinnati, Ohio 45206-1925 -- 513.861.6400 -- 800.486.3116 -- FAX  
513.487.1098

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**GRADE CHANGE FORM**

Ed.D. Program with a Specialization in Educational Leadership or Higher Education (learners matriculated after  
January 1, 2008)

Learner Name:		Learner ID:	
---------------	--	-------------	--

The above named student should receive a grade change for the following seminar:

Seminar Title:	
Seminar Number:	
Semester & Year:	
Former Grade From:	
To Revised Grade:	

Reason for Change: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Faculty Name: \_\_\_\_\_

Faculty Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Ed.D. Program Director Signature: \_\_\_\_\_

*Any grade change must be made by the faculty of record, or in the absence of the faculty, by the Ed.D. Director. Request for grade changes must be made more than six (6) months after the initial grade determination, must also be approved by the Ed.D. Director/ Dean. Grade changes will not be made without sufficient justification whether provided by the faculty of record, the Director/Ed.D. Dean, or the learner. This form must be mailed or brought by the faculty or Director/Ed.D. Dean to the Registrar's Office. This form will not be accepted from a Learner.*

Appendix S

Internship Application and Approval Form

**Ed.D. Internship Application and Approval Form**

**Instructions:** Please complete the following information and submit this form with all attachments to your faculty advisor for review and approval. The form must be submitted at least 3 weeks prior to the start of the semester in which the internship is to begin.

**Learner Name** \_\_\_\_\_ **Learner ID** \_\_\_\_\_

**Address** \_\_\_\_\_  
\_\_\_\_\_

**Phone Number**      **Work** \_\_\_\_\_      **Home** \_\_\_\_\_

**E-mail Address** \_\_\_\_\_

**Semester** \_\_\_\_\_      **Credit Hours** \_\_\_\_\_

**Faculty advisor:** \_\_\_\_\_

Complete the following information. Attach additional pages as needed.

**Name of Organization or School (Internship Site):**  
\_\_\_\_\_

**Address** \_\_\_\_\_  
\_\_\_\_\_

**Telephone Number** \_\_\_\_\_

**Proposed Internship Field Supervisor**

**Name:** \_\_\_\_\_

**Position/Title:** \_\_\_\_\_

**Attach the internship field supervisor's resume/vita**

**Internship Start Date** \_\_\_\_\_ **End Date** \_\_\_\_\_

---

**Ed.D. Internship Application and Approval Form**

**Describe the proposed internship.** Include in your description consideration of how the context of your internship is different from your current and past professional experiences. The internship must be relevant to the practice of education and reflect increasing levels of responsibility over its duration. Attach additional pages as needed.

---

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**The internship must constitute at least 300 clock hours of professional activities.** Describe how much time you will spend each day at the internship site engaged in internship activities (how many days each week, how many hours each day). Attach additional pages as needed.

---

---

**Identify your goals and objectives for the internship.** Include in your description the competencies you expect to develop/achieve as a result of the internship, and how the internship will respond to the learning goals established for the internship by the Ed.D. program, as described in the internship syllabus. Attach additional pages as needed.

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**APPROVALS/SIGNATURES**

I propose to carry out the internship as described in this application and its attachments, subject to approval by program faculty and agreement of the proposed internship field supervisor.

\_\_\_\_\_  
**Learner (Intern) Signature**

\_\_\_\_\_  
**Date**

I have reviewed this proposal, and approve this internship as described, subject to agreement of the proposed internship field supervisor and signing of an internship agreement between Union Institute & University and the proposed field supervisor.

\_\_\_\_\_  
**Faculty Advisor Signature**

\_\_\_\_\_  
**Date**

**Ed.D. Internship Application and Approval Form**

I agree to serve as the onsite supervisor for this proposed internship per the terms of the attached internship agreement.

---

**Internship Field Supervisor Signature**

**Date**

The internship, as proposed, may proceed as described in this application and all attachments.

---

**Faculty advisor Signature**

**Date**

Attachments:

Resume of proposed internship field supervisor

Signed Internship Agreement Form

## **Appendix T Internship Agreement Form**

### **Internship Agreement**

This document represents an agreement with Union Institute & University, 440 East McMillan Street, Cincinnati, Ohio. This internship Agreement is entered into this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_. The purpose of this Agreement is to guide and direct a working relationship for those involved in providing internship training experiences for learners seeking a terminal degree (Ed.D.) at Union Institute & University.

### **Objectives of the internship Program**

The objectives of the internship Program are as follows:

- To further the intern's acquisition of professional knowledge, skills, and attitudes in the field of education.
- To facilitate the intern's development as a competent practitioner who assumes responsibility for his/her own actions and self development.
- To provide the intern with training and practice in identifying, assessing and ethically responding to needs of students.
- To expose the intern to educational services with culturally diverse populations.
- To provide opportunities that meet with the mission of Union Institute & University's Ed.D. program, including issues of social justice and ethical practices.

### **Responsibilities of the Internship Field Supervisor**

By signing this agreement on behalf of your organization, you agree to:

- Provide an appropriate orientation and introduction to the internship site.
- Provide a learning experience that conforms to all ethical and legal standards of the state and the profession of education.
- Provide one (1) hour of individual, face-to-face supervision each week.
- Complete a formal evaluation of the intern's work at the conclusion of each semester (every six months) that the intern is assigned to the internship site, using the evaluation form to be provided by Union Institute & University.
- Sharing/discussing that evaluation with the intern before forwarding it to the Director of the Ed.D. program at Union Institute & University.
- Meet regularly (by phone, e-mail, or in person) with the intern's faculty advisor to ensure the quality of the internship Program experience.
- Attempt to resolve directly with the intern any conflicts that may arise.
- Report, in writing, any conflicts that may arise to the intern's faculty advisor or the Director of the Ed.D. program.

Additionally, the internship supervisor agrees to:

- Retain at all times responsibility, authority and accountability for the duties performed by the intern.
- Comply with all federal, state, and municipal laws, rules, and regulations.
- Maintain confidentiality of student records in compliance with the Family Educational Rights and Privacy Act. (FERPA).

## **Internship Agreement**

- Maintain confidentiality of intern records.

### **Responsibilities of Union Institute & University.**

Through its representative's signature on this agreement, Union Institute & University agrees to:

- Coordinate with the internship field supervisor regarding the formal evaluation of the intern.
- Provide forms to the internship field supervisor for evaluation of the intern.
- Comply with all federal, state, and municipal laws, rules, and regulations.
- Maintain confidentiality of student records in compliance with the Family Educational Rights and Privacy Act. (FERPA).

### **Responsibilities of the Intern**

By signing this agreement, the intern agrees to:

- Complete any training required by the internship supervisor.
- Chart interactions with internship site personnel per the regulations and requirements of the internship site.
- Comply with all federal, state, and municipal laws, rules, and regulations.
- Abide by all policies and expectations for the internship set forth in the Ed.D. program's Learner Handbook.
- Maintain confidentiality of student records in compliance with the Family Educational Rights and Privacy Act. (FERPA).
- Perform his/her duties in a timely, accurate, and ethical manner consistent with the intern's level of training. and with the ethical guidelines most applicable to the internship experience.
- Be subject to the supervision requirements imposed by the supervisor or other professionals affiliated with the internship site.
- Conduct himself/herself in a professional manner.
- Engage in all duties and activities stipulated in the approved internship proposal (attached).
- Refrain from rendering any professional service without the written consent and supervision of the internship field supervisor, it being understood and agreed that all professional services are under the direct order and control of the supervisor at the internship site.
- Attempt to resolve directly with the field supervisor any conflicts that arise.
- Report, in writing, any conflicts that may arise to her or his faculty advisor and the Director of the Ed.D. program.
- Complete the internship program, including, but not limited to, all internship Site specific requirements/assignments made by the field supervisor and/or faculty advisor.

### **Binding Effect**

Once signed, this Agreement shall be binding upon the heirs, successors and assigns of the parties hereto.

### **Severability**

In the event that any provision of this Agreement shall be deemed to be unenforceable for any reason, such shall not render the remainder of this Agreement unenforceable. Instead,

**Internship Agreement**

the remaining terms and provisions of this Agreement shall be fully enforceable.

**Authorization**

The undersigned warrant that they are authorized to enter into this Agreement.

**Conflicts**

Any conflicts that may arise will be handled in accordance with the professional ethics statements most applicable to the proposed internship.

**Modification**

Modifications to this Agreement may be made only with written consent of all parties hereto.

**Termination**

Upon sixty (60) days prior written notice, any party may terminate this Agreement. If an internship supervisor should exercise the option to terminate the Agreement while the internship is ongoing, the intern will be allowed to complete any pre-stipulated internship requirements, subject to early termination for cause in accordance with the due process procedures set forth from time to time in the Ed.D. program’s Learner Handbook.

**Not an Employment Relationship**

The parties acknowledge and agree that intern is not an employee or agent of the internship site, and the internship site has no obligation to pay wages, either minimum wage or overtime, to the intern. To the extent that intern is found to be an employee of the internship site, other than with respect to obligations under any Worker’s Compensation law, Union Institute & University agrees to indemnify and hold harmless the internship site for any wages, benefits or withholdings determined to be due to the intern.

**Term.**

The term of this Agreement shall be for \_\_\_\_\_ months and shall begin on the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, and shall terminate on the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

**IN WITNESS WHEREOF**, the parties have executed this Agreement the day and year first above written.

By: \_\_\_\_\_  
Director, Doctor of Education Program, Union Institute & University

By: \_\_\_\_\_  
Internship Field Supervisor, \_\_\_\_\_(organization)

By: \_\_\_\_\_  
Intern

Attachments:  
A copy of the intern’s approved internship proposal must be attached to this Agreement.

**Appendix U  
Internship Evaluation Form**

**Internship Evaluation Form**

Intern/Learner: \_\_\_\_\_ ID \_\_\_\_\_

Internship Field Supervisor: \_\_\_\_\_

Internship Faculty Advisor: \_\_\_\_\_

Internship Location: \_\_\_\_\_

Internship Dates: \_\_\_\_\_

Please circle one: **PROGRESS EVALUATION** or **FINAL EVALUATION**

**Be sure to insert the intern’s name on every page**

**To Internship Field Supervisors:** This evaluation is designed to focus on the degree to which the intern has achieved specific competencies. Please indicate whether you believe the intern has demonstrated the level of competence that could reasonably be expected of a learner at his/her level of training. Written comments and descriptions in addition to the categorical ratings are particularly helpful in evaluating learner progress. Thank you for your time and effort.

**Ratings:** Evaluators should use a developmental approach in determining if the intern is below, at, or above expected competence levels. In other words, a rating of “minimum level of competence” may be a satisfactory rating in a progress evaluation submitted at the conclusion of the first half of the internship, but it would not be a satisfactory rating for the final evaluation at the conclusion of the internship.

<b>Competencies</b>	Below Minimum Competence	Minimum level of competence	Above Minimum Level of Competence	High Level of Competence	Very High Level of Competence	<b>Rating</b>
<b><i>Ethical</i></b>						
a. Knowledge of ethics and legal issues	0	1	2	3	4	
Comments:						
b. Ethical behavior in interactions with others	0	1	2	3	4	
Comments:						
<b><i>Social Justice</i></b>						

<b>Competencies</b>	Below Minimum Competence	Minimum level of competence	Above Minimum Level of Competence	High Level of Competence	Very High Level of Competence	<b>Rating</b>
a. Demonstrates respect for culturally diverse backgrounds and experiences	0	1	2	3	4	
Comments:						
b. Demonstrates respect for diverse values and beliefs	0	1	2	3	4	
Comments:						
b. Integrates knowledge of diversity into professional practice.	0	1	2	3	4	
Comments:						
<b>Interaction and Communication</b>						
a. Interacts effectively with others; responsive to suggestions and feedback	0	1	2	3	4	
b. Timely completion of assignments; punctual, regular attendance						

Intern's strengths:

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Areas needing further development:

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Summary/suggestions for further preparation and training

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Internship Field Supervisor signature: \_\_\_\_\_ Date\_\_\_\_\_

Intern signature: \_\_\_\_\_ Date\_\_\_\_\_

**Appendix V Petition for an Incomplete Grade Form**

***Union Institute & University***

***Ed.D. Program with a Specialization in Educational Leadership or Higher Education  
440 E. McMillan Street, Cincinnati, Ohio 45206-1925 - 513.861.6400 – 800.486.3116 – FAX 513.487.1098***

Full Legal Name				Learner ID#	
Address					
City		State/Province		Postal/Zip Code	
Phone: (Home)			(Cell)		
Email					

**INCOMPLETE GRADE POLICY**

The learner is responsible to initiate a request for an “I” (Incomplete) grade with the seminar/course faculty. If the learner is unable to complete 40% or less of the course due to unforeseen circumstances beyond his/her control and s/he has completed a substantial part (normally greater than 60%) of the coursework with a passing grade, a Petition for an Incomplete may be filed. The learner must discuss his/her request for an incomplete grade with the seminar faculty before filing this petition. This petition may be approved or denied by the Ed.D. Program Director.

The learner initiates the petition by completing the first part of the petition which must be signed and dated. The learner must submit the form together with supporting rationale for the request to the seminar faculty. In rare cases when the learner is unable to submit the petition form, the seminar faculty, after consulting with the learner, may initiate the petition on behalf of the learner.

If the seminar faculty approves the petition, the learner and seminar faculty set the conditions (specific academic work to be completed) and the completion date (no later than the end of the following semester, 6 months). The faculty submits the petition together with the grade sheet to the Registrar. “I” grades not converted to a letter grade by the end of the following semester will convert to an unsatisfactory grade (“U”).

To make up the incomplete grade I am requesting, I must make arrangements with the seminar faculty granting it to complete specified requirements by the end of the following semester (6 months). If required work is not made up by the deadline, I will receive the grade indicated by the seminar faculty.

**Seminar/Course Information**

Semester/Year \_\_\_\_\_ Credits \_\_\_\_\_  
 Course Number and Title \_\_\_\_\_

Reason(s) for request

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Learner’s Signature: \_\_\_\_\_ Date \_\_\_\_\_

**Faculty Review**

The learner has successfully completed 60% of the graded seminar/coursework with an estimated grade of \_\_\_\_\_. The following requirement(s) must be completed no later than the end of the following semester (6 months).

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Recommended Action (check one):       Approved       Not Approved

**Faculty Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Print Name:** \_\_\_\_\_

This form should be signed by the faculty and forwarded, with attachments, to the Registrar.