



# UNION INSTITUTE & UNIVERSITY

## **Student Handbook**

**Doctor of Education  
Ed.D. with a Specialization in:  
Educational Leadership Pre K-12  
Higher Education**

**Effective July 2011-June 2012**

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

The policies and procedures described in this *Handbook* **apply to students matriculated into the Ed.D. Program with a specialization in Educational Leadership Pre K-12 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 student, 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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# UNION INSTITUTE & UNIVERSITY

## MISSION, VISION, VALUES & PRINCIPLES

### MISSION

Union Institute & University empowers adults to acquire, apply, and create knowledge through interdisciplinary, flexible, and collaborative programs focusing on social relevance, personal enrichment, and professional advancement.

### VISION

Union Institute & University aspires to educate generations of highly motivated adults who seek academic programs that engage, enlighten and empower them in their pursuit of a lifetime of learning and service.

### VALUES

*SOCIAL RELEVANCE* Union Institute & University requires that the programs of its students reflect their awareness of the social implications of their studies and of their obligation to share knowledge with integrity in uplifting the communities in which they serve.

*CREATIVE AND CRITICAL THINKING* Union Institute & University supports different modes of disciplinary and interdisciplinary inquiry to explore ideas and issues from multiple perspectives.

*INTERDISCIPLINARITY* Union Institute & University promotes interdisciplinary scholarship as a means to advance the frontiers of knowledge and develop new modes of inquiry.

*SCHOLAR-PRACTITIONER MODEL* Union Institute & University advocates an educational process whereby scholarship and theory are connected and applied to real-world action and practice.

### PRINCIPLES

*ACADEMIC QUALITY* Union Institute & University is committed to academic excellence and insures institutional quality through continuous assessment and review of programs, processes, policies, and outcomes.

*DIVERSITY* Union Institute & University reflects and celebrates diversity in all its forms.

*SERVICE* Union Institute & University engages in service to others with a commitment to transparency, integrity, and respect.

*COMMUNITY* Union Institute & University links engaged students with dedicated faculty mentors and the larger society in which they live and work, thus building a mutually beneficial, expansive, and collaborative community that lives beyond the classroom.

## **A MESSAGE FROM THE DEAN**

Dear Student:

On behalf of the UI&U academic community, I want to welcome you to the Ed.D. Program. Our university has a rich history in innovative academic practice for the adult student and you are now just beginning a journey that is meant to transform and enlighten you in your role of scholar/practitioner.

This handbook has been developed to serve as a guide as you matriculate into the Ed.D. Program. This publication describes the program and its offerings, defines the procedures and requirements of the program, as well as other relevant information pertinent to your matriculation. In order to comprehend program curriculum, policies and procedures, and university academic expectations, each student must have a working knowledge of this handbook. These rules, regulations, and appendices are approved under the authority of Union Institute & University's Board of Trustees and, therefore, constitute official university policy.

The Ed.D. is a student-centered program. Your work with us will be socially relevant, enriching and professionally cogent. As such, program administrators and faculty strive to be responsive to your academic needs and individual goals. We ask you to accept responsibility for fulfilling the requirements of your degree program. We are here to facilitate and foster your academic success. Best wishes as you embark on this academic journey.

Sincerely,

Arlene Sacks, Ed.D.  
Dean

## 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 students 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 Pre K-12 or Higher Education). An additional distinctive purpose relates to the program's emphasis on social justice. The Ed.D. Program prepares students 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 students 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 students.

## VALUES OF THE ED.D. PROGRAM

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

### EXCELLENCE IN SCHOLARSHIP

Ed.D. doctoral students 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 students proceed through the sequence of seminars, supervised internships, and completion of other requirements. Students 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.

## RESIDENCY

Students fulfill the academic residency requirements by attending face-to-face residencies in Cincinnati, Ohio and virtual online residency experiences.

### Semester 1:

Begin the Ed.D. program in either July or January.

- If beginning in **July**, students will participate in a 7 day face-to face residency in Cincinnati, Ohio followed by 3 days online of Professional Development Practica.
- If beginning in **January**, students will participate in a 3 day face-to-face week end residency where they first meet in Cincinnati, Ohio followed by 2 weekends when they meet virtually.

### Semester 2-6:

•For students who begin in **July:**

**Semester 2** consists of 2 online consecutive weekends followed by 3 days of online Professional Development Practica

**Semester 3** consists of 7 days of face-to-face residency followed by 3 days of online Professional Development Practica

**Semester 4** consists of 2 online consecutive weekends followed by 3 days of online Professional Development Practica

**Semester 5** consists of 7 days of face-to-face residency followed by 3 days of online Professional Development Practica

**Semester 6** consists of 2 online consecutive weekends followed by 3 days of online Professional Development Practica

•For students who begin in **January:**

**Semester 2** consists of 7 days of face-to-face residency followed by 3 days of online Professional Development Practica

**Semester 3** consists of 2 online consecutive weekends followed by 3 days of online Professional Development Practica

**Semester 4** consists of 7 days of face-to-face residency followed by 3 days of online Professional Development Practica

**Semester 5** consists 2 online consecutive weekends followed by 3 days of online Professional Development Practica

**Semester 6** consists of 7 days of face-to-face residency followed by 3 days of online Professional Development Practica

## RESIDENCY ATTENDANCE POLICY

Students are required to be in attendance throughout the duration of the academic residencies whether they are face-to-face or virtual. Attendance at the academic residency is required for continuation in the program. Students who miss an academic residency, are 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 that occurs twice a year, in January or July. Matriculation is effective the first day of the month. Students may choose to attend one of two IARs in either July or January. The July IAR takes place for seven days, face-to-face at our main academic center in Cincinnati, Ohio. The July IAR is followed by an online 3 day, mid-semester residency (professional development practica). The January IAR takes place over 3 weekends, the 1<sup>st</sup> weekend face-to-face at our main academic center in Cincinnati, Ohio, followed by 2 weekends online.

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, students will develop new ideas about how to meet their learning needs. The student will be well on the way toward building a network of contacts with members of the university community and will have a working understanding of the required outcomes.

## **OUTCOMES OF THE IAR**

1. Students will be introduced to the goals and expectations of the Ed.D. with specializations in Educational Leadership Pre K-12 or Higher Education:
  - A. Measurable Action: Students will attend a Student Handbook training and question and answer session.
  - B. As part of an evaluation of the IAR experience, students will complete an on-line survey that reflects their understanding of the goals and expectations of the Ed.D. Program as well as the IAR residency.
2. Students will begin seminars that are in alignment with the Ed.D. Program mission and values:
  - A. Measurable Action: Students will receive syllabi that clearly indicate how the course aligns with the Ed.D. Program's mission and values.
3. Students will be provided with an overview to UI&U processes and support staff:
  - A. Measurable Action: Students will complete the training on specific technology employed in their program.
  - B. Measurable Action: Students will complete and submit the Online Library Borrower Registration form.
4. Students will build an academic community with their cohort members:
  - A. Measurable Action: Students will initiate a group listserv.
  - B. Measurable Action: Students will meet at scheduled networking times throughout the residency.
5. A Faculty Advisor will be assigned to Ed.D. program students to maintain administrative link with the Graduate College.
  - A. Measurable Action: Students will complete their Registration and Billing Authorization forms for the first semester. The Dean will review, sign and approve the Registration forms.

## **STUDENT EVALUATION OF THE IAR**

An electronic evaluation or student assessment of the residency will be sent to students following the IAR. The student's reply to the electronic evaluation or student assessment 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.

## **INTERNSHIP**

### **(INTP 790/791) (6 credit hours)**

Students in the Doctor of Education Program (Ed.D.) are required to complete a 300-clock-hour (minimum) internship during their second year in the academic program (Semesters 3 and 4). The internship carries a total of six credit hours (three credits each semester).

The internship provides students the opportunity to integrate theory and practice while under the supervision of a qualified individual who possesses documented expertise in education. The internship is not meant to be “business as usual.” Rather, the experience is intended to challenge students in new ways, requiring them to step outside of their comfort zones. Given the Ed.D. Program’s focus, a central purpose of the internship is for students to explore the complexities involved in furthering ideals of social justice within an educational setting.

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

### **PREPARATION FOR THE INTERNSHIP EXPERIENCE**

Preparation for the internship experience begins in the student’s second academic semester, when students work with the internship advisor to develop plans for an internship within their specialization (Educational Leadership Pre K-12 or Higher Education). Students may also choose to confer with faculty, staff, and peers in conceptualizing an appropriate experience.

In developing an internship proposal, students should consider the following objectives:

- To further the interns’ acquisition of professional knowledge, skills, and dispositions in the field of education.
- To facilitate the interns’ development as competent practitioners who assume responsibility for their own actions and self-development.
- To provide interns with training and practice in identifying, assessing, and ethically responding to needs of students and other stakeholders.
- To enhance the interns’ abilities to work appropriately and effectively within socially and culturally diverse organizations.
- To provide interns with opportunities for educational experiences which align with the goals and objectives of UI&U’s Ed.D. Program, including those related to social justice and ethical practices.

All students are required to design an internship that presents a challenge to the norms of their previous or current professional experiences. For example: an urban school professional might choose to participate in an internship in a rural setting; a community college professor might choose to experience a 4-year or graduate college setting; a university faculty might work with an administrator

In proposing the internship, the student must identify and clearly define goals and objectives, which must include developing further competencies in ethical leadership and social justice. The internship must be relevant to the practice of education and should reflect increasing levels of responsibility and/or depth of engagement over its duration.

## **PROCESSES AND PROCEDURES**

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

Each student meets with the internship advisor to discuss possible internship settings and activities. These discussions begin during the second academic semester.

- When a specific internship has been proposed and approved in concept by the internship advisor, the student prepares an Internship Application and Approval form. The form includes a rationale for and detailed description of the proposed internship, the competencies to be achieved, and the qualifications of the individual who will serve as the internship field supervisor. The internship application must also incorporate programmatic objectives as set forth above.
- The internship advisor reviews and evaluates the application, indicating approval for the student to make final arrangements for the proposed internship. (Note that approval may require revisions based on the internship advisor's initial review.)
- The student then meets with the internship field supervisor to negotiate final details of the internship (approval meeting). Once agreed upon, these details are attached to the Internship Application and Approval Form, which is then signed by the student and the field supervisor. Details should 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 student provides the field supervisor with the Internship Agreement Form. The student and field supervisor sign the form, which is then forwarded to the internship advisor (who will confer with the Ed.D. Program Director for final review and approval). Copies of the signed Agreement Form are sent to the internship field supervisor, the student's internship advisor, and the student. The internship advisor must receive the signed internship agreement form no later than 6 weeks prior to the start of the student's third semester.
- The student may not begin the internship until the student, the field supervisor, the program director, and the internship advisor have signed both the internship application/approval form and the internship agreement form.

## **ELEMENTS OF THE INTERNSHIP EXPERIENCE**

The student 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 student must meet at least weekly with the internship field supervisor and at least once a month with the internship advisor. The internship syllabus which can be found in the Internship Guide establishes expectations and goals common to all internship experiences.

## **INTERNSHIP EVALUATIONS**

Internships may span two semesters and are evaluated at the end of each semester. At the conclusion of the first semester of the internship, the student compiles an internship portfolio comprised of: (a) an activities log demonstrating a minimum of 150 hours, (b) a reflective journal, and (c) a statement of any changes to the internship for the second semester, including any revisions to the goals and objectives.

- 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 student submits the portfolio and the signed evaluation form to the internship advisor, who reviews all of the materials and assigns a grade for the first internship semester.
- The above 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.

Students who do not satisfactorily complete the internship, will be given an Incomplete (I) grade, with one semester to work with the internship advisor and 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 Ed.D. Program Dean, and internship 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 student's area of specialization 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 internship advisor in light of the work that the student 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, or teaching graduate level interns or students.

The internship advisor has overall responsibility for training/orientation of internship field supervisors. The internship 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.

The complete Internship Guide can be found by going to the following Ed.D. website:  
<http://www.myunion.edu/academics/edd/docs/edd-internship-guide.pdf>

The Internship Guide contains additional information regarding the internship, the syllabus and internship forms.

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

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

The Ed.D. program seeks to attract students 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, students complete three 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, students 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 students 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 students' 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 three specific points in the program:

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

The portfolio of reflective essays is expected to explain and document how the student is meeting learning objectives and how the student 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, students 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 student's first academic residency, there will be two 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 2 & 4. The purpose of this review is to:

1. Discuss the student's growth and development since the previous portfolio submission which includes reflections on seminars and practica experiences;
2. Identify areas of the student'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 student using the e-portfolio submission as the base. The faculty advisor summarizes this review and adds this summary to the student'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 a part of the student's intellect. By reflecting on these same criteria as the requirements of this part of the electronic portfolio, the extent of higher level achievement can be demonstrated.

In addition, the E-Portfolio serves as the Program Assessment repository for seminar evaluations of the Ed.D. Program's learning outcomes, competencies and field proficiency.

## **FIELD PROFICIENCY REVIEW**

### **Overview**

Field Proficiency Reviews (FPRs) are designed to assess whether students have developed doctoral level proficiency in specific Ed.D. Program competencies. FPRs are integrated into three capstone seminars during the program's second academic year.

1. INTP 791 – Internship (Semester 3); FPR #1 assesses program competencies addressed in the foundation/core seminars (EDU 700 and 701). Aligned with the internship, this FPR focuses on application of foundational competencies in the practice of leadership.
2. RSCH 786 - Focused Research Design (Semester 4): FPR #2 assesses program competencies addressed in research methodology seminars (RSCH 783, 784, 785 and 786).
3. EDU 825/845 - Schools, Society and Culture - (Semester 4): FPR #3 assesses program competencies addressed in area of specialization seminars (Educational Leadership: EDU 702, 821, 822, 823, 824 and 825; Higher Education: EDU 703, 841, 842, 843, 844 and 845).

Students are expected to demonstrate *comprehensive knowledge*: facility with a wide range of texts and the ability to draw on main ideas of important thinkers and writers in their field of study, linking them together in interesting and relevant ways to other scholars working in the field. In addition, students are expected to demonstrate *depth of knowledge*: the ability to engage, critically and substantively, with texts that both respect and interrogate the students' claims, positions, and arguments. Finally, students are expected to demonstrate *advanced academic skills*, including (but not limited to) the ability to develop and sustain a line of argument that is coherent and supported with viable, text-based evidence, while writing clear scholarly prose.

FPRs provide the program faculty and administration an opportunity to assess the doctoral level competencies of each student and to assure readiness to proceed to the dissertation phase. Thus, it is essential that students develop their responses on their own. Students who confer with peers on the FPR or seek outside assistance with editing will be subject to academic sanction.

## **Process**

The instructor of the capstone seminar provides students a FPR question (or choice of alternative questions) during the semester in which it is to be completed. Students have no less than six weeks to complete the FPR. Late submissions will not be accepted.

FPRs are reviewed by a committee comprised of three Ed.D. faculty members (assigned by the Dean). Individually, each committee member evaluates a student's FPR utilizing the FPR rubric. Subsequently, the committee meets to achieve a consensus score for each rubric element (scale of 1-4, with a 3 representing proficiency).

After the first submission of the FPR, the committee can assign a PASS, NOT PASS or REVISIONS REQUIRED. In order to earn a PASS, each rubric element must be evaluated no lower than a 3 (Proficient). If more than 50% of the rubric elements are evaluated below a 3, the student's FPR will be assigned a NOT PASS and will be required to complete a new FPR in the next term. If the student earns a score of 3 on 50-100% of rubric elements, she/he will be assigned a status of REVISIONS REQUIRED. In this case, the committee will provide the student 30 days to revise the paper in order to address those elements that were evaluated as falling below the level of proficiency. If the student does not submit the revised version of the FPR within the 30-day period, she/he will be assigned a NOT PASS. One committee member will be assigned to review the revised version of the FPR. On this round of revisions, the student can only earn a PASS or NOT PASS.

If a student earns a NOT PASS on the FPR by the end of the first term attempted, she/he will be expected to earn a PASS during the subsequent semester. Failure to do so will result in the initiation of the Special Review Process as outlined in the Union Institute & University Catalog.

Because the FPRs are components of seminars, a student must submit the FPR in a timely fashion in order to earn credit for the capstone seminar. The committee evaluation of the FPR does not factor into the seminar letter grade.

Students may not register for RSCH 880 Dissertation Research or begin collecting data for the dissertation without first having passed each of the three FPRs and the dissertation committee's acceptance of the dissertation proposal. Thus, if all non-dissertation work has been completed, the student may be required to enroll for an extension term in which to complete work on FPRs that have not been passed.

## DISSERTATION COMMITTEE FORMATION

The Dissertation Committee is the formal decision-making body whose purpose is to guide the student's dissertation and progress towards degree completion. The student must be actively working with a faculty advisor and program administration in order to identify potential Dissertation Committee members as early as Semester 1 (or Semester 2). **The committee should be in place by the end of Semester 3 facilitated by the sharing of the dissertation prospectus in EDU 891 (Literature Review) with the prospective dissertation committee chair and committee members in order to ensure the student completes the dissertation proposal by the end of Semester 4, which is the outcome of the Focused Research Design Seminar (EDU 786). Although the instructor of EDU 786 will accept and assign a grade for the dissertation proposal generated in that seminar, acceptance of the dissertation proposal will require committee approval.** To facilitate progress in his or her program, it is to the student's advantage to have the Dissertation Committee in place by the end of Semester 3 in order for the committee to support the student'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 members are nominated by the student after consultation with the prospective Dissertation Chair.**

The student 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 student 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 student's program. The student should be careful to provide information about any relevant prior relationship between the student and the nominee. **The Dean will review the nominees and approve or disapprove the Dissertation Committee nominees.** If, for any reason, the **Dean** does not approve one or more of the student's nominations, the student may then provide further information about their present nominees or prepare other nominations.

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

### **Students are expected to:**

- Communicate productively and regularly with the Dissertation Chair, Dissertation Committee, and the Ed.D. Graduate College Office 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 Student Handbook.
- Schedule and conduct meetings of the Dissertation Committee.
- Submit all forms and documents to the Dissertation Chair for review and signature before the forms are submitted to the Ed.D. Dean.
- 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 student.
- Be responsible for managing their own roles and perform them with the same high standards expected of the student.
- Return dissertation material to the student in a timely fashion, **not to exceed three (3) weeks**.
- Share in the responsibility for helping to make the committee an effectively functioning body.

### **DISSERTATION CHAIR**

The student's first step in nominating a Dissertation Chair is to establish a relationship with a member of the Ed.D. faculty of the Ed.D. Program. The faculty member must be qualified in the student's area of specialization, either Educational Leadership Pre K-12 or Higher Education. This individual must be someone with whom the student feels comfortable; who can challenge the student 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 student to maintain an administrative link with the Ed.D. Program Office. As keeper of the process, the student is responsible for seeing that Ed.D. Dissertation procedures are understood and respected in order to assure quality throughout the student's Ed.D. Program. The Dissertation Chair also supervises the committee and has **final decision-making authority regarding all Committee deliberations and actions**.

Students nominate members of the Dissertation Committee with the advice and consent of the nominated Dissertation Chair. **The nomination of the Dissertation Chair and Committee Members should be reviewed and approved by the Dean by the end of Semester 3 or the first week of Semester 4.**

### **DISSERTATION COMMITTEE MEMBERS**

Faculty who serve as Dissertation Committee members ensure that students have achieved a high level of scholarship and that their contributions to the body of knowledge will be acceptable to others in their field.

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 student'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 student's literature review.
- To advise other committee members on the importance and timeliness of the student'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 student'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 student 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.

Students may not select relatives for their committee. Students may not select committee members with whom they have dual professional relationships that would compromise academic judgment. Students may not select a member of their cohort, even if that person has completed the program. **The Committee Chair maintains the prerogative of recommending to the Dean disapproval of any prospective committee member or structure that in the Committee Chair's judgment does not represent appropriate educational research practice. The Dean exercises final judgment in all matters related to Dissertation Committee membership.**

### **REPLACEMENT OF DISSERTATION COMMITTEE MEMBERS**

Careful selection normally will enable the student'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 student wishes to replace the Dissertation Chair, the student must first discuss the issues with this person. If agreement is not reached, a written request must be made to the Ed.D. Dean 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 regarding the replacement of the Chair.**

Once a statement affirming the student's proposal has been accepted by the committee, then any changes in the committee will entail the acceptance of the student's proposal by the new committee member.

### **DISSERTATION COMMITTEE REVIEW**

The student will complete her/his dissertation proposal as part of the research seminar, Focused Research Design Project. Once complete, the student will submit her/his proposal to the chair of their 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 the student provide her/his committee members with

sufficient time to read and react to each iteration of her/his dissertation proposal and any subsequent dissertation drafts. As a matter of courtesy it is best to plan on allowing three (3) weeks time to receive feedback from committee members.

## **THE DISSERTATION**

### **DISSERTATION GUIDELINES**

The dissertation integrates and adds to the learning accomplished in other phases of the student's 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 student to exercise her/his originality and creativity so the work provides new knowledge and approaches to the larger scholarly community.

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 student's area of inquiry. (See Union Institute & University Catalog section on "Research with Human Subjects: Institutional Review Board.")

**Traditionally, dissertations require a review of the literature and the collection and analysis of data. Dissertations may be quantitative, qualitative, historical, theoretical or mixed-methods in design.** They may 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 the student can critically examine a problem, integrate information, operationalize concepts, **conduct** a research project and communicate the essential aspects of the study. The dissertation will give the student the opportunity to demonstrate the critical thinking skills and writing skills essential for professional practice in education.

### **DISSERTATION PROPOSAL**

Once the Dissertation Committee has been formed, the student should consult regularly with their Chair to develop a proposal, obtaining guidance on the manageability of the topic and general consensus on its direction and suitability. However, during this formation stage, the student's primary guide will be the instructor of EDU 786, Focused Research Design. After having approval from the instructor of EDU 786, the student will submit a draft dissertation proposal 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 (no longer than three weeks) feedback to students regarding their proposals. A Dissertation 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 the student is motivated to conduct it, and a description for the need for it);
3. A current preliminary literature review appropriate to the methodology; 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. The Dissertation Proposal must be written in APA style, commonly used in the area of specialization, Educational Leadership Pre K-12 or Higher Education. The literature review, theoretical foundations, and methods must be well-developed for the Dissertation Proposal to be accepted

### **THE DISSERTATION PROPOSAL MEETING**

The student must have received approval on all three Field Proficiency Reviews (FPRs) before being permitted to hold the Dissertation Proposal Meeting. The Dissertation Proposal Meeting is conducted at the end of Semester 4 or the beginning of Semester 5 either face-to-face or 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 student 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 student to schedule the Dissertation Proposal Meeting. The student 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 of 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.

The purpose of the Dissertation Proposal Meeting is to bring the Dissertation Committee together to evaluate the student's Dissertation Proposal. It is a working meeting so that the student can benefit from the committee's collective wisdom as the student 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. A student and his/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 student's area of specialization. The committee's charge is to review the student'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 student to incorporate committee recommendations into the proposal and will work with the student to develop, implement and monitor a plan for work on the Dissertation. **Once the Dissertation Proposal is approved, the Proposal becomes a mutually-binding document between the**

**student and the University and may not be altered without all parties agreeing to any requested change(s).**

## **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 student 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 student'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 a student develops their own personal time line for performing the task and meeting deadlines. It is critical that the student thinks through all of the dimensions of the proposed study. The student's committee may require the student to create and validate specific research instruments and/or to conduct a pilot study. Frequent meetings with the Committee Chair will keep the student apprised of these conditions.

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

### **DISSERTATION SUPERVISION (DS780)**

If a student registered for RSCH 901 Dissertation in Semester 6 does not complete the research and writing of the Dissertation by the end of Semester 6, the student 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. Students 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 student's dissertation and have only minor or no changes to recommend, the student may schedule the Dissertation Defense Meeting. If the Dissertation Committee members are not satisfied with the student's work, they will recommend changes or additions. Upon completion of the required revisions, the student will send the dissertation back to the Dissertation Chair for review. The Dissertation Chair evaluates the dissertation again. The student may circulate the dissertation after Dissertation Chair approval. 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 Dean 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 student's knowledge of the field. The student should expect questions that are thorough and critical. The student should plan to begin the defense of the dissertation with a brief (30 minutes or so) overview of the problem and research questions. The student's chair will then generally ask the first question. Each member of the student's committee will probably have questions for the student and, with the student's thorough knowledge of these individuals, the student should be able to anticipate those questions. Beyond that, the student may be asked other questions from people attending the defense, if invited to do so by the Chair.

The defense is a publicized open event. It is intended to be an important academic event as well as a milestone in the student'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. Students 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 student's Dissertation. The Dissertation Committee must be satisfied that the student 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 student'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 the student is 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 student 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 student to schedule another defense when the work is completed.

## PREPARATION OF THE DISSERTATION MANUSCRIPT

The dissertation is the most significant academic outcome the student will produce during the Ed.D. Program. It demonstrates that the student 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 students have subsequently published dissertations in book form.

Because all dissertations include a major portion of text, the Ed.D. Program recommends that students 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
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.
9. 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.
10. In the text, use standard English whenever possible. The Union Institute & University has adopted a policy that requires the use of nonsexist language.

## PROGRAM COMPLETION EXTENSION

### PCX 799

When a doctoral student reaches the end of her/his 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 student is required to register for **PCX 799 Program Completion Extension (0.00 credits)** for the subsequent six month semester. In order for a student to have this 6-month completion extension approved, the student must have successfully completed all prior enrollment semesters.

Registration of **PCX 799** is required as follows: (1) The program completion extension affords a student additional time to respond to recommendations for edits as a result of the Dissertation Defense meeting or **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 student'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 students for continuing federal financial aid or for in-school loan deferent status. The Registrar's Office is required to report students on this extension as registered less than half-time during the next scheduled report to the National Clearinghouse.

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

A student 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 initial enrollment date.

**The student may petition the Dean for an extension of up to two semesters to complete the dissertation; petitions for extensions must be submitted to the Dean at least three months prior to the end of the seventh year of enrollment in the program. A petition for an extension must receive the support of the students' dissertation chair. The Dean in turn, will approve or disapprove the extension request.**

Students 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. Students who have been granted an extension and fail to meet all program requirements within the extended time period will be dismissed from the program.

## **FOLIOTEK**

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

FolioTek is the website used for hosting the Electronic Portfolio. During the IAR, students will be given instructions how to log in, submit 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**

Forms regarding the Ed.D. Program can be found on the Ed.D. website:  
<http://www.myunion.edu/academics/edd/forms.html>