

UNIVERSITY OF HOUSTON - CLEAR LAKE

COLLEGE OF EDUCATION

EDLS DOCTORAL GUIDE

Spring 2022

COLLEGE OF EDUCATION DOCTORAL GUIDE

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I. PREFACE

This College of Education's (COE) Educational Leadership (EDLS) doctoral guide provides information on policies and procedures related to the doctoral/dissertation process as well as material on the formatting and structure of the dissertation itself. While intended to be comprehensive, certainly there are omissions and questions that will arise. As a student/candidate¹ working through the doctoral/dissertation process, you should keep in close contact and clarify any questions with your faculty advisor/dissertation chair. It is better to ask questions first, rather than having to go back and correct problems that could have been prevented. Students also are referred to the academic calendar for submission dates that may apply.

II. ADMISSION AND READMISSION

The time frame for completion of the doctoral program is 7-years from the start of the program. At the end of the seventh year, a doctoral candidate is allowed to petition the EDLS doctoral admissions committee for a one-year extension if the candidate's dissertation proposal has been approved and satisfactory progress is being made towards dissertation completion. If necessary, to successfully complete the dissertation, the candidate can petition the doctoral admissions committee for a second and final one-year extension to complete the dissertation. There is not a third-year extension. If a doctoral student/candidate does not enroll in coursework for a minimum of 3 consecutive semesters, he or she must reapply to the EDLS program and be re-evaluated by the EDLS admissions committee for readmittance. The student/candidate would send a letter to the Director of Admissions, who then will forward it to the admissions committee explaining the rationale behind the absence and his or her plan moving forward in the program. The EDLS admissions committee members and its chair are appointed by the EDLS program coordinator on a yearly basis during the fall semester. The admissions committee is comprised by a minimum of five faculty members actively teaching in the EDLS program for the past two years.

¹ Doctoral student refers to a student prior to passing comprehensive exams. A doctoral candidate refers to a doctoral student who has passed comprehensive exams and moved into the dissertation phase of his/her program.

III. DOCTORAL EXAMINATION

A doctoral examination is required as the student nears completion of coursework in the EDLS program. The examination is designed to ensure that the student has a firm foundation of the knowledge required for successful completion of the program. Successful completion of the doctoral examination attests to the student's ability to undertake independent research and marks the student's Advancement to Candidacy. Advancement to Candidacy is required before the student may begin the dissertation process. Candidates should consider possible dissertation topics and conduct preliminary literature reviews as early in the program as possible. Having a dissertation topic in mind by the time the student is advanced to Candidacy is advantageous and highly encouraged.

The examination is broken into two portions: (a) leadership and (b) research. In order for doctoral students to qualify to take the leadership portion, they must have successfully passed EDLS 7238 Marketing of Educational Services for Nonprofit Organizations; EDLS 8130 Strategic Planning & Systems Alignment; EDLS 8132 Transition and Change Management; EDLS 8230 Ethics, Values and Social Responsibility; EDLS 8330 Human Resources Administration; and EDLS 8430 Financial Resources Management. In order to qualify to take the research portion, the doctoral students must have successfully passed EDLS 7031 Quantitative Research I; EDLS 7032 Quantitative Research II; and EDLS 7033 Qualitative Research. Students are required to pass both portions prior to moving onto the candidacy phase of their program.

Both portions of the examination are proctored on the same day and students are allotted up to 3-hours for each. Once the examinations have been graded pass/fail by faculty members, the results are e-mailed to the EDLS Program Coordinator. The examination results are communicated in writing to the doctoral students by the EDLS Program. Doctoral students have two opportunities to "pass" both portion(s) of their examinations. If a doctoral student fails one or both portions of the examination, he/she is required to schedule a meeting with the EDLS Program Coordinator, an ELPA research faculty member (if the student failed the research portion), the ELPA Department Chair, and the COE Associate Dean to review their "failing" portion(s) and put in place a strategic plan to assist the student to pass for the second time. Within 6-months of failing, the student must contact the EDLS Program Coordinator to schedule a retake date.

If a doctoral student fails one or both of the portions for a second time, the student is “removed” from the EDLS program for one year. The doctoral student is required to schedule a meeting with the EDLS Program Coordinator, an ELPA research faculty member (if the student failed the research portion), the ELPA Department Chair, and the COE Associate Dean to review their “failing” portion of the examination and put in place a strategic plan to assist the student in passing for the third time. The strategic plan consists of actions the student must take in order to be eligible to retake the examination. During this time, the student is required to retake the portion(s) he/she did not pass. If a doctoral student once again fails, he/she are permanently expelled from the EDLS doctoral program with no right to reapply. After one year, the student has the opportunity to reapply to the EDLS program by writing a letter to the Doctoral Admissions Committee stating what he/she has done over the past year to ensure their success in completing the EDLS program in a timely manner. If the Doctoral Admissions Committee grants readmission, the doctoral student can reenroll in the program and complete his/her degree.

IV. APPOINTMENT OF DISSERTATION COMMITTEE CHAIR

Following the successful completion of the doctoral comprehensive examination the student advances to candidacy and becomes a doctoral candidate. At this time, the candidate may select a dissertation chair and a dissertation committee (see Attachments 1 and 2). The EDLS program coordinator provides the candidates with a list of faculty members who are eligible to serve as dissertation chairs. Eligibility to serve as a dissertation chair requires that the faculty member have successfully served on a minimum of two doctoral dissertations (i.e. the faculty member must have served on two completed dissertations). In the case of dissertation committee co-chairs, at least one of the co-chairs must be eligible to serve as chair. A full-time UHCL faculty member outside of COE may serve as chair or co-chair in exceptional cases, with the approval of COE’s Associate Dean. A Dissertation Chair Appointment Form (see Attachment 1) must be completed to appoint a dissertation chair/co-chair. Unless someone else is approved by the Associate Dean, the dissertation chair will serve as the student’s faculty advisor. The EDLS program coordinator is no longer involved in the candidate’s dissertation process once he/she formally obtains a dissertation chair.

V. APPOINTMENT OF DISSERTATION COMMITTEE

The dissertation committee requires a minimum of four members, but may have more, who can support the candidate in the completion of the dissertation. All but one member of the committee must be faculty from COE. One member of the committee may be a professional from the workplace/field setting (e.g., superintendent, dean, research specialist) or a faculty member from another UHCL college or accredited university. Under special circumstances (e.g., no COE faculty member has shown interest in working on the dissertation), two external committee members can serve on the dissertation committee. Each member of the dissertation committee must hold a research-based PhD or EdD degree from an accredited university.

The committee selection process should include members who bring strengths to the process (e.g., knowledge of the dissertation topic). The dissertation committee is responsible for: (1) advising the candidate on the research, (2) advising/reviewing the dissertation proposal and dissertation in its entirety, (3) approving the dissertation proposal, (4) approving/disapproving the dissertation defense; (5) approving and signing off on the final dissertation, and (6) certifying that all degree requirements have been fulfilled thus entitling the candidate to the doctoral degree. A Dissertation Committee Appointment Form (see Attachment 2) contains the names of the candidate, dissertation committee chair(s), and members of the committee. It is signed by the candidate and the dissertation chair(s) and approved by the EDLS program coordinator and the Associate Dean. For external committee members, a resume must be attached to the Dissertation Committee Appointment Form.

VI. DISSERTATION HOURS

Below are the rules for the dissertation hours which must be a part of the doctoral program:

1. There are two dissertation courses: EDLS 8939 (3 credits) and EDLS 8969 (6 credits). This allows a candidate to fulfill the minimum amount of dissertation hours (6 credits). The decision of how many credits to be taken in a given semester is left up to the candidate in consultation with the dissertation chair. Students do not meet as a class for these courses but rather work independently with their dissertation chair/committee members in the writing of their dissertation (see #5 below).
2. The EDLS program requires that a candidate take at least 6 hours of dissertation during the

program. These hours may be completed in one or more semesters, as recommended by the dissertation chair. Based on a candidate's dissertation study, more than 6 hours of dissertation may be required, but only 6 hours will count toward the completion of the program.

3. Students cannot register for dissertation hours until they have successfully passed the comprehensive doctoral examination and have been admitted to doctoral candidacy.
4. In order to register for dissertation hours for the first time, candidates must email the Associate Dean's office their student identification number and the name of their dissertation chair.
5. Once registered for dissertation hours, candidates must maintain continuous registration in dissertation at least during long semesters (fall/spring) until graduation. Once initially registered for dissertation hours (regardless of which course), candidates will automatically be registered for EDLS 8939 in all subsequent long semesters until graduation. If the dissertation chair decides that a candidate should register for the other dissertation course (EDLS 8969), then the candidate should drop EDLS 8939 and email the Associate Dean requesting that he/she be enrolled in EDLS 8969. Students may only register for EDLS 8969 (6-hours) for the first semester they are enrolling in dissertation hours and must be defending their final dissertation during that semester.
6. Once registered for dissertation hours, registration may be waived during the summer semester if the candidate will not be using any university resources (e.g., faculty, library, computers) during the summer semester. This waiver is for the summer semester only. Candidates wishing to enroll in dissertation hours during the summer semester must email the Associate Dean with the course number (EDLS 8939), their student identification number, and the name of their dissertation chair.
7. If, for any reason, the graduation semester is delayed until after the semester in which the dissertation is completed (e.g., the dissertation defense falls outside of specified deadlines to meet graduation for that semester), then registration in dissertation during the semester of graduation may be waived. The request for the waiver must be sent by the dissertation chair to the Associate Dean by the Friday of the week before the start of classes in the semester of graduation. The request must include an explanation of why graduation has been delayed

beyond the semester in which the dissertation was approved and a statement that the candidate will not be using any university resources in the semester of graduation.

VII. DEVELOPMENT AND APPROVAL OF THE DISSERTATION PROPOSAL

In the development and approval of the dissertation proposal the following steps are followed:

Step 1: The candidate and dissertation chair work to focus the candidate's area of research toward developing a dissertation proposal. In advancing the process of identifying a dissertation topic, the candidate may be required to submit to the dissertation chair a four-to-five-page outline which describes: (1) the background or context of the proposed research study; (2) a problem statement, along with research questions or hypotheses; (3) a statement noting the significance or importance of the research topic; and (4) an outline of the methodology to be utilized.

Step 2: The dissertation chair reviews the proposal, determining whether to move forward on the research topic or to have the candidate develop a new topic. Once the topic is sufficiently developed, committee members are selected who can support the candidate in the completion of the research topic. These members provide feedback on the development of the dissertation proposal. The proposal consists of the first three chapters of the dissertation, with the understanding that the literature review may not be fully developed. Typically, the proposal is approximately 35 to 40 pages in length, but can be longer.

When the committee has agreed that the candidate's proposal is sufficiently well developed, an oral defense of the dissertation proposal is scheduled. There is no set deadline for when the dissertation proposal defense is scheduled. While it is preferred that all members of the committee be present at the defense, if extenuating circumstances exist, the defense may be held with one member absent. Approval of the proposal must be unanimous, although final approval may be contingent on required changes to the proposal. Any member not attending the defense must also approve the proposal before the candidate can proceed with the study. Once the committee approves the dissertation proposal, the candidate may move forward on the dissertation's development. Following the defense, a copy of Attachment 3 (see Dissertation

Proposal Signature Page), signed by all members of the committee is to be forwarded to the Associate Dean along with the copy of the approved proposal.

If there is a need to change the dissertation chair or other committee members, this change, along with a rationale for the change and a recommendation for a suitable replacement(s), should be discussed by the candidate with the current chair(s) or Associate Dean. Request for approval of the new dissertation chair or committee member(s) is directed to the Associate Dean. A new Dissertation Committee Appointment Form (see Attachment 2) will need to be completed and approved.

VIII. COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS APPROVAL

Doctoral students are required to receive approval for their proposed research from the Committee for the Protection of Human Subjects (CPHS). The CPHS application must be completed and submitted to the faculty sponsor or dissertation chair. It is essential that the steps outlined below be followed carefully, as deviation from these steps is a violation of federal regulations and can nullify the use of data collected prior to CPHS approval. The doctoral student should submit his/her CPHS application form, along with any supporting documentation listed in the application (e.g., instruments, interview questions, consents, assents, site approval letters, CITI certificate), to their faculty sponsor or dissertation chair for review. Once the faculty sponsor or dissertation chair has approved the doctoral student's CPHS packet, he/she will submit it via email to the Office of Sponsored Programs (OSP) (sponsoredprograms@uhcl.edu). OSP will not accept any applications directly from the student.

Doctoral students and faculty members conducting joint research prior to the approval of the dissertation proposal must also submit a CPHS application. This research may lead to the student's dissertation and the data collected would be considered archival. However, it is still expected that once the dissertation proposal is formally approved any necessary CPHS modifications to the original CPHS application and/or CPHS extensions is submitted by the student to the faculty member. The faculty member submits the documentation to OSP. Candidates may not proceed with their research until CPHS approval is received. Any work with human subjects prior to such approval will be nullified. The student should note that a

minimum of 2-weeks should be allowed for the CPHS review. CPHS approval is for one year and if the research extends beyond one year, the student must let the CPHS committee know by applying for an extension to continue the research.

IX. DISSERTATION DEFENSE AND APPROVAL

To officially schedule the dissertation defense, there must be agreement among dissertation committee members regarding the readiness of the candidate to defend the dissertation. An Application for the Dissertation Defense form (see Attachment 4) must be completed and signed by the candidate and committee members, and approved by the EDLS program coordinator and the Associate Dean. The Application for the Dissertation Defense form must be submitted to the Associate Dean at least 5-working days prior to defense. The signing of the Application for the Dissertation Defense Form does not constitute approval of the dissertation. Following the defense, a copy of Attachment 6 (see Dissertation Signature Page), signed by all members of the committee is to be forwarded to the Associate Dean along with the copy of the approved proposal. Final approval of the candidate's dissertation is granted upon receiving COE's Dean's signature.

The candidate and the candidate's dissertation chair are responsible for completing the Application for the Dissertation Defense form, setting the date for the defense, scheduling the room for the defense, handling equipment needs, and so forth. The candidate must provide copies of the completed dissertation to the dissertation committee at least 14-days prior to the scheduled date of the defense. While it is preferred that all members of the committee be present at the defense, if extenuating circumstances exist, the defense may be held with one member absent. Any member not attending the defense must be afforded the opportunity to review and approve or not approve the dissertation.

The dissertation defense includes a presentation of the study (not to exceed 30-minutes) and an oral examination where each committee member has the opportunity to ask questions. At an appropriate time, typically after one to two hours, the dissertation chair invites the candidate to leave while the dissertation committee deliberates on the performance of the candidate. The committee, as a whole, judges the quality of the candidate's work and recommends approval/disapproval of the dissertation. Later, the candidate returns to receive the results.

The committee shall decide one of the following:

1. Pass, with minor or no editorial revisions to the written document. Revisions are to be approved by the dissertation chair.
2. Pass, with substantive revisions of the written document. Revisions are to be approved by the dissertation committee unless the dissertation committee delegates approval to the dissertation chair, or the dissertation chair and specified members of the committee. When substantive revisions are required, the dissertation chair requests each dissertation committee member to present desired revisions, with the dissertation chair informing the candidate of the expected changes. Once the revisions have been completed, unless a different approach is recommended by the dissertation committee, the dissertation chair will either: (1) contact each dissertation committee member to determine acceptance of the revisions, or (2) hold a meeting of the dissertation committee with the candidate to discuss the written revisions. If a meeting is scheduled, then the candidate must provide the dissertation committee a copy of the revised document at least 14 days prior to the scheduled meeting.
3. Fail, with major revisions necessary prior to second and final defense option, unless a second defense is not agreed upon by the dissertation committee.

The dissertation committee as a whole shall handle differences of opinion, with the dissertation chair guiding the candidate on agreed upon required changes. The dissertation chair may choose to consult with the chair of the doctoral program or Associate Dean in resolving dissertation committee conflicts. When consensus among dissertation committee members is not possible, a candidate may pass the examination with one dissenting vote. A dissenting member has the option of not signing the dissertation approval form. It is anticipated that this option will happen rarely, since dissertation committee members will seriously attempt to resolve differences.

If there is a failed oral examination, the dissertation committee may approve the scheduling of a second defense no sooner than 6-weeks from the time of the first oral examination and the candidate will work with the dissertation chair and other members of the dissertation committee to make required changes to the dissertation. The candidate must provide

copies of the complete dissertation to the dissertation committee at least 14-days prior to the scheduled defense.

If the dissertation committee determines that a second defense will not be allowed or the candidate fails the dissertation defense a second time, the candidate may petition the Dean for the opportunity to initiate dissertation work on a different topic and with a different committee. At the conclusion of the dissertation defense, a copy of Attachment 5, Final Defense of the Dissertation, is to be signed by all members of the committee and forwarded to the Associate Dean.

X. FINAL EDITING AND SUBMISSION

Candidates must make any changes prescribed by the dissertation committee, typically under the supervision of the dissertation chair and other members of the dissertation committee. It is the candidate's responsibility to ensure submission of completed work with sufficient time to meet a graduation deadline. Sample copies of all front matter pages are provided in the Sample Pages document.

XI. DISSERTATION TIMELINE FOR GRADUATION

There is a structured sequence of deadlines that must be met in order to graduate in a given semester. These deadlines relate to the defense of the dissertation, making required revisions, library review, and final approval by the Dean and Associate Dean. In general, the dissertation must be completed early in the semester in which graduation is anticipated. Students are advised to check the academic calendar for specific deadlines in a given semester, including the deadline date to apply for graduation, and candidates should consult with their dissertation chair if there are any questions.

XII. GUIDE FOR THE PREPARATION OF A DISSERTATION

A. Library

Candidates are encouraged to take full advantage of support from the Neumann Library. Library support is available throughout the proposal and dissertation process. Librarians can help you identify information resources such as databases, books, and secondary datasets relevant to your research, construct searches in article databases, use EndNote to manage references, and other tasks. To schedule an appointment with a librarian, complete the form at:

<http://libguides.uhcl.edu/dissertation/contact>

B. Writing Center

The UHCL Writing Center offers regular appointments and tailored programming for graduate students drafting, writing, revising, and editing major projects, such as dissertations and theses. Please contact the Assistant Director and Graduate Programming Coordinator for more information.

C. Deadlines

Consult the College of Education calendar distributed by the office of the Associate Dean or check the library website for deadline dates related to the completion of a dissertation <http://libguides.uhcl.edu/dissertation>. Also, the candidates should check with his/her advisor or dissertation chair prior to beginning the dissertation for any additional requirements or regarding any questions not answered by this *Guide* or the UHCL *Graduate Catalog*.

Once the dissertation chair and the committee have agreed that a dissertation defense may be scheduled, copies of the final dissertation to be considered for approval by the dissertation committee must be submitted to the dissertation committee at least 14 calendar days in advance of the defense. Following the successful defense of the dissertation and having made all changes required by the committee, the dissertation must be uploaded to the Vireo Thesis & Dissertation Submission System at by 5:00 PM on the submission deadline date. The University of Houston-Clear Lake's College of Education accepts electronic dissertations in PDF format only. For more details on dissertation submission, contact Linsey Ford (ford@uhcl.edu) in the library.

D. Dissertation Format Check

All dissertations, abstracts, and proposals developed within the College of Education are to follow the most recent adopted edition of the American Psychological Association's (APA) Publication Manual of the *American Psychological Association*. Whenever there are differences in format and layout between the specifications of the Dissertation Guide and the APA Publication Manual, the Dissertation Guide overrules the style guide. Students are urged not to go to recent dissertations or journal articles to develop a format, but rather to purchase and follow the APA *Publication Manual*. Subsequent to the format check and making any corrections that may result

from this, the dissertation must be submitted for approval to the Office of the Associate Dean. Upon approval by the Associate Dean, the dissertation will be forwarded to the Dean.

XIII. EDLS PROGRAM COMMITTEE

The EDLS Program Coordinator will be responsible for scheduling and conducting all EDLS Program Committee meetings. The purpose of the EDLS Program Committee is for the EDLS Program Coordinator to update stakeholders associated with the program on the status of the EDLS program, disseminate the results of the student exit/satisfaction surveys, and discuss any other information related to the program. This committee will meet at least once a year and as determined by the EDLS Program Coordinator in consultation with the Educational Leadership and Policy Analysis (ELPA) Department Chair. Membership of this committee will consist of full-time faculty from the ELPA Department, who are eligible to teach in the EDLS program, plus one full-time faculty representative for each of the specializations taught by faculty from other departments (C&I, INST, Reading, Special Populations). Prior to each meeting, the EDLS Program Coordinator will send an invite to each committee member. This meeting will allow for committee members to ask questions and provide any necessary feedback concerning the program to the EDLS Program Coordinator. Any edits/changes to the EDLS program approved by this committee will be brought to the ELPA Department by the EDLS Program Coordinator. All edits/changes to the EDLS program must be approved by the ELPA Department prior to moving to any other committee outside of the department.

ATTACHMENT 2

DISSERTATION COMMITTEE APPOINTMENT FORM

Tentative Dissertation Title

Candidate (Print/Type)	Candidate Signature	Student ID
------------------------	---------------------	------------

Candidate Email	Date
-----------------	------

Dissertation

Committee Chair: _____
Name Signature

Co-Chair (if any): _____
Name Signature

Methodologist: _____
Name Signature

Dissertation

Committee Members: _____
Name Signature

_____ Name Signature

_____ Name Signature

Attach current vita for any non-School of Education committee member.

Approved:

Committee Chair Signature	Date
---------------------------	------

Committee Co-Chair Signature	Date
------------------------------	------

The Dissertation Committee Chair's signature on the form signifies that the chair has confirmed that each member of the committee has agreed to serve on the committee.

DENIED APPROVED

Doctoral Program Chair Signature	Date
----------------------------------	------

DENIED APPROVED

Associate Dean Signature	Date
--------------------------	------

ATTACHMENT 3

DISSERTATION PROPOSAL SIGNATURE PAGE

- 1.25" margin -

Proposal Title (Double Space)

A Dissertation Research Proposal Presented

by

Candidate

APPROVED BY

Chair

Committee Member

Committee Member

Committee Member

RECEIVED BY THE COLLEGE OF EDUCATION:

Associate Dean

Dean

ATTACHMENT 4

APPLICATION FOR THE DISSERTATION DEFENSE

**University of Houston-Clear Lake School of Education
Doctor of Education Degree (EdD) in Educational Leadership Program**

This application must be submitted to the Office of the Associate Dean after it has been signed by the EdD Candidate and Dissertation Committee Members. It must be submitted to the Office of the Associate Dean at least 5 working days prior to the schedule dissertation defense.

Candidate (Please Print): _____

Mailing Address: _____

Phone Number: _____ Email: _____

ID#: _____ Dissertation Defense Date: _____

Candidate Signature: _____ Date: _____

Chair: _____ Date: _____

Committee Member

Committee Member

Committee Member

Committee Member

Date Received in the Associate Dean's Office: _____

DENIED APPROVED

Associate Dean Signature Date

ATTACHMENT 5

FINAL DEFENSE OF THE DISSERTATION FORM

_____ Dissertation Title _____

Candidate _____ Student ID _____

Date of Final Defense: _____

Committee Decision

- Pass, with minor or no editorial revisions (revisions are approved by the dissertation chair)
- Pass, with revisions (approved by the committee)
- Fail, with major revisions prior to a second and final defense option
- Fail, with no second defense option.

The Committee Decision is Approved By:

Dissertation Chair: _____ Date _____
Signature

Committee Member: _____
Signature

Committee Member: _____
Signature

Committee Member: _____
Signature

Committee Member: _____
Signature

Dissenting Vote, if any:

Committee Member: _____
Signature

ATTACHMENT 6

DISSERTATION SIGNATURE PAGE

- 1.25" margin -
Proposal Title (Double Space)

by

Candidate

APPROVED BY

Chair

Committee Member

Committee Member

Committee Member

RECEIVED BY THE COLLEGE OF EDUCATION:

Associate Dean
