**Curriculum and Instruction Ph.D. Program**

**Policies and Procedures**

College of Education (COE) faculty and staff are dedicated to supporting graduate students through to the completion of their program with appropriate advisement. At the same time, students are responsible for ensuring that they have completed all programmatic requirements and filled out all appropriate forms in a timely manner. Adherence to Graduate College (GC) deadlines is essential so students should check the academic calendar regularly.

**Common Terminology**

The following terms will be used consistently across the Ed.D in Curriculum and Instruction:

* GC is the Graduate College, the unit that sets policies/procedures for all graduate programs at NAU. GC offices are located in Ashurst, Building #11, Rm A107
* Comprehensive Exam Committee, Dissertation Committee
* Phase 1 - Coursework
* Phase 2 - Qualifying Research Project / Comprehensive Examination
* Phase 3 - Prospectus & Candidacy (prospectus provides a conceptualization of the subject matter, along with a literature review and methodology: Chapters 1-3)
* Phase 4 - Research and Dissertation

**Qualifying Research Project / Comprehensive Examination**

Upon completion of coursework, C & I doctoral students begin the second phase of the program: the qualifying research project and the comprehensive examination. The examination is in two parts: a written response to three questions and the oral defense of the written answers provided. The purpose of this examination is to assess students’ level of proficiency related to the programs learning outcomes. In summary, students are to demonstrate the necessary knowledge, skills, and dispositions to qualify as a doctoral candidate. Students have 16 weeks (4 months) to complete this phase and are required to be enrolled in 3 units during this phase.

The comprehensive examination covers three areas in the C & I Doctoral Program: Curriculum and Instruction, Field of Study\Discipline-specific, and Research. Questions shall be developed for each area, and at least one question must be written that requires students to integrate all three areas. (Please see more details in the program handbook)

The qualifying research project provides evidence of research and scholarly competence, and demonstrates the student’s potential for undertaking the advanced research activity expected in a doctoral program. The qualifying research project is an independent research study in which the student assumes complete responsibility for the research, including the identification of a research problem, explication of the theoretical framework, a detailed literature review, and the research design process. This part of the doctoral program ensures a student’s ability to conceptualize, plan and/or implement a major research initiative. The qualifying research must show familiarity with previous work in the field and must demonstrate the ability to carry out research, organize results, and defend the approach and conclusions in a scholarly manner according to disciplinary norms. The qualifying research project must be written in compliance with norms for academic and scholarly expression and for publication in the public domain. In addition, the qualifying research project must constitute original scholarship. In order to demonstrate the independent nature of the scholarship, the student must clearly describe his or her role in the research and provide supporting documentation of the student’s role as distinguished from others involved with the work.

**The Dissertation Committee**

In consultation with the C & I Coordinator, the student will select their doctoral dissertation chair and committee. The committee chair submits the [Dissertation Committee Recommendation Form](http://www2.nau.edu/gradcol/ThesesDiss/Dissertation_Committee_Rec.docx) to the coordinator and department chair/s for approval. A Committee Recommendation includes the proposed members, a 1 to 2-page summary of the proposed research, and the curriculum vitae of any members not employed by NAU. The summary includes, but is not limited to, descriptions of the scope, purpose, methodology, and impact of the proposed research. The summary also includes a list of the preliminary resources forming the foundation of the research. The department forwards the committee recommendation to the Graduate College for approval and formal appointment.

**The Proposal**

The first step in the dissertation planning process is to schedule a proposal meeting with the dissertation committee. This meeting is scheduled at a time when the student is ready to plan for the study. Before this meeting, a dissertation proposal of 15 to 30 pages is to be submitted to each member of the dissertation committee. This proposal outlines the dissertation work that the student would like to pursue. It must include a summary of the information which will eventually be expanded into chapters (or sections) one, two, and three (problem, literature, design) of the final dissertation. The format of this proposal must conform to the most recent edition of APA guidelines. After feedback from the chair and committee and appropriate revisions, this proposal is then developed into a prospectus.

# The Prospectus

The dissertation committee must approve the student’s prospectus. A copy of the signed prospectus title page must be included with the material submitted in support of the application for admittance to candidacy. Typically, the prospectus is Chapters 1-3 of the dissertation.

Once students begin writing their prospectus, they are to be enrolled in dissertation course credits. 15 hours of credit are required to complete program requirements, although additional hours may be necessary to complete dissertation process. Students must be enrolled in at least one hour of ECI 799 per semester during the research and writing phase of the dissertation phase.

**IRB Approval**

* If human research participants are expected to be used in the dissertation research, doctoral students are responsible for completing the on-line training, submitting an Institutional Review Board (IRB) application, and receiving IRB approval before beginning the research. For guidelines, forms, and on-line training, see: <https://nau.edu/research/compliance/human-subjects/>

<https://about.citiprogram.org/en/homepage/>

<http://nau.edu/uploadedFiles/Administrative/Research/Compliance/_Forms/Special%20Instructions%20for%20Students.pdf>

* Application for IRB approval, if needed, is required after a successful Prospectus defense.

**Graduation Application Guidance:**

*Graduate Admissions Overview:* https://nau.edu/graduate-college/admissions/

*International Admissions Overview:* https://nau.edu/graduate-college/international-graduate-admission/

*Deadlines:* https://nau.edu/graduate-college/deadlines/

*Apply Online:* https://www.applyweb.com/northazg/index.ftl

**Forms (NAU Graduate College)**

<https://nau.edu/graduate-college/forms/>

**Forms (College of Education)**

<https://nau.edu/coe/curriculum-instruction/forms/>

**Curriculum and Instruction Ph.D. Program**

**Ph.D. Checklist for COE Doctoral Students**

*A set of guidelines for the sequence, forms and timeframe*

***Ph.D. Student \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Program: Curriculum & Instruction***

***Committee Chair/Major Professor \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Beginning Semester \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***

|  |  |  |  |
| --- | --- | --- | --- |
| **Admissions** | ***Date Completed*** | ***Forms*** | ***Timeframe*** |
| 1. Apply online and submit the required documents |  |  |  |
| 2. Admission decision is made and initial advisor assigned |  |  |  |
| **Progression- Program of Study (POS) and Committees** | ***Date Completed*** | ***Forms*** | ***Timeframe*** |
| 1. Download POS from GC website and request a planning session with the program coordinator and your advisor. (If applicable complete Petition for Transfer Credit Form for course work taken in other institutions that have been applied to you POS. An initial residency plan must be completed). Complete student Self-evaluation document and confer with advisor.  |  | POS, Residency Plan, Student Self-evaluation Form & Petition for Transfer Credit Form | No later than first semester |
| 2.Identify and seek approval of a faculty member to serve as your permanent advisor/committee chair  |  |  |  |
| **NOTE ON TIMELINE:**Students must pass the Comprehensive Exam and complete a qualifying research project no later than the last semester of Ph.D. course work or the following semester. |  |  |  |
| 3. Enroll in course based on program sequence. All enrollment, residency, and progression policies as well as deadlines required by the program or GC must be followed. |  |  | Prior to Candidacy |
| 4. Prior to completing your last course, review your POS to confirm that it is accurate. Confirm with your advisor that she/he has approved the POS audit, the Residency Plan, and Qualifying Research Completion Form. At least annually, you must complete self-evaluation document and confer with your advisor.  |  | POS, Residency Plan for Approval Form, Petition for Transfer Credit Form, Student Self-evaluation Form & Qualifying Research Completion Form | Prior to scheduling Comprehensive Exam |
| 5. Notify committee chair of intent to take Comprehensive Exam at completion of required course work as identified by the program and complete required Comprehensive Exam Scheduling Form |  | Scheduling Form related to Comprehensive Exam & schedule rooms by using the NAU College of Education Event Request Form (<https://nau.edu/coe/coe-event-form/>) | Six weeks in advance of Comprehensive Exam |
| 6. Curriculum & Instruction: Schedule Comprehensive Exam in collaboration with committee chair and members**NOTE:*** Comprehensive Exam may not be scheduled without explicit permission of the committee chair
* The Defenses will only be held on campus.
* Only one repeat of the Comprehensive Exam will be allowed.
 |  | One month in advance of Comprehensive Exam | One month in advance of ComprehensiveExam |
| 7. Results of exam/s are reported to the student by the committee chair. The Comprehensive Exam Report Form is signed by committee chair and doctoral program coordinator and stored in student file.**NOTE:**For the required make-up of the Comprehensive Exam committee, please consult with you chair and coordinator. Once comprehensive examinations are completed, then work on the dissertation can begin. However, some planning and writing may occur either concurrently or prior to completion of the comprehensive examination. In some special circumstances, after consultation with their faculty advisor, students may collect data that will be used as part of the dissertation prior to completion of the comprehensive examination. Additionally, proper IRB approval, if required, must be obtained prior to collection of any data that will be used in the dissertation. However, since this data would be collected prior to having an approved dissertation prospectus, the student must acknowledge (in writing) that they are aware that their dissertation committee may not approve this data for use as part of the dissertation. |  | Comprehensive Exam Report Form(insert questions, forward to committee chair and bring to defense) | Two weeks after the written examination or oral defense |
| 8. Identify Dissertation Committee following program guidelines. In the Curriculum & Instruction program, the committee must include a minimum of 4 members. Faculty and other educators external to the program, department or college may be considered for committee membership but must meet GC requirements for membership and be approved by GC. Committee chair may offer recommendations.Complete Dissertation Committee Recommendation Form which is submitted to the GC for proper routing.**\*Important Note**: See procedures on pg. 2 of this document for steps to follow in order to approve a non-NAU faculty member to serve on a doctoral committee. |  | Dissertation Committee Recommendation Form\*If a non-NAU faculty member is to serve on the committee, see guidelines on pg. 2 of this document for the process that must be followed  | After Comprehensive Exam and prior to first Dissertation Proposal hearing |
| **NOTE ON ENROLLMENT:**Curriculum & Instruction students must enroll for at least 3 ECI 799 credits the term following the last semester of course work (i.e., the semester after or during which the Comprehensive Exam is taken) |  |  |  |
| **NOTE ON TIMELINE:**All degree requirements must be completed within 8 years of being admitted to the program | . | Petition for Extension of Time Limit |  |
| **NOTE ON CHANGES IN COMMITTEE MEMBERSHIP:**Throughout the process, if the student or committee chair wishes to remove and/or replace a committee member, the proper protocol must be followed. Once the committee member to be replaced is informed by the committee chair and a new replacement committee member is selected and agrees to serve, the committee chair is required to complete the proper forms to change the committee. Dissertation Committee Member Change Form is signed by the committee chair, program coordinator, and department chair. A copy of the form must be provided to the removed committee member and the new member, as applicable. The form must be submitted to GC for proper routing. |  | The same form as used for Dissertation Committee Recommendation Form |  |
| **Progression – Writing and Defenses** | ***Date Completed*** | ***Forms*** | ***Timeframe*** |
| **Proposal** |  |  |  |
| 1. Develop Proposal  |  |  |  |
| 2. Request committee chair to read and respond to proposal and make needed revisions. Seek guidance from other committee members, including the methodologist, as needed.When revisions are completed, confirm with committee chair readiness for the proposal hearing. |  |  |  |
| 3. Submit Proposal document to committee member at least 2-3 weeks or more prior to the defense. |  |  | 2-3 weeks or more in advance |
| 4. Student obtains approval from committee chair to schedule the proposal hearing. With approval of the chair, it is the student’s responsibility to schedule the date, time and location of the hearing with all committee members and T&L Admin.Once the meeting information is determined, notify all committee members and the program administrative assistant.If the defense needs to be rescheduled, the student should follow the same process,**NOTE:** * Hearing may not be scheduled without explicit permission of the committee chair.
* All hearings will be held on campus
 |  | Proposal Hearing Schedule Form | 2-3 weeks or more in advance |
| 5. Proposal hearing is held |  | Recommendation of Dissertation Committee Form | Student completes summary of proposal (Two page dissertation topic plus resource materials- reference list). |
| 6. Make revisions and submit modifications or revised draft to committee chair and/or committee members, as requested. Committee chair notifies the student regarding whether the revisions are acceptable for a passing proposal hearing |  |  |  |
| **NOTE ON ENROLLEMNT:**Candidates must enroll for at least one (1) dissertation credit (Ph.D. Curriculum & Instruction) while dissertation work is in progress. The GC appeals process may be used to ask for exceptions to this policy |  |  |  |
| **Prospectus** | ***Date Completed*** | ***Forms*** | ***Timeframe*** |
| 1. Develop Prospectus following program guidelines |  |  |  |
| 2. Request committee chair to read and respond to the Prospectus document and make needed revisions. Seek guidance from other committee members, including the methodologist, as needed, and agree upon with committee chair. |  |  |  |
| 3. When revisions are completed, confirm with committee chair readiness for Prospectus defense |  |  |  |
| 4. Submit Prospectus document to committee members at least 2-3 weeks or more prior to the defense |  |  | 2-3 weeks or more in advance |
| * Candidate obtains approval from the committee chair to schedule the Prospectus defense. With approval, the candidate schedules the data, time and location of the defense with committee member. Once the meeting information is determined, all committee members and the program administrative assistant are notified by the candidate. If the defense needs to be rescheduled, the candidate should follow the same process.

**NOTE:*** Only one repeat of the defense will be allowed
 |  | Prospectus Scheduling FormDispositions Self-Assessment and Self-Reflection | 2-3 weeks or more in advance |
| 5. Prospectus defense is heldThe committee chair must report a decision on the defense once the defense is scheduled and proceeds.**NOTE:*** Student brings the GC’s approved format (under GC’s website) cover sheet to prospectus defense
* The cover sheet must have signature of all the committee members
 |  |  |  |
| 6. Make revision and submit modifications or revised draft to committee chair and committee members, as needed, in consultation with committee chair. Committee chair notifies the candidate regarding whether revision are acceptable. |  |  |  |
| 7. Results of Prospectus defense are reported by the committee chair. The Doctoral Prospectus Defense Report Form is signed by Dissertation Committee member and submitted to GC for proper routing |  | The Cover Sheet with Committee Members’ Signatures (APA) | Within two weeks of the Prospectus defense (with revisions to be made in a timely manner) |
| **NOTE ON ENROLLMENT:**Students apply for doctoral candidacy and must enroll for a minimum of three (3) dissertation credits (PhD Curriculum & Instruction) while dissertation work is in progress during the first semester after coursework or successfully completing their comprehensive examination, whichever comes first. Thereafter, in order to meet the GC continuous enrollment requirement, students must register for a minimum of one credit hour of dissertation. However, for students holding a GA, fulltime enrollment (9 credit hours) is required.   |  | Candidacy Application for Doctoral Degree Form | Students initiate the form with committee chair and program coordinator  |
|  8. Participate in IRB on-line training and apply for IRB approval before beginning research, as required by the research project |  |  | After Prospectus defense and before beginning research with human subjects |
| **Dissertation and Program Completion** | ***Date Completed*** | ***Forms*** | ***Timeframe*** |
| 1. Develop Dissertation following program guidelines |  |  |  |
| 2. Committee chair reads, responds to, and then confirms readiness for dissertation defense. |  |  |  |
| 3. Apply for graduation and pay the graduation application fee prior to the application deadline. Important reminder! This deadline occurs very early the semester students plan to graduate (first day of class!) so please carefully check GC academic calendar for key dates. |  | Application for Graduation (Online Louie)  | No later than the semester prior to the expected graduation semester |
| Candidate obtains approval from committee chair to schedule the final defense. With approval, the candidate schedules a tentative date and time for the defense with committee members. Once the tentative meeting information is determined, all committee members are notified by the candidate. Once committee members have agreed to date and time (as signified by the members’ signing of the defense readiness form – from GC), student schedules room with the Adm. Asst. for the COE Associate Dean. Candidate, in consultation with faculty advisor, completes the Dissertation Scheduling Form and submits to GC for proper routing. A copy of the form is provided to the T&L Adm. Asst. who will store the scheduling information in e-file and calendar the date with committee members and student. In the rare event that the defense needs to be rescheduled, the same process should be followed by the candidate. This is an excellent time to be sure that students have met all deadlines for graduation. Students must apply for graduation no later than the semester prior to the expected graduation semester.**NOTE:*** Defense may not be scheduled without explicit permission of the committee chair.
* Only one repeat of the defense is allowed
 |  | Dissertation Defense Scheduling Form & Readiness Form (under development)  | Defense scheduling information to be received one month prior to the scheduled Dissertation Defense  |
| 5. Dissertation defense is held. The committee must report a decision on the defense once the defense is scheduled and proceeds**Note:** If the research was approved as human subjects study through IRB, candidates must bring their completed IRB Termination Form to the defense prior to committee members signing off. |  | IRB Termination Form |  |
| 6. Please note GC policy, make revision and submit modifications or revised draft to committee chair and committee members, as requested. Committee chair notifies the candidate regarding whether revision are acceptable for a passing dissertation defense. Committee members sign off on the document only if satisfied with revised draft. |  |  |  |
| 7. Results of Dissertation defense are reported and recommendation for award of the degree submitted to GC by the committee chair. The Oral Defense Forms (Part 1&2) are signed by Dissertation Committee members and routed by the committee chair to the GC for proper routing |  | Oral Defense Forms (Part 1&2) | Within two weeks of a successful Dissertation defense (with revision to be made in a timely manner) |
| 8. Complete a survey that the GC required  |  | Find the survey link through GC’s website |  |
| 9. Submit dissertation to the Electronic Thesis and Dissertation System (ETD) housed in the Library’s Digital Commons Repository (ProQuest)Note: There are two separate ETD deadlines that must be met in order for students to graduate in the given therm. See official academic calendar for these key dates. |  |  | By submission deadlines established by GC - see Official Academic Calendar |
| 10. Candidate receives GC feedback on format, makes required format changes, and resubmits final version to GC. |  |  | By submission deadlines establishedby GC |
| 11. Committee members are notified by ETD e-mail for electronic verification approval of the dissertation and provide approval  |  | Refer to Official Academic Calendar for ETD deadlines | By deadlines established by GC |
| 12. Participate in Hooding Ceremony at Graduation (optional) |  |  |  |

# C&I Program Checklist Appendix

**Comprehensive Examination Procedures**

## I. Choosing Your Committee

A. Prior to the last semester of coursework, choose a Comprehensive Examination committee chair. The chair must be an eligible doctoral faculty member within the C&I program (i.e., in the Department of Educational Specialties or the Department of Teaching and Learning).

B. Students select one member from the C&I faculty to chair their Comprehensive Examination committee. Together, student and committee chair construct a Comprehensive Examination committee. This committee includes three writers for the exam. Chair and student also designate three additional readers of questions. Whenever possible, writer and reader may work together to construct questions. Typically, readers and writers are C&I doctoral faculty members. In the rare circumstance that outside expertise is needed, particularly for discipline-specific field of study area questions, the writer (who must be C&I faculty) of the question will consult with an outside committee member to create a question suitable for the student’s exam. That outside member serves as the reader of that question. Your Comprehensive Examination committee members may eventually, partially constitute your dissertation committee.

C. Your comprehensive examination committee may include other individuals based on their areas of expertise, if you and your chair deem this to be appropriate.

## II. Planning Your Comprehensive Examinations

A. Where possible, during your last semester of coursework, you will convene a meeting of your comprehensive examination committee to plan your written and oral comprehensive examinations. Preparation meetings may take place individually with question writers when full committee meetings are not possible.

B. Comprehensive exams will represent three areas of your program: (a) Curriculum and Instruction, (b) Discipline-specific Field of Study, and (d) Research. One question requires you to integrate all three areas; this is the *overarching* question.

C. After you successfully complete each of the written comprehensive exams, you will defend your written comprehensive exams at the oral examination.

D. In consultation with your chair, identify who will write each of your exams. Comp writers, or authors, must be C&I program faculty, unless an outside author is teamed with a C&I program faculty.

E. In consultation with your program chair and each of your comprehensive exam writers, identify faculty who will serve as a second reader on each of your comprehensive exams. The faculty who serve as second readers provide additional perspective in the evaluation of your comprehensive exams.

F. In consultation with your chair, determine the format for each written comprehensive exam. One comprehensive exam must be sit-down, one must be take-home, and the third may be in either format.

## III. Scheduling Your Comprehensive Examinations

A. Prior to the end of your last semester of coursework, you must schedule your comprehensive exams. Comprehensive exams must be completed within one academic semester (fall or spring) immediately following the end of your coursework.

B. In consultation with your chair, and with the input of your comprehensive exam authors, complete the Scheduling Form that related to Comprehensive Examination.

C. The Scheduling Form must be completed and submitted to the C&I program coordinator and administrative assistant at least one month prior to the first scheduled comprehensive exam.

D. Sit-down comprehensive exams are completed in no more than eight hours in a single day. Take home exams are scheduled for a two-week period.

E. You are responsible for scheduling a room for the sit-down comprehensive examination(s) using the College of Education Event Request form (<https://nau.edu/coe/coe-event-form/>) at least one month in advance of your sit-down comprehensive exam(s). Laptop is reserved with C&I administrative assistant. Please note that sit-down comprehensive exams must be completed on the Flagstaff Mountain Campus, unless extenuating circumstances prohibit this arrangement (see above for more information on this contingency)

F. Take-home comprehensive exams will be delivered to you on the date established on the Comprehensive Examination Scheduling form. You will have two weeks from the time the comprehensive exam is sent to complete the exam and return it to the comprehensive exam writer and second reader.

G. Upon successful completion of your written comprehensive exams, you may schedule your oral examination. The oral examination should be scheduled at least four weeks from the completion of your last written comprehensive exam to allow for faculty feedback and your preparation.

## IV. Evaluation of Your Comprehensive Exams

A. Upon completion of each written comprehensive exam, each exam writer, second reader, and other members of your committee (as appropriate) will review your responses. Faculty outside the committee may be asked to read particular exam questions if their area of expertise will help the committee in determining the quality of a response. The outside faculty member is a consultant to the committee and holds no voting privilege in the committee's determination of the outcome of the comprehensive exam.

B. Feedback will be provided to you and your program chair, in writing, by the writer and second reader within two weeks of the completion of each written comprehensive exam.

C. Examinations are graded as high pass (superior), pass (good), conditional pass (contingent on additional work), or unsatisfactory (failed and must repeat all or part of exam). See Evaluation Criteria below for more information on these ratings.

* An evaluation of “conditional pass” on a written comprehensive exam may, at the committee’s discretion, require a written addendum or additional clarifications at the oral examination. Written addenda must be completed within one week from the date that the addendum is assigned.
* An evaluation of “fail” requires you to complete a second attempt, or rewrite, of all or part of the written comprehensive examination. The second attempt may be completed no sooner than the next academic semester after the initial comprehensive exam is failed. Comprehensive exam questions for the second attempt will be substantially different from the original comprehensive exam.
1. A record of evaluations and ratings for each written comprehensive exam will be retained by your program chair until the completed Comprehensive Examination Report Form is submitted after the oral examination.

E. the same expectations for planning and scheduling your comprehensive exams, as described above, apply for second attempts on comprehensive exams.

F. A failing evaluation on the second attempt for any comprehensive exam will result in removal from the C&I doctoral program.

## V. Oral Examination

A. After all three sections of the written exam are completed, and all the ratings of the committee have been submitted to your chair, you may schedule the oral portion of the comprehensive examination. At this time, you should plan to meet with your chair to go over any questions or concerns about the written responses that members of the committee have made.

B. You are responsible for scheduling the room for the oral examination using the College of Education Event Form, and for coordinating participation in the oral examination with each of your committee members.

C. During the oral exam, you will be expected to expand upon the written responses, regardless of their rating (i.e., high pass, pass, conditional pass, fail), and address questions and concerns of the committee.

D. If any item during the oral examination is graded unsatisfactory - (Conditional Pass or Fail), the student can retake that item once in a future sitting for the oral examination. For a Conditional Pass or fail for any question, the chair will provide a written statement to the student within one week about the steps and procedures for meeting full approval for that question or set of questions.

E. If necessary, a second sitting for the oral examination must be scheduled for a subsequent day from the original sitting. You are responsible for coordinating the room (using the appropriate form)and participation of your committee members.

F. A comprehensive exam report form is completed and signed by the committee chair. This form will be sent to the C & I PhD Program for inclusion in the student’s file.

G. The oral defense may include a section that serves as a proposal meeting, if this is agreed upon in advance by all committee members. In this section of the meeting the student may present ideas for conducting dissertation work. This proposal section of the meeting may take place only if the student has received a Pass on all portions of the Comprehensive Exam.