**NAU | NORTHERN ARIZONA UNIVERSITY**

## College of Education

Curriculum and Instruction
Ph.D. Program
of the Departments of Educational Specialties, STEM Education and
Teaching & Learning


Program Guide for
Students and Faculty



Revised November 2024

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# Introduction to the program

Welcome to the Ph.D. program in Curriculum and Instruction. This program is supported by three departments housed in the College of Education. They include the Department of STEM Education, Department of Teaching and Learning, and the Department of Educational Specialties. The coordinator of the program is a faculty from one of these departments.  This program brings together educators from all levels and contexts who are interested in the various issues, theories, practices, in curriculum and instruction spanning various contexts. As such our program serves a global group of students, with some living in Flagstaff and others around the world. Most of our classes are hybrid synchronous to allow you opportunities to get to connect and build important relationships with peers. The program has four phases and this handbook provides an overview of each of those phases. We encourage you to read through this guide which outlines, the stages, associated polices and forms. We also use this handbook to guide faculty as they support you. Note that our policies are informed by the Graduate College and may change as policies are changed.

*Curriculum and Instruction Doctoral Program Learning Outcomes*

The Curriculum and Instruction (C & I) Doctoral Program is designed to help students attain a core set of learning outcomes. The learning outcomes for the program enable students to:

1. Integrate deepened understandings of curriculum and instruction, by explicating and evaluating the major movements, theories and methodologies of these fields, situating their sources and articulating the relationships and implications to areas within the education –related venues of the students' professional orientations
2. Clarify the multiple contexts that shape curricular and instructional decision-making, including socio-cultural, political, economic, organizational, and historical
3. Articulate how theoretical frameworks in curriculum and instruction can and often should be constructed from successful practice as understood broadly in professional contexts
4. Create sustained, coherent arguments or explanations summarizing elements of curriculum and instruction theory and literature with general and professional audiences
5. Examine the significant challenges involved in applying curriculum and instruction theory within the students' professional venues, clarifying the leading edges, exploring the current limits of theory, knowledge, and practice, and how these appear in practice across socio-political contexts
6. Engage the broad range of research methods, modes of inquiry and quantitative and qualitative methods used to investigate questions within curriculum and instruction and to evaluate and apply research findings within their inquiries and dissertations
7. Make significant and innovative advancements in the understanding of curriculum and instruction designing an original research study of personal or

professional interest and importance including planning, organizing, scheduling, and executing the project
   a. Articulate the theoretical framework for the project (including conducting a literature review to assess the theoretical and methodological contributions previously made to this area)
   b. Creatively generate alternative problem-solving ideas, practices, or solutions within the dissertation area
   c. Identify and define appropriate variables and methods of data collection, select and apply quantitative and qualitative research methods appropriate to the research design, and analyze, interpret and explain findings
   d. Scrutinize and evaluate various assumptions, evidence, and reasoning throughout the project
   e. Evaluate the effectiveness of the project and its implications to the fields of curriculum and instruction
   f. Present original empirical research to professional and non-professional audiences, articulating sustained, coherent explanations summarizing work
   g. Conduct a dissertation defense to a community of university faculty and peers

*Program Phases*

The C & I PhD Program requires a minimum of 60 units beyond a master's degree. Students are allowed eight years from the semester of program admission to meet these requirements and complete the dissertation process.

The program is designed to build knowledge and skills through 4 phases.

***Phase 1: Course work***
The C & I PhD Program of study consists of four major areas of study
- **Curriculum and Instruction**: The C & I Core courses are designed to deepen understanding of curriculum and instruction – teaching, learning, and education.
- **The Research Area** courses address issues in quantitative and qualitative design analysis as well as practical issues related to students' chosen topics of investigation.
- **The Discipline-specific** courses allow students to select elective courses that strengthen an area of specialization.

**Phase 2: Qualifying Research Project, (QRP), IRB, and Comprehensive Examinations**
- o Under the guidance of a faculty member, you will design and conduct a small study QRP. This usually takes place between the 2nd and 3rd year and is supported by the required research course ECI685.
- o The comprehensive exams take place after your course work and requires 3 written exams and an oral defense. These are organized with a chair or advisor.
- o IRB is the permission granted by Human Subjects Board to pursue research.

### Phase 3 – Proposal/Prospectus
- Register for 799 hours under your chair's name
- Proposal is a short 15 page talking piece about your dissertation project
- Prospectus is the formal and the overview usually including the introduction, literature review and methodology.

### Phase 4 - Research and Dissertation
- You will complete the IRB- permission to conduct human research

## Policies

*Time Limits*
You must complete all requirements for your Ph.D. degree within an eight-year period. The petition for an extension to the time limit is available from the OGPS forms page.

*Enrollment Status*
NAU defines full-time enrollment for graduate students as nine (9) units during Fall and Spring terms. The minimum full-time course load is nine (9) units during Fall or Spring terms, and 16 units is the maximum (12 units for graduate assistants).

Graduate students are considered "full-time" during the Summer term if they carry 5 units accumulated over any combination of summer sessions. You cannot take more than six (6) units during any five-week summer session or more than three (3) units during the pre-session.

In some situations, enrollment in fewer than 9 units during the Fall or Spring terms (or 5 units for Summer), can be considered "full-time" by NAU and the Office of Graduate and Professional Studies (OGPS). These situations include graduate students in the final semester of their degree who are writing or defending a dissertation or graduate students who have completed all coursework and have only a dissertation to complete. In these instances, the Associate Vice Provost of the OGPS has the authority to approve a "full-time" status designation for semester loads below the units otherwise established in this policy; work with your advisor and/or the Graduate Coordinator to obtain this status. The Exception to 9 Units form is available from the OGPS forms page.

*Continuous Enrollment*
Once admitted to the C & I PhD Program, students are expected to be continuously enrolled each Fall and Spring term until all requirements for the degree have been fulfilled. Even if all course requirements for a degree have been completed, students may need to use university resources (library access, lab, or other university facilities) to complete a required independent study or research project. For the protection of both students and the university, students must enroll during any terms, including Summer, that they use university facilities or require the professional time of faculty members.

When students begin working on a dissertation, they are expected to enroll in at least one unit of ECI799 (Dissertation) from the time they begin this work until the degree is completed. Note you must have registered for 15 credit hours of dissertation to graduate. Students who do not have an approved leave of absence on file with the Graduate College and wish to resume work on a dissertation after one or more semesters of non-enrollment or discontinuation due to lack of continuous enrollment may be required to register for any additional units ECI/ESE 799 Dissertation missed. Students who are discontinued due to lack of continuous enrollment must submit a new application for admission.

Link to the policy on the Graduate College webpage:
https://www9.nau.edu/policies/Client/Details/1230

*Leave of Absence*
In extenuating circumstances, doctoral students may petition for an exception to the continuous enrollment policy. The petition form, Leave of Absence Petition, which is available on the Graduate College Website, must be approved by the student's advisor/faculty mentor and department chair then sent to the Associate Dean of the Graduate College for final approval. The request must be filed and approved **before** the anticipated absence.

*Overloads*
 You can only carry an overload (more than the maximum units as explained in the previous paragraphs) with the approval of your advisor, the Graduate Coordinator, and the Associate Vice Provost of the OGPS. To enroll for an overload, you must submit the appropriate approval form when you enroll. The Unit Load Override approval form is available from the OGPS forms page. For more information, see the Graduate Course Loads and Overloads policy.

*Transfer Credit Requirements and Procedures*
Transferring credits to a graduate degree program is not done routinely. If you have been admitted to our graduate program and have earned resident graduate credit at another institution, you can petition the Office of Graduate and Professional Studies (OGPS) to apply such credit toward your graduate degree. Only courses deemed by your advisor to be relevant to your program of study and approved by the Graduate Coordinator as well as the Associate Vice Provost of OGPS will be accepted. Be aware that the OGPS has the authority to grant final approval for all transfer credits; the OGPS may deny transfer credits even if your advisor approves them.  The number of units you transfer from other institutions cannot exceed nine (9) units and must be at a Ph.D. level. For additional details and requirements, see the Transfer Credit – Graduate policy. Doctoral students must complete the Petition for Transfer Credit form, available from the OGPS forms page.

Note that this time the Ph.D. program does not offer transfer credit through prior learning assessment.

*Grade Point Average Requirements*

If you are working toward a graduate degree, you must maintain a 3.0 grade point average for all courses taken and for all courses required in your plan. No more than six (6) units of C grades can be counted toward a doctoral degree. A grade below C does not earn graduate credit.

At the time of graduation and posting of your degree, if you have earned a cumulative grade point average of at least 3.9 for all courses taken at NAU as a graduate student, you are recognized with the notation "with distinction" on your transcript and diploma.

Admission to a program may be denied or revoked for any graduate student who receives unsatisfactory grades (any grade of D or F, or Cs in excess of 6 units). If you have more than six units of graduate work with a grade of C or below, receive any D or F grades, or if your GPA falls below 3.0, you will be placed on academic probation by the OGPS.

*Academic Probation*

Students who fail to maintain Good Academic Standing or to meet any Conditional Admission Standards will be automatically placed on academic probation by the Office of Graduate and Professional Studies (OGPS) at the end of each regular academic term for any of the following reasons:

1. Any grades of "D" or "F"
2. 6 or more units of "C" grades
3. GPA below 3.00
4. failure to meet their Conditional Admission Standards

The C&I Ph.D. program may also recommend academic probation for failure to meet academic requirements, including Academic Progress, by notifying the student in writing with a copy to the OGPS of specific failures leading to the recommendation of probation.

A student who is on academic probation is required to meet with their academic advisor to discuss the steps necessary to remediate problems that led to probation and to devise a written action plan. This written action plan must be submitted to the Graduate Coordinator and the OGPS for approval and so to release any related holds on a student's account (e.g., blocked from future enrollment).

If a student has not met the terms of the approved action plan or fails a second time to maintain Good Academic Standing, one or both of the following actions will be taken:

5. The C&I Ph.D. program may initiate academic dismissal by notifying the student and the OGPS in writing of the program's intent to recommend dismissal. Refer to the section on Dismissal Policies, below.
6. The student will be blocked from future enrollment.

Graduate Teaching Assistants should not be on academic probation, or their assistantship may be withdrawn. Any GTA who has been or anticipates being placed on

probation should contact their academic advisor, GTA supervisor, and the Graduate Coordinator immediately.

For more information on GPA requirements, academic probation, and related matters, see the GPA Requirements – Graduate policy.

*In-Progress*
Courses that, by their content and requirements, normally require more time than the term or session for which you have enrolled can be marked as "IP." Note that in the case of your dissertation the OGPS automatically assigns an "IP" to any 799 units until the final dissertation is submitted and approved to the OGPS. For more information, see the Grades of Incomplete or In-Progress – Graduate policy. Be aware that "IP" grades do not carry some of the complications and consequences of an incomplete ("I," see next section).

*Incomplete*
If you are unable to complete course work in a scheduled course within the term in which you are enrolled, you may petition your instructor to receive a grade of I. If your instructor agrees to give you an incomplete, you and the instructor must complete a written agreement indicating the exact work you need to do to finish the course.

This written agreement must also indicate the date by which you must complete this work, and that date cannot be longer than one calendar year from the end of the term in which you were enrolled in the course. By the end of the time agreed to in writing, your instructor must submit a grade for the course or the grade remains a permanent incomplete. Therefore, you must submit you work in enough time in advance of the one-year time limit in order to allow the instructor to evaluate your work as well as compute and submit your final grade. It is your responsibility, not the instructor's or your advisor's, to make sure you follow through and complete the required work within the specified time frame.

Note that instructors are not required to provide you with an incomplete, and incompletes are generally only provided when (1) there are compelling circumstances that prevent you from completing the required work within the allotted time and (2) you have already completed a substantial portion of the required work for the course. In addition, instructors are not required to give you the full year to complete the work. Non-attendance, poor performance, or intentions to repeat the course do not justify issuance of an "I." Instructors cannot assign an "I" unless the terms to resolve the incomplete are finalized and an Incomplete Contract is completed before the course ends.

If the instructor approves the request to give an incomplete grade, the student and the instructor must complete a written agreement using the Incomplete Contract - Graduate form, available from the OGPS forms page. This form will specify course work to be completed by the student and due dates, in order for the incomplete grade to be replaced with a grade for the completed course. Due dates may not extend further than 12 months from the end of the term in which the student was enrolled in the course. The

original form must be signed by the instructor and the student, after which a copy is filed with the C & I coordinator. Both the instructor and student should retain copies of the approved agreement. Once the specified due date in the contract has passed, the instructor will grade the work submitted by the student and submit a grade change form to the Registrar's Office.

For more information, see the Grades of Incomplete or In-Progress – Graduate policy.

Be aware that in some cases there may be consequences to carrying an incomplete, such as certain scholarships or other forms of aid. It is the student's responsibility to be aware of these consequences and take any action necessary to address them.

*Repeating Courses*
Graduate students do not normally repeat courses. However, if a grade of "C", "D", or "F" is received in a graduate course, students may repeat that course with advisor approval. Courses repeated under the regular grading scale do not replace the grade for the prior course, and both grades are used in the computation of the cumulative grade point average (GPA). Units earned for repeated courses may only be used once to fulfill graduation requirements. See the full Course Repeat, Graduate policy. Graduate students who wish to repeat a course must submit the Graduate Course Repeat Enrollment form, available from the OGPS forms page.

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 these 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 using these data as part of the dissertation. Dissertation research, writing, and defense are time-intensive. The time needed to complete the dissertation process varies depending upon the type of study chosen.

## PHASE 1

**Upon admission, these are the next steps:**
1. Meet with your assigned faculty advisor prior to enrollment to develop a program of study;
2. Prepare a plan to meet program professional development requirements;
3. Become familiar with continuous enrollment policies and program expectations; and,
4. Become familiar with the policies regarding leave of absence.

**Advising - Program of Study**
Newly admitted students are assigned a temporary faculty advisor who will assist you with your program of study. The advisor will assist each new student in the development

of a Program of Study (POS). At a minimum, students are recommended to schedule advising appointments once per semester.

**C& I PhD Program Student Self-Reflection**

An important part of becoming a professional is our ability to examine our own growth. As part of the PhD in Curriculum and Instruction we are committed to providing annual feedback to each student. Furthermore, this will be done by triangulating various perspectives, faculty and student. Below is a brief outline of the faculty process. This form is your space to self-evaluate and reflect on this past year.

Process: During the spring semester, following a student's admission to the Curriculum and Instruction Doctoral Program, the faculty will evaluate the student's progress in the program based upon the criteria identified below. Each faculty member will complete the feedback form prior to the meeting and follow the google form process. In the google forms, if someone has worked with a student this past year as an administrator, faculty, or in another capacity, they will be prompted to complete the form.

Each student will be reviewed at the annual meeting and the advisor will generate a summary based on the feedback given which they will share with the student in an advising meeting. Every student currently enrolled will be required to meet with the advisor after this process. Students will also self-reflect annually, which will be part of the meeting with the advisor. This form will be placed in the digital student file.

If a student exhibits a weakness (rating of needs improvement or unacceptable) in any of the criteria, the student's advisor and student, in consultation with the Program Coordinator, will develop a Professional Growth Plan (PGP) to remediate the weakness. The advisor will evaluate and report to the Program Coordinator and/or Program Committee successful completion of the PGP by the student. If the Advisor and the Chair and/or Program Committee determine that the student has met the objectives, activities, and timelines of the PGP, he or she can continue in the program.  If the student has not met/completed the PGP successfully, the advisor reports to the Coordinator and the Program Committee who will then make the determination that the student has not met the objectives, activities, and timelines of the PGP. If it is determined that the student has not met the objectives, activities, and timelines of the PGP, he or she will be denied continuance in the program.

**Program Professional Development Requirement**

NAU's professional development requirement provides doctoral students the benefit and opportunity to engage in and contribute to the full spectrum of educational and professional opportunities provided by faculty and other students within their program and across the university. The Graduate College and the University Graduate Committee concur that the doctoral professional development requirement at NAU may be met in a variety of ways, some of which fit the ethos of a particular discipline or type of cohort engaged in a particular program.

When considering appropriate standards for professional development, graduate program faculty are expected to encourage, design, provide, and monitor the professional development activities in which their doctoral students acquire the knowledge, skills, attitudes, and values appropriate to their discipline. These activities extend beyond the required coursework and may include but are not limited to attending and presenting at professional conferences; participation and active engagement in presentations of scholarly work, seminars, and events; assisting and engaging in various funding efforts to support research, scholarship, and creative work; and active participation in professional development opportunities offered by programs and the Graduate College.

A minimum of 5 hours of professional development activities is required between matriculation in the program and admission to candidacy. This can be communicated in an email or the PD form at . It is part of the requirements for the student to meet candidacy.

Graduate program faculty have the responsibility of identifying and approving how the specific professional development requirement for their program will be met, in consultation with the dean of the Graduate College. Details regarding each program's professional development requirement are listed on the program of study, and documentation of the completion of the professional development requirement is submitted with the candidacy application.

## PHASE 2

### Qualifying Research Requirement (QRP)

The qualifying research project (QRP) 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 a small, independent research study, under the guidance of a chosen faculty, 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 QRP is initially designed through ECI 685: Graduate Research course. If more time is needed to complete and write up the

research, then students must sign up for ECI685 hours under the faculty's name. Sample form for sign off is below. The actual form can be found in the form file.

| Student Assumes Complete Responsibility for Each Phase of Project: | Faculty vouches for Completion of Stages of Qualifying Research Project |
| --- | --- |
| Identification of Research Problem | |
| Explication of the Theoretical Framework | |
| Detailed Literature Review | |
| Research Design Process | |
| Implementation of Study | |
| Collection of Data | |
| Analysis of Data | |
| Presentation/Publication of Study | |

**Comprehensive Examination Requirements**

*What is the Comprehensive Examination?*
This is the second major component of the doctoral degree. The comprehensive examination is a written and oral examination given to C & I students to ascertain their ability to demonstrate and to apply acquired knowledge and skills. The comprehensive examination covers three major areas in the C & I Doctoral Program: Curriculum and Instruction, Discipline-specific Field of Study, 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. This is called the overarching question and must be designated as such on the *Scheduling Form* (Appendix F) related to Comprehensive Examination and on the *Comprehensive Examination Report Form* (see Appendix G). With the comprehensive examination committee's permission, the discipline-specific field of study question may be written as a draft of the dissertation proposal.

*Who Directs the Comprehensive Examination?*
The comprehensive examination plan is to be developed by the Comprehensive Examination Committee Chair in consultation with the doctoral student, including a timeline for all parts of the examination. Before students may begin taking the written portion of the comprehensive exam, they must complete the *Scheduling Form* related to the portion for Comprehensive Examination in consultation with their program committee chair and submit it to the C&I Program Coordinator. This should occur no later than the semester prior to the first planned comprehensive examination at a formal examination meeting including all committee members.

*Who Writes the Questions?*
Students select and request one member from the C&I faculty to chair their Comprehensive Examination committee. Together, the student and committee chair construct a Comprehensive Examination committee. This committee includes three writers for the exam. The chair and student also designate three additional readers of

questions. Whenever possible, the entire committee and the writer and reader of each individual question should 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.

*How Should the Comprehensive Examination Plan Be Structured?*
The comprehensive examination must be taken during or just following the last semester of classes. Students can complete examinations as sit-down or on-site exams, or as take-home exams (or any combination of these two) at their discretion. The exam, including the oral defense must take place within 4 months.

Each on-site exam requires 6-8 hours of writing, and each take-home exam is limited to a period of two weeks for completion. On-site exams must be taken at the NAU College of Education, unless exceptional circumstances will not allow it. In such circumstances, students must submit a written petition, by email or in person, to the C & I Coordinator no less than six weeks prior to the scheduled sit-down examination explaining the circumstances under which the request is being made. The petition will be reviewed by the C & I Doctoral Steering Committee to determine if an exception can be made. If the petition is approved, the student must coordinate arrangements for the sit-down examination at another location in consultation with the committee chair.

If an on-site exam is to occur – then students are responsible for scheduling a room and a laptop for the sit-down comprehensive examination(s). Rooms are to be scheduled using the NAU College of Education Event Request Form (https://nau.edu/coe/coe-event-form/). The laptop is reserved using the Scheduling Form related to Comprehensive Examination by the C&I administrative assistant.

Take-home examination questions will be sent to students and their respective Comprehensive Examination committee chair in writing or by email. Students will have two weeks to complete the exam from the day and time the examination is delivered, according to the question writer's records. Take-home examinations must be returned to the writer as an email attachment and CC'd to the second reader.

After completing all sections of the written comprehensive exam, students may schedule the oral portion of the exam (although a tentative date was noted on the *Scheduling Form).* It is suggested that the oral portion of the exam take place within four weeks of the completion of the written exam, with enough time allowed for student preparation. Writers and second readers should provide written feedback to the student and chair so that the students can prepare a presentation for the oral exam. All writers must attend this oral exam. Readers are encouraged to attend, but not required. This oral session can be used to address any or all the following activities:
• Question the student in areas not effectively answered in the written exam
• Determine the depth of student understanding in any/all of the exam areas

- Develop a plan for retaking any part or all the written examination
- Decide on any further requirements to be met by the student

*How Are Examinations Evaluated?*
Exam responses are read and evaluated by the exam author and second reader and can be read by other committee members if they choose to do so. 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) according to the evaluation criteria in Appendix I.
If students receive a conditional pass for any portion of the exam, they may be asked to submit further materials or work as a condition for completing the comprehensive exam. Alternatively, students may be asked to fulfill these requirements at the oral examination.

When a request is made to submit additional information in writing, students will complete an addendum to their examination. Addenda must be completed within one week of the request, which will be made by the examination author and/or second reader. The addenda can be requested after the written portion or at the orals. If during the written portions, note that this may impact the original timeline.

If the student fails the written exam, they will be asked to rewrite a response. This means they will receive a new question and an additional time period to complete their rewrite. Students may retake the examination no sooner than the following semester, and they may retake the exam no more than once. Failing the written exam, a second time will result in being removed from the C&I doctoral program.

Students will be evaluated on the written portion before the oral portion of the examination takes place. However, the final determination of pass/fail depends on students' responses during both portions (written and oral) of the exam.

Following the oral portion of the comprehensive exam, the committee chair submits the *Comprehensive Exam Report Form* (see Appendix G) to the C&I coordinator and C&I administrative assistant.

*What else might occur at the Comprehensive Examination Oral?*
The committee will ask the student to leave the room following the oral exam. The committee reviews the effectiveness of the student's responses and makes a final determination as to the overall grading of the exam.

*What happens after I learn the results of my Comprehensive Examination?*
Students who successfully complete both the written and oral portions of the comprehensive exam will have completed one part of the Phase 3. At this point, if the student completed both the QRP and the exams they can move on to Phase 4.

**PHASES 3 & 4**

**Dissertation Process**

**Selection of the Dissertation Committee**

in consultation with your faculty advisor, the student will select their doctoral dissertation chair and committee. This process may have occurred a while before the selection of a committee. The chair of your committee must be a member of the C&I faculty as well as at least one other member. One of the four members must be outside of the C & I faculty, while the third one can be either a member of the C&I faculty or not. The committee chair submits the [Dissertation Committee Recommendation Form](#)  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. It also needs to include information about IRB.

**The Proposal**

Once the dissertation committee has been confirmed by the Graduate College, the student will write a proposal. The 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 review, research design) of the final dissertation. The format of this proposal must conform to the most recent edition of APA guidelines. The Graduate College provides additional guidelines (see the NAU Graduate College website: [http://www.nau.edu/gradcol/](http://www.nau.edu/gradcol/)). These can range from 15-20 pages. This is distributed to the committee members two week before a discussion-based meeting. At this meeting your committee will provide feedback which will guide you in your next steps of writing a prospectus.

**Dissertation formats**

Discuss with your chair and the committee at the proposal meeting which format you most like. There are two formats allowed in our program. The first is the typical 5 or more chapter format. This includes an introduction, literature review, methodology, findings, discussion and implications. The other is a 3 article dissertation.

The Three-Article Dissertation represents a departure from the conventional dissertation structure while preserving the rigorous standards of academic scholarship. Embracing this alternative format grants doctoral students the opportunity to transcend the limitations of a single extensive document, fostering a more agile, focused, and audience-friendly approach to knowledge dissemination. By encouraging the integration of diverse research methodologies and perspectives, this format empowers researchers to delve deeper into their research questions, forge meaningful connections across disciplines, and present a more cohesive and impactful body of work. In this dissertation model, each article functions as a standalone piece that explores a particular aspect of the research topic. These articles are unified by a central theme, research question, or overarching hypothesis, creating a coherent narrative that binds them together. As a result, the Three-Article Dissertation allows scholars to engage with their work from multiple angles, fostering a more holistic understanding of their findings.

The articles of a Three-Article Dissertation can be empirical, theoretical, methodological, conceptual, or practical in nature. It is up to the scholar's dissertation committee to decide on the appropriate types of articles to be included. However, at least one of the three articles must be empirical in nature. In the field of education, dedicating one article to practitioners is common as it serves to bridge the gap between theory and practice. While academic research and theoretical frameworks provide valuable insights into educational concepts, it is the practitioners—teachers, administrators, and educators on the frontlines—who directly implement and experience the impact of these ideas in real-world settings. By focusing one article on practitioners, researchers can gain practical feedback, validate theoretical models, and identify the contextual nuances that may influence the effectiveness of educational strategies. If appropriate to the study, we recommend focusing one article on the appropriate practitioner base.

**The Prospectus**

Once students begin writing their prospectus, they must enroll in dissertation course credits. The dissertation prospectus forms the basis of chapters 1-3 of the dissertation. The successful defense of the prospectus must take place during the first 3 hours of dissertation credits. The dissertation committee must approve the student's prospectus. A copy of the signed prospectus title page must be included with the material students submit in support of their application for admittance to candidacy. Students are considered doctoral candidates upon successfully defending the prospectus.

A minimum of 15 hours of dissertation credit are required to complete program requirements, although additional hours may be necessary to complete the 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.

**Office of Graduate and Professional Programs**
**Dissertation Defense Policy and Procedures**

*Note: These guidelines from OGPP have been adapted to fit the C&I program.*

- Processes, checklists, and resources can be found on the Graduate College ETD website.
  All forms can be found on the Graduate College Forms Index website (e.g., dissertation committee recommendation
- form, candidacy application, defense scheduling form).
- Please be aware that for all doctoral and master's students:
  • Passing grades for Thesis (699) or Dissertation (799) credits will not be entered on the student's transcript until the final, approved manuscript is uploaded to ProQuest.
  • Summer defenses are STRONGLY discouraged. Faculty are not on contract during the summer months and are therefore not obligated to be available to students.
  • Please contact the ETD Coordinator or the Associate Dean at the Graduate College with any questions. We are happy to help.
- **Step 1 - Forming of the Dissertation Committee**
- 1. Dissertation committees should be formed within Phase 2 of the C&I program
  2. The committee MUST be approved BEFORE a prospectus defense. To not do so risks a non-approval of the committee by the dean, thus negating the composition of the prospectus committee and approval of the prospectus.
- 3. The Dissertation Committee Recommendation form should be submitted to etd@nau.edu for approval by the Graduate College dean. All requested materials must be included, as outlined on the form. ALWAYS download the form directly from the Graduate College website to avoid outdated versions.
  4. Once received, the Graduate College will evaluate and issue an official approval memorandum.
  5. If the make-up of your committee's membership changes for any reason (i.e., if your dissertation committee
  chair or any committee members change), make sure to submit a revised dissertation committee
  recommendation form to etd@nau.edu to be re-approved. Mark the *Revised box* at the top.
- **Step 2 - Applying for Candidacy**
- Students can apply for candidacy after they have:
  1. Completed all coursework with the exception of dissertation units or internship. A student is considered ABD (All But Dissertation) at this point. (Transfer credit coursework should have already been approved prior to submitting the candidacy application.)
  2. Completed the professional development requirement.
  3. Completed the language or research requirement (if applicable).
  4. Passed comprehensive exams.
  5. Successfully defended the prospectus.
  6. Completed any requirements for candidacy that are specific to their department.
- Students should apply for candidacy well in advance of the graduating semester.

- Students must include an updated and signed Program of Study listing all courses that will be used to fulfill the degree requirements with the candidacy application, along with the other documentation specified on the application.
- A candidacy application **CANNOT** be submitted at the same time as the Dissertation Defense Scheduling Form. Ideally, a candidacy application should be submitted well before the graduating term. To apply for candidacy late in the graduating term is problematic and negates the function and meaning of doctoral candidacy.
- Note that students must be continuously enrolled in at least one unit of 799 every fall and spring term until they graduate even if this will exceed the number of units required for the degree.
- **Step 3 - Scheduling a Doctoral Defense**
- The student must format the manuscript following the Format Checklist (under the *Graduate College formatting guidelines* tab) and submit the title page, abstract, and entire dissertation (everything in a single document) to the ETD Coordinator for a format check at least 10 business days prior to the date of the dissertation defense. This is a strict deadline. Earlier submissions are recommended, to provide a more manageable time frame for both the ETD Coordinator as well as for the student.
- The committee chair or student must submit the Dissertation Defense Scheduling Form to etd@nau.edu at least 10 business days prior to the defense date. This is a strict deadline.
- The ETD Coordinator will work to secure a University Graduate Committee (UGC) member to sit in on the defense. The role of the UGC member is to represent the Graduate College Dean and ensure that defenses are conducted in a manner consistent with the expectations and standards of the Graduate College.
- Doctoral defenses are not permitted in the last two weeks of term. Deadlines can be found on the Graduate College website.
- **STEPS FOR GRADUATING DOCTORAL STUDENTS:**
- 1. Submit the dissertation for a format check to etd@nau.edu at least 10 business days before the defense.
  2. Submit the Dissertation Defense Scheduling form to etd@nau.edu at least 10 business days before the defense.
  3. After the defense, the committee chair must submit the *Oral Defense Form - Part 1* to the ETD Coordinator within 48 hours of the defense. This is the Pass/Fail form and lists any required revisions of the dissertation.
  4. Resubmit your dissertation with revisions to the committee for review and approval.
  5. If the revisions are approved, the committee chair will submit the *Oral Defense Form - Part 2* to the ETD Coordinator. This form also notes the student's copyright selections.
  6. When you receive a copy of the *Oral Defense Form - Part 2* from your committee chair, upload the final version of your dissertation to ProQuest. Follow the Electronic Thesis and Dissertation Information document (under the *ETD Information and guidelines tab*); it contains all of the instructions needed to

upload the manuscript to ProQuest.

7. All Ph.D. students must complete the *Survey of Earned Doctorates* found on ProQuest. It is a short survey located on the ProQuest website or at the SED website, and it is a degree requirement. Note: Ed.D. students do not need to fill out the survey.

8. Ensure that you have successfully applied for graduation in your Louie - Student Service Center. The graduation application step-by-step guide and deadlines are on the Graduation tab of our webpage.

- **ALL OF THESE STEPS MUST BE COMPLETED BY 11:59 PM ON THE LAST DAY OF TERM TO BE ELIGIBLE TO GRADUATE AND TO WALK.**
- When the dissertation is in essentially final form and the committee agrees that the document is ready, the examination/defense should be scheduled. Please note that it is courtesy to give faculty members at least two weeks to review your work.
- Dissertation defenses must be scheduled using the Dissertation Defense Scheduling Form which must be submitted to the Graduate College **at least two weeks before** the anticipated defense date. *Note that prior to this you must give your committee two weeks to read it for defense readiness. This means you need to plan for a month prior to the defense date.*
- Dissertation defenses are not permitted during the last two weeks of the term. Generally, members of the dissertation committee, the doctoral student and the University Graduate Committee representative must be present at the same location for a dissertation defense. However, given the global initiatives and geographically distributed nature of some NAU doctoral programs, a requirement that all participants in a defense be physically present at the same location presents a hardship for some faculty and students. Therefore, participation from a distant location may be approved for a committee member, or, in unavoidable circumstances, two committee members. At a minimum, the committee chair, the student, and one other committee member must attend at the same location. All committee members must attend the entire defense.
- Permission to participate remotely and the justification for the request must be presented in writing to the Graduate College when the Defense Scheduling Form is submitted at least two weeks prior to the scheduled defense date. Permission is granted only when there is no other option available
- A two-thirds majority of the appointed committee is required for the student to pass the oral examination/defense.
- A student may repeat the oral examination/defense one time. Whether or not a formal vote is taken during the scheduled examination/defense, this will be considered a first examination/defense and the student will have one additional opportunity to pass the oral examination/defense.
- Final copies of theses or dissertations are electronically submitted via the Graduate College electronic thesis/dissertation submission process as soon as the following requirements are completed:
   o The final oral examination/defense is passed;
   o The committee signs the final approval form; and

- Format corrections noted by the Graduate College ETD Coordinator have been made-and no later than the last day of the term in which the student plans to graduate
- Committee members and the department may require bound copies.

Students should check with the thesis or dissertation chair or department for details.

*Scheduling the Defense*

The dissertation chair, in consultation with the student, is responsible for contacting all members of the committee to establish the date, time and location of the dissertation defense so that **all** committee members can attend. The dissertation chair and student must complete the [Dissertation Defense Scheduling Form](#), have it signed by the dissertation chair, the doctoral program coordinator and committee members, indicating that the dissertation is ready for defense. Emails from committee members may be attached to the form in lieu of signatures.  The Defense Scheduling Form is submitted to the Graduate College at least two weeks (10 working days) before the defense date **with** an electronic copy of the dissertation. This copy of the dissertation is for the University Graduate Committee representative attending the defense. The dissertation chair and student share the responsibility for scheduling the defense and submitting the dissertation scheduling form and the electronic dissertation by the due date.

Doctoral students and committee members are encouraged to informally schedule the defense date in their calendars and reserve the location well in advance of the defense date. Formal scheduling of the defense by submitting the Defense Scheduling Form to the Graduate College should occur after all committee members have had an opportunity to review the final draft of the dissertation and agree that it is ready for defense. **While minor changes and corrections may be suggested at the defense, the defense copy of the dissertation must be complete and in its final form when it is provided to the committee members and the University Graduate Committee representative.** The Defense Scheduling Form and the electronic copy of the dissertation must be submitted together.

When the defense scheduling form is received in the Graduate College, Graduate College staff arrange for a member of the University Graduate Committee (UCG) to attend the defense as an observer and representative of the Graduate Dean. When the UGC representative is identified, the Graduate College issues a memorandum confirming the date, time and location of the defense to all committee members, the student and the UGC representative.

The presentation component of the defense is open to faculty and students at the university and to interested community members. The defense date, time, and location are indicated on the Graduate College calendar. The student and dissertation chair are encouraged to publicly announce the date, time, place and topic of the defense.

**Upon receipt of the dissertation for review, if any committee member thinks the dissertation is incomplete or seriously flawed (in terms of format, clarity or consistency), or it is felt that there are serious correctable errors in analysis or**

**interpretation of data, it is his/her responsibility to bring the problem to the attention of the committee chair and, if necessary, to the associate dean of the Graduate College.** The chair may, at this point, decide to cancel the defense and have the student's committee convene to discuss major problems.

Assuming that all committee members are satisfied with the quality of the dissertation, the defense can take place as scheduled. The dissertation committee should not hold the student responsible for design flaws that were approved in the prospectus, but may choose to bring such issues to the attention of the associate dean of the Graduate College.

*University Graduate Committee (UGC) Representative Role*
As indicated in the UGC Bylaws (http://nau.edu/GradCol/University-Graduate-Committee), the role of the UGC representative is to represent the Graduate Dean and ensure that examinations are conducted in a manner consistent with the expectations and standards of the Graduate College. The UGC representative may not be from the department granting the student's degree. UGC representatives attending dissertation defenses are responsible for:
1. Clarifying policy and procedures when necessary
2. Observing the fairness of the examination
3. Conducting the voting process for the pass/fail decision and reporting results to the dissertation committee
4. Reporting the results of the examination to the Graduate College, including professionalism, adherence to academic standards, and outcome of the examination.

If no UGC representative is in attendance at the defense, the committee chair shall perform these responsibilities.

*Format Review*
Format review and approval is done by the Graduate College's Electronic Thesis and Dissertation (ETD) Coordinator and is a separate process. See the new guidelines here https://nau.edu/graduate-professional-studies/thesis-and-dissertation/
The initial format review will have occurred early in the semester in which the student seeks to graduate.  The ETD Coordinator submits the final grade change for the student's dissertation (799) hours after the dissertation has been approved by the committee and after the format has been approved

*Attendance at the Defense*
All members of the committee must be present in person for the entire defense. If a committee member is away from campus on sabbatical and unable to return to participate in the defense in person or if it is not feasible for a committee member to travel a great distance to attend the defense, the dissertation chair may petition the associate dean of OGPS, in writing, to have that committee member participate in the entire defense electronically or by speaker phone.  If this is approved, the dissertation chair and the UCG representative will be notified in writing.  Such a request must be

approved when the Dissertation Defense Scheduling Form is submitted. The electronic address or telephone conference must be listed on the Defense Scheduling Form. If the UGC representative will be attending from a different university campus than the dissertation committee, the Graduate College will arrange a telephone conference line and will notify the student and committee chair of their responsibility to ensure that an adequate speaker phone is available at the schedule defense location

If a committee member must be absent because of a last-minute emergency such as illness, the University Graduate Committee representative and the committee chair will discuss the feasibility of postponing the exam. In cases where the candidate may have traveled a great distance, rescheduling may be inappropriate. The associate dean of the Graduate College should be consulted. Only in an unavoidable emergency will the defense take place with less than the full committee present. In the rare event, that one committee member does not attend due to any emergency, such as illness, and approval is given by the Graduate College to proceed with the defense, the chair or the University Graduate Committee representative must inform the candidate of the voting requirements based upon the number of committee members in attendance. If the candidate does not wish to proceed with the defense under these conditions, the defense will be rescheduled.

*Procedures during the defense*
Typically, the candidate begins the formal defense by making a presentation outlining the study and its relevance. If the candidate's presentation takes the form of a seminar at a different time and place than the defense, it is expected that the University Graduate Committee representative will be invited to the presentation. At his/her discretion, the chair may allow questions during the presentation to clarify points. Following the presentation, the chair provides an opportunity for all committee members and the University Graduate Committee representative to question the candidate. At the discretion of the chair, questions may be received from the audience. At his/her discretion, the chair may ask all guests to leave when questioning begins.

Following the defense presentation, at the beginning of defense questioning, guests may be asked to leave the room at the discretion of the committee chair. The committee chair affirms to the UGC representative that the committee members agree that the defense should proceed, and the committee chair reviews the procedures, including the voting requirements for the defense. A two-thirds majority of the appointed committee is required for the student to pass. If only four members of a five-member committee attend, all four must vote yes.

At the conclusion of the questioning period, the candidate and any guests who have remained are asked to leave the room, and the committee discusses the student's performance on the exam. The University Graduate Committee representative (or committee chair if no UGC representative is in attendance) provides the ballots and conducts a secret ballot vote as to whether the student passes the exam. The University Graduate Committee representative does not vote. A two-thirds majority of the appointed committee is required for the student to pass. For example, four affirmative

votes are required on a five-person committee and three affirmative votes are required on a four-person committee. If only four members of a five-member committee attend, all four must vote yes.

If the candidate passes the defense and there are minor changes in the dissertation to be made, the committee should note those changes on the /Dissertation Defense—Part 1 (Pass/Fail Form) and specify a process to verify that the changes are made prior to submission of the final copy. This form, which includes parts one and two, will be provided to the UGC representative or the committee chair if no UGC representative is in attendance. The form is also located at the Graduate College website in a section available to faculty only and requires log-in authentication (http://nau.edu/GradCol/Student-Resources/Theses-and-Dissertations/).

If a candidate does not perform satisfactorily on the defense, or if there are major problems with the dissertation (such as rewrite of a chapter or re-analysis of data), the student will be advised of the deficiencies. The defense will be rescheduled after the committee is satisfied that the deficiencies have been corrected. A student may repeat the defense once. If serious problems with the dissertation are agreed upon at the end of the defense, the committee may decide not to take a formal vote on the exam, but to require the student to make corrections and then appear before the committee at a later date. Whether or not a formal vote is taken, this will be considered a first defense and the student will have one more opportunity to pass the defense.

*Forms*
The University Graduate Committee representative provides the Thesis/Dissertation Defense Form—Part 1 (Pass/Fail) on which the vote is recorded and which the committee members sign. The University Graduate Committee representative (or the committee chair if no UGC representative is in attendance) returns this form to the Graduate College no more than 48 hours after the exam. The University Graduate Committee representative also completes a Report to the Graduate Dean on the Doctoral Defense form. A copy of the Report form is sent to the committee chair and graduate coordinator by the Graduate College. If no UGC representative is in attendance, the reporting form need not be completed.

The Verification of Final Thesis/Dissertation Document—Part 2 (Verification Form) is not needed during the defense.  This Verification Form replaces faculty signatures on the title page of the electronic dissertation and indicates to the Graduate College that the student has completed all of the changes required by the committee and the student may submit the final document via the Electronic Thesis and Dissertation website. Once this form is completed in its entirety, the original must be returned to the Graduate College, by the committee chair via scan from the chair's NAU email account or in person or (forms delivered by students or via campus mail will not be accepted). The chair will provide the student with a copy to assist with answering the questions regarding copies, embargoes, and other matters during electronic submission of the final dissertation document for publishing.

*Dissertation Defenses Via Speaker Phone, Web Conferencing or Other Electronic Means*

Generally, members of the dissertation committee, the doctoral student and the University Graduate Committee representative must be present at the same location for a dissertation defense. However, given the global initiatives and geographically distributed nature of some NAU doctoral programs, a requirement that all participants in a defense be physically present at the same location presents a hardship for some faculty and students. Therefore, participation from a distant location may be approved for a committee member, or, in unavoidable circumstances, two committee members. At a minimum, the committee chair, the student, and one other committee member must attend at the same location. All committee members must attend the entire defense. The following considerations apply to remote participation in a defense:

1. Approval for a committee member to attend a defense electronically and the justification for the request must be presented in writing to the Graduate College when the Defense Scheduling Form is submitted at least two weeks prior to the scheduled defense date. Electronic attendance is approved only when there is no other option available.
2. In addition to the requirement for Graduate College advance approval, the decision to conduct a dissertation defense via speaker phone, web conferencing, or other electronic means must be agreeable to the student and all members of the committee. If the student or any member of the committee is not comfortable participating in a defense with some members attending from distant sites, all participants must be present at the same location, usually Flagstaff.
3. The dissertation committee chair or the administrative assistant of the student's department shall arrange for the web conferencing or telephone conference line. If there are problems with the technology (e.g., the system "goes down" during the defense,) the committee must wait for the problem to be resolved or reschedule the defense. Committees are encouraged to set up more than one system to avoid delays should technology fail. For example, committees using Skype might also arrange for a Meet-Me line as a back-up.
4. Any handouts prepared in advance by the doctoral candidate should be delivered electronically to participants at other locations.
5. Voting shall be by secret ballot, consistent with existing dissertation defense guidelines. Committees with members attending remotely are encouraged to arrange a means for secret balloting in advance. The ballots may be sent electronically via fax, email, or text message to the University Graduate Committee representative who will tally them and announce the results. In the event a University Graduate Committee representative is unavailable, the committee chair shall be responsible for tabulating and announcing the results.
6. The University Graduate Committee representative is responsible for circulating the Thesis/Dissertation Defense Form—Part 1 (Pass/Fail) to committee members for their signatures. With the permission of members at remote sites, the University Graduate Committee representative may sign the form on behalf of committee members. This is formally done by writing p.p. (Latin for *per procuration*, meaning power has been delegated to sign on behalf) followed by

the UGC representative's signature on the signature line and the committee member's name printed to the right. As in:

Signatures of the Committee      Printed Names
 pp Shamika Jones, Member      Ruben Ortega
Alternatively, members may e-mail an endorsement of the defense outcome to the associate dean of the Graduate College. A copy of that e-mail shall be attached to the original form and shall become part of the official documentation.

**Graduation**

Toward the end of the semester before the semester or summer session in which you expect to complete work for the degree, you must file an application for graduation (deadlines are typically May 1 for Fall graduation, December 1 for Spring graduation). If you miss the deadline for submitting your graduation application, your name may not appear in the commencement program but you can still graduate as long as you submit the completed form by the last day of the term in which you intend to graduate.

The graduation application is facilitated through your LOUIE Student Center. Please view the OGPS's Step-by-Step Guide on how to submit your application. A fee is required to apply for graduation. If you end up needing to withdraw your application due to a change in your program of study or your term of graduation, you will have to pay the fee again, so be sure about your plans before you apply and pay the fee.

Questions about graduation can be directed to the OGPS at GradGraduation@nau.edu.

If you wish to attend commencement (the official graduation ceremony), be aware of the following:
1. You must complete all requirements for the term in which you want to graduate.
2. You will need to obtain the appropriate gown, cap, tassel, and hood for the ceremony.
4. Refer to the detailed information from the OGPS about graduation and commencement.

**Academic Integrity**

NAU's Academic Integrity Policy begins with the following overview of academic integrity and various violations thereof, all of which apply to students in the M.A. in Communication:

Academic integrity refers to honest and ethical conduct in all aspects of academic life. Integrity entails a firm adherence to a set of values, and the values most essential to an

academic community are grounded in honesty with respect to all intellectual efforts of oneself and others. NAU expects every student to firmly adhere to a strong ethical code of academic integrity in all their scholarly pursuits. The primary attributes of academic integrity are honesty, trustworthiness, fairness, and responsibility.

Integrity is expected of every student within the NAU community in all academic undertakings, regardless of venue (including but not limited to classroom (both in-person and virtual), laboratory, internships/externships, clinical practicum, clinics, paid positions, etc.) or medium (including but not limited to assignments, written work, data gathering, oral presentations, etc.). Academic integrity is expected not only in formal coursework settings but in all University relationships and interactions connected to the educational process, including the use of University resources.

All forms of academic deceit, such as plagiarism, cheating, collusion, falsification or fabrication of results or records; permitting work to be submitted by another; or inappropriately recycling work from one class to another constitutes academic misconduct that may result in serious disciplinary consequences. All students and faculty members are responsible for reporting suspected instances of academic misconduct.

Violations of academic integrity can result in, among other things, dismissal from the program. For more detailed information on types of violations, policies, processes, and consequences, see NAU's Academic Integrity Policy.

## Important Dates and Deadlines

| Item | Due Date |
|---|---|
| Applications for Fall Term | January 1 |
| Apply for Assistantships and Scholarships https://nau.edu/teaching-and-learning/financial-aid/ | Each Spring |
| Application Decision | January 30 |
| Comprehensive Examination | By Arrangement |
| Admission to Candidacy | After coursework, professional development requirements, comprehensive examination, and prospectus requirements have been successfully completed.  Must be at least 90 days before oral defense of dissertation. |
| Oral Defense of Dissertation | At least 90 days after admission to candidacy and prior to reading week or by special arrangement |

| | |
|---|---|
| Submission of Dissertation to Committee Members and the Graduate College | At least 10 working days before the oral defense |
| Submit Final Copy of Dissertation to Graduate College | Before final day of the semester in which you Graduate (See OGPS for specific deadlines) |

# Appendix A: C & I PhD Admissions

## Application and Admissions

Application for the program is completed through the online portal at the NAU Graduate College (https://www.applyweb.com/northazg/index.html). Candidates interested in applying to the program are required to contact a faculty member in the program prior to applying. Names and contact information are available on the web site (https://nau.edu/ed-specialties/directory/; https://nau.edu/teaching-and-learning/directory/). Documents required to complete the application process include:

## Personal Information
- Name
- Address
- Contact Information

## Demographic Information
- Social Security Number (for students applying domestically; international students may have other requirements)
- Ethnic Background

## Education Information
- Transcripts:
  - Unofficial transcripts of all undergraduate or graduate work completed in the US must be uploaded to evaluate application. Ensure all pages of the transcript are included and can be easily read. OFFICIAL TRANSCRIPTS, sent from the issuing institution directly to Northern Arizona University, will be required upon admittance to your graduate program for GPA and degree conferral verification. NAU students do not need to submit official transcripts for NAU coursework.
    - Additional information regarding ordering official and uploading unofficial transcripts is available on the application page.
    - Specific information for uploading transcripts can be found at: https://applyweb.collegenet.support/hc/en-us

Enter into **"**School" the institution where the most recent undergraduate or graduate degree was awarded to applicant. Please, identify the degree received from any institution. **"**Add a School" to upload additional transcripts.

## Citizenship Verification
In accordance with Arizona law, all students attending NAU must provide documentation of U.S. citizenship, permanent residency, or other lawful immigration status in order to qualify for in-state tuition, or any other type of financial assistance that is subsidized with state monies, including all graduate assistantship awards.

With rare exceptions, applicants will not have to provide documentation of lawful presence if he or she:
- Filed a FAFSA (Free Application for Federal Student Aid);
- Works as an NAU employee or NAU student worker; or,
- Resides (is a resident of) in Arizona.

If the criteria above are not met, or if there is a question regarding status, applicants will need to provide documentation. Failure to provide this documentation results in ineligibility for in-state tuition or financial aid supported by state monies.

Documents that may be asked to be provided include:
- Birth certificate showing birth in a U.S. state, territory, or possession;
- US passport;
- US naturalization certificate;
- US permanent resident card - if this was uploaded in Section One, citizenship verification requirements are met.

**Curriculum Vitae**
Upload a complete professional curriculum vitae. Please, include the following information:
1. Name, home address and phone, business address and phone, e-mail address;
2. Academic history (undergraduate and graduate programs with institutions, date completed, degrees earned, and major/minor fields of study);
3. List of all certificates, endorsements, and licenses held;
4. Teaching/work experience, including present occupation and employer (with name, address, and phone);

Applicants should specify the number of years of teaching in K-12 and/or higher education settings in full-time equivalencies (FTEs). Please, describe any post-secondary experience, including course load and topic. Do not include substitute teaching, unless these appointments were for long-term substitute teaching positions.
5. Professional honors or awards;
6. Professional activities membership and leadership roles or responsibilities in professional and/or service organizations or clubs;
7. Professional Development: significant professional growth or in-service activities
8. Publications and/or Presentations: articles, books, other published materials, professional presentations, and conference presentations; and,
9. Community/Non Professional Activities: membership and leadership roles or responsibilities in professional, and service organizations or clubs.

**Goal Statement**
Prepare a brief (one to two page) statement describing your short-term and long-term professional goals as well as your research interests.  This statement should include how obtaining the doctoral degree in C&I will assist you in meeting your goals and what you learned about the connections between your goals and the C&I program from the faculty member(s) you spoke with as you were preparing to apply to the program.  Please include the name(s) of the faculty with whom you spoke.

**Diversity Statement**

The College of Education at Northern Arizona University supports the university's commitment to diversity by fostering an environment that celebrates diversity and is inclusionary and reflective. Please provide a detailed and justified explanation for your own commitment to these ideals in 150-250 words, including any experiences you have that inform your values and commitment to diversity and inclusiveness.

**The Academic Writing Sample**

Submit a 5 - 10 page paper on a critical issue in education (current APA style, double-spaced, 12-point font, 1 inch margins). This can be a paper submitted for a previous course assignment as long as it meets the content and length guidelines and was authored solely by the applicant.

**Recommendations**

Provide the contact information for individuals* who will write recommendation letters. **Three** letters of recommendation are required. Letters should be submitted by academic or professional references. If your most recent degree was within the last 5 years, at least one reference must be from a professor. It is important that you choose at least one reference who can speak to your ability to be successful in a doctoral program. **It is your responsibility to ensure letters are submitted**, so you should be sure to contact the individuals to alert them that they will be asked to submit a reference.

*Please, remember applicants do not request these recommendations. NAU will automatically send an e-mail request to the individuals whose contact information has been provided.

**Ratings Criteria**

The Admission Rating Form is found below.

**Curriculum and Instruction Ph.D. Program**
**Admission Rating Scale**

**Applicant:**                                        **Evaluator:**

**Review Semester:**                        **Total**
**Score:**_____

**Application is complete:** ____yes ـــــــــno (will not be evaluated)

| | Writing Mechanics Across Application Materials | | |
|---|---|---|---|
| | Evaluate the writing mechanics across the application materials (i.e. goal statement, diversity statement) | | |
| | 3 | 2 | 1 |

| Writing is clear with few, if any spelling/grammatical errors. | Writing is generally clear, but contains some spelling/grammatical errors | Writing contains multiple spelling/grammatical errors and/or lacks clarity and structure. |
|---|---|---|

**Goal Statement**

**Goal Statement:** Prepare a brief (one to two page) statement describing your short-term and long-term professional goals as well as your research interests.  This statement should include how obtaining the doctoral degree in C&I will assist you in meeting your goals and what you learned about the connections between your goals and the C&I program from the faculty member(s) you spoke with as you were preparing to apply to the program.  Please include the name(s) of the faculty with whom you spoke.

*Note:  The Curriculum and Instruction (C&I) Doctoral Program is designed and ideally suited for educational professionals with prior degrees in fields such education, higher education, and other professional fields (i.e. engineering and nursing). Individuals may be continuing their academic journey or engaged in careers such as teaching (K-20), education leadership, curriculum development, or community development through curricular design. Students should have a desire to engage in a rigorous program to gain a thorough understanding of the field of curriculum and instruction.*

| 4 | 3 | 2 | 1 |
|---|---|---|---|
| Short and long term goals align strongly with what a graduate from the C&I program will be prepared to do.  A degree in C&I will be essential to meet research interests of the applicant. | Goals/research interests are specific and show some alignment to the purpose of the C & I program. | Goals/research interests are vague , but appear to be related to the purpose of the C & I program. | Goals/research interests are not related to the purpose of the C & I program. **or** No research interests are evident **or** There is no evidence that the applicant has been in contact with a C&I faculty member. |

**Teaching Experience**

**Years of teaching experience must be made clear in the vita.**

*Note:  Teaching experience includes K-12 and higher education. Applicant should have indicated number of years in full-time teaching.  **If it is unclear, score a 1.***

| 5 | 4 | 3 | 2 | 1 |
|---|---|---|---|---|
| Seven- or more years full-time teaching experience | Five- to six-years full time teaching experience | Three-to-four-years full time teaching experience | One- to two-years full time teaching experience | Less than one-year full time teaching experience; or unable to determine |

**Professional/Leadership Experience in Education**

*Examples of professional experience: activities with professional organizations, presentations, articles, grants, consulting for school districts, research in educational settings, committees,*

| 5 | 4 | 3 | 2 | 1 |
|---|---|---|---|---|
| *evaluation of program, director of program, conference attendance, textbook evaluations, curriculum development, awards and honors* ||||| 
| More than two professional experiences related to teaching and learning, **including presentations and publications.** | More than two professional experiences related to teaching and learning, **including presentations.** | More than two professional experiences related to teaching and learning, **excluding presentations and publications.** | Two professional experiences related to teaching and learning | One professional experience related to teaching and learning |

| | **Community Non-professional Activities (experiences that are community-focused, but not education related)** | | |
|---|---|---|---|
| | *Examples of community non-professional activities: non-profit organization work, volunteer work, community/political work that is not education related* | | |
| | **3** | **2** | **1** |
| | Participation in more than two community activity, and **leadership role in at least one activity** | Participation in two community activities | Participation in a minimum of one community activity |

| | **Diversity Statement** | | |
|---|---|---|---|
| | **Diversity Statement:** The College of Education at Northern Arizona University supports the university's commitment to diversity by fostering an environment that celebrates diversity and is inclusionary and reflective. Please provide a detailed and justified explanation for your own commitment to these ideals in 150-250 words, including any experiences you have that inform your values and commitment to diversity and inclusiveness. | | |
| | **3** | **2** | **1** |
| | Diversity statement indicates a detailed understanding of and strong commitment to diversity including connections to personal experiences and/or research in the field | Diversity statement indicates general understanding of diversity | Diversity statement indicates a limited understanding of diversity (e.g. "heroes and holidays") |

| | **Academic Piece of Writing** (out of 9 points by adding three rows.) | | |
|---|---|---|---|
| | **Academic Writing Sample:** Submit a 5 - 10 page paper on a critical issue in education (current APA style, double-spaced, 12-point font, 1 inch margins). This can be a paper submitted for a previous course assignment as long as it meets the content and length guidelines and was authored solely by the applicant. | | |
| | **3** | **2** | **1** |
| **Content** | Issue addressed is a critical issue in education and relevant to the C&I doctoral program. *(3 points)* | Issue addressed is a critical issue in education but is not relevant to the C&I doctoral program. *(2 points)* | Issue addressed is not a critical issue in education. *(1 point)* |

| | | | |
|---|---|---|---|
| **Flow of Writing** | Topic is introduced, and groundwork is laid as to the direction of the paper. Literature included is identified and justified. Writing goes from general ideas to specific conclusions. Transitions tie sections together, as well as adjacent paragraphs. Appropriate content is covered in depth without being redundant. *(3 points)* | Readers are aware of the overall problem, challenge, or topic that is to be examined. There is a basic flow from one section to the next, but not all sections or paragraphs follow in a natural or logical order. All major sections of pertinent content are included, but not covered in as much depth, or as explicit, as expected. *(2 points)* | Neither implicit nor explicit reference is made to the topic being examined. The writing appears to have no direction, with subtopics appearing disjointed. Major sections of pertinent content have been omitted. *(1 point)* |
| **Clarity and Mechanics** | Writing is crisp, clear, and succinct. Incorporates the active voice when appropriate. Uses appropriate pronouns, modifiers, parallel construction, and non-sexist language. *(3 points)* | Writing is generally clear, but unnecessary words are occasionally used. Meaning is sometimes hidden. Paragraph or sentence structure is too repetitive. *(2 points)* | Hard to know what the writer is trying to express. Writing is convoluted. Misspelled words, incorrect grammar, and improper punctuation. *(1 point)* |

| | **Letters of Recommendation (minimum of three recommendations)** | | |
|---|---|---|---|
| | **Three** letters of recommendation are required.  Letters should be submitted by academic or professional references.  If your most recent degree was within the last 5 years, at least one reference must be from a professor.  It is important that you choose at least one reference who can speak to your ability to be successful in a doctoral program. **It is your responsibility to ensure letters are submitted.** | | |
| | **3** | **2** | **1** |
| | Strong recommendations (look for consistency; notes multiple examples of specific academic qualities) | No criticisms, no strong recommendations (focuses primarily on personal rather than academic qualities) | One or more concerns stated in at least one letter or no academic references provided |

| | **Master's GPA** | |
|---|---|---|
| | **2** | **1** |
| | 3.5 – 4.0 | Less than 3.5 |

**NORTHERN ARIZONA UNIVERSITY**

College of Education

**Professional Development Requirement**

The OGPS has shifted all doctoral programs from a residency requirement to a professional development model. Completing the professional development requirement is one of the most rewarding and meaningful aspects of students' doctoral studies. Professional Development offers embedded experiences that deepen understandings, expand horizons, and lead to transformations from doctoral students to members of the community of scholars. These activities are designed and expectations set to help the doctoral student develop a sense of and be mentored into the scholarly community. The overarching expectation is that students, through meaningful engagement in professional development activities, build collegial and collaborative relationships among peers and faculty members. Through active participation at varying levels, professional development requirements are designed to provide students with opportunities to:

- hone research skills,
- refine leadership capabilities,
- network and form relationships with peers and faculty, and
- prepare to become active members of the community of educational scholars.

*A minimum of 5 hours of professional development activities is required between matriculation in the program and admission to candidacy.*

**(A) General Professional Development Requirements**

NAU's professional development requirement provides doctoral students the benefit and opportunity to engage in and contribute to the full spectrum of educational and professional opportunities provided by faculty and other students within their program and across the university. The Graduate College and the University Graduate Committee concur that the doctoral professional development requirement at NAU may be met in a variety of ways, some of which fit the ethos of a particular discipline or type of cohort engaged in a particular program. These activities extend beyond the required coursework and may include but are not limited to attending and presenting at professional conferences; participation and active engagement in presentations of scholarly work, seminars, and events; assisting and engaging in various funding efforts to support research, scholarship, and creative work; and active participation in professional development opportunities offered by programs and the Graduate College. Additional opportunities are listed below:

- o attend events and workshops organized by the C&I Program
- o attend colloquia organized by the C&I Program

- attend colloquia organized by the Doctoral Student Organization
- attend the Annual Lapan Forum
- attend the university's 3MRP competition
- attend Graduate College workshops and events
- serve on the organizing committee for the Lapan Forum
- participate in a writing group
- participate in a comprehensive examination study group
- serve in a leadership position within the Doctoral Student Organization
- present at the Annual Lapan Forum
- participate in the 3MPR program
- lead a comprehensive examination study group
- lead a writing group
- submit a proposal for a presentation/poster at a state/ regional/ national/ international conference
- act as a reviewer for conference proposals or journal editorial board
- participate in workshops for writing conference proposals and grant applications
- become engaged in graduate student organizations of AERA or other national scholarly organizations
- other activities with approval of advisor
- working with faculty on a research project

Graduate program faculty have the responsibility of identifying and approving how the specific professional development requirement for their program will be met, in consultation with the dean of the Graduate College. Details regarding each program's professional development requirement are listed on the program of study, and documentation of the completion of the professional development requirement is submitted with the candidacy application.

Details of a student's participation in professional development must be maintained and approved by the student, in conjunction with their advisor OR chair. Professional development activities should be recorded in detail, and attached (as an addendum) to the student's Program of Study.

**NAU NORTHERN ARIZONA UNIVERSITY**

## College of Education

**Curriculum and Instruction Ph.D. Program
Professional Growth Plan (PGP) Form**

Student Name (Last, First, MI): _____

Advisor: _____          Evaluation Date: Click here to enter a date.

**Objective 1:** \_\_\_\_\_

Activities to Accomplish the Objective: \_\_\_\_\_

Timeline for Completing Activities: \_\_\_\_\_

Criteria for Successfully Completing the Objective: \_\_\_\_\_

**Objective 2:** \_\_\_\_\_

Activities to Accomplish the Objective: \_\_\_\_\_

Timeline for Completing Activities: \_\_\_\_\_

Criteria for Successfully Completing the Objective: \_\_\_\_\_

**Additional Comments:** \_\_\_\_\_

_____  _____
_____  _____

**Signature of Advisor                          Date          Signature of
Coordinator/Director          Date**


_____  _____

**Signature of Student                          Date**



**Date PGP Successfully Completed:** Click here to enter a date.

_____  _____
_____  _____

**Signature of Advisor                          Date          Signature of
Coordinator/Director          Date**


_____  _____

**Signature of Student                          Date          Signature of Department Chair
          Date**

# NORTHERN ARIZONA UNIVERSITY

## College of Education

**Curriculum and Instruction Ph.D. Program**
**Continuing Student Evaluation Form**

During the spring semester, following a student's admission to the Curriculum and Instruction Doctoral Program, the faculty will evaluate the student's progress in the program based upon the criteria identified below. Each faculty member will complete the feedback form prior to the meeting and follow the google form process. In the google forms, if someone has worked with a student this past year as an administrator, faculty, or in another capacity, they will be prompted to complete the form.

Each student will be reviewed at the annual meeting and the advisor will generate a summary based on the feedback given which they will share with the student in an advising meeting. Every student currently enrolled will be required to meet with the advisor after this process. Students will also self-reflect annually which will be part of the meeting with the advisor. The summary and the student reflection will be placed in the digital student file.

If a student exhibits a weakness (rating of needs improvement or unacceptable) in any of the criteria, the student's advisor and student, in consultation with the Program Coordinator, will develop a Professional Growth Plan (PGP) to remediate the weakness. The advisor will evaluate and report to the Program Coordinator and/or Program Committee successful completion of the PGP by the student. If the Advisor and the Chair and/or Program Committee determine that the student has met the objectives, activities, and timelines of the PGP, he or she can continue in the program. If the student has not met/completed the PGP successfully, the advisor reports to the Coordinator and the Program Committee who will then make the determination that the student has not met the objectives, activities, and timelines of the PGP. If it is determined that the student has not met the objectives, activities, and timelines of the PGP, he or she will be denied continuance in the program.

**Name (Last, First, MI):** _____     **Year in Program:** _____

**Advisor's Name:** _____     **Evaluation Date:** Click here to enter a date.

**Cumulative GPA:** _____     **Cumulative Hours:** _____

**Will student be rated this semester?:**　　　**YES**　　　　　**NO**

**If NO, please state reason:** _____

*Please rate this student on the following dimensions*

**A.　Academic Aptitude**

| | Presently Unacceptable | Needs Improvement | Competent | Excellent | Outstanding | Haven't Observed |
|---|---|---|---|---|---|---|
| **1. Writing Skills** | 1 | 2 | 3 | 4 | 5 | |
| **2. Speaking Ability** | 1 | 2 | 3 | 4 | 5 | |
| **3. Research Skills** | 1 | 2 | 3 | 4 | 5 | |
| **4. Content Knowledge** | 1 | 2 | 3 | 4 | 5 | |
| **5. Technological Skills** | 1 | 2 | 3 | 4 | 5 | |

**B.　Goals & Objectives**

| | Presently Unacceptable | Needs Improvement | Competent | Excellent | Outstanding | Haven't Observed |
|---|---|---|---|---|---|---|
| **1. Student Goals** | 1 | 2 | 3 | 4 | 5 | |
| **2. Desire to Achieve** | 1 | 2 | 3 | 4 | 5 | |
| **3. Potential to On track to　Complete Program** | 1 | 2 | 3 | 4 | 5 | |

**C.　Qualities Relevant to the Community of Scholars**

| | Presently Unacceptable | Needs Improvement | Competent | Excellent | Outstanding | Haven't Observed |
|---|---|---|---|---|---|---|
| **1. Presents an Openness to Learn and an Inquisitive Nature** | 1 | 2 | 3 | 4 | 5 | |
| **2. Values Reflection in Scholarly Learning and Professional Practice** | 1 | 2 | 3 | 4 | 5 | |
| **3. Exhibits Autonomy and Self-motivation While Recognizing the Roles and Responsibilities within the Community of Scholars** | 1 | 2 | 3 | 4 | 5 | |
| **4. Exhibits Openness to Others'** | 1 | 2 | 3 | 4 | 5 | |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Opinions, Receptivity to New Ideas, and Willingness to Engage in Diversity** | | | | | | |
| **5. Accepts and Values Feedback, and Exhibits Humility and Resilience** | 1 | 2 | 3 | 4 | 5 | |
| **6. Demonstrates Ethical Research and Writing Practices** | 1 | 2 | 3 | 4 | 5 | |
| **7. Values Relationships with Others, is Respectful and Exhibits an Ability to Collaborate** | 1 | 2 | 3 | 4 | 5 | |
| **8. Is self-directed and takes initiative** | 1 | 2 | 3 | 4 | 5 | |

### *Faculty feedback For students in the C&I Program:*

Coursework Completed:  Choose an item.        QRP and Comprehensive Exams Completed: Choose an item.

Overall Strengths:  _____

Overall Weaknesses:  _____

# NORTHERN ARIZONA UNIVERSITY

## College of Education

**Curriculum and Instruction Ph.D. Program**
**Student Self-Reflection Form**

An important part of becoming a professional is our ability to examine our own growth. As part of the PhD in Curriculum and Instruction we are committed to providing annual feedback to each student. Furthermore, this will be done by triangulating various perspectives, faculty and student. Below is a brief outline of the faculty process. This form is your space to self-evaluate and reflect on this past year.

Process: During the spring semester, following a student's admission to the Curriculum and Instruction Doctoral Program, the faculty will evaluate the student's progress in the program based upon the criteria identified below. Each faculty member will complete the feedback form prior to the meeting and follow the google form process. In the google forms, if someone has worked with a student this past year as an administrator, faculty, or in another capacity, they will be prompted to complete the form.

Each student will be reviewed at the annual meeting and the advisor will generate a summary based on the feedback given which they will share with the student in an advising meeting. Every student currently enrolled will be required to meet with the advisor after this process. Students will also self-reflect annually which will be part of the meeting with the advisor. This form will be placed in the digital student file.

If a student exhibits a weakness (rating of needs improvement or unacceptable) in any of the criteria, the student's advisor and student, in consultation with the Program Coordinator, will develop a Professional Growth Plan (PGP) to remediate the weakness. The advisor will evaluate and report to the Program Coordinator and/or Program Committee successful completion of the PGP by the student.  If the Advisor and the Chair and/or Program Committee determine that the student has met the objectives, activities, and timelines of the PGP, he or she can continue in the program.  If the student has not met/completed the PGP successfully, the advisor reports to the Coordinator and the Program Committee who will then make the determination that the student has not met the objectives, activities, and timelines of the PGP. If it is determined that the student has not met the objectives, activities, and timelines of the PGP, he or she will be denied continuance in the program.

**Student reflection:**

**Name (Last, First, MI): \_\_\_\_\_     Year in Program: \_\_\_\_\_**

**Advisor's Name:** _____     **Meeting with Advisor:** Click here to enter a date.

**Cumulative GPA:** _____     **Cumulative Hours:** _____

*Please rate yourself on the following dimensions*

**A.     Academic Aptitude**

|  | Presently Unacceptable | Needs Improvement | Competent | Excellent | Outstanding | Haven't Observed |
|---|---|---|---|---|---|---|
| 1. Writing Skills | 1 | 2 | 3 | 4 | 5 | |
| 2. Speaking Ability | 1 | 2 | 3 | 4 | 5 | |
| 3. Research Skills | 1 | 2 | 3 | 4 | 5 | |
| 4. Content Knowledge | 1 | 2 | 3 | 4 | 5 | |
| 5. Technological Skills | 1 | 2 | 3 | 4 | 5 | |

**B.     Goals & Objectives**

|  | Presently Unacceptable | Needs Improvement | Competent | Excellent | Outstanding | Haven't Observed |
|---|---|---|---|---|---|---|
| 1. Student Goals | 1 | 2 | 3 | 4 | 5 | |
| 2. Desire to Achieve | 1 | 2 | 3 | 4 | 5 | |
| 3. Potential to On track to     Complete Program | 1 | 2 | 3 | 4 | 5 | |

**C.     Qualities Relevant to the Community of Scholars**

|  | Presently Unacceptable | Needs Improvement | Competent | Excellent | Outstanding | Haven't Observed |
|---|---|---|---|---|---|---|
| 1. Presents an Openness to Learn and an Inquisitive Nature | 1 | 2 | 3 | 4 | 5 | |
| 2. Values Reflection in Scholarly Learning and Professional Practice | 1 | 2 | 3 | 4 | 5 | |
| 3. Exhibits Autonomy and Self-motivation While Recognizing the Roles and Responsibilities within the | 1 | 2 | 3 | 4 | 5 | |

| | | | | | |
|---|---|---|---|---|---|
| **Community of Scholars** | | | | | |
| **4. Exhibits Openness to Others' Opinions, Receptivity to New Ideas, and Willingness to Engage in Diversity** | 1 | 2 | 3 | 4 | 5 |
| **5. Accepts and Values Feedback, and Exhibits Humility and Resilience** | 1 | 2 | 3 | 4 | 5 |
| **6. Demonstrates Ethical Research and Writing Practices** | 1 | 2 | 3 | 4 | 5 |
| **7. Values Relationships with Others, is Respectful and Exhibits an Ability to Collaborate** | 1 | 2 | 3 | 4 | 5 |
| **8. Is self-directed and takes initiative** | 1 | 2 | 3 | 4 | 5 |

**We also appreciate your feedback on the overall program as you have experienced it this past year. Please respond to the following prompts and provide details on what you have done and with whom. This helps to track your Professional Development requirements as well as provide us information on your movement through the program.**

I have had opportunities to participate in research.
I have had opportunities to teach.
I participated in the following professional opportunities for professional development:
For next year I have set the following professional goals:

## Appendix E: Dissertation Prospectus Defense Scheduling Form

To be completed and submitted by Dissertation Committee Chair in consultation with student

Name of Student:  _                                    Date:

Committee Chair/s:                                      Date:


Date:
Room Reserved:
Signed by COE Rm. Scheduler
This schedule is agreed to by:
Student:                                                Date:

Committee Chair/s:                                      Date:

C & I Coordinator:                                      Date:


CC:    Dissertation Committee Chair
C & I Coordinator
Student File (T&L Admin. Assist.)

**NORTHERN ARIZONA UNIVERSITY**

College of Education

**Curriculum and Instruction Ph.D. Program**
**Comprehensive Examination Grading Rubrics**
*HIGH PASS*
• Response fully addresses all parts of question
• Response is well organized
• Accuracy is apparent in use and interpretation of sources
• Details demonstrate comprehensive understanding
• Substantial depth and insight apparent in response
• Response includes discussion of several specific studies and findings where appropriate and notes counter-argument where appropriate
• Answer is well-developed, coherent, and offers logical analysis or synthesis of information as required by the question
• Writing is clear, fluent, and effective

*PASS*
• Response fully addresses all parts of question
• Response is generally well organized
• Accuracy is generally evident, but limited in interpretation
• Details demonstrate general understanding
• Shows firm grasp of the relevant materials as evidenced by use of correct, specific, and up-to-date references to theorists and researchers in the field
• Compared to "high pass," somewhat lacking in scope of discussion, range of studies/findings discussed, or coherent synthesis of ideas
• Writing is clear, fluent, and effective

*CONDITIONAL PASS*
• Response addresses all parts of the question, but not completely, or fully addresses most, but not all, parts of the question
• Response is generally well organized overall, with some parts lacking effective organization
• Accuracy in general is evident, but there are few important inaccuracies, and interpretation is limited

- Shows a grasp of relevant material as evidenced by use of generally correct, specific, and current references to theorists and researchers in the field, but one or two additional significant references should have been used
- Compared to "pass," somewhat less coverage and organization, somewhat less accuracy, and somewhat less overall grasp of the material
- Writing is generally clear, fluent, and effective

## *FAIL*
- Fails to address major parts of the question
- Response is not well organized
- Addresses the question in such brief and/or vague terms that there is not enough information to determine whether or not the writer actually understands the area
- Demonstrates limited or no knowledge of the area in question
- Mistakes in use and interpretation of sources
- Obvious inaccuracies
- Few details, minimal or lack of understanding is evident
- Writing lacks clarity or fluency

# Appendix G: C&I PhD Forms and Resources

## 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://in.nau.edu/human-research-protection-program/irbnet/new-project/

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

## NAU Graduate College Forms
https://nau.edu/graduate-college/forms/
- Candidacy Application
- Dissertation Committee Recommendation Form
- Dissertation Defense Scheduling Form
- Doctoral Pathway Guide
- Petition for Extension of Time
- Petition for Leave of Absence
- Thesis and Dissertation informational forms
- Programs of Study

## College of Education Forms
https://nau.edu/coe/curriculum-instruction/forms/

## C&I PhD Program Forms
https://nau.edu/teaching-and-learning/c-i-forms/

1. Student Program Checklist
2. Professional Development Plan Approval
3. Comprehensive Exam Scheduling Form
4. Comprehensive Exam Report Form