

# DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAM HANDBOOK

Effective Fall 2022

SCHOOL OF EDUCATION  
COLLEGE OF HEALTH AND HUMAN SCIENCES  
COLORADO STATE UNIVERSITY

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The School of Education (SOE) has been preparing educators, human resource professionals, counselors, and administrators for over 75 years. Over 4,000 alumni from the School of Education play significant roles in the state, national, and world in both the public and private sectors. We trust your academic work in our graduate program will culminate in the award of a Doctor of Philosophy degree and you will be included among this elite group of alumni.

This handbook will help you complete your degree. It should answer most of your questions as you progress toward your doctoral degree. Some information may not be covered, and keep in mind policies and procedures both in the School of Education and Colorado State University are continually changing.

Upon admission to the School of Education, the edition of the handbook that is in place at the time of admission contains the policies and procedures pertaining to your graduate study. Throughout your course of study, this handbook may undergo minor changes. If Colorado State University, the Graduate School, or the School of Education make major policy changes, all students will receive notification. Your program coordinator will advise you how to navigate applicable changes.

The School of Education does have policies and procedures that differ from Graduate School policies. Therefore, as you progress through your program it is important to refer to this document and consult with your advisor often. The [\*Graduate and Professional Bulletin\*](#) outlines minimum policies. In some cases, the School of Education has implemented stricter policies that supersede Graduate School policy. This handbook outlines all School of Education policies, including those beyond Graduate School requirements.

Welcome to the School of Education! The faculty are looking forward to working with you during your academic journey.

# Contact Information

## School of Education

Main Office: 209 Education

Mailing: 1588 Campus Delivery, Fort Collins, CO 80523-1588

Phone: 970.491.6317

FAX: 970.491.1317

Website: <https://chhs.colostate.edu/soe>

Email: [soeinfo@colostate.edu](mailto:soeinfo@colostate.edu)

## School of Education Graduate Programs Office

Phone: 970.491.3136

Email: [soegradprograms@colostate.edu](mailto:soegradprograms@colostate.edu)

## CSU Graduate School

Main Office: 108 Student Services

Mailing: 1005 Campus Delivery  
Fort Collins, CO 80523-1005

Phone: 970.491.6817

FAX: 970.491.2194

Website: <http://graduateschool.colostate.edu/>

Email: [gradschool@colostate.edu](mailto:gradschool@colostate.edu)

## Important Websites

[Canvas](#) (access to online courses)

[CSU Graduate School](#)

- [Deadline Dates](#)
- [Dissertation Resources](#)
- [Forms](#)
- [Policies and Procedures](#)

[CSU Online](#) (distance course information and registration)

[Division of Information Technology](#) (Email, IT, and Helpdesk support)

[eIDentity](#) (University username and password)

[Graduate and Professional Bulletin](#)

[Office 365](#) (access to University email account)

[Office of Financial Aid](#)

[RAMweb](#) (student records)

[School of Education](#)

- [Your Doctoral Journey](#)
- [Forms and Policy Documents](#)

## School of Education Graduate Programs

The School of Education offers seven graduate certificates, three master's degrees and one doctoral degree.

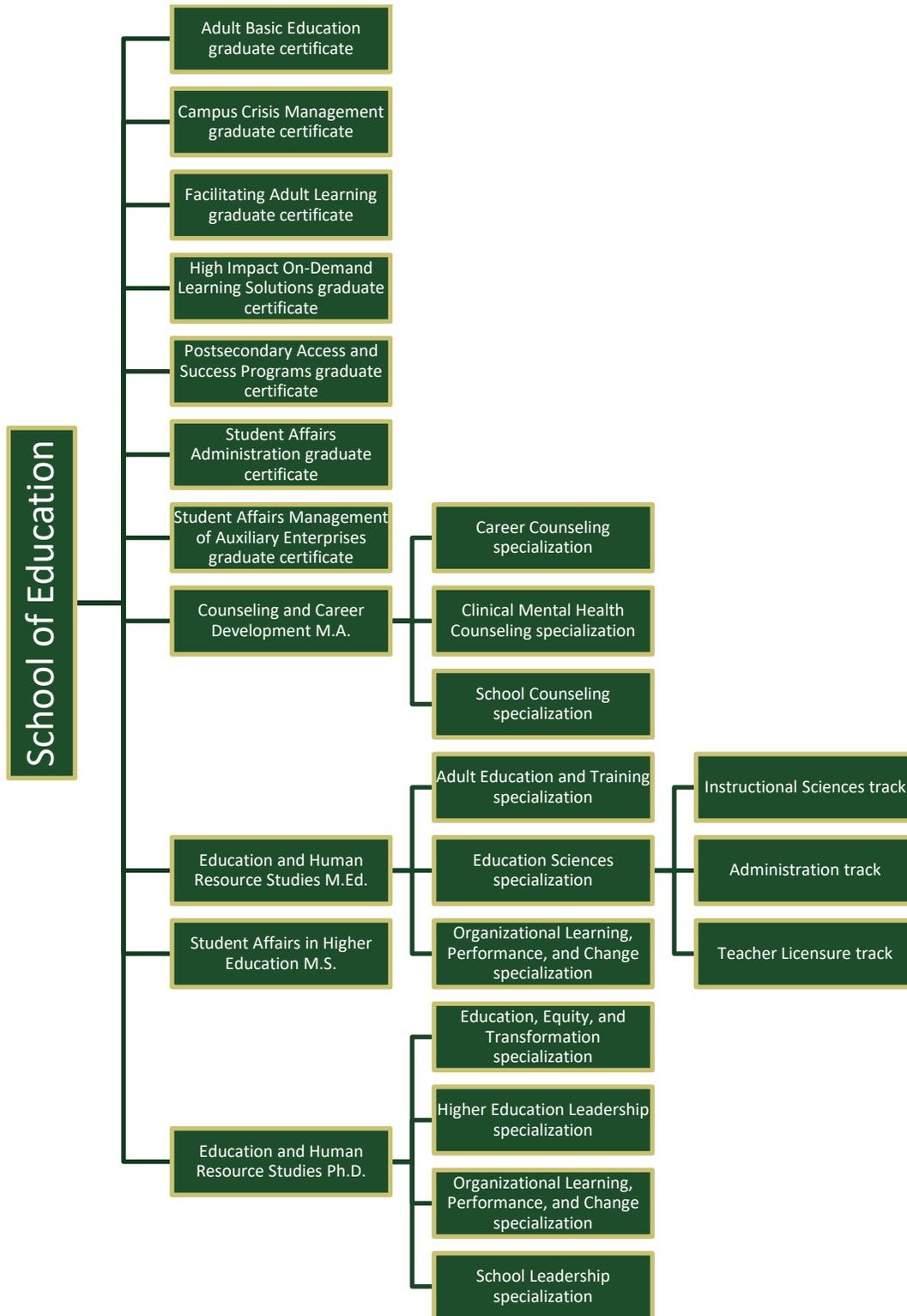
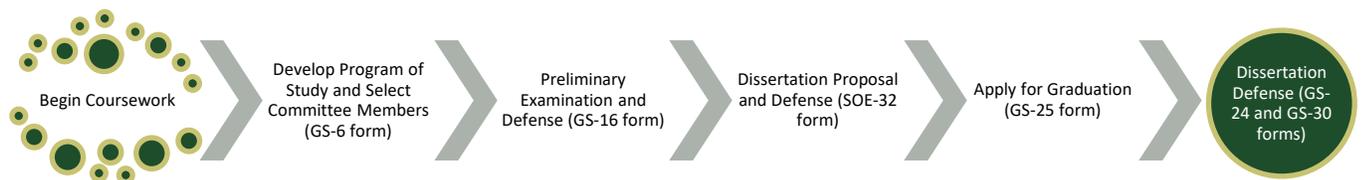


Figure 1. School of Education degree program flowchart.

# Progress Toward Degree Completion

## Degree Completion Milestones

Earning a doctoral degree involves much more than the accumulation of credits and completing courses. The flow chart below displays the major degree completion milestones. The School of Education offers formal courses and related experiences that transcend, expand, and supplement your core coursework. Your successful completion of the preliminary examination both demonstrates you are prepared to conduct independent research and changes your status from doctoral student to doctoral candidate. Your successful completion of the dissertation proposal and dissertation itself demonstrates your capacity as a scholar and initiates you into the world of research.



*Figure 2.* Steps taken toward degree completion milestones.

## Entering Doctoral Studies

Starting doctoral work is a major life decision that usually involves a range of challenges, rewards, and commitments. It is a decision that is likely to open new opportunities for you to develop professionally. Some of these may already be among your stated goals; others may not gain your attention until you are well into your program of study.

You should not take the demands of doctoral work lightly. Doctoral level work can often be disorienting, especially when you begin learning about different approaches to scientific research, and then how to formulate your own independent research. A successful doctoral experience provides opportunities for you to build lasting mentorships, develop as a skilled researcher, and grow as a scholar and teacher of the future, all of which require a sustained level of involvement and commitment on your part.

Although the challenges of life as a doctoral student may be considerable, so are the rewards. The relationships you develop with faculty mentors and your fellow doctoral students will likely sustain and enrich you for the rest of your personal and professional life. The skills you will develop in research, scholarship, and teaching will open new career opportunities and enable you to enjoy a rich, unprecedented intellectual life.

Your doctoral studies begin with your acceptance into a degree program and enrolling in coursework. Largely, the early part of your degree will involve taking courses, developing your scholarly writing skills, attempting to publish, learning about research methods, and becoming well versed in the scholarly literature of your field. Before the end of your third semester, you will make your advisor and committee selections official using the Program of Study (GS-6) form. More information about this step is included in the Program of Study section of this handbook.

### **Role of the Student**

Although your advisor will clarify degree requirements, deadlines, and standards leading to graduation, the final responsibility rests with you. Familiarize yourself with all requirements associated with earning your Ph.D. It is our desire to provide as much assistance as possible in meeting your graduate programs goals. As questions arise, please seek information, and ask your advisor for assistance immediately.

### **Role and Function of Your Advisor**

Among the most important roles of the student is making judgments about the selection of an advisor and doctoral committee.

For some specializations, as part of the admission process and based on your interests, faculty assign you an advisor. In other specializations, you may not receive an advisor initially. You will select an advisor and determine your remaining committee members when you submit the Program of Study (GS-6) form. Your advisor plays a crucial role in your Ph.D. program and has primary responsibility for overseeing your entire academic program. It is critical you and your advisor form a productive partnership based on mutual respect and devotion to scholarship.

The role of an advisor is to assist you in planning your program of study and experiences. Your advisor serves as your advocate, directs your research, and contributes to your intellectual and professional development. At times, your advisor will challenge you, but you should meet such challenges with a commitment to high standards, intellectual rigor, and a demand for your best work.

Your advisor will work closely with you to ensure your program of study meets all School of Education and Graduate School requirements. Final responsibility rests

with you, but your advisor can help you understand the expectations at each milestone.

### **Role of Retired/Exited Faculty Members**

Over the course of your doctoral studies, your advisor or committee members may retire or leave the University. In these cases, you may need to identify replacement members. Make advisor, co-advisor, and committee member changes using the Petition for Committee Member Changes (GS-9A) form, submitted to the Graduate School.

Retired or exited faculty members may be eligible to continue serving as your advisor or co-advisor if you have successfully completed your dissertation proposal prior to the faculty member retiring or exiting from CSU. If you have not successfully completed your proposal prior to their departure, you will be required to identify an advisor or co-advisor currently employed in the School of Education. To request an exception to this policy, discussion with and approval by your specialization coordinator and the School of Education Director are required.

### **Doctoral Committee Function**

The committee's function is to guide you in the development of your preliminary examination, dissertation proposal, and dissertation research to ensure it is the best contribution to the field you can make, and that you are prepared, subsequently, to do productive independent research. Their responsibility is to judge whether your work from your preliminary examination through your dissertation warrants the conferral of the doctoral degree.

Your advisor serves as the chairperson of your graduate committee. Your committee consists of a minimum of four members including your advisor, two School of Education faculty members, and one CSU faculty member from a department other than the School of Education. All committee members must hold [qualifying appointments, as defined by the Graduate School](#).

Committee selection will occur when you file your Program of Study (GS-6) form during your third semester. You and your advisor will work together to select committee members, who must all agree to serve on your committee. You should choose your committee with care. The School of Education and the Graduate School must approve your selection of graduate committee members.

Additional guidelines for committee member selection include choosing members who:

- Understand the content area
- Have research interests compatible with yours
- Understand and support your research methods approach
- Complement each other in the knowledge you want to attain in your program of study and research

## Affiliate Faculty Members

Depending on the focus of your research, it may be appropriate to include a doctoral committee member from outside Colorado State University. Faculty affiliate appointments are considered for individuals, who by virtue of their expertise, are deemed capable of making a significant contribution to doctoral programs in the School of Education. Faculty affiliates may participate in research projects or serve as inside committee members on graduate committees.

A faculty affiliate appointment in the School of Education is made to a person who holds a full-time faculty or scholar-practitioner position in another department or unit within the Colorado State University system or other peer institution. The person must hold a terminal degree for a doctoral program appointment and must hold a master's degree for a master's program appointment. Such an appointment involves no salary from the School of Education. Academic rank is established following the guidelines given in the academic faculty and administrative manual for faculty affiliate appointments (Section E.2.2.3.e).

Your advisor, degree specialization chair, and the School of Education Director must approve requests for a faculty affiliate to serve on your doctoral committee. You will be required to submit the faculty member's curriculum vita and a rationale for your request. To receive a copy of the Affiliate Faculty Member Approval Form, please contact the [SOE Graduate Programs Office](#).

## Committee Member Changes

As you progress through your degree program, you may want or need to change your assigned advisor or replace a committee member for a variety of reasons. Once the Graduate School approves your program of study and committee, any committee changes require a Petition for Committee Member Changes (GS-9A) form. The School of Education and the Graduate School must approve changes.

Once you have submitted the Intent to Complete the Preliminary Examination (SOE-14) form, you may not change your committee prior to completing the preliminary exam oral defense.

Advisor and committee member changes are common. As your research progresses, you might change your content focus and/or methodology, necessitating committee changes. The outgoing advisor or committee member must be aware of the change and sign the GS-9A form. Regardless of the circumstances of the change, it is important your committee support your research, methods, and professional goals.

## Doctoral Program of Study

Your advisor will assist you with developing a program of study and identifying your graduate committee members, by completing the Graduate School Program of Study (GS-6) form. If you have not submitted your GS-6 form by the middle of your third semester, the Graduate School places a registration hold on your student account.

Although your program of study outlines your entire degree curriculum, changes to the plan may occur. Throughout your course of study, you and your advisor may choose to substitute courses in your program of study. Any changes to your program of study will be included in your Application for Graduation (GS-25) form, which you complete during your final semester. You cannot remove completed and graded courses from your program of study.

### Program Credits Required

A minimum of 90 credits must be included as part of your Ph.D. program of study. This includes up to 30 credits from your master's degree and 60 credits of required courses, including dissertation credits. The master's credits are not considered as individual courses and these courses cannot be transferred to meet doctoral credit requirements. Individual courses cannot be double counted toward two degrees.

### Research Credits

Doctoral students must complete a minimum of six (6) dissertation credits (e.g., EDHE 799, EDRM 799, EDOD 799). Some specializations may require additional dissertation credits. Students may enroll in up to three (3) dissertation credits while writing and defending the preliminary exam. Students need to work with their advisor on how to utilize these three (3) credits.

### Transfer Credits

Per [University credit requirement guidelines](#), doctoral students may transfer a maximum of 10 credits. Transfer credits must meet Graduate School requirements and are subject to the 10-year time limit. All transfer credits must have been completed after receipt of your master's degree.

### Credits Completed Prior to Admission

Coursework completed prior to admission to a doctoral program may be included in your program of study. These courses cannot have been used toward a previously completed degree.

Eligible coursework will be subject to the Graduate School's Ten-Year Completion Timeline. For example, a student admitted in Fall 2022 may include a three-credit course completed in Fall 2020 on their program of study. The degree completion

timeline is based on the Fall 2020 course and therefore the student must graduate no later than Summer 2030.

### **Independent Study Credits**

Doctoral students may take a maximum of 10 independent study credits. Independent study experiences should be used to expand or deepen your knowledge base (e.g., writing preliminary exams [no more than three total credits], deepening content knowledge). These experiences may include working on a scholarly article, specialized research, or engaging in a faculty-led research project.

The School of Education approves all independent study, practicum, supervised college teaching, and other experiential learning credits requests prior to registration. Before requesting enrollment in an experiential learning course, you must identify a faculty member who agrees to provide guidance and supervision. To enroll in an experiential learning course, contact the [SOE Graduate Programs Office](#) for the appropriate form (e.g., approval for independent study, practicum approval). Once the SOE Director approves the form, you will receive registration information.

### **Quantitative Data Analysis/Statistics Course Prerequisite**

EDRM 606 - Principles: Quantitative Data Analysis is a required prerequisite for some School of Education doctoral level research courses. Some specializations and advisors may require additional prerequisites. Refer to the *General Catalog* for course descriptions and prerequisites.

You can demonstrate competency in EDRM 606 through prior completion of equivalent coursework in which you have earned a B- or better. See the Course Waiver/Substitution section of this handbook for more information.

If you cannot demonstrate competence in EDRM 606, you must take coursework to satisfy the prerequisite early in your studies. Prerequisite courses are not required courses in the program of study. Please consult with Program Coordinators in determining whether these courses can be counted towards your program of study.

### **Evidence of Scholarly Work Requirement**

As part of your graduation requirements from the School of Education, individual programs may require students to show evidence of submission of a peer-reviewed manuscript, conference presentation, or other scholarly work, beyond completion of your dissertation. See Program Coordinators for additional information and guidelines.

## Preliminary Examination

You will take your preliminary examination, also known as comprehensive or general examination once you have completed most of your doctoral coursework. Most doctoral programs across the United States and in many other countries around the world facilitate these content and methods exams. The Colorado State University Graduate School and the School of Education require preliminary examinations. In the SOE, the final product of the preliminary exam is a written paper and accompanying oral exam. The paper is composed of three sections or topics:

- 1) A literature review relevant to your proposed area of research and dissertation topic,
- 2) A critical analysis of the theories or methods used by scholars who have engaged in research of your proposed area of research and dissertation topic, and
- 3) A response to a question drawn from a list posted by your degree specialization.

You and your advisor will work together to determine when you are ready to begin your preliminary examination. It is important you work closely with your advisor on every step of the preliminary examination process. Your advisor should be guiding you through the preparation stages prior to beginning the examination and will help you select relevant topics to address your dissertation topic and career goals. You and your advisor should work together to connect relevant coursework to the preliminary examination and to prepare you to produce a high-quality final product. Your advisor or committee will not provide feedback to you once the exam time clock has begun. The 12-week exam time clock begins once you have filed the Intent to Complete the Preliminary Examination (SOE-14) form and received your Section 3 question.

The School of Education stores electronic copies of preliminary examinations and these will be accessible to the SOE Director. The Director will review preliminary examinations for several purposes, all related to the expectations for doctoral study at a Carnegie Research I University: assessing examination topics and formats, evaluating the quality of examination responses, and comparatively assessing examinations for consistency in committee structure, purpose, format, rigor, and overall quality across all degree specializations.

### Purpose of the Preliminary Examination

The purpose of the preliminary examination is to provide information to students and faculty regarding your readiness for the final phases of doctoral work (the dissertation proposal and final dissertation). In preparing for and writing the preliminary examination, you are expected to integrate and synthesize knowledge gained through coursework and academic experiences, as well as to define and

demonstrate knowledge of theoretical constructs, extant research, and research methods relevant to the domain of inquiry in which you will conduct your dissertation research. Faculty expect you to demonstrate both depth and breadth of knowledge in your area of study, as well as critical inquiry/research knowledge and skill.

Passing the preliminary exam indicates you are prepared to conduct rigorous, high-quality dissertation research commensurate with the expectation and responsibilities of earning a doctoral degree from a Carnegie Research I University. A doctoral committee is looking for evidence of the following items in the preliminary exam responses:

- Strong analytical, problem solving, and critical thinking skills,
- Breadth of knowledge of a sub-discipline (e.g., higher education leadership; organizational learning, performance, and change; etc.),
- Depth of knowledge of a domain of inquiry in which dissertation research will later be conducted, and
- Ability to communicate academic knowledge effectively and to multiple audiences (e.g., scholars, practitioners, etc.).

### **Preliminary Examination Preparation**

When you begin doctoral studies, you are expected to be thinking openly and flexibly about the inquiry domain in which your dissertation research will be located. As you progress through your studies, you will gain more focus in your research ideas. Throughout this process, you are expected to converse with your advisor, other faculty members, and peers about topics for your preliminary examination. Ideas in this regard should become increasingly well defined. Once you and your advisor have determined you have read enough, studied enough, and processed enough information to complete the preliminary examination, you will submit an Intent to Complete the Preliminary Examination (SOE-14) form. You should not initiate the form until your advisor agrees you are prepared to complete the examination. Contact the [SOE Graduate Programs Office](#) to receive a copy of the SOE-14 form.

Determining when you are ready to complete the preliminary examination is complex and varies from person to person. You should consult extensively with your advisor and other faculty members regarding when you are ready to complete the examination. You may begin writing Sections 1 and 2 of the preliminary examination whenever you feel prepared enough to provide a detailed response. You will receive a randomly assigned Section 3 question within two business days of submitting your signed SOE-14 form. From the date of receipt of the Section 3 question, you have 12 weeks to complete and submit Sections 1-3 of the preliminary examination.

The content of the preliminary exam is cumulative and should include information obtained and developed throughout your doctoral program. Completion of the

examination requires a 15-20 page (excluding references) well-argued response for each of the three examination sections (45-60 pages total, excluding references). Two sections focus on in-depth knowledge of the inquiry domain in which you will conduct dissertation research and one section focuses on broad knowledge of your degree specialization. All examination responses must accord with current American Psychological Association (APA) guidelines, including details on how to display tables and figures. Refer to the most recent edition of the *Publication Manual of the American Psychological Association* for details. If a new edition is released while you are writing, please discuss with your advisor.

## Preliminary Examination Written Sections

You will construct 15-20-page responses (excluding title page and references) to each of the three preliminary examination sections. As with most academic writing projects, you should reflect on your work throughout your studies with your advisor, other professors, peers, and other experts and professionals as appropriate, but the final product must be your written work and reflect your knowledge. Prior to the commencement of the twelve-week clock, you may consult with your advisor and/or other experts in the field. However, once the twelve-week clock begins, you are expected to work on your preliminary exams independently, with clarifications provided by your advisor as appropriate. Finally, it is your responsibility to produce a reader-friendly, carefully edited, and thoroughly proofread final copy of the preliminary examination.

### Preliminary Examination Section 1

The purpose of Section One is to develop a focused, critical, and integrative review and analysis of the research literature relevant to the student's proposed dissertation topic. This question is meant to be an analysis of the literature related to a subset of the dissertation topic. It is not meant to be a copy of the literature review chapter of the dissertation. As said above, students should think specifically about one portion of the dissertation topic and conduct the analysis by posing questions, employing theoretical framing, and detailing the method of analysis. There are many models of literature reviews available to consult, including those found in *Review of Educational Research*, *Review of Research in Education*, *Educational Research Review*, *Educational Psychology Review*, *Psychological Review*, etc. These are good examples in terms of analysis of literature, but not in terms of length. The response is still limited to 15-20 pages, not including references. Many other top-quality journals in a variety of education sub-fields can provide models of a literature review.

### Preliminary Examination Section 2

Choose either 2A or 2B:

**2A:** The purpose of this section is to write a reasoned, critical analysis and integration of key theoretical constructs that will constitute the conceptual framework for your dissertation research. This section should demonstrate

knowledge of theoretical constructs relevant to your inquiry domain and thoughtful assembly of relevant constructs into a reasoned conceptual system. In other words, this section should constitute an “argument” for the conceptual approach you will take and the conceptual framework that will guide your inquiry.

- 2B: The purpose of this section is to write a critical analysis of the methods scholars have used to engage in research in the domain of inquiry in which you will be working. One reasonable approach to this section is to select a subset of studies from the critical literature review (Section 1) that contain methods that seem most relevant and promising for conducting research on your dissertation topic. Critically and comparatively analyze the methods sections of these studies, including what kinds of questions they can answer well, what kinds of questions are not answered well, use of alternative designs, data collection strategies, and data analysis strategies, and an argument for the methods you will use in your dissertation research. Importantly, an analytic paper on methods is different from a draft of the methods chapter used in the dissertation. Write the methods chapter during the proposal and dissertation phases of your work. Rather, this section of the preliminary examination should contain analyses, reflections, and rationales (roads to take or not take) related to epistemological framing, research design, data to be collected, data analysis strategies, etc.

### Preliminary Examination Section 3

The purpose of this section is to demonstrate knowledge of your specialization area within education. A body of theory and research in which all scholars in the specialization should have familiarity constitutes each degree specialization. Each SOE specialization area has constructed a set of questions based on this body of theory and research. Once the SOE Graduate Programs Office receives your signed Intent to Complete the Preliminary Examination (SOE-14) form, staff randomly assign you a Section 3 question according to your specialization area. You will then construct a reasoned, well-argued response. Most, if not all, of this theory and research will have been covered or indexed during the coursework phase of your degree.

#### *Education, Equity, and Transformation; Education Sciences; and School Leadership Specialization Section 3 Questions*

- 1) Select a prominent issue in educational practice. Clarify the issue and take a position related to the argument in a manner that could be presented in a professional forum, supporting your position with research and logical argumentation. Address implications of equity and inclusion in regard to the issue.
- 2) Select a state or federal educational policy, which you believe needs to be changed. Write an analytical paper on your current understanding of the

policy, the change(s) you recommend to the policy, and the implications of equity and inclusion in regard to the issue.

- 3) Select one of the following:
  - a. Focus on theory: Choose two theoretical orientations often used to address a particular educational problem. Compare the affordances and constraints of each of these theoretical problems. Address implications of equity and inclusion in regard to your response.
  - b. Theory into practice: Construct a solution for how you would approach a problem from two different theoretical perspectives. Address the affordances and constraints in applying these two different approaches. Address implications of equity and inclusion in regard to your response.

### *Higher Education Leadership Specialization Section 3 Questions*

Higher Education Leadership students who were admitted in 2016 or earlier may choose Question Set A or Question Set B. Higher Education Leadership students admitted in 2017 or later will receive a randomly assigned question from Question Set B. When requesting the Intent to Complete the Preliminary Exam (SOE-14) form, please indicate your choice in the request. Questions from either set will be randomly assigned.

#### Question Set A

- 1) Choose three distinctively different leadership theories from the array of theories and models that were presented and discussed during your doctoral studies. Discuss the theory and the empirical research that has been conducted related to each of the theories and present how each of the theories is currently applicable to leadership practice in the face of current higher education organizations. Choose the one theory that you believe has the most validity for you and your approach to leadership. Explain why you chose this theory or model over the others. Present how you would utilize the theory and its supporting research to understand and explain your engagement in leadership in your higher educational context.
- 2) Discuss the role of leadership in addressing the issues of diversity and inclusion within higher education institutions. What are the key issues and what is the role and responsibility of the leader in regard to addressing these issues? How has current scholarship contributed to advancing the leader's understanding of the issues? Using elements of this scholarship and an ethical framework, discuss how you would utilize leadership to identify, develop, and apply strategies to making the campus inclusive and enable all students and faculty/staff to be successful and promote a diverse community of learners and scholars. How would you address the political and possible legal issues that present related to ensuring safety, ensuring

inclusiveness, and yet balancing the issues surrounding free speech, equal access, and the 1<sup>st</sup> and 14<sup>th</sup> amendments to the constitution?

- 3) Discuss the role of change in the context of the current higher education enterprise. What is the role of the leader in ensuring successful change in the context of their organization? Discuss how leaders determine the level and focus of the change; what approach to change to pursue; how to ready their organization for change; and how to develop the strategies to pursue to ensure the change process is successful. Identify a change process model that could be utilized for each of the three levels of change. Choose one of these models and discuss how you would apply this model to an identified change that is needed within your higher education context. Explain why it is the best fit for the identified change model and process and why you chose this model. Discuss what the key challenges that could interfere with applying this model to create successful change.

### Question Set B

#### 1) Contemporary Challenge

Identify three of the most important contemporary challenges to higher education and/or student affairs. Choose a particular sector (e.g., community colleges, for-profit, research universities, liberal arts colleges) within which to contextualize the challenges you identify. Select one issue to discuss further. In your discussion, attend to the following:

- a) Why is this issue significant?
- b) What is the historical origin of this challenge? What philosophical debates surround how to address it?
- c) Who is impacted and what structural or systemic effects does it have (e.g., human and financial resources, administrative organizations, law, and policy)?
- d) Who are the major players in addressing this challenge?
- e) How, if at all, is this challenge being addressed currently?
- f) What is one potential solution? What does your solution offer that is not being considered or addressed by existing approaches you have identified above?
- g) What are the budget implications of your solution?

Ensure that your response effectively uses the extant literature to support and provide evidence throughout your discussion.

#### 2) Equity and Justice

Higher education has a long institutional legacy of exclusionary practices and white supremacy which currently contributes to the persistent inequities and racism on college campuses. As you consider equity and justice work in higher education, choose a current challenge or issue and address the following eight proposals that are instrumental in interrogating structures,

processes, and practices in transformational change efforts [see Stewart, 2018<sup>1</sup> (<https://col.st/Noiqw>)] in working towards racial equity and justice.

- a) Identify your issues along with its historical origins within higher education/student affairs.
- b) Use each proposal to examine current entrenched inequities and offer a redesigned, revolutionary change to remedy your stated entrenched inequities.
  - i. Open the room
  - ii. Value minoritized voices
  - iii. Reject the traditional norms
  - iv. Prioritize the safety of the minoritized
  - v. Advance equity over equality
  - vi. Design educational programming that showcases critical thinking
  - vii. Award outcomes, not window dressing
  - viii. Reverse disparate policy effects

Ensure that your response effectively uses the extant literature to support and provide evidence throughout your discussion.

### 3) Theory of Change

Change is constant. In higher education, organizational leaders are confronted with internal and external forces of social, economic, and political changes. Describe a problem facing higher education and present an analysis of the problem, drawing particularly from research and theories on organizational and governance in higher education. Based on your analysis of the problem and your philosophy of higher education, offer a theory of change that might guide leaders (individuals and collective groups) to advance equity-centered solutions in higher education. In presenting your theory of change for addressing this problem, attend to the following:

- a) Why is this issue significant?
- b) What is the historical origin of this challenge? What philosophical debates surround how to address it?
- c) Who are the key stakeholders affected by this problem?

Ensure that your response effectively uses the extant literature from across your coursework (e.g., theory and practice of change, student development theory, ethics, finance, law, policy, etc.) to support and provide evidence throughout your discussion.

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<sup>1</sup> Stewart, D.L. (2018). Minding the gap between diversity and institutional transformation: Eight proposals for enacting institutional change. *Teachers College Record*. 120 (14).

## *Organizational Learning, Performance, and Change Specialization Section 3 Questions*

- 1) Using an explicitly selected model or framework of HRD, what are the theoretical foundations and how do they inform the model or framework?
- 2) Identify who you perceive as the five most influential scholars and explain why.
- 3) Describe and explain how HRD relates to and integrates with other fields and disciplines.
- 4) What are the emerging ideas in HRD (OD/T&D) that are reshaping perspectives in the field?

### **Preliminary Examination Completion Deadline**

Upon receiving your Section 3 question, you have 12 weeks to write and submit your written preliminary examination document in its entirety. Upon submitting the written document, the oral defense must occur within 3-8 weeks.

Failure to comply with the preliminary examination written document submission and/or oral defense deadline will result in failure of the preliminary examination. Reasonable extension of your preliminary examination deadlines could occur due to extenuating circumstances, with approval from your doctoral committee.

### **Preliminary Examination Oral Defense**

Once the written preliminary examination is completed and submitted to the [SOE Graduate Programs Office](#), your doctoral committee members will receive a copy for their review. An oral defense with your committee is required and should occur 3-8 weeks after submitting the written exam. You should work with your committee to determine a date and time for the oral defense. You can contact the SOE Graduate Programs Office to reserve a meeting room and request a remote meeting connection, if needed.

Although there is some variation in oral defense format, typically you will make a short presentation about your writing process, the content of your responses, and the ways in which the preliminary examination has prepared you for the dissertation phase of the degree. Following this presentation, the committee will ask questions related to the content of the preliminary examination written responses, related coursework, and other doctoral-level activities. Presuming you have constructed thoughtful, reasoned, high-quality responses, this process is a lively dialogue about important academic issues and your abiding interests and scholarly commitments.

Following this dialogue, you will leave the meeting and your doctoral committee will have a confidential discussion about your performance and decide whether you

earned a “pass” or “fail.” Majority rule determines split committee decisions (i.e., if three committee members vote to pass and one member votes to fail, you pass the examination). If there is a tie between the number of members passing and failing, you fail the examination.

It is your responsibility to provide your committee with a copy of the Report of Preliminary Examination for the Ph.D. Degree (GS-16) form, downloadable from [RAMweb](#). Your committee will sign according to their decision. If a member of your committee participates in the oral defense via distance (teleconference, videoconference, etc.), the committee member must email your advisor stating their vote and how they participated in the defense. In lieu of a signature, the email is included with the GS-16 form. Immediately following the oral defense, submit the GS-16 form to the SOE Graduate Programs Office, which will obtain the SOE Director’s signature. SOE staff will submit the form to the Graduate School within two business days.

### **Conclusion of the Preliminary Examination**

A committee vote to “pass” the preliminary examination moves you to doctoral candidate status. Doctoral candidates will work with their advisor to move forward with the dissertation proposal, research and writing the final dissertation.

If you fail the examination, your committee will determine whether and under what conditions you may submit a second preliminary examination attempt. CSU Graduate School guidelines regarding a failed first attempt are included in the [Graduate and Professional Bulletin](#) [Graduate Study/Doctoral Degree/Doctoral Preliminary Examination (Ph.D., P.D.) section].

After your written and oral preliminary exams are successfully completed, you are a doctoral candidate. Congratulations! Your next step is the dissertation research proposal.

### **Preliminary Examination and Final Examination Schedule**

Per Graduate School policy, there must be two semesters between passing the preliminary examination oral defense and your final examination/dissertation defense. The semester in which you pass the preliminary exam oral defense counts as one semester. A second, full semester must pass before holding your dissertation defense.

For the timing to be consistent from year to year, the preliminary examination schedule aligns with the university academic calendar. The schedule is determined by using the first day of the semester and the day before the first day of the next semester. Refer to the University academic calendar for future semester dates.

<b>Preliminary Exam Oral Defense Semester</b>	<b>Semesters Between Preliminary Exam Defense and Dissertation Defense</b>	<b>Earliest Semester in which Final Dissertation Defense Can be Held</b>
Spring Semester	Spring, Summer	Fall Semester
Summer Semester	Summer, Fall	Spring Semester
Fall Semester	Fall, Spring	Summer Semester

Table 1

*Preliminary Examination and Final Examination Defense Semesters*

### **Step-By-Step Preliminary Examination Procedures**

- 1) Work closely with your advisor and committee members to determine readiness for completing the preliminary examination.
  - a. You may begin researching and writing examination Sections 1 and 2 prior to formal declaration of intent and can outline responses to potential Section 3 questions.
- 2) Request and submit the Intent to Complete the Preliminary Examination (SOE-14) form to the [SOE Graduate Programs Office](#).
  - a. This form serves as your advisor’s approval to move forward with the examination.
- 3) The SOE Graduate Programs Office randomly assigns a Section 3 question and notifies you via the completed SOE-14 form within two business days.
  - a. The completed form will include your examination due date.
- 4) The entire preliminary examination (Sections 1-3) is due within 12 weeks of receiving the Section 3 question.
- 5) You will email the entire written document (Sections 1-3 combined into one document) to the SOE Graduate Programs Office.
  - a. SOE staff will forward your examination to your doctoral committee for review.
- 6) The preliminary examination oral defense occurs 3-8 weeks after submitting the written examination.
  - a. You will determine the oral defense day/time with your committee members.
  - b. Contact the SOE Graduate Programs Office to reserve a meeting space and a remote meeting connection, if needed.

# Dissertation Proposal

The dissertation proposal details the focus and intent of your dissertation, articulating your ideas for a proposed study. You develop the proposal with guidance from your advisor but may involve other committee members. You should think about the topic of your research and discuss it with your advisor early in your program. It is important you thoroughly discuss any decision regarding a dissertation topic with your advisor. One of the most important contributions your advisor will make is to help you select a manageable topic.

You will seek official approval for your research topic by submitting a dissertation proposal to your committee after you have advanced to candidacy (passed the preliminary examination). The proposal could take several forms, typically the first three chapters of the dissertation. Appendix A provides formatting guidelines for a traditional dissertation. Proposal guidelines for a three-article dissertation are in Appendix B. Proposals for dissertation research should conform to APA guidelines, as well as the [\*Graduate School Thesis and Dissertation Formatting Guide\*](#).

You should work closely with your advisor and other committee members on the content and format of your proposal. Based on the individual nature of each study, your committee may require components in addition to those outlined in the appendices. As proposal writing is a recursive and iterative process, you will make changes to the proposal as your advisor and other committee members may require.

## Dissertation Proposal Defense

When you and your advisor agree the proposal is ready, you will present your proposed study to your dissertation committee for final approval. Proposals are not open to the public; however, some advisors do allow peers or other faculty members to attend. You may also invite faculty members and students to attend the presentation.

Provide a copy of your proposal to each of your committee members **at least two weeks prior** to the proposal defense meeting. On the day of your proposal defense, you and your committee will receive an electronic copy of the Dissertation Proposal Review (SOE-32) form via email. After the meeting, your committee will include their vote (pass or fail) and digitally sign the form. Your advisor will include any necessary revisions on the SOE-32 form. You, your committee, and the SOE Graduate Programs Office staff receive the signed electronic copy of the SOE-32 form via email.

## Institutional Review Board Approval

Once your committee approves your dissertation research at the proposal defense, you are free to move on to conduct your research. In most cases, the direct next

step is to obtain approval from CSU's [Institutional Review Board \(IRB\)](#). Unless you are conducting data through a funded research process or some other means that has already received IRB written approval, you will apply for IRB approval after your committee approves your proposal. Your advisor will guide you through the process of submitting your research to CSU's IRB and responding to their queries. **IMPORTANT: You may not proceed with your research until you have official approval from IRB.**

### **Approval to Conduct Human Research**

Under the guidelines established by the U.S. Department of Health and Human Services, and to protect the University's privilege to conduct research, approval by the Human Subjects Research Committee is required for projects involving research in which human beings are the participants. Approval is required regardless of the funding source, and you will seek approval after your successful proposal meeting.

Your advisor will be listed as the principal investigator (PI), as the PI must be a faculty member. Institutional Review Board (IRB) training is required. You can find training information, forms, and procedures on the [Institutional Review Board website](#).

Direct all inquiries, correspondence, and submissions to the appropriate IRB administrator. There are two sections of the IRB; most School of Education students go through the Social Behavioral and Educational Research (SBER) section. However, some projects may be required to go through the Biomedical Research (BMR) section. Check the IRB website to help you determine what level of initial review your research requires. There are three levels to consider: exempt, expedited, and full review.

# Dissertation

## Purpose of the Dissertation

Of all the steps in the extensive and time-consuming process of earning your Ph.D., the dissertation is often the most difficult and challenging. You will spend most of your studies learning how to prepare a proposal, conduct research, and write a dissertation. The dissertation is a formal written document in which you present original research on an important intellectual problem. Your dissertation must represent independent work and must make a meaningful contribution to the knowledge of your field. However, replication of previously conducted research with an additional contribution is encouraged and can provide major contributions to research problems.

Your dissertation must describe the methods and procedures you used, present your findings in a sequential and logical manner, and display your ability to discuss fully and coherently the meaning of your findings. Your dissertation research should provide hands-on, directed experience in the primary research methods of your discipline. Finally, your dissertation research should prepare you for the type of research and scholarship expected once you earn your Ph.D. Appendix A and Appendix B provide suggested dissertation formats and guidelines.

## Advisor Responsibilities

Your advisor is the most important member of your committee as you enter this final state of your doctoral experience. Thus, it is imperative this person have research interests that parallel yours, a personality compatible with yours, and a relationship with you that involves mutual respect.

When considering someone as an advisor, make sure this person will be accessible to you. Changing advisors requires the written consent of both the outgoing and incoming advisors. Some faculty members may have full advising loads and not be able to provide the time you will need. Be sure this faculty member will be available to you through your whole dissertation project, considering faculty planned leave, sabbaticals, and retirements.

The basic responsibilities are:

- You and your advisor are responsible for assuring you have based the research in theory, is methodologically sound, and meets high ethical standards.
- If you ask your advisor or other committee member(s) to step down, the School of Education Director must approve the changes to ensure replacement member(s) have needed expertise. Faculty members may also choose to step down from a committee.
- Once your committee approves your dissertation proposal, you are responsible for obtaining Human Subjects approval from the Institutional

Research Board (IRB) before data collection begins. You are also responsible for closing out the project with IRB.

- You can expect your advisor will be available to you on a regular basis and shall respond in a timely manner. The same goes for your availability and response time to your advisor.
- Your advisor must ensure you have relevant research competence and/or are willing to obtain the competencies specific to the methods proposed in your proposal, prior to conducting dissertation research. This may require additional coursework or study related to your planned methods or content. Pilot work is always desirable preparation for a quality dissertation and usually essential.
- Your advisor has the responsibility to set and enforce timetables for you to submit materials (i.e., proposal and final dissertation documents). Give faculty at least two weeks to read the proposal and final dissertation drafts prior to the scheduled examination date.
- Although your advisor must be sensitive to semester deadlines and your personal timelines, such timelines are secondary to thoroughness and quality when scheduling proposal and final dissertation defenses. Allow enough time after the final defense to make necessary changes and corrections to meet School of Education and Graduate School deadlines.
- Your advisor is responsible for assuring the final documents (both proposal and final dissertation) are of appropriate length, scope, and quality before it goes to the committee. Both the proposal and the final dissertation must be in proper APA and Graduate School format requirements. Refer to the [Graduate School Electronic Thesis and Dissertation \(ETD\) Resources website](#) for formatting tips and guides.
- All committee members must read the final drafts of the proposal and dissertation, and agree the document is ready before the defense occurs.
- When you have scheduled the oral dissertation defense with your committee, contact the [SOE Graduate Programs Office](#) to secure a meeting room and information about initiating the required Graduate School forms. A minimum of two hours is required at proposal and final defenses to allow all committee members to present their evaluation of the research. Per Graduate School policy, departments must advertise dissertation defenses to the campus community.
- Your advisor will chair the proposal and final defense meetings. Before the meeting, they will discuss expectations with you and create a plan for the presentation and defense.

## Dissertation Oral Defense

Once you and your advisor agree your complete dissertation is ready, the final defense is scheduled. Each member of your committee must receive a copy of the dissertation at least two weeks before the examination. For timing purposes, faculty recommend the dissertation oral examination occur at least three weeks before the dissertation submission deadline set by the School of Education. The

School of Education deadline is earlier than the Graduate School's dissertation submission deadline.

The dissertation defense usually begins with a short presentation by you. The presentation is an overview of the research study, keeping in mind committee members have read the dissertation in its entirety. After the presentation, committee members will query you on the content, methods, analyses, and results of the original research. Like the preliminary exam, committee member questions can vary widely and expand the scope of the scholarly conversation considerably. The desired result is a conversation among scholars that uses your dissertation as its basis. When committee members are satisfied, they will ask you to leave the room at which time a final decision they make their final decision. Committee members then officially vote, using the Report of Final Exam Results (GS-24) form which you must bring to the defense.

After your dissertation defense, your committee will likely require minor content revisions to your dissertation. Once you have addressed these revisions, your committee will approve the written document by signing the Thesis Dissertation Submission (GS-30) form. After your committee approves, you will submit your dissertation for School of Education review and the SOE Director. The SOE Director will typically need at least two weeks for this review. If the SOE Director agrees that your dissertation has met the standards of the SOE and the Graduate School, the Director will sign the GS-30 form. In the event the SOE Director finds that you have not met the minimum standards of the SOE and the Graduate School, you will be required to make the necessary revisions to the dissertation before the SOE Director signs the GS-30 form. After the SOE Director signs the GS-30 form, SOE staff submit the form to the Graduate School, and you will upload your dissertation to ProQuest/UMI. The Graduate School will review your dissertation for any formatting revisions.

# Graduation

## Application for Graduation

Submit the Application for Graduation (GS-25) form during your last semester. You should know when you will be defending your dissertation before applying for graduation. The GS-25 form is typically due within two to three weeks of the semester start.

You will verify the name you want printed on your diploma using this form. Indicate any changes to your program of study (i.e., course substitutions) on the GS-25 form. You cannot remove courses from the program of study in which you have earned a grade. If your program requires the refereed journal article submission and you have not fulfilled this requirement, you will indicate this in Section 3 of the GS-25 form. Please discuss this requirement with your program coordinator(s)/chair(s).

Applying for graduation requires you to defend and submit your final dissertation by the Graduate School's published deadline for the semester. Your final dissertation must be submitted to the School of Education Graduate Programs Office at least three weeks prior to the Graduate School submission deadline. Defending after the deadline will result in postponing graduation until the next semester.

## Commencement

We request you attend the Colorado State University Graduate School commencement ceremony, where your advisor will hood you. Ceremonies take place at the end of the spring and fall semesters. Summer graduates may attend the spring or fall ceremony.

# Policies and Procedures

## Graduate and Professional Bulletin

The information provided in this School of Education doctoral handbook covers policies and procedures specific to the School of Education. The [Graduate and Professional Bulletin](#) includes all Colorado State University and Graduate School policies pertaining to all graduate students. It is your responsibility to familiarize yourself with the information provided in the Graduate and Professional Bulletin.

## Student Contact Information

It is essential you maintain a current mailing address and email address with the University. The University sends essential information such as registration dates, tuition notices, and other pertinent details to your addresses on file. Links to update your contact information are on [RAMweb](#).

The University and School of Education send all communication to your CSU email address. The department does not keep personal email addresses on file. You can access your CSU email through [Office 365](#). **If you do not plan to check your CSU email regularly, please [update your eID settings](#) to forward your CSU email to a personal account.**

## Degree Milestone Forms

Graduate students must complete and submit various forms throughout their course of study at Colorado State University. Forms fall into two categories: 1) internal School of Education forms, and 2) external Graduate School forms. Submit all SOE and Graduate School forms to the [SOE Graduate Programs Office](#) for processing.

## School of Education Forms

Completion of School of Education forms occurs electronically. To file a form, you will need to contact the [SOE Graduate Programs Office](#) first. Staff in the office will initiate the form and send it to you via Adobe Sign. You will receive a completed copy of the form once all parties have signed.

For details about School of Education forms and the information needed to request a form, please visit the [SOE Forms and Policy Documents website](#).

## Graduate School Forms

You will fill out most Graduate School forms electronically, either through RAMweb or PDF files. The Graduate School requires you to submit hard copy forms with written signatures. Once you have completed a Graduate School form, please send it to the [SOE Graduate Programs Office](#) for department signatures and submission

to the Graduate School. For Graduate School form instructions, visit the [Graduate School Forms website](#).

### List of Required Forms

- Program of Study (GS-6)
- Petition for Committee Member Changes (GS-9A)
  - Only required to change committee members after GS-6 approval
- Report of Preliminary Examination for the Ph.D. Degree (GS-16)
- Dissertation Proposal Form (SOE-32)
- Confirmation of Refereed Journal Article (SOE-35)
- Report of Final Exam Results (GS-24)
- Thesis/Dissertation Submission Form (GS-30)
  - Include the Survey of Earned Doctorates certificate
- Application for Graduation (GS-25)
- Departmental Requirements Clearance (GS-25B)
  - Only required if departmental requirements are included in Section 3 of the GS-25 form
- Graduation Clearance Response (GS-52)
  - Only required to clear course discrepancies on your program of study
  - Filed after the GS-25 form, if necessary

### Course Waivers and Substitutions

Depending on coursework you may have taken during or after your master's degree, or you plan to take as part of your content courses, you may already have taken a course that is similar in level and content to a required course for your specialization. If you feel that you are proficient in the content knowledge and skill level taught in a course, you may consult with your advisor and the course instructor to petition to substitute a previously taken course. You must have earned a B or better in the previously taken course. Coursework that was used to fulfill requirements of a previously earned degree cannot be used substituted towards requirements for a new degree. For example, a course used towards your master's degree cannot be used to meet your doctoral credit requirements.

You will use the Substitution/Waiver Request (SOE-33) form to make substitution requests. If approved, the prior course will become part of your program of study, and you will not have to take the required course. The credits will be included in your overall completed credit total. A maximum of 10 credits can be transferred into a doctoral program of study. Another option is to petition to waive a required course. You will use the Substitution/Waiver Request (SOE-33) form to make waiver requests. Waiving a course does not reduce credit requirements; you will still be required to complete a minimum of 90 credits. You may request a copy of the SOE-33 form from the [SOE Graduate Programs Office](#).

## Registration Guidelines

Whether attending on-campus or a distance delivery specialization, you must register for credit-bearing courses each fall and spring semester. Summer enrollment is not required to remain active in your degree specialization, unless you are completing a degree milestone (e.g., preliminary exam or dissertation oral defense) or graduating during the summer. Depending on the scope of work you plan to complete in the summer, your advisor may require summer enrollment. For more information, review the “Continuous Enrollment Policy” section of this handbook.

On-campus students register through [RAMweb](#). Students enrolled in distance delivery programs will register through [CSU Online](#). Graduate students can register for a maximum of 12 credits each semester.

Failure to register during a fall or spring semester will cause you to become inactive at the University. To progress, inactive students must seek readmission to CSU. See the Readmission Request Procedures section for more information.

## Late Registration

Late registration begins the first day of the semester and extends until the close of the registration period. Registration typically closes around the second week of the fall and spring semesters. Registration close dates vary among summer courses; the course registration information notes specific summer registration deadlines. A late registration fee will be assessed for adding your first class on the first day of classes or later.

In extenuating circumstances, you may request late registration, which requires School of Education approval. To request a late registration, contact the [SOE Graduate Programs Office](#) for the form. You will be required to include an explanation as to why you were unable to enroll in courses during the registration access period. If you do not register by the last day of the semester, you must wait until the following semester to request readmission and register for courses.

## Continuous Enrollment Policy

Per Colorado State University policy, continuous registration from the time of first enrollment through the graduation term is required for all graduate students (see the [Graduate and Professional Bulletin](#)). You must register in credit-bearing coursework or Continuous Registration (CR) each fall and spring semester. You are required to maintain active registration in the semester you graduate, including the summer semester.

CSU Graduate School policy requires master’s and doctoral students enrolling in their first, fourth, and eighth semesters of CR to submit a [CR Student Plan for Degree Completion form](#). This plan should state your intention and progress toward degree completion with academic expectations and

timelines. The goal of this plan is to ensure you and your advisor agree on a path toward degree completion. The SOE Graduate Programs Office keeps approved degree completion plans in your student file.

Graduate School policy limits students to a maximum of 10 semesters total of Continuous Registration. The Graduate School places a registration hold on students who have registered for more than 10 CR semesters. For the full Graduate School Continuous Enrollment policy, refer to the [Graduate and Professional Bulletin](#). **Please note: The Graduate School CR policy governs master's students in the School of Education only. The School of Education has a separate continuous enrollment policy for doctoral students. See below for additional details.**

### *SOE Doctoral Student Continuous Enrollment Requirements*

The availability of the CR option does not supersede any other registration requirements to which you may be subject at the University, the School of Education, or degree specialization level. In addition to the Graduate School CR policy, the School of Education has implemented the following continuous enrollment policy for doctoral students.

As a doctoral student in the School of Education, you are required to enroll in credit-bearing coursework until your degree is completed. Registration is required during the summer semester if you are using advisor resources. Registration in a credit-bearing course (e.g., EDRM 792A or EDHE/EDOD/EDRM 799) is required each semester until you have defended your dissertation, the final dissertation submitted and accepted by the CSU Graduate School, and you have met all departmental requirements.

**School of Education doctoral students are limited to two total semesters of Continuous Registration enrollment.** Enrollment in CR is highly discouraged. You must gain advisor approval before enrolling in CR and SOE staff will notify advisors of all CR enrollments. In extenuating circumstances that prevent degree progression, faculty might allow enrollment in CR for more than two semesters. In such cases, your advisor/committee chair and the School of Education Director must approve CR enrollment.

Faculty may deem enrollment in CR beyond the allowed two semesters as failure to make satisfactory degree progress. When your graduate advisory committee finds you are making unsatisfactory progress toward degree completion and you cannot anticipate satisfactory progress, you and your committee must create a degree completion plan and determine an appropriate timeline. If you do not make adequate progress at the end of the timeline, the committee may recommend dismissal from the School of Education and Colorado State University.

Your graduate advisory committee will review degree progress each semester. The committee will consider all aspects of academic performance, not necessarily

coursework alone. In accordance with CSU Graduate School policies, you must complete all degree requirements within 10 years of your first course taken (see the [Graduate and Professional Bulletin](#)).

### *Continuous Enrollment for the Graduating Semester*

As noted above and per Graduate School policy, enrollment during the semester you graduate is required, including the summer semester. You may petition to the Graduate School to have the enrollment requirement waived only if you have cleared all graduation requirements during the semester prior to graduation. If the Graduate School denies your petition, you must register for a minimum of one credit or Continuous Registration.

## **Readmission Request Procedures**

Failure to register during a fall or spring semester will cause you to become inactive at the University. If you are inactive for one or more fall/spring semesters, you must regain active status to make progress toward your degree. Regain active status by applying for readmission to the School of Education and Colorado State University.

To apply for readmission, you must submit a [Reapplication for Admission](#) and processing fee. Depending on the length of inactive status and/or your degree specialization, you may be required to submit supporting documentation (e.g., purpose statement, resume, recommendation letters, etc.). Former students applying for readmission after two consecutive semesters of inactive status are part of the new applicant pool and will be required to submit supplemental application documents. Prior admission to Colorado State University does not guarantee readmission. The degree specialization faculty and the School of Education Director determine readmission recommendation. The Graduate School makes the final review and readmission decision.

## **Principal License**

You may pursue a principal license while completing the Education and Human Resource Studies, School Leadership doctoral specialization. Interested students should apply for the non-degree principal licensure program through the [Center for Educator Preparation \(CEP\)](#). The requirements for the principal license exceed minimum doctoral degree requirements. Admission to the School Leadership specialization does not constitute admission to the principal licensure program.

## **Academic Integrity**

You must uphold Colorado State University and the School of Education's standards for academic integrity. Ideas, their genesis, and articulation are critical to scholarly endeavors. Information about CSU's academic integrity/misconduct standards and subsequent procedures are available in the [General Catalog](#) (Academic Integrity/Misconduct section).

## Grading

Grades submission occurs the Tuesday after the last day of the semester. Detailed information about grading, incomplete grades, and grade appeals are available in the [General Catalog](#) (Grading section).

## Grade Point Average

You are required to maintain a minimum grade point average (GPA) of 3.00 for courses listed on your program of study, as well as any other courses completed. Each course listed on the program of study must be completed with a C or better or Satisfactory (S) for pass/fail courses. The Graduate School maintains four separate GPAs, outlined below, and you must maintain a 3.00 GPA in each.

- Overall GPA: includes all 300 level or higher courses taken as a graduate student. Overall GPA is based on your admit term and does not include any courses taken prior to formal admission. The GPA calculation separates master's Ph.D. levels.
- Regular GPA: same as overall GPA, except the calculation only includes regular coursework. Regular coursework includes all courses in which the final two digits of the course number are less than x82 (e.g., EDRM 700 is a regular course; EDRM 799 is a non-regular course).
- Program of Study (GS-6) Overall: Same calculation as overall GPA, except only includes coursework listed in your program of study.
- Program of Study (GS-6) Regular: Same calculation as program of study overall GPA, except only includes regular coursework (courses in which the final two digits of the course number are less an x82) listed in your program of study.

## Failing Grades

If you receive a failing grade (C-, D, F, or U) in a course included in your program of study, you are required to retake the course. You may not simply audit or sit in on the class again; you must complete all required learning activities and be graded per the course syllabus. Your final transcript and GPA includes grades from both course attempts. On your program of study, once a grade is associated with any course, the course remains on the program of study. You must resolve all failing grades listed on the program of study before graduation.

## Ten-Year Time Limit

You must complete your graduate degree within 10 years. If you exceed the 10-year limit, courses over 10 years old cannot fulfill your program of study requirements. In this case, you must retake courses or substitute them with current coursework.

Your doctoral committee may consider a time limit petition if extenuating circumstances prevent you from completing your degree within 10 years. To consider a petition, you must demonstrate two conditions: 1) the expired

coursework is still relevant to the current body of knowledge, and 2) you retain a working knowledge of the expired coursework. If you meet both conditions, your committee may support a petition to the Graduate School. The Graduate School does not accept ten-year time limit petitions until your final semester. Additional petition guidelines are available from the Graduate School. The Graduate School Dean reviews all petitions.

# **Appendix A**

## **Traditional Proposal and Dissertation Guide**

This appendix provides guidance on formatting a traditional dissertation proposal and five (5) chapter dissertation. See Appendix B for a three-article proposal and dissertation guide. It is typical for the proposal to be written in future tense, while the dissertation is typically written in past tense.

A proposal typically includes Chapters 1-3 as outlined here. Most proposals are approximately 60 pages total; nearly half of your proposal should be an extensive literature review.

The final dissertation should be a substantial document typically ranging from 90-200 pages, excluding appendices. You will expand the literature review during the research process.

### **Traditional Proposal and Dissertation Elements**

The first process related to the writing of the dissertation is the development of a proposal presented at the proposal defense. The proposal is the first three chapters of the dissertation. Depending on the research methodology, your advisor may approve variations to the proposal and dissertation format. You are encouraged to provide your committee with as many of the first three chapters as possible so your committee can provide guidance.

This section describes the contents of the first three proposal/dissertation chapters. The purpose of the proposal defense is to obtain committee member signatures on the Dissertation Proposal Review (SOE-32) form, signifying the committee agrees your study should proceed as presented (with committee specified modifications). At the proposal defense, you and your advisor should solicit advice about the technical soundness of the research and research methods, the thoroughness of the literature review, and other recommendations.

The purpose of the dissertation is to provide you with experience in designing, conducting, and writing original research. The dissertation is self-referential in nature and consequently somewhat redundant. You must describe your study, articulate the process used to arrive at all decisions, and defend your decisions. For example, you must describe the details of participant selection including how you are going to contact the participants, emails, or other communication devices you will use, information the participants will receive about the study, what the participants will be expected to do for the study, and if you will share the results with the participants.

The final dissertation must include updated and/or expanded sections of the proposal (i.e., introduction, literature review, and methodology). Enough data collection is required to fully answer the research questions and support

conclusions. In addition, the dissertation includes a presentation of findings (usually Chapter 4: Results) with proper tables and figures or explanations, as appropriate, and a concluding section (usually Chapter 5: Discussion) that draws meaning from the research and ties the findings to the relevant literature, settings, populations, and theories. The last chapter also includes recommendations and conclusions. The final dissertation must include all cited references and should append questionnaires (except copyrighted ones), interview schedules, permission documents (including the human subjects approval letter), and other information to assure replicability of the research.

## **Title**

The title contains key words or phrases to give a clear and concise description of the scope and nature of the study. The title guides the research and therefore reflects the purpose of the study. It also serves as the identifier for others to locate your study. The title should include key research factors (variables), type of participants, and methodology. Keywords allow bibliographers to index the study in proper categories within databases.

### **Title Guiding Questions**

Does this title reflect the nature of the study? How descriptive is the title?

### **Title Common Errors**

The title is trendy or journalistic but does not address research elements. The title includes excess or empty words (e.g., a study of..., research into...).

## **Abstract**

The abstract is a summary of the study with attention to method, results, and conclusions. Note should be taken on the abstract length limit. Dissertation databases include the abstract and it may be all that most people read about your dissertation. The abstract informs other researchers whether they should obtain a complete copy of the document. A quality abstract accurately describes the purpose of the research, the methodology and paradigm, key findings, and conclusions.

### **Abstract Guiding Questions**

Would someone reading the abstract learn how this research contributes to knowledge in the field?

### **Abstract Common Errors**

A common error is emphasizing the need for the study, but omitted conclusions, recommendations, and/or results.

## Definition of Terms

Include a list of definitions for terms and concepts in a meaningful order that have significant meaning for the study. This provides readers with a reference as needed. The definition of terms provides clarity for terms that have multiple meanings or interpretations.

Define terms in the context used in the dissertation. Provide operational definitions, as well as constitutive definitions. Construct the definition of terms in list form, like a dictionary. Provide citations from literature where you obtained the definition, if applicable.

In some cases, a dissertation may read better by including operational definitions or other definitions in Chapter 1. You should consult with your advisor to determine whether definition of terms or operational definitions are most appropriate for your dissertation.

### Definition of Terms Guiding Questions

Some terms may not be familiar to all readers. Are all ambiguous terms and terminology defined?

### Definition of Terms Common Errors

Too many definitions are included. For example, including terms widely understood or those not used within the text. Failure to include reference to literature from which you obtained definitions.

## Chapter 1: Introduction

The introduction provides a description of the purpose of the study and a rationale for its significance. It also provides a broad overview of the background information, including an outline of the theoretical framework. The introduction places the study in a context (i.e., historical, legislative, social, or economic) and lays the theoretical foundation for the study. The introduction provides a contextual and theoretical overview in a summary format.

### Introduction Guiding Questions

Is the information adequate, giving readers enough information so they can understand the context and general background of the study? Does the study present a theoretical framework for understanding?

### Introduction Common Errors

The introduction does not place the study in a larger theoretical, social, or legislative context and only summarizes Chapter 2. The introduction does not link research to theory.

## Statement of the Research Problem and Purpose Statement

The research problem comes from a review of literature. The statement of the research problem indicates the next steps taken to build upon the theoretical framework. You should succinctly articulate this statement.

The purpose statement typically identifies needed change. You do not always overtly state the purpose in the proposal; however, you should check with your advisor for purpose statement preferences.

## Research Questions or Hypotheses

Generate research questions or hypotheses from observations, theory, prior research, and/or experience. If a study is not experimental, objectives or research questions are usually used. If the study is experimental, hypotheses are commonly used. In some research designs, study participants identify questions following data collection procedures, such as interviews and observations.

### *Research Questions or Hypotheses Guiding Questions*

Are these hypotheses or questions consistent with the rest of the dissertation? Do research objectives reflect issues reported in the literature? Are the research questions testable or answerable with the methods and analysis planned?

### *Research Questions or Hypotheses Common Errors*

You have asked too many questions or hypotheses. The scope of the research questions is too broad to address the purpose or problem statements.

## Study Delimitations

Delimitations are restrictions or bounds researchers impose prior to the inception of the study to narrow the scope of a study (e.g., studies delimited to Colorado teachers or to survey female students). Discuss delimitations to analyze threats to the study's validity and to acknowledge existing flaws to the research design. Include clear, concise descriptions that include how the delimitations affect generalization of the study's findings.

### *Study Delimitations Guiding Questions*

In focusing on the study, how is the generalizability of findings decreased? What design factors might other researchers question as affecting the scope of the study's generalizability?

### *Study Delimitations Common Errors*

Delimitations have been confused with limitations (see Limitations and Assumptions section) and do not reflect upon the delimitation's effect of the study's generalizability.

## Limitations and Assumptions

Limitations are conditions that restrict the scope of the study or may affect the outcome. An example of a limitation is that a school district might only allow the researcher to collect data during a certain time of the school year, or that selected participants might not answer truthfully or at all.

Assumptions are beliefs we make as researchers about the participants. For example, we assume participants in a survey or a qualitative interview will be truthful.

## Need or Significance

Need or significance defines the problem in terms of issues or concerns relating to practices and/or gaps in existing research. This indicates how the selection of a methodology contributes to the discipline and knowledge and practices gained by the completion of this study. The need or significance section may use conflict in findings or related research as justification for the study and/or cite literature calling for an investigation of the problem.

This section is the “sales pitch” addressing direct and indirect benefits to the study’s participants. It justifies and convinces the reader of the study’s need. The need or significance section supports faculty statements by citations from the literature. It addresses several areas of need including how the methodology adds to the body of knowledge.

### *Need or Significance Guiding Questions*

Who (individuals or groups) can use this information to change or improve the present situation? How will the study contribute to the fundamental knowledge of the profession? Can you generalize the results beyond the bounds of study?

### *Need or Significance Common Errors*

The section is not complete or does not describe all potential contributions to the field. You have based the need upon opinion and not upon existing research and theory.

## Researcher’s Perspective

Before conceptualizing data analysis procedures, you should document your biases and assumptions related to potential findings. This activity is referred to as “coming clean” because the subjective basis for the study is identified. Identifying researcher biases brings further credibility to your findings.

## Chapter 2: Review of Literature

A literature review is a thorough synthesis and analysis of literature related to the study. This chapter reviews the field, substantiates the choices about the topic and methodology, and provides a sound theoretical/conceptual basis for the study. The process of reviewing literature consists of two phases:

- 1) Problem exploration-definition stage
  - a. Conducted before proposal preparation to identify the problem
  - b. Provides dimensions and limits of the problem area
  - c. Defines extent to which solution or answer is already known
  - d. Helps discern “what do we know the least about?”
  - e. Identifies procedures (design, instruments, analyses) for conducting the study
- 2) Synthesis stage
  - a. What is missing from literature?
  - b. What did you learn from putting the literature review together?
  - c. Are there theories well supported by literature?
  - d. What questions does the literature review suggest/generate?

Sometimes a researcher will initially write a limited literature review addressing a broad scope of knowledge. Later, you develop a thorough version of the chapter after the focus of the research has been refined because of data collection.

The literature review increases the likelihood the study enhances the knowledge base, allows the researcher to acquire a thorough knowledge of the area, and thus better design the study. It places the study in its context within the literature/field.

The literature review identifies databases and key descriptors so future researchers can replicate the work and know the parameters of the search. The literature review moves from broad topics to specific ones, ending with a paragraph on how the literature documents the need for your study. Organize the literature reviewed around theories, historical events, or your study’s objectives so it flows from topic to topic. Provide transition sentences between sections to facilitate reading and summarize all our information at the end of the chapter. Include accurate, verified citations, free of plagiarism. Oftentimes, a conceptual map of the organization of the literature review is helpful.

### Literature Review Guiding Questions

Would someone outside this field reading this chapter understand the material?

Have you used all key resources (i.e., books, articles, dissertations, etc.) relevant to understanding this topic?

### Literature Review Common Errors

The literature is poorly organized. You have overused quotes instead of a synthesis of several authors and researchers. The literature review does not analyze the quality of the research and you have not made distinctions between theoretical and

empirical works made. The review is incomplete (e.g., related fields are not addressed); particularly when there are few articles that directly address the topic. There is omission of literature that conflicts with the premise of the study or with your biases. You have only used a few articles or texts or have relied on old and secondary resources without tying the review to current research. There is no summary at the end of the chapter emphasizing key points.

### Chapter 3: Methods

The methods section provides a detailed description of all aspects of the design and procedures used in the study. This chapter describes the plan for conducting the study and explains what you must do to collect data. The methods used must have a sound epistemological grounding, in that the procedures used are consistent and coherent with the theoretical and conceptual tenets of the methodological paradigm. The proposed methods must be presented in a defensible fashion and be substantial (i.e., rich, theoretically, and conceptually justified) enough to draw appropriate conclusions. The research methodology must clearly tie the proposed methods and analyses to the ability to answer each research question or test each hypothesis.

You must provide accurate, detailed descriptions of how you intend to conduct the research to ensure others could replicate the study. Clear explanations of each step and justifications of implementation enables readers to reproduce the exact conditions of the original study and indicates you have carefully considered decisions regarding research procedures considering accepted research practices reported in research texts and articles.

#### Research Design and Rationale

The research design and rationale section describe the overall paradigm (e.g., quantitative, qualitative) used in collecting data and the specific approach within the paradigm that has been selected. Present conceptual framework and rationale for using this approach. This section is the roadmap for conducting the study. A plan for the research helps the research process flow smoothly and ensures obtainment of meaningful information. It also decreases the chances of aborting the research process due to lack of available data or lack of participants.

The research design and rationale section highlights the unique strengths of the research paradigm related to this specific study. The procedures outlined should answer questions or test hypotheses as efficiently, economically, and validly as possible. Schematic diagrams often aid in understanding the design.

#### *Research Design and Rationale Guiding Questions*

How will the use of this design address the problem? Is the rationale for using this design clear? Will this information aid in the replicability of the study? Are the participants (or archived data files) accessible?

### *Research Design and Rationale Common Errors*

The section fails to provide justification of the paradigm selected. Limited planning has been completed, which may later result in significant changes to the dissertation.

### **Participants and Site(s)**

The participants and site section define the overall population (i.e., total set) of participants or documents which the research is addressing. Describe the group or sample to be included in the study, along with an explanation about the selection criterion. Included are the size of the sample and justification for inclusion in the study. In many qualitative studies, rationale for observing participants in specific settings is equally important and must be justified.

Interpretation and generalizability of data depend upon the quality of the selection procedures and sample/participant descriptions. Poor selection and description decrease the usefulness of the information obtained in the study. In quantitative studies, participants are representative of the larger population of interest. Quantitative studies include descriptive characteristics of non-responders, as well as responders. In qualitative studies, selected participants are purveyors of desired information.

### *Participants and Site Guiding Questions*

What information do the selected participants provide for the study? How are the participants similar or different from the overall population addressed in the problem statements? Is there discussion of non-responder common characteristics?

### *Participants and Site Common Errors*

Failure to clearly delineate or follow the selection criterion.

### **Data Collection**

In the data collection section, describe, in detail, the procedures that will be used for collecting the data. This section may include information about how data will be collected (e.g., observation, interview, survey, test), instruments that will be used and their reliability and validity, interventions employed, and threats to internal and external validity and measures taken to prevent their occurrence (in qualitative research this is referred to as “trustworthiness”). If possible, you should pilot or field-test your efforts to ensure the procedures for collecting information are feasible and include a field-test description.

The data collection section ensures credibility and soundness of the research through well-constructed procedures. The method used will provide the data needed to address the research questions or test the hypotheses. Provide clear, concise descriptions of the data collection procedure to ensure replicability of the study.

### *Data Collection Guiding Questions*

Could anyone reading your study understand the steps taken to collect data? Have you considered alternative methods for collecting data? Are there good rationales why other data collection methods will not suffice? Is it possible to pilot the procedures?

### *Data Collection Common Errors*

Failure to link the collection procedure to the research questions posed in Chapter 1. For example, collecting far more data than required or not addressing necessary questions. You did not describe your procedures in enough detail to ensure replicability of the study. Failure to justify use of procedure with reference citations. The section lacks organization in addressing topics. Information obtained lacks meaningful data for analysis.

## Measures

The measures section describes the instruments or procedures used. Provide information about tests, interview questions, observation protocols, and surveys used. Address reliability, validity, or trustworthiness, and threats to validity. Provide clear, concise descriptions of the data collection procedure to ensure replicability of the study.

### *Measures Guiding Questions*

Have you considered alternative methods for collecting data? Are there good rationales why other data collection methods will not suffice?

### *Measures Common Errors*

The measures section does not offer justification for use of procedure with reference citations.

## Data Analysis

This is a description of how the data organization produces meaningful information in relation to the research questions and/or hypotheses. In quantitative research, this step typically involves statistical techniques selected in accordance with the research design. Likewise, qualitative research data organization and coding conforms to the specific qualitative approach used (i.e., phenomenology, ethnography, case study, etc.). Your committee needs to know the specific statistical technique or qualitative methods you are going to use in your analysis so they can guide you through the appropriate processes.

### *Data Analysis Guiding Questions*

Why were these methods of analysis employed?

### *Data Analysis Common Errors*

The section did not align the method of analysis with the research methodology selected. You have not identified your biases. You have not shown a clear

understanding of the analysis procedure used and reasons for using a particular procedure.

## **Chapter 4: Results or Findings**

This is the outcome of the study. Present information that has resulted from data collection and analysis. Present descriptive data first and then report findings organized around the research questions. Sometimes during the process of analysis, you will find additional or supplemental analyses. Upon your advisor's guidance, you might add these supplemental analyses to the dissertation. Graphically display findings using tables and figures. Organize findings to parallel the research questions and hypotheses.

### **Results or Findings Common Errors**

You have not organized findings consistent with the research questions and therefore, findings are difficult to follow. The section does not repeat the research questions, rendering the reader unclear as to what reported information refers. There is no reference to or summary of tables and figures used in the text. You have not provided summary statements or tables at the end of the chapter.

## **Chapter 5: Discussion**

This is the culminating section of the dissertation, the "so what?" Given the previous information, you are now free to explore and speculate about the findings. Readers hear your voice in this chapter. This chapter consists of a summary of the entire study, particularly findings, interpretation of the data, conclusions drawn from the information, implications, and recommendations for practice/application. This chapter concludes with a statement regarding the needs for future research, including ideas about new research questions and potential methodologies.

This chapter allows you to reflect upon the findings and determine what the contribution of this study is to both knowledge and practice. It demonstrates your ability to reflect and draw meaningful conclusions about findings. Information about future research is included to assist other researchers in identifying potential studies and to promote cohesive research investigations into the topic.

Do not over-generalize findings in this chapter. Link information from the study to the literature review. Articulate the study's relevance and connect the findings back to the theoretical background of the study. When appropriate, present a revised conceptual model of the original theory.

### **Discussion Guiding Questions**

What does the study contribute to the knowledge base? What would improve your study? What are the surprises from the data? How does the literature agree or disagree with the data collected? Now that this study is complete, what should future research examine?

### Discussion Common Errors

You have been either too literal or refused to interpret; only restating findings or are too liberal in applying findings to a myriad of problems beyond the bounds of the study. The discussion does not reference the literature when discussing how this study confirms or contradicts previous literature.

## **Appendix B**

### **Three-Article Dissertation Guide**

A departure from the traditional dissertation, the three-article dissertation entails special preparation and formatting considerations. It also comes with its own set of requirements. Students should decide as early as possible, in consultation with their advisor, whether to pursue the three-article format. Students should also consult this doctoral handbook, rather than the CSU Graduate School's traditional dissertation guide, for formatting standards.

The three-article dissertation is not the ideal format for all students and is not suitable for all disciplines. There must be coherence between the articles that make up the dissertation and the rationale for grouping the three articles must be clear. Copyright issues must also be addressed prior to final submission of the dissertation. Failure to gain necessary copyright(s) may delay graduation.

#### **Requirements**

The three-article dissertation must be approved by the student's dissertation committee. Three is the minimum number of articles, however students may need to include more articles to achieve coherence.

If selecting the three-article dissertation option, the dissertation proposal will include an introductory chapter (Chapter 1) that describes the problem under study, outlines each of the three articles that will be included and a list of proposed journals, a timeline for completion, and other information as requested by the dissertation committee.

The journals to which the articles are being submitted must be approved by the dissertation committee. The committee should assist in identifying and choosing refereed journals that will both challenge the student as well as offer a reasonable chance of publication success.

A maximum of one article published or accepted for publication prior to the proposal defense may be included. This article must represent work undertaken while the student is enrolled in the Ph.D. program and be approved by the committee at the time of the student's proposal defense. This article must be connected to the theme or themes of the dissertation. If a previously published article is approved by the committee, the student will be responsible for securing necessary permissions from the copyright holder and other authors.

The articles submitted for the defense must be of publishable quality. The student's dissertation committee decides whether the articles meet this standard.

Students must be first author on all articles. As first authors, students are responsible for development and articulation of a concept or idea for research, development of a proposal to pursue this idea, development of a research design, conducting research and analysis, writing major portions of a manuscript, and interpreting results. Co-authors. Must be identified and approved at the student's proposal defense. The article and the role of the co-authors must be presented to and approved by all members of the dissertation committee. any changes in co-authorship must be approved by the student's committee.

The dissertation must follow the most recent formatting requirements as outlined in the *American Psychological Association Publication Manual*, as well as CSU Graduate School formatting guidelines.

Deadlines are the same for both three-article and traditional dissertations. Submission and graduation deadlines can be found on the Graduate School website.

### **Copyright Considerations and Requirements**

The inclusion of any previously published articles or articles that have been accepted for publication requires permission from the copyright holder as required by U.S. law. The sections not copyrighted by another party may be covered under the publication of the new manuscript. Up to one article may have been published before the dissertation defense. However, the student must obtain copyright permission from the publishing journal to include the article in their dissertation. Doing so is required by U.S. law. When requesting permission to include the article in the dissertation, students should notify the journal editor that the dissertation will be made available online. Uploading your dissertation to ProQuest is a requirement of graduation.

### **Order of Required Manuscript Elements for the Three-Article Dissertation**

Each article should be submitted to journals following the style requirements of those publications, however for the three-article dissertation the format of each article must follow University guidelines with respect to formatting and presentation. Refer to the CSU Graduate School website for formatting requirements.

#### **Introductory Materials**

- Copyright information
  - Please see the introductory information above regarding copyright concerns.
- Abstract
  - The abstract should synthesize the three articles and the work as a whole.

- Acknowledgments and Dedication (optional)
  - Follow the same layout and format as a traditional dissertation.
- Table of Contents
  - Each article included should be identified in the table of contents as a separate section by listing the complete title as it appears on each manuscript. Do not list subheadings that occur within the individual manuscripts; do list subheadings from the introductory and summary sections.
- List of Tables and List of Figures (if applicable)
  - List all tables and figures that appear within the entire document.
- List of Abbreviations (if applicable)
  - List all abbreviations as one complete list in the prefatory section of the dissertation. Do not list them in each individual article.

## Main Body

- Introduction
  - The introduction should explain why the previously published or publishable articles were chosen, including a substantive discussion of the relationship between the various articles and parts of the research that tie together the articles. The introduction should include a clear statement of the student's purpose or singular research hypothesis to be tested. It should provide necessary background information and a broad statement summarizing the findings of the study. The minimum of three articles should form a cohesive body of work that supports a theme or themes that are expressed clearly in this introduction. The need for three articles, as opposed to just two, should be clear and approved by the dissertation committee and not merely represent minor tweaks of a work that would be more appropriately reported in one or two articles.
- Chapter / Article One
  - Subsections (e.g., introduction, review of literature, method, results, conclusions)
  - Article One Reference List
  - Article One Appendices, if applicable
- Chapter / Article Two
  - Subsections (e.g., introduction, review of literature, method, results, conclusions)
  - Article Two Reference List
  - Article Two Appendices, if applicable
- Chapter / Article Three
  - Subsections (e.g., introduction, review of literature, method, results, conclusions)
  - Article Three Reference List
  - Article Three Appendices, if applicable



## Concluding Section

- Overall Conclusion
  - State the conclusions for the dissertation. The conclusion should include a general discussion, applications, and ideas for future research that emerge from the three separate articles, as well as from the entire dissertation.
- References
  - All general references from the introduction, overall conclusions, and any supplementary sections should be included here and should conform to the same style and format as the articles.
- Appendices
  - Include here only any additional appendices that relate to the manuscript.

## Sample Three-Article Dissertations

Boucher, D. E. (2018). Globalization and cultural flows: A three-article dissertation exploring implications for education and culture in India. University of Nevada, Las Vegas. ProQuest Dissertations. 13420247.  
<https://www.proquest.com/dissertations-theses/globalization.cultural-flows-three-article/docview/2210149516/se-2?accountid=10223>

Good, S. C. (2021). Exploring early mathematics curriculum and instructional strategies: A three article dissertation. Ohio University.  
[https://etd.ohiolink.edu/apexprod/rws\\_etd/send\\_file/send?accession=ohio\\_u1616670781137523&disposition=inline](https://etd.ohiolink.edu/apexprod/rws_etd/send_file/send?accession=ohio_u1616670781137523&disposition=inline)

*These guidelines were compiled from guidelines developed by the Cognitive Neuroscience program in the Department of Psychology at Colorado State University, drawing on information from the University of North Carolina-Charlotte, The University of Texas at Austin, Athens University of Economics and Business, Trident University International, North Carolina State University, The University of Alabama, and the University of Utah College of Health.*

## Appendix C

### Doctoral Degree Completion Checklist

- 1) Submit Program of Study (GS-6) form during your third semester.
- 2) Submit the Intent to Complete the Preliminary Examination (SOE-14) form after you have completed most of your coursework.
- 3) Complete the refereed journal article requirement during your course of study.
  - a. Submit the Confirmation of Refereed Journal Article (SOE-35) form.
  - b. You can complete this requirement any time after admission to the School of Education.
  - c. Please check with your program coordinator(s)/chair(s) to determine if this requirement applies to your degree specialization.
- 4) Complete your written preliminary exam and oral defense.
  - a. Submit the Report of Preliminary Exam for the Ph.D. Degree (GS-16) form within two business days of the defense.
- 5) Write and defend your dissertation proposal.
  - a. Submit the Dissertation Proposal Review (SOE-32) form.
- 6) Apply for graduation by submitting the Application for Graduation (GS-25) form.
- 7) Complete your written dissertation and oral defense.
  - a. Submit the Final Exam Results (GS-24) form within two business days of the defense.
- 8) Complete dissertation content revisions and submit your final dissertation for School of Education Director for review.
  - a. Submit the Thesis/Dissertation Submission (GS-30) form and Survey of Earned Doctorates certificate.
- 9) After the School of Education approves the GS-30 form, upload your final dissertation to ProQuest/UMI.
  - a. The Graduate School will contact you with any formatting revisions.
- 10) Complete any outstanding departmental requirements, in-progress courses, and finalize grades by the last day of the semester.
  - a. Submit the Departmental Requirements Clearance (GS-25B) form, if required.
- 11) Celebrate with family and friends by attending commencement!