Student Handbook
2009

Ed.D. in Educational Administration
Minnesota Cohort
Department of Organizational Leadership, Policy, and Development
The University of Minnesota
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A Note from the Department Chair

Welcome, New OLPD Students!

We are delighted you are joining us in the Department of Organizational Leadership, Policy, and Development!

OLPD has developed nationally and internationally distinguished graduate programs in the areas of educational administration, higher education, evaluation studies, comparative and international development education, adult education and human resource development. During your studies, you will be working with faculty members who are active scholars, authors, professional association leaders, practitioners and teachers. We are proud of our faculty and staff and expect that regardless of the program you are pursuing, you will find your experience to be exciting, personally fulfilling, and professionally rewarding. The faculty is committed to helping you achieve those ends.

We like to think of OLPD as a departmental community and I hope that each of you will make every effort to become an active, engaged member within it. One of the joys of graduate school is meeting and learning with your fellow students. In OLPD, our students come from a wide variety of professional and academic backgrounds, cultures, and countries. You will have many opportunities to meet each other in and outside of class.

All of us on the faculty and staff want your program to go well for you. Please don't hesitate to contact us if you have questions or need assistance. My telephone number is 612-625-0129 and my e-mail address is hende001@umn.edu.

Again, welcome to OLPD!

Darwin D. Hendel
Associate Professor and Chair
Introduction

This handbook is designed to provide Ed.D. students in the Department of Organizational Leadership, Policy, and Development (OLPD) with information about the Ed.D. programs, program procedures, and student resources. The handbook augments and is not a substitute for other sources of information. Students should refer to the following comprehensive documents for more details:

University of Minnesota Graduate School Catalog
Information about Graduate School degree requirements and course descriptions
www.catalogs.umn.edu/grad/index.html

University of Minnesota Twin Cities Class Schedule
Course schedules for each semester and summer session
onestop.umn.edu/onestop/registration.html

University of Minnesota Graduate Student Handbook
Online version of the graduate student handbook
www.grad.umn.edu/Current_Students/handbook

All advising faculty have a hard copy of this handbook. Both graduate school and department forms can be found on the Web. Please see the list of links included in this handbook.

University-Assigned E-mail Accounts

The university-assigned student e-mail account is the university’s official means of communication with all students. Students are responsible for all information sent to them via this account. The University, graduate school, and department rely on the University student e-mail accounts, not the postal service, for important communications such as tuition billing, degree clearances for graduation, department events, and position opportunities. Students are responsible for all information, including attachments, sent to their University e-mail account. If a student arranges to have his/her University e-mail account forwarded to a private account, then the student must remember to change the forwarding destination of the university account if the private account is changed.

The University account mail can be forwarded at www.umn.edu/dirtools.
Chapter 1 The OLPD Department

Mission, Purpose, and Goals

The mission of the Department of Organizational Leadership, Policy, and Development is guided by the missions of both the University and the College of Education and Human Development, and is directed by an awareness of being part of a University that is responsive to its national and international opportunities in scholarship.

Three related purposes give direction to departmental activities. A priority of the department is to initiate, sponsor, and support research and development activities that will enhance the body of knowledge and techniques that constitute the six program areas: Adult Education, Comparative and International Development Education, Educational Administration, Evaluation Studies, Higher Education, and Human Resource Development. The Department of Organizational Leadership, Policy, and Development is committed to the study of educational policy and to the preparation of leaders who can act effectively and ethically within the structures, processes, and cultural contexts of education.

The department also seeks to provide mission-related service through disciplined study of the needs of educational and human service organizations and to provide leadership in the solution of current problems in educational leadership, governance and management. All of the above illustrate the commitment of the department to bridging the fields of practice and theory.

The four program areas in the department work closely together sharing budget, space, office staff, and graduate assistance. Faculty members sometimes teach in more than one area in the department as well as in other departments. The Department of Organizational Leadership, Policy, and Development is currently housed in Wulling Hall on the University’s East Bank campus. The College of Education and Human Development’s Dean’s offices are located in Burton Hall.

Administration and Management of Programs

Governance

The department chair is responsible for leadership of the department and management of resources. The director of graduate studies (DGS), elected by the department faculty, chairs the Graduate Studies Committee and represents the department to the University administration. The committees described below support the functioning of the Department of Organizational Leadership, Policy, and Development. Other ad hoc committees are established as issues arise.

Administrative Committee

This committee addresses general policies and procedures of the department and considers any special issues that arise. It is chaired by the department chair and composed of the DGS, Coordinator of Graduate Studies (CGS), and coordinators of each of the six program tracks.

Graduate Studies Committee

This committee recommends standards for admissions, reviews applications, and makes admission recommendations to the Graduate School. It is chaired by the DGS and composed of the four program coordinators and the coordinator of graduate studies.

Grievance Committee

This is an advisory committee that confers with the College Grievance Review Officer to resolve issues when informal attempts have not succeeded. It is composed of faculty members, students, and civil service staff.
Chapter 2 The Ed.D. Program

Educational leadership and policy decision-making are the foci of this doctoral program. Students completing program requirements earn an Ed.D. degree (the highest professional degree in the field) in Organizational Leadership, Policy, and Development from the University of Minnesota.

This innovative Ed.D. program is intended for leaders and future leaders of PK-12 schools, districts, and state and federal educational agencies. The Ed.D. program is designed to enhance the professional knowledge and skills of education professionals through advanced graduate study.

This cohort doctoral program has been designed specifically to meet the needs of working education professionals. Core courses integrate knowledge and skills to prepare students for leadership roles in education organizations. The program is made up of 14 relevant credits from previous graduate work and 38 credits of new coursework with an emphasis on critical issues in contemporary education, cross-cultural training and intercultural leadership, organizational development and change, educational policy analysis, applied research in school improvement, program evaluation, and leadership development. Students also complete a 12 credit applied field study project, which they individually design in concert with their advisors to match their professional needs and interests. The major features of this program include a cohort model of learning in which individuals pursuing the same curriculum and schedule support and learn from each other; the application of systematic inquiry; incorporation of policy and leadership dimensions; and concentrations of summer course work.

Program Requirements

Students seeking admission to the Ed.D. degree program must have completed a master’s degree. With advisor approval, students admitted to the OLPD Ed.D. degree program may be permitted to apply credits from a master’s degree or other graduate-level course work toward the total number of credits required for graduation (see section on transfer credits for details).

Please see below for detailed information about required credits.

Maintaining Active Student Status

The Ed.D. must be completed within five years of the completion of the oral preliminary examination. The Graduate School requires students to register every fall and spring semester throughout their program to remain active. Current information and policies about retaining “active” status can be found at www.grad.umn.edu/current_students/registration/active_status.html. If students become “inactive,” they will be automatically withdrawn from the Graduate School and must reapply for admission to the department and the Graduate School.

There is a special course code (GRAD 0999) available for students wishing to maintain their active status without enrolling for any credits during the term. Please note, however, that OLPD department policy restricts enrollment in GRAD 0999. Contact the department coordinator of Graduate Studies and your advisor should you need to register for GRAD 0999 to keep your active status. More information regarding GRAD 0999 can be found at the Graduate School Web page at www.grad.umn.edu/current_students/registration/grad_999.html.
Students should avoid falling out of active status, but if readmission is necessary, procedures can be found on the department Web site at education.umn.edu/OLPD/StudentResources/readmit.htm.

**Advising**

The faculty team guiding the Ed.D. program serves as advisors until a thesis project advisor is determined (usually after the second year of enrollment in the program).

It is important to note that the initial program faculty advisor is not necessarily intended to continue for the duration of the graduate student’s program. Once students identify the area of their field project research and have become acquainted with department faculty, they will be assigned an advisor and committee with expertise in that area. The match of a regular advisor and student should be mutually acceptable.

A change of advisor form can be found at: education.umn.edu/OLPD/StudentResources/.

**Annual Student Progress Review**

Each spring, the department reviews the progress of all students. This review process is a way of supporting the professional development of our students as well as ensuring progress toward their degree. This annual review assures that any progress problems are identified early so that students receive timely guidance when appropriate.

If applicable, faculty will identify a timeline by which benchmarks should be completed. Students are responsible for contacting their advisors to develop plans for making satisfactory progress by the deadlines. Students are strongly urged to develop an electronic portfolio to track their professional development and progress through their graduate program. An electronic portfolio, e-folio, is available at no cost to university students at www.efoliomnnesota.com.

**www.onestop.umn.edu** is the primary source of information on student issues, including tuition, financial aid, fees, and billing.

**Ed.D. Enrollment and Fees**

Registration for all cohort courses is the student’s responsibility. Students must register once per semester and will receive a bill from the University of Minnesota. Students transferring 14 semester credits from a previous graduate program are responsible for seeing that these additional credits are reflected in official transcripts on file in the Graduate School, which are submitted at the time of application. While the Office of the Registrar maintains and releases official transcripts, an unofficial transcript may be obtained at no charge at: www.onestop.umn.edu/onestop/grades.html.

**Finances**

Depending on the qualifications and number of registered credits, students may be eligible for loans, grants, scholarships, or fellowships. One Stop Student Services www.onestop.umn.edu is the primary source for student information, including tuition, financial aid, fees, and billing.

**Health Insurance**

Student registering for six or more on-campus course credits must demonstrate that they have hospitalization insurance or they are automatically billed for the student insurance. If you have your own insurance, you must
indicate the insurance company and policy number on the paper registration form or on the computer registration screen. International students must purchase the university sponsored health plan while studying at the university or show proof of insurance coverage in accordance with university guidelines. Immunizations are also required. Please see www.bhs.umn.edu/services/immunization.htm for more information.

### Key Program Administrative Staff

**Chair, Organizational Leadership, Policy, and Development**  
*Darwin Hendel*

**Director of Graduate Studies**  
*Jennifer York-Barr*

**Coordinator of Graduate Studies**  
*Richard Nunneley*

**Applications, Transcripts, Hospitalization and Insurance**  
*Dan Grafton*

**Registration**  
*Sara Beverage*

**Front Desk**  
*Julie Bishop-Hogan*

**Coordinator, Doctoral Cohort Programs**  
*Deanne Magnusson*

**Coordinator, Educational Administration program**  
*Peter Demerath*
**Example Course Schedule**

This illustrative program is representative of a typical course schedule. This schedule is subject to revision. [NOTE: Because of the change in department name (effective 7/2010) the EDPA designator may be dropped and replaced with OLPD. As a result, the actual course numbers below—but not the course titles—may also change.]

<table>
<thead>
<tr>
<th>Year</th>
<th>Summer</th>
<th>Fall</th>
<th>Spring</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Year 1</strong></td>
<td>EDPA 5024: History of Ideas in American Education, 3 cr</td>
<td>EDPA 5048: Cross-Cultural Leadership, 3 cr</td>
<td>EDPA 5011: Planning for Organizational Change, 3 cr</td>
<td>23</td>
</tr>
<tr>
<td><strong>2009—2010</strong></td>
<td>EDPA 8311: Understanding and Using Research for Educational Improvement, 3 cr</td>
<td>EDPA 8312: Inquiry for Educational Improvement I, 3 cr</td>
<td>EDPA 8313: Inquiry for Educational Improvement II, 3 cr</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>EDPA 8002: Critical Issues in Contemporary Education, 3 cr</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>5332: Leadership Development Seminar, 2 cr</td>
<td></td>
</tr>
<tr>
<td><strong>Year 2</strong></td>
<td>Summer study and topic presentation conferences TBD; no formal courses assigned</td>
<td>EDPA 8595: Evaluation Problems, 3 cr</td>
<td>8596: Evaluation Internship, 3 cr</td>
<td>16</td>
</tr>
<tr>
<td><strong>2010—2011</strong></td>
<td></td>
<td>EDPA 8302: Educational Policy Perspectives, 3 cr</td>
<td>5304: Educational Leadership for Equity, Opportunity and Outcome, 3 cr</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>EDPA 8087: Prospectus Development Seminar, 3 cr</td>
<td></td>
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<td>-------------------------------</td>
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<tr>
<td><strong>Year 3</strong></td>
<td>Summer study and prospectus presentation conferences TBD; no formal courses assigned</td>
<td>Oral Preliminary Examination (Fall or Spring)</td>
<td>12 Thesis credits</td>
<td>(12)</td>
</tr>
<tr>
<td><strong>2011—2012</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td><strong>Thesis</strong></td>
<td></td>
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<td></td>
</tr>
<tr>
<td><strong>Credits</strong></td>
<td></td>
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<td></td>
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<tr>
<td><strong>After</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>Oral Prelim Exam</strong></td>
<td>Students must enroll for 12 thesis credits prior to graduation. Students typically enroll for these credits during years 3 and/or 4 after the successful completion of the oral preliminary exam.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2011—2012</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Typical Program: minimum 14 credits applied from previous graduate work; 38 credits from coursework (above); 12 thesis credits</td>
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</tr>
</tbody>
</table>
Course Requirements

This Ed.D. program is divided into cohort courses, transfer electives, and an individual research-based, applied thesis project.

<table>
<thead>
<tr>
<th>Credits</th>
<th>Course</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Program Core</strong></td>
</tr>
</tbody>
</table>
| 3       | **EDPA 5024 - History of Ideas in American Education**  
| 3       | **EDPA 5048 Cross Cultural Perspectives on Leadership**  
Examines educational patterns, the implicit and explicit cultural assumptions underlying them; methods and approaches to cross-cultural studies in education. |
| 3       | **EDPA 5011 - Leading Organizational Change: Theory and Practice**  
How theory is incorporated, affects the change process, and can improve schools/institutions of higher education. Characteristics that affect change processes/outcomes. Leadership/policy effects. |
| 2       | **EDPA 5332 - Leadership Development Seminar**  
Assessment and development of skills required of the educator in planning, decision-making, and human relations. Introduction to contemporary issues in educational administration. |
| 3       | **EDPA 8002 - Critical Issues in Contemporary Education**  
Meanings of difference from sociological, psychological, historical and philosophical perspectives as related to current and emerging critical issues in education. Participants help design, facilitate, and present the course. |
| 3       | **EDPA 8302 - Educational Policy Perspectives**  
| 3       | **EDPA 5304 - Educational Leadership for Equity, Opportunity, and Outcome**  
Implications of multiple contexts in which leadership occurs, including media, social services, business and family involvement in education. Complexities of collaborative structures and of shared governance. |
| 3       | **EDPA 8087 – Seminar: Educational Policy & Administration**  
Preparation of thesis prospectus. |
Methodology 3  
EDPA 8311 - Understanding and Using Research for Educational Improvement  
Research design principles to identify when findings best contribute to local decisions. Frameworks for evaluating/synthesizing findings to incorporate research in personal/team decision-making.

3  
EDPA 8312 Applied Research in Educational Improvement I  
First of two-course sequence. How to draw upon data sources, select/design data-collection instruments, and synthesize data to guide action planning. Role of leader in creating conditions for collaborative inquiry.

3  
EDPA 8313 Applied Research in Educational Improvement II  
Continuation of 8312. Data collection/analysis techniques that carry out realistically/effectively alongside improvement efforts within school/district. Role of leader in sustaining collaborative inquiry.

3  
EDPA 8595 - Evaluation Problems  
Issues in theory or practice of program evaluation.

3  
EDPA 8596 - Evaluation Internship  
Hands-on experience in conducting a program evaluation in a real-world setting under supervision of an evaluation professional.

<table>
<thead>
<tr>
<th>Course Credits</th>
<th>38</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transfer credits</td>
<td>14</td>
</tr>
<tr>
<td>Thesis credits</td>
<td>12</td>
</tr>
<tr>
<td>Overall Total</td>
<td>64</td>
</tr>
</tbody>
</table>

Thesis Credits (12 semester credits)  
All students are required to register for OLPD 8888 for 12 semester thesis credits after completing the preliminary oral exam.

Transfer Credits (14 or more semester credits)  
With the approval of advisor, DGS, and Graduate School, a minimum of 14 credits of prior graduate-level course work taken at a recognized graduate institution (such as through a master’s program) may be applied toward the Ed.D. degree, provided the credits earned: 1) meet criteria expressed in the Graduate School Catalog; 2) closely match the planned program emphasis; and 3) are approved by the advisor. Students should discuss with their advisor(s) the possible use of these credits for program requirements.

Credits are transferred by listing the courses on the proposed degree program form. Credits not accepted as part of a student’s degree program cannot be transferred to the Graduate School transcript. Official transcripts of the work must be attached to the degree program form if not submitted in the admissions process.

Quarter/Semester Credit Conversion  
To convert quarter credits to a semester-based program, multiply the number of quarter credits by .67 to obtain semester credits.
Chapter 3 Department and Graduate School (GS)

Procedures and Timelines

Ed.D. Examinations and Thesis Papers

During their program, full-time students complete the following examinations and papers in the order listed. Each is explained in detail below.

1. Degree program (must be filed one semester before preliminary oral examination)
2. Written preliminary examination
3. Department preliminary oral examination
4. Thesis proposal (prospectus)
5. Prospectus meeting
6. Human subjects approval of conduct of research (IRB approval)
7. Approval of Ed.D. thesis project for final defense
8. Final oral examination
9. Thesis copy

Degree Program

The degree program is filed with the Graduate School usually within the second year of study. It must be approved before taking the written preliminary exam and at least one semester before the preliminary oral exam. The form identifies which courses the student has been and will be taking, and who will serve on the preliminary oral committee.

Students should confer with their advisor in developing the degree program form. To complete the program form, please review the Ed.D. requirement checklist. The student’s advisor, the director of graduate studies (DGS), and the Graduate School must approve the degree program (see section on transfer credits in this handbook, and the Graduate School Catalog at www.catalogs.umn.edu/grad/).

The examining committee must be composed of at least four faculty members: the student’s advisor, two other OLPD faculty members, and one faculty member from outside the department. Some OLPD faculty members have joint appointments in other departments and may serve as the outside member if approved by the advisor.

Below are some tips for successfully completing the Degree Program form.

- **List all courses chronologically.** The first courses listed will be those you intend to transfer. Write in the institution name and not the instructor name for the transfer courses. Reminder: you are limited in the number of credits you can transfer.
- Do not attach transcripts - you turned in official transcripts when you applied.
- Include courses you WILL be taking in the program. (Leave the date blank if you are not sure when you will take a particular course). Substitutions can be made through a petition later.
- All OLPD courses are considered "major." Any course in another department, even if required in your OLPD program, is considered "other" by the Graduate School.
- Add all of the OLPD course credits and enter under "Total Major Credits" (do not add in the 12 thesis credits): add up all credits other than OLPD and enter other "Total, Other Credits"; "Total Credits" is the total of the previous two categories WITHOUT the 12 thesis credits.
- The student’s advisor must sign the form before it is submitted to the DGS.
- **IMPORTANT:** Quarter credits must be converted to semester credits. See the conversion table included in this handbook.
Petitions
After the program has been filed, students can submit a petition requesting:
- a change in the course work on the approved degree program form;
- an extension of time to complete the degree (5-year time limit to complete the doctoral degree is computed from the semester following the passing of the preliminary oral examination); and
- the transfer of course work not originally on the approved degree program form.
The advisor and DGS must sign the petition.

Completing the petition process is not difficult, so students should not postpone filing their program, as changes are possible.

Students must complete all courses filed via the DPF and any subsequent petitions. Incompletes are not acceptable. Students requesting an incomplete grade in a particular course must have completed a contractual form signed by both the student and the instructor. The form specifies what must be done before the incomplete grade can be removed and is available on the department Web site under “Student resources.”

Written Preliminary Examination
Successful completion of the written preliminary examination is a necessary step in the process of advancing to doctoral candidacy in the Department of Organizational Leadership, Policy, and Development. Before taking the preliminary oral examination and advancing to candidacy, students must pass a written preliminary exam.

The Ed.D. preliminary examination is designed to assess the student’s familiarity with content, interconnections, and meaning of the program’s curriculum. It is intended to assess a student’s capacity for informed, coherent, and critical reflection on applied dimensions of leadership and policy in U.S. educational organizations.

Eligibility
To be eligible to write the preliminary examination, students must have completed or be currently enrolled in the last semester of their department and program core courses, have an “active” status with the Graduate School (maintained by registering every fall and spring), and be in good standing with the Graduate School.

Procedures

Students will receive the examination questions on or about December 11, 2010. A hard copy of the completed examination must be returned to the Coordinator of Graduate Studies no later than February 12, 2011. Electronic copies are not permitted.

The content and structure of the preliminary written examination
The written prelim is a take-home examination. Students will be presented with three questions: one question based on inquiry and methods; one question on a central issue in the field; and one question on an analysis of a scholarly article or book chapter. The questions, which will be prepared by the program faculty, will be designed to test a student’s ability to synthesize and integrate course content in to each response. Students are expected to present well-written, well-reasoned, critical, integrative discussions. Outlining one’s response to a question in advance of writing is highly recommended. Answers will be scored on quality, not length. References to academic and professional literature and key authors are expected.
Responses to the written preliminary examination should demonstrate:

1. clarity in framing issues, elucidating ideas and structuring arguments;
2. reasonable completeness regarding main points and themes;
3. coherent reasoning from assumptions to conclusions;
4. thoughtful use of evidence to support assertions; and
5. appropriate as well as correct use of English language.

**Grading of the Preliminary Exam**

Each of the responses will be read anonymously by two faculty readers designated by the Director/Coordinator of Graduate Studies. Each reader will independently evaluate each essay response to the questions and assign a score of “Pass” or “Fail”.

If the ratings of the two readers are different, a third program faculty member will be asked to evaluate the question or questions, serving as a tie breaker (this may result in a delay in returning the results to the student). A student must receive a pass from at least two readers to pass each question. A faculty member who assigns a “fail” must specify the key shortcomings of the question. Since the purpose of the exam is to determine if the student is ready to proceed in the program, feedback on the result is provided only to those who fail the exam. If an exam is assigned a “pass”, the student and advisor receive a letter indicating such and no reader feedback is provided.

The following are possible examination scores and outcomes:

1) Pass all three questions: Examination is a ‘pass’

2) Pass two questions, fail one question: Student is allowed one opportunity to rewrite the failed question

3) Pass a rewritten original question: Examination is a ‘pass’

3) Fail two or more questions on original exam or fail a rewritten question: Student is withdrawn from the doctoral program

There is no option for revising the examination a second time.

**Notification**

Notification of the outcome of the examination will be sent to students and their advisors as soon as the faculty exam readers have read the exam and the results have been determined. Since the grading of some exams will be finished before others due to individual faculty schedules and commitments, not all students will receive notifications at the same time. In addition, any re-readings that must be completed to break a tie will delay the notification of results to the student.

When the preliminary written exam has been passed, the advisor receives a copy of the Preliminary Written Examination Report Form (GS Form 17) at: [www.grad.umn.edu/Current_Students/forms/gs17.pdf](http://www.grad.umn.edu/Current_Students/forms/gs17.pdf). The result of the examination is reported on the Preliminary Written Examination Record and Completion Forms and signed by the student’s advisor and OLPD DGS. The result is then sent to the Graduate School. This must be done before the preliminary oral examination can be scheduled.
Oral Preliminary Examination

The oral preliminary examination is the juncture at which a student’s candidacy for the Ed.D. Degree is determined. The examination is conducted by the student’s four committee members, all of whom have examining status within the Graduate School. Three members are from within the Department of Organizational Leadership, Policy, and Development and one is from outside the Department. At least two weeks prior to the oral preliminary examination, the student must provide a copy of the problem statement, the matrix and review of relevant literature, and the design and proposed implementation of the study to the members of the examining committee.

Students will complete the oral preliminary examination in the late summer or early fall of the third year in the program. Requests for extension beyond the required date must be approved by the advisor and the director of graduate studies. Upon gaining advisor approval, it becomes the student’s responsibility to schedule the preliminary examination with the committee members on a suitable date, reserve a room through the department office, and notify the Graduate School of the date and time at least one week in advance of the examination. This is done by filing the Doctoral Preliminary Oral Examination Scheduling Form (GS Form 12) available at: www.grad.umn.edu/Current_Students/forms/gs12.pdf. Notification can also be completed via the Web or by calling the Graduate School (5-5833) to request that an oral preliminary examination form be sent to the committee chairperson.

The preliminary oral is a general knowledge examination, which is conducted in accordance with Graduate School policy. All committee members must be present at the preliminary oral examination. Substitutions can be made in the case of an emergency, but the Graduate School must be informed in advance of the examination. The absence of a member results in an invalid examination. In advance of the exam, the chair of the committee receives from the Graduate School the Preliminary Oral Examination Form. The Oral Exam Form must be signed and returned to the Graduate School within 24 hours of the examination.

The format of the exam includes the following process:

- 3—5 minute self introduction, sharing relevant professional background, experiences, and describing his/her interest in the thesis topic;
- 10—15 minute presentation of the study rationale and brief overview of the literature, emphasizing key findings, as well as gaps in the literature; and
  - 5—10 minute discussion of the thesis problem statement and research question(s) to guide the study.

During the preliminary oral examination, committee members may ask questions related to the field study topic or any area covered in the student’s academic program. After questioning, the student is excused and committee members independently vote by ballot to “pass,” “pass with reservations,” or “fail” the student’s examination. Members then engage in a discussion about the student’s examination and finally, vote a second time. To pass the examination, the student must receive at least three of four pass votes.

A “pass with reservations” qualifies as a “pass” for vote counting purposes, but the exam outcome is recorded as “pass with reservations.” This outcome requires the committee chairperson, in consultation with committee members, to compose a letter to the Graduate School indicating the specific nature of the reservations and the steps that must be taken for the reservations to be removed. The student receives a copy of the letter. The final
oral defense may not be scheduled or conducted until the Graduate School receives a letter indicating that the reservations have been removed.

After a successful oral examination, the student becomes a candidate for degree and may then register for thesis credits.

No later than the semester after passing the preliminary oral examination, the student must file the Thesis Proposal Form with the Graduate School.

**Thesis Proposal (Prospectus)**

After the student has passed the oral preliminary examination, the student must complete a formal thesis proposal (prospectus). The written prospectus for conducting applied thesis project research typically includes at least the following:

- statement of the problem;
- specific questions that will guide the inquiry;
- limitations and delimitations;
- study design with corresponding rationale;
- specific sampling, data collection, and data analysis procedures;
- instruments to be employed in the study; and
- proposed budget and timeline for conducting the thesis project.

The Ed.D. project is structured around central themes in contemporary educational administration and educational policy. Students are expected to choose applied research topics for their projects which fall into one of these larger themes. Once these topics are identified, advisor(s) and a committee will be selected who have expertise in that thematic area.

The following are examples of larger thematic areas. These are illustrative only; the actual themes will be determined by students and faculty:

- Educational Equity and Access
- Organizational Culture and Development
- Professional Development/Professional Learning
- Standards-based Reform/System Change
- Administrative Quality
- Accountability
- Policy Development and Evaluation
- Services Integration

A separate guidebook will be distributed in the summer of year two which details the structure and expectations for the Ed.D. thesis project.

Graduate faculty members have the responsibility to ensure that the proposed study meets high standards for the ethical and relevant conduct of research at the University of Minnesota. For this reason, students must present very specific procedures for the conduct of the proposed research. Approval will not be granted until the written prospectus and the student’s presentation indicate that the student is prepared to initiate application to the Institutional Review Board (IRB). Approval of the research prospectus indicates faculty support of the proposed research design and methodology. The three-part thesis proposal form from the Graduate School (GS 63) should then be completed and turned in to the OLPD Graduate Studies staff who will forward it to the Graduate School for approval.
The three-part thesis proposal form consists of the Transmittal (GS 63a) with recommended final committee members, Title of Ed.D. Thesis (GS 63b), and Thesis Abstract (GS 63c).

The prospectus approval process serves not only to ensure the integrity of research conducted through the University of Minnesota, but to safeguard students as well.

**Human Subjects Research Approval (IRB)**

Any research that involves the use of human subjects on or off campus must be approved in advance by the Human Subjects Committee prior to data collection. The University of Minnesota and federal policies require that each project involving human subjects be reviewed with respect to:

1. the rights and welfare of the individual(s) involved,
2. the appropriateness of the methods used to secure informed consent, and
3. the risks and potential benefits of the investigation.

Information and forms are available at [www.irb.umn.edu/applying/](http://www.irb.umn.edu/applying/) or the Institutional Review Board (IRB) Office. Questions concerning exemptions or other aspects of human subjects research review should be addressed to the IRB: Human Subjects Committee at (612) 626-5654 or fax (612) 626-6061. The web site provides detailed information about the process and the conditions for each of the possible levels of review. There are three form/level options: a “full committee review”, an “expedited review” and an “exempted review”. The “full review” requires a full review of the IRB and may take four to six weeks for review and notification of their decision. These forms are appropriate for research designs that may involve a potential threat to the human subjects and thus may involve more deliberation. The “expedited review” involves minimal risk to human subjects but has some risk elements. The “exempted review” applies to those research projects that involve some minimal risk and thus is exempt from further IRB review. Most research in the department qualifies for the exempted review. Exemption waives only the need for further review and does not negate the need for the consent of subjects where applicable. The exempted review requests an exemption from the full review of the board and takes about two weeks for a review and decision. The forms must be signed by student, advisor and department chair; no DGS signature is required (the line for DGS signature applies to faculty research only). If, however, the advisor and the department chair are the same person, the college dean must sign the form.

Research may not be initiated until written notification of exemption is received. This includes recruitment of subjects, advertising, mailing or distributing consent forms, and data gathering. Any requirements indicated in the response of the Human Subjects Committee must be addressed before commencement of the research project.

**Approval of Doctoral Thesis for Final Defense**

A complete final draft of the doctoral thesis must be submitted to and approved by the three readers prior to the final oral defense. The judgments of the readers are recorded on a Reviewers Report Form that the Graduate School includes in the student’s Graduation Packet. Two of the readers are from inside the department and the third reader is the outside committee member. Each reviewer is allowed at least two weeks to read the complete written doctoral thesis. Each reader makes an independent determination about the readiness of the doctoral thesis for final oral defense. In order to proceed to the final oral defense, all of the reviewers must indicate that the thesis is “acceptable for final defense” or “acceptable with minor revisions”. If any reviewer indicates that the thesis is “unacceptable for defense and requires major revisions”, the reviewer must inform the student in writing of the revisions required. Such revisions must be made prior to the final defense.

After obtaining approval of the thesis, the student can obtain from the Graduate School the Graduation Packet consisting of the Application for Degree Form, the Commencement Attendance Approval Form, the Reviewers Report Form, Microfilm Agreement, Survey of Earned Doctorates, copyright information, and degree clearance instructions. Note that most of these documents can be obtained online at [http://www.grad.umn.edu/current_students/forms/doctoral.html](http://www.grad.umn.edu/current_students/forms/doctoral.html).
Final Oral Examination: Defense of the Doctoral Thesis

Upon completion of the thesis, the student defends the thesis at a formal meeting of the thesis committee. This final oral examination is conducted in accordance with Graduate School policy. The committee consists minimally of four members: three members from the major field and one from a supporting program/minor (if a student has elected a minor, the minor advisor must be a reader and must be present at the final examination). A member other than the advisor must chair the final oral examination. All assigned committee members must be present at the final examination. The absence of any member results in an invalid examination. Substitutions can be made in the case of an emergency but the Graduate School must be informed in advance of the examination; only an advisor or the DGS staff can notify the Graduate School.

To be eligible for the final oral examination a student must have:

1. satisfactorily completed all work on the official doctoral degree program form;
2. passed both the written and oral preliminary examinations;
3. maintained active status (have registered each fall and spring); and
4. satisfied the thesis credit requirement.

The above requirements must be met within the time limit for degree completion (five years from the oral prelim). In addition, the thesis must have been certified by the three readers (two in the major and one outside the major) as ready for defense; the Reviewers’ Report Form must be filed in Graduate School at least one week before scheduled exam.

It is the student’s responsibility to schedule the final oral examination with the committee members on a suitable date, reserve a room through the department office, and schedule the exam with the Graduate School at least one week in advance of the examination using the Examination Schedule for Doctoral Final Oral. Scheduling can also be done via the Web or by phone (5-0168). The Graduate School will not release the Examination Form (GS19) to the committee chair until the student has scheduled the exam. It is also the student’s responsibility to provide all committee members with copies of the completed thesis in advance of the final oral examination; students should allow committee members a reasonable length of time to read the thesis, at least two weeks prior to the scheduled oral defense.

The examination is a thesis defense although questions and discussion may focus on related areas. Before commencing the examination, the chair will ask the student and any guests to leave the room for a few minutes to give the committee members an opportunity to clarify any issues or ask questions of the chair or advisor about procedures. The examination will not exceed three hours and consists of three parts:

1. a seminar open to the public in which the student presents the thesis research (check with advisor regarding length and format);
2. a closed meeting between the candidate and the examining committee during which committee members ask questions of the candidate that may include questions in related areas as well as the thesis; and
3. after excusing the candidate, a vote taken by the committee members on whether the candidate passed the examination.

Typically, the formal presentation of the thesis includes a summary of the research such as the study purpose, framework, data analysis, major findings, conclusions and implications for practice and/or educational policy. The presentation is typically 20—30 minutes and should be enhanced by handouts or overheads that outline the presentation and address key findings or conclusions. The presentation of a short curriculum vitae may also be appropriate. The presentation should be rehearsed to improve timing, organization, and ease in presentation.
The student presentation segment of the examination is public. After the presentation and a period of brief comments or questions from guests, visitors are excused. The faculty members then pose questions to the student pertaining to any aspect of the thesis. After questioning is complete, the student is excused and committee members independently vote once by ballot to “pass” or “fail” the student’s defense of the thesis. In order to “pass,” three of the committee members must vote “pass.” While the three readers must have read the thesis and signed the form indicating the thesis is acceptable for defense, the judgment made at the final oral relates to the acceptability of the defense of the thesis by the candidate.

If the judgment is that the examination was a “pass,” but minor revisions are needed in the thesis, the committee members sign the final oral defense form. If the written thesis is judged to require substantial revisions, signatures are withheld until appropriate revisions have been made. If the signatures are withheld, the Graduate School must be notified in writing within one week of the examination of the specific revisions required. The letter is constructed by the final oral chairperson in consultation with committee members. The student receives a copy of the letter. Upon approval of the final written thesis, committee members sign the form. Please refer to the University of Minnesota Graduate School Catalog for details about scheduling and reporting results of the final oral examination.

The departmental examination refreshment policy allows but limits the custom of providing refreshments at oral prelims, prospectus meetings and final oral defenses. The guidelines below are designed to focus the exam on the academic purpose rather than to serve as a distraction and put unwelcome financial pressures on some students. The department offers two guidelines for student provision of refreshments at these events:

- No refreshments are necessary or expected at oral prelims, prospectus meetings, oral defenses, etc. Coffee, tea, and water are typically available in the department office (Wulling 330).
- If students choose to provide refreshments, they should not exceed a beverage and one other item (e.g., cookies OR pastries OR any other similar item).

NOTE: The signed final exam Graduate School form must be submitted to the Graduate School within 24 hours of the examination (one working day). A copy is made for the student’s file and should be submitted to the OLPD DGS.

Thesis Submission

Ph.D. and Ed.D. students are required to submit their final dissertation to the Graduate School in order to receive their degree. Doctoral students currently have the option to submit their dissertations to the Graduate School electronically or in hard copy, although the Graduate School strongly encourages students to submit their dissertations electronically. To submit your dissertation electronically go to, http://www.etdadmin.com/umn. Students who prefer to submit a paper copy of their dissertation can follow the instructions found at, http://www.grad.umn.edu/current_students/degree_completion/doctoral/PaperDissertationSubmission.html.

Why Submit Electronically?

Students submitting electronically are not required to submit a paper copy of the dissertation to the Graduate School. The Graduate School strongly encourages students to use the electronic format for dissertation submission because of the advantages offered by the electronic dissertation submission process in terms of cost, convenience, options, and accessibility.

Cost:

Students save $20 when they use the electronic dissertation submission process, in addition to saving costs associated with paper, printing, and copying hard copies of the dissertation.

Convenience:

Students who have used the electronic dissertation submission process have reported that the system was easy to use. Dissertations can be quickly converted using the provided PDF converter and easily uploaded. Students can
submit their dissertations from anywhere in the world with internet access, eliminating the need to arrange for delivery of the dissertation to the Graduate School.

**Options:**
The electronic dissertation submission process provides students with the opportunity to include multi-media formats such as music files, video files, etc. with their dissertations.

**Accessibility:**
Electronically submitted dissertations will be available for distribution as an electronic version, which results in reproductions of higher quality than those produced from microfilmed versions of hard copies. One study has shown that electronically submitted dissertations are cited 2-5 more times, and accessed 145,000% more frequently, than those submitted in hard copy.

**Scholarly Written Products**
The department has high expectations for doctoral scholarly written work. Student writing should reflect an appropriate level of basic composition skills, accepted professional writing style, and appropriate attribution. It is important to note that the standards for scholarly writing are determined by the discipline as well as the cultural context. At the University of Minnesota, you will be expected to follow the standards and conventions of scholarly writing that prevail in the U.S.

**Quality of Writing**
A professional level of writing skill is expected for graduate students. While the program offers courses to assist students to reach an appropriate level of research understanding and skills, students are responsible for attaining an appropriate level of writing skill.

To assist in this development, students can take advantage of various courses, services, and manuals. If appropriate, students should use a college-level writing handbook for reference when completing written assignments. No specific grammar and composition handbook is recommended, but several satisfactory versions are available in the University bookstores. For information about the wide variety of writing resources available to University of Minnesota students, see Chapter 5, Student Services and Resources.

**Manuscript Writing Style**
Students should use the manuscript style of the American Psychological Association (APA) in their writing. Learning and using the APA style early assists students in reading the professional literature and preparing their final doctoral thesis. Students should note the guidelines in the APA Manual for general guidance about writing as well as for citation of sources including electronic references. APA assistance can also be obtained in an interactive, electronic resource; information is available at [www.apastyle.org](http://www.apastyle.org).

**Academic Dishonesty/Plagiarism**
As noted in the Web sites below, a major purpose of graduate education at the University of Minnesota is to instill in each student an understanding of, and capacity for, scholarship, independent judgment, academic rigor, and intellectual honesty. To maintain the highest ethical standards of professional conduct and integrity, the university has articulated the complementary responsibilities of faculty and graduate students in support of intellectual honesty.

Scholastic dishonesty includes:
- plagiarizing;
- cheating on assignments or examinations;
- engaging in unauthorized collaboration on academic work;
• taking, acquiring, or using test materials without faculty permission;
• submitting false or incomplete records of academic achievement;
• acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement;
• altering, forging, or misusing a University academic record; and
• fabricating or falsifying of data, research procedures, or data analysis.

Students must be aware of the potential consequences of plagiarism. Any work taken from another source must be documented. In no case should another person’s work be presented as one’s own. The use of exact words of others, and previous research clearly requires citation; citing another’s ideas through paraphrasing or restating someone’s else’s analysis or conclusions may be less obvious but is considered plagiarism if presented without attribution. Inadequate citations constitute plagiarism and can result in failing a course and possible dismissal from the University. If in doubt, students should check the APA Manual or consult with their professor or advisor.

Web sites of relevant information including university policies and procedures are below.

Regents’ code for student conduct
http://www1.umn.edu/regents/policies/academic/StudentConductCode.pdf
Office for student academic integrity
www.osai.umn.edu
Code of Conduct, Mutual Responsibilities in Graduate Education, and Other Resources:
www.research.umn.edu/ethics/
Academic Misconduct
http://www1.umn.edu/regents/policies/humanresources/Academic_Misconduct.html

Time Limits for the Completion of Doctoral Degree

All requirements for the doctoral degree must be completed within five years from the end of the semester following the semester in which the student passes the preliminary oral examination. If the student is unable to complete the degree by the deadline, he or she may petition the Graduate School for an extension of the time limit. Petitions should be filed early in the semester in which the time limit will expire. The petition must be completed by the student and signed by both the advisor and the DGS. For full details, see the Graduate School Catalog and information from the Graduate School. Guidelines can be found at: www.grad.umn.edu/Current_Students/forms/doctoral.html.

Graduation and Commencement

“Graduation” is often confused with “commencement”; they are different and have different deadlines and procedures. While the Graduate School degrees are awarded monthly, commencement is held only twice a year, December and May. Please note, however, that the Graduate School is currently considering a change to a single ceremony in spring only.

Commencement

The Graduate School commencement ceremonies are held in the late spring and late fall only. January through June graduates usually attend the spring ceremony, July through December graduates usually attend the fall ceremony. If you wish to participate in commencement, the Commencement Attendance Approval Form (sent to student from GS in Graduation Packet) must be turned in and approved about two months before the
commencement ceremony (about April 1/October 1; check dates in University Class Schedule at: www.onestop.umn.edu/onestop/graduating.html.

The Commencement Attendance Approval Form must be signed by advisor and the DGS. The advisor’s signature indicates that the thesis draft has been completed and that student is ready for (but may or may not have taken) the final oral examination.

Attending the ceremony does not imply that you have officially graduated. A Commencement Handbook, containing information on academic costume, rehearsal, parking, etc., should be obtained from University Relations, 6 Morrill Hall or from the Information Booth in the campus bookstore in Coffman Union. Information is also available on the Web at www1.umn.edu/twincities/commencement.

In celebration of the accomplishments of our students, the Department of Organizational Leadership, Policy, and Development holds a reception a few hours before the commencement for our new graduates and their families and friends. E-mail invitations with details of the reception will be sent to the students participating in commencement and to their advisors.

**Graduation/Award of Degree**

Graduate School degrees are awarded monthly. Graduate School students obtain the Application for Degree form and detailed graduation instructions from 316 Johnston Hall or online at: www.grad.umn.edu/current_students/forms/grad_packet/.

All Graduate School requirements must be completed by the last working day of the intended month of graduation. To graduate at the end of any given month students must:

- Submit their Graduate School Application for Degree form to the Student Service Center in 200 Fraser on or before the first workday of the month.
- Complete all other requirements by the last workday of the month.

Graduating before the end of the term may affect eligibility for student loans, housing, etc. Check with the appropriate office if you have questions on eligibility. The diploma will be mailed three to four months after graduation.

The department requests that new graduates complete the New Graduate Survey form found on the Department Web site under “Student Resources”. Feedback from our new graduates helps us to improve the program, so we greatly appreciate your input.
## Chapter 4 Planning Documents

### Ed.D. Requirement Checklist

<table>
<thead>
<tr>
<th>Requirement of:</th>
<th>Requirement</th>
<th>Suggested Timeframe:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate School</td>
<td>Contact assigned advisor and gain approval for registration.</td>
<td></td>
</tr>
<tr>
<td>Graduate School</td>
<td>Register for term admitted.</td>
<td>(date admitted)</td>
</tr>
<tr>
<td>Department: Advisor</td>
<td>Develop program with advisor (use planning guide)</td>
<td>(first semester)</td>
</tr>
<tr>
<td>Department and Graduate School</td>
<td>FORM: File degree program (One semester prior to Preliminary Oral Examination) GS Form 89</td>
<td>Fall 2010</td>
</tr>
<tr>
<td>Department</td>
<td>EXAM: Take Written Preliminary Examination</td>
<td>Spring 2011</td>
</tr>
<tr>
<td>Department</td>
<td>Submit Field Project Proposal to all examiners at least two weeks before Oral Preliminary Examination</td>
<td>2 weeks before Oral Prelim</td>
</tr>
<tr>
<td>Graduate School</td>
<td>FORM: Verify advisor has filed the Preliminary Written Examination Report Form: GS Form 17 (after completion of exam, at least one week prior to the Oral Preliminary Examination).</td>
<td>At least 1 week before Oral Prelim</td>
</tr>
<tr>
<td>Graduate School</td>
<td>Schedule Oral Preliminary Examination at least one week before exam (must be at least one academic semester prior to Final Oral Defense).</td>
<td>At least 1 week before Oral Prelim</td>
</tr>
<tr>
<td>Graduate School</td>
<td>EXAM: Take Oral Preliminary Examination</td>
<td>Fall 2011</td>
</tr>
<tr>
<td>Graduate School</td>
<td>FORM: Submit signed Oral Preliminary Examination Report (GS Form 18) form within one working day of completion of the Preliminary Oral Examination.</td>
<td>1 day after Oral Prelim</td>
</tr>
<tr>
<td>Department</td>
<td>MEETING: The prospectus meeting may be held with the Oral Preliminary Examination with advisor approval, but is most often after the Oral Preliminary Examination.</td>
<td>Prospectus after Oral Prelim</td>
</tr>
<tr>
<td>Graduate School</td>
<td>FORM: Submit 3-part Thesis Proposal Form for approval.</td>
<td>After prospectus meeting</td>
</tr>
<tr>
<td>Institutional Review Board (IRB)</td>
<td>FORM: If applicable, file the Human Subjects Form</td>
<td>Prior to research</td>
</tr>
<tr>
<td>Graduate School</td>
<td>FORM: File Application for Degree in 150 Williamson Hall by the first working day of the month of intended graduation</td>
<td>After research</td>
</tr>
<tr>
<td>Department</td>
<td>Submit thesis to readers, allow at least two weeks.</td>
<td>At least 2 weeks before Final Oral</td>
</tr>
<tr>
<td>Graduate School</td>
<td>2 FORMS: Submit signed Thesis Reviewer’s Report form (GS Form 2); schedule Final Oral Defense (at least one week prior to the examination) and submit Scheduling Form (GS Form 12a)</td>
<td>At least 1 week before Final Oral</td>
</tr>
<tr>
<td>Graduate School</td>
<td>FORM: Commencement Attendance Approval Form (GS 54) by deadline published in the University Class Schedule.</td>
<td>2 months before graduation</td>
</tr>
<tr>
<td>Department</td>
<td>Submit revised thesis to entire committee at least two weeks before exam.</td>
<td>At least 2 weeks before Final Oral</td>
</tr>
<tr>
<td>Department and Graduate School</td>
<td>Take Final Oral Examination. (Defend doctoral thesis).</td>
<td></td>
</tr>
<tr>
<td>Graduate School</td>
<td>FORM: Return signed Final Oral Examination Report (GS Form 19) within one working day of completion of the Final Oral Defense.</td>
<td></td>
</tr>
<tr>
<td>Graduate School</td>
<td>FORMS: Submit one copy of thesis abstract and one copy of thesis (signed by advisor), electronically or paper copy, plus Microfilm Agreement Form and the Survey of Earned Doctorates by the last working day of the month of intended graduation.</td>
<td></td>
</tr>
</tbody>
</table>
Graduate School Forms and Deadlines

Graduate School Forms
www.grad.umn.edu/current_students/forms/doctoral.html.

OLPD Department Forms
education.umn.edu/OLPD/StudentResources/.

The Graduate School (GS) program procedures include submission of the following forms. Unless otherwise noted, the forms are available on the Web as noted, or in the hallway on third floor of Johnston Hall.

GS Form 89a and b - Degree Program and Degree Program Transmittal Form
This form is available online at www.grad.umn.edu/Current_Students/forms/gs89a.pdf. Click “Degree Program Form” under “Current Students”.
Due: Forms usually filed after the first year of program for full-time students (must be filed before taking program preliminary written exam and at least one semester before Preliminary Oral Exam). Final approval takes approximately 6 weeks.
- On transmittal form, identify the advisor, two additional faculty in the major, and one faculty outside the major; if program includes a minor, the minor advisor must also be listed (all must have agreed to serve on the committee) (all must have agreed to serve on the committee). This must be signed by the DGS.
- On degree program form, list chronologically all courses in program (including those from previous graduate work applied to this program). See other tips for completing the program form in Chapter 3. This must be signed by the advisor, minor advisor (if applicable), and DGS.

GS Form 17 - Preliminary Written Examination Report for Doctoral Degree
This form is available online at www.grad.umn.edu/current_students/forms/doctoral.html Click “Preliminary Written Examination Report (Doctoral Degree)” under “Forms for Current Students.”
Due: Filed at least one week before Preliminary Oral Exam (check with graduate school to verify status)
- Signed by advisor and forwarded to DGS for signature after advisor receives notice that written prelim exam has been passed.
- Check with advisor to make sure the form has been submitted to the graduate school.

GS Form 12 - Doctoral Preliminary Oral Examination Scheduling Form
This form is available online at www.grad.umn.edu/current_students/forms/doctoral.html Click “Doctoral Preliminary Oral Examination Scheduling” under “Forms for Current Students.”
Due: Form must be filed at least one week in advance of exam (note three conditions that must be met before eligible to take exam: program and GS Form 17 on file in Graduate School, and currently Active, i.e., registered within last 12 mo.)
- Verify eligibility, i.e., have an active student status and forms GS 17 and GS 89 above are on file.
- Once filed, the GS will send chair the preliminary oral exam form.

GS Form 18 - Preliminary Oral Examination Form
Due: Must be filed within 24 hours of examination.
- Sent by GS to the advisor serving as Chair of examining committee AFTER student has scheduled exam
- Signed by all committee members after completion of oral examination
- Deliver form to Graduate School

Thesis Panel Review Sheet
The form is available on the department Web site under “Forms” in “Student Resources” at: http://education.umn.edu/OLPD/StudentResources/default.html
Due: Filed with department Graduate Studies Office after prospectus meeting
- Obtained from department Web site

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• Student brings to the prospectus meeting. At the prospectus meeting, the student and faculty panel come to an understanding of what the student proposes to do for the applied thesis research project. Student and faculty panel sign.
• Filed with the GS office (student should make copy if any suggestions for change are made).

**Human Subjects Committee Form, if needed**
This form is available online at [www.irb.umn.edu/applying/](http://www.irb.umn.edu/applying/).
Due: Before initiating research, including solicitation for participation
• MUST be submitted to and approved by the Human Subjects Review Board PRIOR to initiating research.
• Signed by student, advisor and department chair; no DGS signature is required (the line for DGS signature applies to faculty research only.)

**GS Form 63a, b and c - Thesis Proposal Transmittal Form**
Pick up packet in Johnston 316 or request via the Web at:
[www.grad.umn.edu/current_students/forms/doctoral.html](http://www.grad.umn.edu/current_students/forms/doctoral.html).
Click “Thesis Proposal Form” under “Forms for Current Students.” Final approval of proposal takes approximately 6 weeks.
Due: Submit to DGS for signature the semester after passing the Preliminary Oral Examination
• Form 63a: Includes names of at least four faculty for final oral examination (three in major, one outside; must include a minor advisor, if applicable); three are identified as readers (must include advisor, one additional faculty member in major, and one outside the major (a minor advisor must serve as a reader); one is identified as chairperson of exam (chair cannot be advisor)
• After receiving approval of GS Forms 63a, b, and c, obtain the Graduation Packet (Thesis Reviews Report Form, Application for Degree Form, Commencement Attendance Approval Form, Microfilm Agreement, Survey of Earned Doctorates, and other graduation instructions)

**Graduation Packet**
[www.grad.umn.edu/current_students/forms/grad_packet/](http://www.grad.umn.edu/current_students/forms/grad_packet/)
This packet should be ordered or picked up after receiving approval of GS Forms 63a, b and c.
Contents:
1. Reviewers Report Form (not available on the Web)
2. Application for Degree Form (not available on the Web)
3. Commencement Attendance Approval Form
4. Examination Schedule for Doctoral Final Oral

**GS Form 2 - Reviewers Report Form for Ed.D. Thesis**
This form is not available on the Web and can be obtained only from the Graduate School in the Grad Packet. Students circulate the form to readers with doctoral thesis before scheduling final exam with Graduate School.
Due: Submit to Graduate School at least one week prior to the exam; same time as form below.
• Provided to student by GS in Graduation Packet once Thesis Proposal has been approved
• Student should submit this form to the designated three thesis readers along with the complete thesis draft (indicate to readers that form is being circulated for their signatures).
• Signed by the three readers/reviewers indicating thesis is ready for final oral defense, then sent to the Graduate School (defense cannot be held until all readers sign indicating ready for defense with or without minor changes).
• Allow at least two weeks for readers and committee members to read thesis draft.

**OTR Form 180 - Application for Degree Form**
This form is not available on line.
Due: After approval of Thesis Proposal and by first day of month of graduation
• Provided to student by GS in Graduation Packet once Thesis Proposal has been approved
• Signed by advisor only if thesis draft is ready for defense
• Submitted to OTR (Office of Registrar) by first working day of intended month of graduation

**GS 54 - Commencement Attendance Approval Form**
This form is also available online at:
www.grad.umn.edu/current_students/forms/doctoral.html
Click “Commencement Attendance Approval Form” under “Forms for Current Students.”
Due: Deadline is about two months before commencement ceremony and is published in Class Schedule.
• Provided to student by GS in Graduation Packet once Thesis Proposal has been approved
• Signed by advisor and DGS indicating student has met department’s requirements for commencement attendance (i.e., thesis draft is completed and student is ready for but may or may not have taken the final oral examination)
• Submit to GS

**GS Form 12A - Examination Schedule for Doctoral Final Oral**
This form is also available online at:
www.grad.umn.edu/current_students/forms/doctoral.html
Click “Doctoral Final Oral Examination Scheduling” under “Degree Progress.”
Due: Filed at least one week before exam
• Available to student from GS in Graduation Packet once Thesis Proposal has been approved
• Completed by student after GS Form 2 has been signed by readers and sent to GS

**GS Form 19 - Final Oral Examination Form**
Due: File by last working day of month in which student would like to graduate.
• Sent to chair of final oral (not advisor) by GS before the exam
• Signed by all final oral examination committee members after a single vote
• Returned to GS within 24 hours of examination

**Microfilm Agreement Form**
Due: Submitted with fee by the last working day of the intended month of graduation
• Provided to student by GS in Graduate Packet
• Submitted with the Survey of Earned Doctorates (sent in Graduate Packet with return optional), and one copy of the thesis abstract (limited to 350 words) and one copy of the thesis (all signed by the advisor).

**Doctoral Thesis/Project**
Due: Submit to GS after revision recommendations have been made.
• Guidelines provided to student by GS in Graduation Packet once has been submitted
• Guidelines contain specifications for one abstract and one unbound copy of the thesis to be submitted to Graduate School.
• Guidelines may change from year to year; current version of GS #16 should be obtained.

**Special Purpose Forms**

**Petition**
www.grad.umn.edu/current_students/forms/doctoral.html
Click “Graduate School Petition Form” under “Forms for Current Students.”
This form is to request changes on an approved program or extension of time to complete degree; see details in section on Degree Program.

**Change of Status/Readmission Form**
www.grad.umn.edu/current_students/forms/
Click “Change of Status / Readmission Form” under “Forms for Current Students.”
This form is for readmission to the Graduate School (if you have not maintained active status) or change of major/degree objective (if you wish to change majors or are applying for a different degree, e.g., have completed a M.A. and now are applying for a Ed.D.). The Graduate School requires students to register each fall and spring to remain active. If students become “inactive”, they will automatically be withdrawn from the Graduate School and must reapply for admission to the department and the Graduate School. If applying for readmission, the department readmission form requires the advisor signature and a detailed timeline for completion of components left in program, e.g., course work, preliminary exams, prospectus, final defense, etc. See department web site at: http://education.umn.edu/OLPD/ under Student Services for a copy of the form and directions for completion.

Student Name Change Request
The form is not available on the Web but can be requested from the Registrar’s Office.
Use this form to change your official name on your student record

Course Time Conflict Approval
www.onestop.umn.edu/onestop/Forms/accessible/course_time.html
If you and your advisor agree that you should take two courses that have a time conflict (or that is judged by the registration computer program to have a time conflict), an approval form can be submitted to over-ride the computer registration problem. However, approval of both instructors is needed.

Full-time Status with a One-Credit Registration
www.grad.umn.edu/Current_Students/registration/FTE_procedures.html
Advanced doctoral students who qualify can apply for full-time status and register for one-credit (OLPD 8444) to certify “full-time” status, a condition for loan deferment, eligibility for assistantships, and registration for some fellowships. See Web site above for eligibility for this “full-time” status. Deadlines are early the previous semester.
Chapter 5 Student Services and Resources

The University of Minnesota Graduate Student Handbook contains detailed information about various opportunities and resources available to assist graduate students during their career at the University. The Graduate Student Handbook is available on the Web at www.grad.umn.edu/Current_Students/handbook/. General contents are listed below. It includes information about resources around the Twin Cities as well as useful information for students at the University of Minnesota.

Identification Card

The University of Minnesota student identification card, the U Card, will be needed for general privileges and access, e.g., use of libraries. Students need to obtain their photo identification U Card from the University Card Office, G22 Coffman Memorial Union, 300 Washington Avenue SE, 612-626-9900. Information about U-Card is at http://www1.umn.edu/ucard/. Students will need to bring photo identification such as a driver’s license or passport. No charges are made for the initial card; if lost, students will be subject to a replacement charge.

Library

Many of the resources needed by OLPD graduate students are located in Wilson Library on the West Bank. Among the collections are those for Education, Psychology, Children’s Literature Research Collection, Education/Psychology Reference, and University Archives (includes non-circulating dissertations). The Wilson Library circulation desk can be reached at 612-624-3321. The web address is www.lib.umn.edu.

Wilson Library also contains additional resources including government documents, a circulating collection of dissertations on open shelves on the second floor, and information about dissertations in a document in the Reference Room on the first floor (LD3337.A5). Dissertation Abstracts International, available in Wilson Library, can also be accessed through the LUMINA Index or a CD-Rom in Wilson. The circulation desk can be reached at 624-3321; the reference desk at 626-2227. Remote access/direct dial to LUMINA is (612) 625-6009 (up to 2400 baud); (612) 624-7539 (9600 baud); 1-800-U-LUMINA.

University Libraries have added a new service, Mobile Librarian, specifically for the College of Education and Human Development. The Mobile Librarian for Education can be accessed at www.education.umn.edu/library. Students can either schedule a personal appointment at their location or use “Ask Us” to get a quick answer to a question using e-mail or chat tools. Workshops are also offered for the development of search strategies and exploration of library resources.

Below are several new electronic tools available through the library. PLEASE take some time to explore each. OLPD students have very positive reports of these tools.

1. “Find It”: Get into the library Web site and you will find the button "Find It" - it is also available at the site www.lib.umn.edu/help/finditfaq.phtml. This is an extremely helpful new tool when doing document and resource searches.

2. RefWorks: A personal bibliographic management software that is online and free to students and faculty, RefWorks is at www.lib.umn.edu/refworks. It is similar to EndNote, but the data is stored online and not on your computer. You must register through the library Web site to use it the first time.

3. Assignment Calculator: www.lib.umn.edu/help/calculator. This tool generates steps and tips for writing a paper.

Tuition Rates/Fees

Updated graduate tuition rates and fees are posted in the Class Schedule on http://onestop.umn.edu for each semester. Minnesota residents will pay lower tuition rates than non-residents. To qualify for resident status, students must reside in Minnesota for at least one year prior to the first day of class attendance. Reciprocity rules vary by neighboring states. See specific information at: www.onestop.umn.edu/onstop/Tuition_Billing/Tuition_Rates/Reciprocity_tuition_and_fee_rates.html or contact the Resident Classification and Reciprocity Office located in 240 Williamson Hall (625-6330; admissions@tc.umn.edu).

Computer Services

Students are automatically assigned a university e-mail and internet access account when admitted. To initiate your Internet account, go online to www.umn.edu/initiate. Questions or problems can be directed to the Technology Helpline by email at help@umn.edu or by phone at 612-626-4275. Examples of computers that can be purchased and sale of a $6 Internet kit (cash or check) with Netscape, Acrobat Reader and other software are available in Shepherd Lab, Room 152 (612-626-7676; www.umn.edu/adcs). Tutorials are available in Shepherd Lab, Room 190. Similar services are available in 50 HHH, 50 Coffey Hall or Williamson Bookstore, Computer Counter. Public computer labs are located in several campus buildings: Eddy Hall Annex, Walter Library, Folwell Hall and Elliott Hall on the east bank; and Blegen Hall and HHH Center on the west bank. For information about these facilities, check the web site: http://www2.publabs.umn.edu.

Students are assigned a university e-mail and internet access account when admitted. To initiate your Internet account, go online to: www.umn.edu/initiate.

Writing Support for Graduate Students

If writing is a skill needing improvement, students are encouraged to take advantage of the resources listed below.

Workshops, Consultation, and Counseling

The Learning and Academic Skills Center (LASC) in 109 Eddy Hall offers students individual assistance and general workshops in several areas including the improvement of writing. Part of the University Counseling and Consulting Services, LASC offers a wide variety of support services. These services include dissertation and thesis support groups; graduate student seminars on topics such as time management, communicating with advisors, and overcoming procrastination; and individual academic and personal counseling on such subjects as coping with graduate school stress, making the academic and personal transition to graduate school, and developing graduate level study skills. Check the Web for more details at www.uccs.umn.edu/index.html or call 612-624-3323. After students have completed a registration form in 109 Eddy Hall, they can sign up for an appointment to receive services.

Online Tutoring

Free writing tutoring is available for graduate students at Online Writing Center at: http://writing.umn.edu/sws/appointments_online.htm. Students submit electronic copies of their writing via the web site (no more than 12 pages) and receive comments and feedback from experienced writing instructors within 72 hours. The tutors do NOT proofread. Comments are focused on substantive issues with the intent to improve writing skills, not just the particular paper at hand. See the web site for more information.
Proofing and Editing
The Department of English maintains a listserv of their graduate students and alumni who do proofing and editing as independent contractors. E-mail Karen Frederickson at frede005@umn.edu (phone: 612-625-3882) with a description of the editing job and your contact information. Your posting will be sent via the listserv; anyone interested in applying for your job will contact you directly. Note that this is essentially an informal job posting service.

University Workshops
Each fall as part of the new student orientation, the university provides writing workshops - one is designed for native speakers of English and the second for non-native English speakers. Occasionally the workshops are repeated during the academic year. Information can be obtained at www.ofyp.umn.edu or www.grad.umn.edu/outreach/COSP/index.html.

EngC 5051: Graduate Writing
EngC 5051 is a course available to international students, and designed to provide assistance with the types of writing and presentations expected in graduate level programs. While the course will not count towards a graduate program, international students in OLPD have found it very helpful in developing their writing skills their first semester of course work. The contacts for this ESL Program class are esl@umn.edu; 323 Nolte Center; 624-3331.

Statistics/Research Resources
Statistics Assistance
The Statistical Consulting Service provides statistical consulting on experimental design, data analysis and interpretation of results to researchers (students and faculty) at the University of Minnesota. The clinic is staffed by graduate students and supervised by faculty from the School of Statistics. The consultants provide help on a wide range of quantitative research questions, e.g., design of experiments and surveys, selection and completion of appropriate analysis, and interpretation of results. The clinic operates on the Minneapolis campus (390 Ford Hall, 624-7859) and the St. Paul campus (146 ClaOff, 625-3121). While appointments are advisable, walk-in clients are accepted if time is available. Information about the service can be found in the next section (“Links”).

EDPA Statistics Software and Computers
Two machines in Wulling 310 are available for student research, but ONLY student research. Both machines have the full Microsoft Office suite, including Word, Excel, Access, PowerPoint, etc. They also run SPSS v17 and one station also has Nvivo 8. These systems can be logged through the UMN AD account by using your UM x500 name and password. However, first time users will need to contact the Department technical coordinator to go through the process of initializing their account.

Both machines have DVD/CD-RW drives and students should be sure to back up any information. Once logged off, any data residing on these machines is at risk and may be gone upon your return. NOTE: These machines can be used only for research – not for writing papers, using e-mail, or web surfing. Use is also limited to EdPA students; other students are not allowed to use these resources. If there are any problems, please contact the technical coordinator in 330 Wulling Hall.

Dictator/Transcriber Machines for OLPD Student Use
The department has two dictator/transcribers for student research use. One uses a standard cassette and the other a micro cassette. Both can record from a telephone. They can be checked out for student research use. See the online check-out system for equipment under “Student Resources” on the department web site.
Online Survey Access
The College of Education and Human Development has created an online survey tool, which will allow students and faculty to create surveys and questionnaires for research purposes. For more information, contact the OLPD Instructional Technology Fellow at OLPDitf@umn.edu.

Campus Events
Information about current campus events can be obtained at http://events.tc.umn.edu/.

Educational Policy and Administration Student Association (EPASA)
The Educational Policy and Administration Student Association (EPASA) supports students in the program through a variety of activities: communications, mentoring program, seminars, and social gatherings. The EPASA Student Newsletter and the bulletin board on 4th floor informs students of EPASA events as well as other items of interest such as availability of assistantships, policy changes, seminars, conferences, etc. Participation in planning and facilitating the activities, particularly in identifying the seminar topics, is encouraged. If interested, please complete and return the interest survey mailed in the summer (to new students) or available on the EPASA Bulletin Board.

EPASA sponsors the “Nook,” a kitchenette on the 4th floor of Wulling Hall behind the staircase that is used as an area for graduate students to socialize, etc. As the name implies, it is small but does provide a place for students to eat together and talk informally. Students are responsible for the housekeeping tasks for the Nook (cleaning sink, table, and micro-wave after use). All perishable food and their containers are discarded on Fridays.

The EPASA organization has its own website www.tc.umn.edu/~epasa. The site provides information about the background of the organization, events, resources, links and a listserv dialog with other OLPD students.

Communications

Email
The University of Minnesota email accounts can be accessed online through http://www.mail.umn.edu. To initiate or make changes to your University login account for email and other university services that require a login, go to http://www.umn.edu/login.

Department Listserv
All Ph.D., Ed.D. and M.A. graduate students are on a department listserv that is used to facilitate communication with OLPD graduate students. The listserv is used by the DGS staff for the OLPD Student Newsletter, which provides degree and curricular updates, position openings, and special events.

College Listserv
As part of the college's ongoing effort to improve communication with students, the college will send periodic event/lecture announcements, legislative updates, new course postings, and general college news to those students who would like to receive this information. Students have the option of removing themselves from the email list each time they receive an e-mail.

Graduate School Listserv
As noted earlier in the handbooks, the University uses a listserv of all enrolled graduate students using the university assigned e-mail. The communications sent to students through this university e-mail account is the University’s official means of communication with all students. Students are responsible for all information sent to them via the University assigned e-mail account. If a student has a private or other e-mail account, the University account mail can be forwarded to that account. However, students are still responsible for all information including attachments sent to their University e-mail account. If other accounts are changed and the University e-
mail account has been forwarded, the student is responsible for making the changes to forward the University account to any new account.

**Student Association (EPASA) Listserv**
EPASA has initiated a Listserv to distribute EPASA news to its students. All OLPD students are encouraged to join the listserv. You may subscribe to the list by completing the following steps:

1. Subscribe by sending an email to: listserv@lists.umn.edu;
2. Leave the subject line BLANK;
3. In the BODY of the message, type "subscribe epasa-list [FILL IN YOUR NAME]" followed by your name. (Example: "subscribe epasa-list Wilma Flintstone"), but be sure to send the message from the email that you want to be on the listserv.

**Change of Address**
When students change their mailing address, they must make the changes directly on the web page [http://onestop.umn.edu](http://onestop.umn.edu). Department personnel cannot access the Web to make these changes. This is also where you can choose what information you wish to appear online through the University of Minnesota directory.

**Services for International Students and Under-represented Students**

**International Students**
The staff at the International Student and Scholar Services office provide information and counseling to foreign nationals about academic, immigration, legal, career, financial, personal, and family matters, as well as issues of cross cultural and professional integration upon returning home. The office maintains a web site with information specifically for international students at [www.isss.umn.edu](http://www.isss.umn.edu). Staff can be reached through e-mail at isss@umn.edu or at 626-7100. The office is located at 190 Hubert H. Humphrey Center, 301 19th Ave. S. with hours from 8 a.m. – 12 noon and 1 – 4:15 p.m. on Monday through Thursday, 10:30 a.m. – 12 noon and 1 – 4:15 p.m. on Friday. International students who cannot register for a full course of study as defined by their visa status must complete an exception form that is available at ISSS and at [www.isss.umn.edu](http://www.isss.umn.edu) and select “Services”, then “Student on F-1 Visa”.

**Under-represented Students**
The Community of Scholars Program (303 Johnston Hall) assists underrepresented students to create an institutional environment requisite to effectively reduce the isolation often experienced by graduate students. For more information, contact this program via telephone at 612-626-4546, e-mail at comschol@umn.edu, or on the Web at [www.grad.umn.edu/outreach/cosp](http://www.grad.umn.edu/outreach/cosp).

**Services for Students with Special Needs**
The University provides a large number of services for students with special needs. The Office of Disability Services (DS) is a catalyst for ensuring equal learning and working opportunities for disabled students, faculty, staff, and guests by increasing the capacity of communities to eliminate physical, programmatic, policy, informational, and attitudinal barriers. DS also seeks to develop, evaluates, and disseminate innovative models and exemplary practices that promote disability leadership, community, culture, and pride. The office is located at 200 Oak Street (corner of University and Oak Streets) with the entrance on the north side of University St. Complete information is available at [http://ds.umn.edu](http://ds.umn.edu). See also the previous section on writing resources.

**Student Rights and Equal Opportunity**
Three websites for reference:

- Board of Regents, Student Conduct Code, revised in 2006
- Board of Regents, Academic freedom and Responsibility, adopted 9/8/95
The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation. Inquiries about compliance may be directed to the Office of Equal Opportunity and Affirmative Action, 419 Morrill Hall (624-9547).

The Graduate School Handbook www.grad.umn.edu(Current_Students/handbook/) contains contact information for issues of sexual harassment, and employment and other grievances. The College Grievance Review Officer may refer some cases to the department Grievance Committee after informal means of communication and resolution were fully tried but unsuccessful. Formal written accounts are submitted to the College Grievance Review Officer; information about the procedure can be obtained at Student and Professional Services.

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation. Inquiries about compliance may be directed to the Office of Equal Opportunity and Affirmative Action, www.eoaffact.umn.edu, 419 Morrill Hall (624-9547).

Web Resources

Below are some resources for various professional activities of graduate students.

The following webpage contains a number of informational links to locations in the department, the college, the Graduate School, and the university:

http://www.cehd.umn.edu/students/Graduate/resources.html

Requesting Transcript
http://onestop.umn.edu/onestop/grades.html

Writing Prospectus
A source that is not officially advocated by the department, but has been reported by some students as providing useful information in its free newsletters about writing and finishing doctoral theses can be found at www.ecoach.com.

Other sources in support of writing the prospectus or thesis suggested by students and or individual faculty follow.

UMAA Alumni Association
The alumni association site contains information about activities at the university level - www.alumni.umn.edu and at the college level education.umn.edu/alum. The college requests alums to update their contact and career information on the college site.

Searching for academic positions
- The Chronicle of Higher Education Career Network
  This site contains several years of the Chronicle Career Network articles with a search function for resources on interviews, search committees, conferences, cover letters, curriculum vitae, and negotiation.
  http://chronicle.com/jobs/
- Higher Education Jobs
  http://www.higheredjobs.com
- UT GSLIS (Graduate School of Library and Information Science)
  http://www.academic360.com

Research and professional ethics
http://www.grad.umn.edu/ethics/
# Chapter 6 Department Personnel

Programs in the Department of Organizational Leadership, Policy, and Development are delivered by highly qualified graduate faculty with diverse areas of expertise. Individual web pages with information about the academic background and areas of scholarly work of the core graduate faculty can be found at: [http://cehd.umn.edu/OLPD/people/faculty.htm](http://cehd.umn.edu/OLPD/people/faculty.htm).

## OLPD Faculty and Graduate Academic Staff (with Graduate School examining status)

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<tr>
<th>FACULTY / STAFF</th>
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