
Department of Organizational Leadership, Policy and Development

Ph.D. Handbook

2011-2012

Note: The Department of Educational Policy and Administration (EdPA) merged with the Department of Work and Human Resource Education (WHRE) to form the Department of Organizational Leadership, Policy, and Development (OLPD) in July 2009. If you have any questions regarding the transition, please contact your adviser.

Organizational Leadership, Policy, and Development

2011-2012 Ph.D. Handbook

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TO: New Students Fall 2011

FROM: Rebecca Ropers-Huilman, Professor and Chair

SUBJECT: Welcome to the Department

On behalf of the Department of Organizational Policy, Leadership, and Development, I am pleased to welcome you to the 2011-2012 academic year and the beginning of your time as a graduate student at the University of Minnesota. Our department has developed nationally and internationally distinguished graduate programs in the areas of comparative and international development education, educational administration, evaluation studies, higher education, and work and human resource education. During your studies, you will be working with faculty members who are active scholars, authors, professional leaders, practitioners, teachers, and genuinely wonderful people. We are proud of our OLPD community and are glad you are joining us.

Our department focuses our efforts around a common mission:

The Department of Organizational Leadership, Policy, and Development is a leader in advancing knowledge about educational and organizational change in local, national, and international contexts. Our research, teaching, and outreach reflect a commitment to interdisciplinary and intercultural engagement with educators, scholars, and policy makers seeking to enhance leadership, policy, and development around the globe.

You can get information about how to enrich your experience, become a part of our community, and help us achieve our mission by asking questions when something is not clear, meeting with your faculty adviser at least once every semester, reading the department electronic newsletter, and familiarizing yourself with this handbook. Handbooks and other key materials for students are available on the web at <http://www.cehd.umn.edu/olpd/>. The department electronic newsletter is sent periodically to all students and faculty.

I hope that each of you becomes an engaged member of our community. You can do this by participating in departmental professional and social events, attending lectures and colloquia, and getting involved in collaborative research. You can also do this by bringing your personal experience and professional expertise to bear in discussions of critical issues that occur in classrooms, hallways, and in various locales around campus. OLSA, the Department's student association, is thriving under its current student leadership and welcomes your participation. One of the joys of graduate school is meeting and learning with your fellow students. As a group, you come from a wide variety of professional and academic backgrounds, cultures, and countries. Please take advantage of the education that comes from OLPD interactions at every level.

Each of the faculty and staff members wants your time at the University of Minnesota to be personally fulfilling and professionally rewarding. Please contact any of us if you have questions or need assistance. Our main office number is 612-624-1006, and my direct email address is ropers@umn.edu.

Again, welcome to OLPD!

INTRODUCTION

This handbook is designed to provide Ph.D. students in the Department of Organizational Leadership, Policy, and Development (OLPD) with a readily available source of information about their programs, procedures, and graduate 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: *The Graduate Education Catalog, University of Minnesota, formerly the Graduate School catalog*, (provides information about major program regulations); the *Twin Cities Class Schedule* (includes regulations and deadlines for that semester); and *The Graduate Student Handbook*. These resources and many others are available via the web as listed in Chapters 5 and 6 of this handbook.

Students should note that the University-assigned student email 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 email account. The University, Graduate School, and OLPD department rely on the University email accounts and not the postal service for important communications, e.g., tuition billing, degree clearances for graduation, department events and position opportunities. Students are responsible for all information including attachments sent to their University email account. If students arrange to have their University email account forwarded to a private account, then the student must remember to change the forwarding destination of the University account if and when the private account is changed. The University account mail can be forwarded at <http://www.umn.edu/dirtools>.

All advising faculty have access to this handbook. Please work with your adviser to make key decisions related to your program. Both the Graduate School and Department forms can be found on the web (see Chapter 4 for listing of forms and sources).

CHAPTER 1: THE OLPD DEPARTMENT

Department Mission, Purpose, and Goals

The Department of Organizational Leadership, Policy, and Development is a leader in advancing knowledge about educational and organizational change in local, national, and international contexts. Our research, teaching, and outreach reflect a commitment to interdisciplinary and intercultural engagement with educators, scholars, and policy makers seeking to enhance leadership, policy, and development around the globe.

Three related purposes give direction to departmental activities: research, teaching, and outreach. 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 five program tracks: comparative and international development education, educational administration, evaluation studies, higher education, and work and human resource education.

Central to the purpose of the Department is the development and provision of professional preparation programs for persons seeking positions in the five areas. 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 and

other organizations. The Department prepares administrators, scholars, and analysts for leadership roles in various settings through the five complementary but distinct program tracks.

The Department also seeks to provide mission-related service through disciplined study of the needs of educational and other organizations. Further, we collaborate with others to find and implement solutions to leadership problems in many settings. All of the above illustrate the commitment of the Department to bridging the fields of practice and theory.

Administration and Management of Programs

Governance

There are several standing governance committees and individuals that support the functioning of the Department of Organizational Leadership, Policy, and Development and all graduate programs within it. Additional ad hoc committees are established as issues evolve. In relation to committees and governance, there are four roles that students should be familiar with as they navigate through their program: the department chair, the director of graduate studies (DGS), individual program coordinators, and the coordinator of graduate studies (CGS).

The department chair is responsible for the overall leadership and management of all Department resources. The chair's responsibilities extend to both graduate and undergraduate programs within the Department.

The DGS, in conjunction with the department chair, represents the Department to both the University's Administration and the Graduate School. The DGS also chairs the Graduate Studies Committee which is a standing committee that oversees and interprets all policies that deal with post baccalaureate programs in the Department (except licensure programs).

Each of the Department's five graduate programs has an individual faculty program coordinator. These coordinators provide leadership to their program and serve as program representatives on various governance committees within the Department. In addition to your adviser, program coordinators serve as a resource for questions about your specific program.

The CGS supports the chairperson, the DGS, and all program coordinators by developing and implementing policies, as needed, affecting graduate students in the Department's wide array of graduate programs (e.g. examinations, student handbooks, student progress review, graduate assistantships, etc.). The CGS also coordinates the department's graduate student marketing and recruitment efforts.

Advising

Students are assigned a faculty adviser upon entry into their program. Assignments are based on areas of interest expressed by students in the application materials; the current advising load of faculty is also a consideration. The initial faculty adviser serves as a program adviser providing information and guidance to the student in course selection, filing of program, and general progress.

Once students identify the area of their dissertation research and have become acquainted with department faculty, students may want to select a different faculty member to serve as their dissertation adviser. It is important to note that the initial program faculty adviser is not necessarily intended to continue for the duration of the graduate student's program. Students are encouraged to meet and become acquainted with various program faculty over the first year of their study to find a good match for their research topic. If a more appropriate adviser match is found, the student should ask that faculty member during the second year to serve as their adviser. The faculty believe that the match of a regular adviser and

student should be mutually acceptable, ultimately resulting in the advisement or co-advisement of the Ph.D. thesis.

Students who elect to add a program minor will have a minor adviser in addition to their major adviser. The minor adviser must be a member of the student committee and serve on the examining committee.

Annual Student Progress Review

Each spring the Department reviews the program progress of all students (individual programs may also perform reviews in the fall). This review process is viewed as a way of supporting our students in their professional development and in their progression and completion of the benchmarks towards their degree. This annual review assures that any progress problems are identified early so that students receive timely guidance when appropriate. Individual programs and/or faculty advisers may also conduct reviews of your progress.

When a student's progress is found to be deficient, s/he will be notified in writing of the deficiencies and will be afforded an opportunity to demonstrate improvement. The DGS and adviser will identify a timeline by which deficiencies must be remedied, and a written agreement as to what will be considered demonstrated improvement will be made between the DGS and the student. Students are responsible for contacting their advisers to develop plans for making satisfactory progress by the deadlines.

CHAPTER 2: OLPD PROGRAMS

Degrees and Program Tracks

The Department of Organizational Leadership, Policy, and Development offers master of arts and doctor of philosophy graduate degrees in five complementary but distinct program tracks: comparative and international development education, educational administration, evaluation studies, higher education, and work and human resource education. In some areas, OLPD also offers a doctor of education degree. The Department offers a graduate minor in program evaluation, and social and philosophic studies of education, and collaborates in a graduate minor in international education. This handbook addresses only the Ph.D. program. As with most graduate programs at the University, the Ph.D. degree is offered in the Department but is awarded to students by the University of Minnesota Graduate School.

The academic work in OLPD is both discipline-based and flexible in the options for degrees and specializations. All program tracks within the Department incorporate relevant knowledge from the behavioral and social sciences and the humanities. In particular, the Department's program tracks draw on anthropology, economics, management science, political science, public affairs, international relations, sociology, psychology, philosophy, and history.

The following is a brief description of the five program tracks within the OLPD department:

- **Comparative and international development education (CIDE), Coordinator: Fran Vavrus**
CIDE uses an interdisciplinary approach to the study of education's role in economic, political, and sociocultural development; international educational exchange; and the internationalization of education. The three specializations within CIDE are comparative and international development education; intercultural/international education; and global youth policy and leadership.

- Educational administration (EdAd), Coordinators: Nicola Alexander & Kenneth Dragseth**

EdAd offers coursework and research opportunities for those interested in making a difference in educational systems and settings that involve PreK-12 children and youth. The program is committed to supporting the development of leaders and scholars who work to improve educational quality and effectiveness so that young people graduate from secondary education well prepared to continue their learning and to contribute to their communities. The program promotes understanding of schools as organizations and emphasizes application of knowledge and research to varied contexts of educational practice.
- Evaluation studies (ES), Coordinator: Stuart Yeh**

ES examines the techniques and process of program evaluation and policy research in addition to studying the social and political context within which evaluation occurs. Students gain both qualitative and quantitative methods expertise and practical experiences in the conduct of program evaluation and policy studies.
- Higher education (HiEd), Coordinator: Darwin Hendel**

HiEd focuses on the experiences, practices, and decisions of those involved in post-secondary education, as well as on the sociopolitical contexts in which higher education exists. Areas of concentration include administration and organization, policy, college students, external relations, equity-oriented change, and research integrity.
- Work and Human Resource Education (WHRE), Coordinator: Shari Peterson**

WHRE examines the purposes, practices, issues, and problems of vocational education; the social, economic, historical, political, cultural, educational, technological, and psychological contexts within which vocational education exists; the purposes, practices, issues, and problems of a specialization in vocational education; and modes of research that contribute to the knowledge base or apply the knowledge base to the area of specialization. The three specializations within the WHRE Ph.D. program are adult education, comprehensive work and human resource education, and human resource development.

The Ph.D. Program

Special Note: *As the departmental merger progresses in the coming months, there will be certain changes that affect some of the coursework listed in this section. These changes are necessary in creating a fully integrated and unified department in the long-term. For example, certain courses described in this section (e.g., EDPA 8011) may be officially re-listed under an OLPD designator (e.g., OLPD 8011). In instances where such changes affect your future coursework, the Department will make a good faith effort to notify you of the change via email, your adviser, and/or other correspondence. If you have additional questions about this matter you should contact your adviser for more information.*

Currently two doctor of philosophy degrees are offered in OLPD, one in educational policy and administration (four tracks: CIDE, EdAd, ES & HiEd) and one in work and human resource education. Both programs require the following areas: department core, program core and other program courses, and supporting program or minor course work. Both degrees also require thesis credits.

For all programs, the minimum total credits needed in coursework are between 52 and 61 semester credits (number varies by program; see below). Students should consult with their advisers before electing the S/N grading option for specific courses. In addition to the course credits, 24 semester thesis credits are needed to meet graduation requirements. All Ph.D. students must successfully complete their program's preliminary written, preliminary oral, and final oral examination requirements. The Department also requires

students to meet formally with their dissertation readers in a proposal (prospectus) meeting after the preliminary oral examination before embarking on their thesis research.

Students accepted to any OLPD Ph.D. degree program may be permitted to apply credits from a master's degree or other graduate-level course work toward the total credits in course work required for graduation (see later section on transfer credits for details). The Graduate School requires that 12 credits be taken in other departments. Students complete 24 thesis credits in addition to the 52-61 credits of coursework.

Total course credits required by program:

CIDE: 58 credits

EdAd: 52 credits

ES: 61 credits

HiEd: 55 credits

WHRE: 60 credits

Total: 52-61 credits of coursework plus 24 thesis credits

The Ph.D. must be completed within five years of the completion of the oral preliminary examination. In addition, the Graduate School requires students to register every fall and spring semester throughout their program to remain active. The Graduate School website

http://www.grad.umn.edu/current_students/registration/active_status.html contains current information and policies regarding registration to retain "active" status. If students become "inactive" they will automatically be withdrawn from the Graduate School and must reapply for admission. It is important to note that re-admission to the program is not guaranteed.

Departmental Core – For all programs (22 semester credits)

All Ph.D. students complete the departmental core. The departmental core is a set of prescribed courses that provides Ph.D. students with a common base of knowledge. It is expected that students will complete all of the department core courses during their first year of graduate study. Students should consult with advisers about the appropriate time to register for each course.

Professional socialization seminar:

- EDPA 8011—Doctoral Research Seminar (1 cr) [taken fall term of first year]

Research courses (15 cr minimum)

- EDPA 8015—Introduction to Inquiry (3 cr) [taken spring term of first year]
- Quantitative course to be determined by student and adviser (3 cr; in or outside department)
- Qualitative course to be determined by student and adviser (3 cr; in or outside department)
- 6 credits of additional methods courses to be determined by student and adviser

Focal area courses (6 cr in one of the following areas; taken anywhere at U of M with adviser approval)

- Organizational theory and leadership
- Policy and evaluation
- International education
- Social and cultural foundations
- Equity and diversity

Program Core (16 or more semester credits)

Each of the five program tracks has a unique program core and may require more than the 16 credit minimum. Any course selection options should be made in consultation with the adviser. It is expected that students will complete their program core within the first two years of full-time graduate study or within the first three years of part-time study.

Program Core: Comparative and International Development Education (24 cr)

Doctoral Seminars in CIDE (6 cr; 2 cr in each of 3 semesters starting in the spring term of the student's first year in the program; course numbers are listed as EDPA 8121-2, 8121-3, and 8121-4)

Specialization Courses (6 cr; students choose two courses, and a minimum of one course must be at the 8xxx level for specializations with 8xxx-level courses):

Comparative and International Development Education

- EDPA 5104—Strategies for International Development of Education Systems (3 cr)
- EDPA 5121—Educational Reform in International Context (3 cr)
- EDPA 8101—International Education and Development (3 cr)
- EDPA 8103—Comparative Education (3 cr)

Intercultural/International Education

- EDPA 5048—Cross-Cultural Perspectives on Leadership (3 cr)
- EDPA 5124—Critical Issues in International Education and Educational Exchange (3 cr)
- EDPA 5132—Intercultural Education and Training: Theory and Application (3 cr)

Global Youth Policy and Leadership

- EDPA 5141—Global Youth Policy & Leadership: Comparative Youth Policy & Leadership (3 cr)
- EDPA 5142—Youth Futures in International and Global Contexts (3 cr)
- EDPA 5381—The Search for Children and Youth Policy in the U.S. (3 cr)

CIDE Elective Courses (12 cr):

- EDPA 5044—Introduction to the Economics of Education (3 cr)
- EDPA 5056—Case Studies for Policy Research (3 cr)
- EDPA 5061—Ethnographic Research Methods (3 cr)
- EDPA 5080—Special Topics: Gender, Education, and International Development (3 cr)
- EDPA 5080—Special Topics: Human Rights Education (3 cr)
- EDPA 5095—Problems: Educational Policy & Admin. (3 cr) [Understanding Southeast Asia]
- EDPA 5102—Knowledge Constructions & Applications in Int'l Development Contexts (3 cr)
- EDPA 5144—Cultural Models, Simulations and Games (3 cr)
- EDPA 5381—The Search for Children and Youth Policy in the U.S. (3 cr)
- EDPA 8104—Innovative Systems Thinking in Education and Culture (3 cr)
- EDPA 8087—Seminar: Educational Policy and Administration (1-2 cr)
[Adv Seminar in Int'l Development Education: CareGender Project]
- EDPA 8087—Seminar: Educational Policy and Administration [Pro Seminar in CIDE]

Note: Any specialization core course not being used as core class can become an elective

Program Core: Educational Administration (18 cr)

- EdPA 5001—Formal Organizations in Education (3 cr)
- EdPA 5346—Politics of Education (3 cr)
- EdPA 8020—Leadership: From Theory to Reflective Practice (3 cr)
- EdPA 8302—Educational Policy Perspectives (3 cr)
- EDPA Electives (6 credit minimum with approval by adviser)

Program Core: Evaluation Studies (20 cr)

- EDPA 5501—Principles and Methods of Evaluation (3 cr)
- EDPA 5521—Cost and Economic Analysis in Educational Evaluation (3 cr)
- EDPA 5524—Evaluation Colloquium (1 cr in each of 2 semesters)
- EDPA 8502—Program Evaluation Theory and Models: Qualitative and Quantitative Alternatives (3 cr)
- EDPA 8595—Evaluation Problems (an arranged seminar) (3 cr)
- EDPA 8596—Evaluation Internship I (3 cr)
- EDPA 8596—Evaluation Internship II (3 cr)

Program Core: Higher Education (21 cr)

- EDPA 5701—U.S. Higher Education (3 cr)
- EDPA 5704—College Students Today (3 cr)
- EDPA 8702—Administration and Leadership in Higher Education (3 cr)
- EDPA 8703—Public Policy in Higher Education (3 cr)
- EDPA Electives (9 credit minimum; must be focused on Higher Education and approved by adviser)

Program Core: Work and Human Resource Education (16-24 cr)*Specializations:***Adult Education (22 cr)**

- AdEd 5101—Strategies for Teaching Adults (3 cr)
- AdEd 5102—Perspectives of Adult Learning and Development (3 cr)
- AdEd 5103—Designing the Adult Education Program (3 cr)
- AdEd 5196—Field Experience in Adult Education (4 cr)
- HRD 8301—Advanced Organization Development (3 cr)
- WHRE 5001—Survey: HRD and Adult Education (3 cr) [Take this course first]
- WHRE 8001—Advanced Theory in Human Resource Development and Adult Education (3 cr)

Human Resource Development (24 cr)

- AdEd 5101—Strategies for Teaching Adults (3 cr)
- HRD 5105—Strategic Planning through Human Resources (3 cr)
- HRD 5196—Internship: Human Resource Development (4 cr)
- HRD 8201—Advanced Training and Development of Human Resources (3 cr)
- HRD 8301—Advanced Organization Development (3 cr)

- WHRE 5001—Survey: HRD and Adult Education (3 cr) [Take this course first]
- WHRE 8001—Advanced Theory in Human Resource Development and Adult Education (3 cr)
- Electives (6 credits minimum; 1 course must be in HRD)

Comprehensive WHRE (16 cr)

The comprehensive work and human resource education specialization is an individualized program structured around the student's professional role(s). Student and adviser are expected to work together to plan coursework for the program. Students should begin conceptualization of their program rationale as they enter the program so that coursework taken supports the student's goals. Coursework that appears to have been selected on the basis of access rather than logically related to the degree and personal goals will not lead to program approval.

9 credits minimum must be in Work and Human Resource Education program classes

Additional Course Work (12 or more semester credits)

In Supporting Program or Minor Field of Study: to meet the requirement for 12 credits outside of OLPD

In OLPD: to enhance program if the 12 credit outside course requirement has been met through methodology courses above

Supporting Program/Minor

The supporting program or minor field of study provides in-depth course work in other departments that directly supports the dissertation area (OLPD courses in other programs in the Department are not considered as supporting program courses). In addition, this course work is used by the student to focus on individual interests and professional goals. Although the two options (supporting program or minor) are formally distinct, they are similar in structure and purpose. The supporting program consists of courses from one or more related disciplines or fields of study outside the student's program. Students should discuss with their advisers the possible use of appropriate master's degree credits in the supporting program. Up to 18 semester credits from previous graduate degree work may be applied; some tracks have conditions for those transfer credits (see the following section on Transfer Credits for additional transfer rules). A list of available freestanding minors can be found in the *Graduate Education Catalog*. Students are encouraged to seek course work outside the College of Education and Human Development.

Additional OLPD Courses

If students have fulfilled some or all of the 12 outside credits requirement through the research methodology courses in other departments, students may elect to take additional credits of coursework in the Department to enhance their major program. Students should consult with their adviser in the selection of the additional 12 credits of coursework.

Thesis Credits

All students are required to register for 24 semester thesis credits after completing the preliminary oral exam. The 24 credits must be taken over two or more terms.

CIDE, EdAd, ES, and HiEd degrees: EDPA 8888—Thesis Credits: Doctoral

WHRE degrees: WHRE 8888—Thesis Credits: Doctoral

Students cannot enroll for thesis credits until the first available registration period after completion of the preliminary oral exam has been recorded in the Graduate School record system.

Transfer Credits

With the approval of adviser, DGS and Graduate School, some graduate degree program course work, e.g., from a master's program completed at the University of Minnesota and/or other recognized graduate institutions, may be applied toward the Ph.D. degree. Students should discuss with their advisers the possible use of these credits in their programs. Policies in both the Department and the Graduate School determine the number and nature of the credits that can be transferred.

Department Policy

Under certain conditions, doctoral students may be allowed to transfer up to 18 credits of previous work. The credits earned must 1) meet criteria expressed in the *Graduate Education Catalog*, 2) closely match the planned program emphasis, and 3) be approved by the adviser. In the EdAd program at least 9 of the 18 credits must be University of Minnesota EdPA graduate coursework; transfer requires adviser approval in accordance with each student's individualized Ph.D. program plan.

Any credits beyond 18 semester credits of master's or previous graduate level work that might be brought into the program for a special reason may not be applied toward the total 52-61 semester credit count. Students who wish to transfer previous graduate coursework to the departmental core or program core requirements may do so only with approval of the adviser and by formal petition to the appropriate program coordinator.

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.

Graduate School Policy

Some of the general graduate school rules that apply to transfer of credits are below. For specific factors that might be applicable, students should check the details in the *Graduate Education Catalog* at <http://www.catalogs.umn.edu/grad/index.html>.

- Graduate level courses taken before the award of the baccalaureate degree cannot be transferred.
- Graduate level courses taken through the College of Continuing Education or Master's of Liberal Studies at the University of Minnesota will not be accepted for transfer.
- Credits taken the year before admission through 99PRD registration (graduate, non-degree seeking status through the University) do not count against the department 18 credit limit and may be brought in above the credit limit if the courses were taught by current, regular faculty. However, the graduate school has a limit on these 99PRD credits (see below).
- The Graduate School allows a maximum of 12 semester credits taken in a non-degree status (99PRD and other types of non-degree seeking registrations). **Please refer to the *Graduate Education Catalog* for details and consult with Graduate Studies staff and adviser before making assumptions about transfer credits.**
- Official transcripts of the coursework must be attached to the degree program form if not submitted earlier 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

Ph.D. Examinations and Papers

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

- Degree Program (must be filed one semester before Preliminary Oral Examination)
- Written Preliminary Examination
- Special Topic Paper
- Department Preliminary Oral Examination (includes completed special paper)
- Thesis Proposal (prospectus)
- Thesis Proposal (prospectus) Meeting
- Human Subjects Approval of Conduct of Research (IRB approval)
- Approval of Dissertation for Final Defense
- Final Oral Examination
- Thesis Copy

Degree Program

The degree program is filed with the Graduate School usually during the second year of study. It must be approved at least one semester before taking 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 (see discussion below regarding composition of the committee). Students should confer with their adviser in developing the degree program form. Individual advisers may require that the student also prepare a rationale statement in addition to the form to ensure program adequacy. To complete the program form, please review the Ph.D. Requirement Checklist (available online at <http://cehd.umn.edu/olpd/forms>). The adviser and the DGS must approve the degree program; the Graduate School has final approval of degree program (see section on Transfer Credits in this handbook, and the *Graduate Education Catalog* for details about transferring credits from other institutions and from other programs at the University of Minnesota).

The examining committee must include four members: three from the major (one of whom is the adviser), and one from the minor or supporting program (i.e., outside the department). However, some faculty in the Department of Organizational Leadership, Policy, and Development have joint appointments in other departments and can be used by students as the outside member if appropriate for their program and approved by the adviser.

Students who elect to add a minor will have a minor adviser in addition to a major adviser. The minor adviser is a member of the committee, must sign the degree form and serves on the final examining committee. The minor adviser can serve instead of or in addition to a member from a supporting field. In the latter case, the student will have five rather than the required four members on the committee.

After the program is filed, students can complete a petition to request the following:

- change in the coursework 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)
- transfer of coursework not originally on the approved degree program form

The adviser and DGS must sign the petition. Completing the petition process is not difficult; students should not postpone the filing of their program past their second year based on the assumption that they may not be able to take the specific courses currently planned or that the process of changing the program would be difficult.

Students must complete all courses on the program for graduation (unless petitions have been filed); no incompletes can remain in the filed program. Students requesting an incomplete grade must complete a contractual form signed by both the student and the instructor. The form is available online at <http://cehd.umn.edu/olpd/forms> and specifies what must be done before the incomplete grade can be removed.

Written Preliminary Examination

Successful completion of the written preliminary examination is a necessary step in the process of advancing to doctoral candidacy.

Eligibility

To be eligible to write the preliminary examination, students must have:

1. Completed at least 20 but not more than 40 credits of graduate study in their Ph.D. program not counting transfer credits;
2. Have an “active” status with the Graduate School (maintained by registering every fall and spring semester); and
3. Be in good standing with the Graduate School.

Students will confer with their advisers to determine when they are ready to take the written Ph.D. examination. EDPA 8011 and EDPA 8015 will provide guidance on writing a literature review and on multiple approaches to inquiry. Program areas may have reading lists to help students prepare for the examination.

The written preliminary examination will be offered twice a year via a winter (November – February) and summer (May – August) offering.

Exam Format

The examination will be a written take-home with a program-specific abstract approval process. Students, with adviser consultation, will individually determine a topic for the abstract/examination that is a critical issue in their field, situated in track-appropriate content. The examination will have two parts: (a) Part I, a review essay on literature specific to the topic of each student’s abstract, and (b) Part II, research approaches and strategies to advance knowledge on this topic.

Procedures

Registration: Students in all program areas must register with the Coordinator of Graduate Studies (or appointed designate) prior to taking the written preliminary examination. This is done via the electronic submission of an abstract at least one month prior to the beginning of the examination period (October 15 for winter, April 15 for summer).

The Abstract: The semester prior to taking the examination, the student will develop a one page abstract that must meet a program-specific process for approval. Students should work with their advisers to ensure that their abstract is approved prior to the beginning of the examination period. Program area faculty are responsible for providing students feedback on their abstracts, and all students who have submitted an

abstract by the due date in a given program will receive notification of abstract acceptance or rejection on the same notification date.

If an abstract is not accepted, students will have seven days from the notification date to make revisions and will then re-submit it for review. If the revised abstract is approved, the student can take the examination as planned. If not, he or she must wait until the next examination offering.

Examination Period: Students will have three months to write their responses: May 15 to August 15 (summer) and November 15 to February 15 (winter). Responses will be no more than 25 type-written pages (double-spaced, 12-point font, with 1" margins), exclusive of references and the title/name page.

During the three months of writing, consultation between and among students is acceptable, but students may not consult their advisers or other faculty, nor can faculty comment on drafts. Students will sign a form indicating that the work is entirely their own except for that which they appropriately cite in the text.

Submission of Examination

All examinations must be submitted electronically to the Coordinator of Graduate Studies no later than the end of the OLPD business day (currently 4:30pm CST) on August 15 (summer) or February 15 (winter).

The student's name should only appear on the first page.

Reading of Exam

Once the examination is submitted, each will be read by two faculty members assigned by the program area. If these reviewers disagree, then a third will be consulted. Four scores are possible: High Pass, Pass, Rewrite, and Fail.

Notification

Approximately a month after submitting the exam, all students will receive a score and feedback on their exams, even if the exam was evaluated as a Pass or High Pass. Advisers will also be provided with this information.

If you receive a Pass or High Pass: Students whose examinations are given a score of High Pass or Pass are finished with the written examination and the Graduate School will be notified.

If you receive a Rewrite: Students whose examinations are given a score of Rewrite will have one month to revise their response. The review process and scoring for the revision will be the same as that for the original except for the possible scores, which will be Pass or Fail. If the revised response is graded a Fail, the student must write a new abstract and re-take the examination at its next offering.

If you receive a Fail: Students whose examinations are given a score of Fail must write a new abstract and re-take the examination at a subsequent offering. Students who take the written examination twice and receive a score of Fail each time will be removed from the Ph.D. program.

Special Paper (applies to CIDE, EdAd, ES, and HiEd programs only)

Students are required to complete a special paper after the written prelim and prior to the oral preliminary examination. This paper is a critical review of the literature in the area of the student's scholarly interest. It is not merely an annotated bibliography but is a conceptually organized synthesis of the relevant

literature. The special paper may explore areas for possible dissertation research by locating gaps in knowledge in a particular area of inquiry, or it may serve as an integrative background piece for dissertation research that the student already has in mind. The paper should conclude with a set of research questions that represent potentially fruitful lines of research in the area of inquiry.

The student prepares the special paper under the guidance of his or her adviser. The paper may be thought of as a first cut at the thesis proposal (prospectus), but the student is not required to complete the full thesis proposal before the oral preliminary examination. The special paper serves as a point of departure for questions at the oral preliminary examination in that it represents the student's area of expertise and research interest. The special paper is normally between 30 and 50 pages in length. The paper must be distributed to the oral preliminary examination committee at least two weeks before the examination.

Preliminary Oral Examination

In order to demonstrate timely and adequate progress toward the degree, students should schedule and complete the oral preliminary examination no later than the end of the second continuous semester (including summer session) following the completion of the written preliminary examination. Individual OLPD programs may specify earlier deadlines; requests for extension beyond the required date must be approved by the adviser and the DGS. It is 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 by filing the online Doctoral Preliminary Oral Examination Scheduling Form at http://www.grad.umn.edu/current_students/prelimschedule/.

The preliminary oral is a general knowledge examination, which includes a discussion of the special paper and is conducted in accordance with Graduate School policy. The examining committee includes a minimum of four members: three members from the major field and one from a supporting program/minor. A student with a minor must have the minor adviser on the examining committee and at the examination. All assigned 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; only an adviser or the OLPD Graduate Studies staff can notify the Graduate School. 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, which must be signed and returned within 24 hours of the examination.

The semester after passing the preliminary oral examination, the student must file the Thesis Proposal Form with the Graduate School.

Thesis Proposal (Prospectus)

The thesis problem and methodology are developed over a period of time. It is an evolutionary process for most people. Consequently, it is never too early to start thinking and working on a potential topic. Doing so allows a student to better select appropriate coursework, particularly courses relevant to research methodology.

The student must complete a formal thesis proposal (prospectus) to present at the thesis proposal meeting. Students should check with advisers about any preferred framework for the prospectus. The written prospectus for conducting thesis research typically includes at least the following:

- a brief and focused presentation of relevant literature,
- a statement of the problem,
- specific research questions that will guide the inquiry,
- limitations and delimitations,

- the research design with a corresponding rationale,
- specific sampling, data collection, and data analysis procedures that will be employed in the study, and
- instruments that will be used in the study.

Students should check with advisers about modifications of this framework that may be needed for a specific research context, e.g., a particular research methodology. The doctoral courses (EDPA 8011—Dissertation Seminar, EDPA 8015—Research Design and Educational Policy, and WHRE 8990—Research Seminar) may provide guidance on preparing the above components of the thesis proposal. For most students, the prospectus serves as very good draft for the final Chapters 1-3 of the dissertation.

Thesis Proposal (Prospectus) Meeting

After the student completes the preliminary oral examination and the formal thesis proposal (prospectus), but prior to beginning the thesis research, the student meets with his or her adviser(s) and the other members of the thesis panel to discuss the thesis proposal. The membership of the thesis panel varies by the student's OLPD program track.

EdAd, ES and HiEd: Three members (the three readers on the graduate committee—the adviser, the outside member, and one other committee member from within EdPA). The fourth member of the examining committee does not serve as a reader and is not required to serve on the Thesis Panel.

CIDE & WHRE: All four members of the graduate committee.

An additional outside reader may be added, if appropriate. For example, if a student has a minor, the minor adviser might be included on the panel. Students should check with their adviser about the addition of another member, and the scheduling of the meeting in relation to the oral prelim.

Students should bring a Thesis Panel Review Sheet (available online at <http://cehd.umn.edu/olpd/forms>) to their prospectus meeting. At the prospectus meeting, the student and faculty panel come to an understanding of what the student proposes to do for the dissertation research project. The panel members are responsible for reviewing and approving the proposal outlining the content and methods of the study. These graduate faculty 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 Human Subjects Committee and, upon approval from this panel, initiate data collection. The prospectus approval process not only serves to ensure the integrity of research conducted through the University of Minnesota, it also serves as a safeguard for students.

The panel members evaluate the content and method of the proposal and may authorize the conduct of the study pursuant to the proposal, amend the proposal during the course of the review as a result of suggestions, or reject the proposal. In cases where major revisions to a project are needed after an initial proposal is approved, the committee will need to reconvene to discuss such changes. Approval of the research prospectus indicates faculty support of the proposed research design and methodology. The signed Thesis Panel Review Sheet should be returned to the OLPD Graduate Studies staff; the form is a Department document and does not go to the Graduate School. After the Department form has been signed, the three-part thesis proposal form from the Graduate School (GS 63) should be completed and forwarded to the OLPD Graduate Studies staff who will forward 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 Ph.D. Thesis (GS 63b), and Thesis Abstract (GS 63c). After obtaining approval of the Thesis Proposal Form, the student can obtain from the Graduate School the Graduation Packet consisting

of the Application for Degree 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 by requesting online (see section, Graduate School Forms and Deadlines in this handbook).

Human Subjects Research Approval

Any research that employs the use of human subjects on or off campus must be approved in advance by the Human Subjects Committee prior to the gathering of the data. 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 <http://www.research.umn.edu/irb> 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 612-626-6061(fax). The website 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.

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 Dissertation for Final Defense

A complete and essentially final draft of the dissertation 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/minor adviser committee member (if the student has elected a minor, the minor adviser must be a reader). Each reviewer is allowed at least two weeks to read the complete written dissertation. Each reader makes an independent determination about the readiness of the dissertation 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 is “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.

Final Oral Examination

Upon completion of the dissertation, the student defends the dissertation at a formal meeting of the dissertation 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 adviser must be a reader and must be

present at the final examination). A member other than the adviser 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 adviser or the OLPD Graduate Studies staff can notify the Graduate School.

To be eligible for the final oral examination a student must meet the following criteria:

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);
4. satisfied the thesis credit requirement; and
5. be within the time limit for degree completion, i.e., within five years of 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:

1. schedule with the committee members on a suitable date
2. reserve a room through the Department office
3. schedule the exam online with the Graduate School at least one week in advance of the examination at http://www.grad.umn.edu/current_students/finalschedule/. This process is paperless.

The Graduate School **will not** release the Examination Form 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 dissertation 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. The examination consists of three parts:

1. a seminar open to the public in which the student presents the thesis research (check with adviser 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
3. after excusing the candidate, a vote taken by the committee members on whether the candidate passed the examination.

The exam will not exceed two hours. 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 adviser about procedures.

Typically, the formal presentation of the thesis includes a summary of the research, i.e., the purpose, framework, data analysis, major findings, conclusions and implications for practice, policy and research. The presentation is typically 20-30 minutes and can be enhanced by handouts or a PowerPoint presentation. A short curriculum vitae may also be appropriate. The presentation should be rehearsed to improve timing, organization and ease in presentation.

The student may choose to open the student presentation segment of the examination to outside guests (e.g., family members, friends, graduate students, and faculty). After the presentation and a period of brief

comments or questions from guests, they are excused. The faculty then pose questions to the student pertaining to any aspect of the dissertation. After questioning is completed, 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 dissertation and signed the form indicating the dissertation acceptable for defense, the judgment made at the final oral relates to the acceptability of the defense of the dissertation by the candidate.

If the judgment is that the examination was a “pass” but minor revisions are needed in the dissertation, 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 Education Catalog* for details about scheduling and reporting results of the final oral examination.

Refreshment Guidelines

In response to numerous inquiries over the years about the custom of bringing in of refreshments, the Department developed guidelines. The bringing in of refreshments is allowed but limited 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 and water are typically available in the Department administration office (330 Wulling Hall).
- 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).

Thesis

Students are required to submit a copy of 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. Procedures for each method can be found on the Graduate School website at http://www.grad.umn.edu/current_students/degree_completion/doctoral/ElectronicDissertationSubmission.html.

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 United States.

Quality of Writing

A high 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 skills.

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; 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 will be expected to 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 dissertation. 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 <http://www.apastyle.org>.

Academic Dishonesty/Plagiarism

As noted in the websites 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 means 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; or altering, forging, or misusing a University academic record; or fabricating or falsifying of data, research procedures, or data analysis.

Students need to be aware of the potential and consequences of plagiarism. Any work taken from another source must be documented, and in no case should another person's work be presented as one's own. The use of exact words of others, and reference to others' research clearly requires citation; citing another's ideas through paraphrasing or restating someone 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 adviser.

Websites of relevant information including University policies and procedures are below.

- Regents' code for student conduct:
http://www1.umn.edu/regents/policies/academic/Student_Conduct_Code.html
- Office for Student Conduct and Academic Integrity (OSCAI): <http://www1.umn.edu/oscai/>
- Code of conduct, mutual responsibilities in graduate education, and other resources:
<http://www.research.umn.edu/ethics/>
- Academic misconduct:
http://www1.umn.edu/regents/policies/humanresources/Academic_Misconduct.pdf

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 passed 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 no later than early in the semester in which the time limit will expire. The petition must be completed by the student and signed by both the adviser and the DGS. For full details see the *Graduate Education Catalog* and information from the Graduate School.

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 by the College of Education and Human Development only once a year in May.

Commencement

The commencement ceremony is held in the late spring only. If you wish to participate in commencement, the Commencement Attendance Approval Form (will be made available in late Fall on the CEHD website) must be turned in and approved about three months before the commencement ceremony (about March 1). The Commencement Attendance Approval Form must be signed by the adviser and DGS. The adviser’s signature indicates that a draft of the thesis has been completed and that the adviser expects the student to complete the final oral exam by August of that year. Students whose degrees have been awarded in the months prior to the March deadline need only submit the form to the CEHD Dean’s office with a side note indicating the month they completed the degree. Attending the ceremony does not imply that you have officially graduated.

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. 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 One Stop Student Services Center 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.

CHAPTER 4: PLANNING DOCUMENTS

The information and documents in this chapter will assist you in planning your program. Basic to all planning are the Ph.D. program requirements on page 4. See section on Degree Program Form for guidelines on credits that can be transferred from previous graduate-level work. Use the quarter/semester credit conversion chart found at the end of Chapter 2 if transferring courses from a quarter system.

Departmental Forms

Program planning forms and degree checklists are available online at <http://www.cehd.umn.edu/olpd/forms> to help you plan your program.

Graduate School Forms and Deadlines

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 the third floor of Johnston Hall.

Degree Program and Degree Program Transmittal Form [GS Form 89a and b]

This form is available online at http://www.grad.umn.edu/current_students/forms/g89a.pdf.

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 adviser, two additional faculty in the major, and one faculty outside the major; if program includes a minor, the minor adviser must also be listed (all must have agreed to serve on the committee). Signed by 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. Signed by adviser, minor adviser (if applicable) and DGS.

Preliminary Written Examination Report for Doctoral Degree [GS Form 17]

This form is available online at http://www.grad.umn.edu/current_students/forms/GS17.pdf.

Due: Filed at least one week before Preliminary Oral Exam (check with graduate school to verify status).

- Signed by adviser and forwarded to DGS for signature after adviser receives notice that written prelim exam has been passed.
- Check with adviser to make sure the form has been submitted to the graduate school.

Doctoral Preliminary Oral Examination Scheduling

Students schedule the preliminary oral examination at http://www.grad.umn.edu/current_students/prelimschedule/.

Due: Form must be filed at least one week in advance of exam

The following three requirements must be met with the Graduate School before the preliminary oral examination can be authorized:

1. You must hold active status in the Graduate School at the time of the examination.
2. Your Degree Program form must have been approved by the Graduate School. **Note:** minors must be declared and approved prior to the preliminary oral examination.
3. Your Preliminary Written Examination Report form, indicating that you have passed the examination(s), must be on file with the Graduate School.

Preliminary Oral Examination Form [GS Form 18]

Due: Must be filed within 24 hours of examination.

- Sent by Graduate School to adviser who serves as chair of examining committee AFTER student has scheduled exam.
- Preliminary Oral Examination Form is 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 website at <http://www.cehd.umn.edu/olpd/forms>.

Due: Filed with Department Graduate Studies staff after prospectus meeting.

- Obtained from Department website
- Student brings form 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 dissertation research project. Student and faculty panel sign.
- Filed with the OLPD Graduate Studies staff (student should make copy if any suggestions for change are made).

Human Subjects Committee Form, if needed

This form is available online at <http://www.irb.umn.edu/>.

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, adviser and department chair; no DGS signature is required (the line for DGS signature applies to faculty research only).

Thesis Proposal Transmittal Form [GS Form 63a, b and c]

Pick up packet in 316 Johnston or request via the web at

http://www.grad.umn.edu/current_students/forms/grad_packet/index.html. Thesis Proposal Transmittal

Form is also available online at http://www.grad.umn.edu/current_students/forms/GS63A.pdf. Final approval of proposal takes approximately 6 weeks.

Due: Submit to DGS for signature the /semester after passing the Preliminary Oral Examination

- Form 63 a: Includes names of at least four faculty for final oral examination (three in major, one outside; must include a minor adviser, if applicable); three are identified as readers (must include adviser, one additional faculty member in major, and one outside the major (a minor adviser must serve as a reader); one is identified as chairperson of exam (chair cannot be adviser).
- After receiving approval of GS Forms 63a, b, and c, obtain the Graduation Packet (Thesis Reviews Report Form, Application for Degree Form, Microfilm Agreement, Survey of Earned Doctorates, and other graduation instructions).

Reviewers Report Form for Ph.D. Thesis [GS Form 2]

This form is not available on the web and can be obtained only from the Graduate School in the Graduation Packet. Students circulate the form to readers with dissertation 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 Graduate School 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.

Application for Degree Form [OTR Form 180]

This form is not available online.

Due: After approval of Thesis Proposal and by first day of month of graduation.

- Provided to student by Graduate School in Graduation Packet once Thesis Proposal has been approved.
- Signed by adviser only if thesis draft is ready for defense.
- Submitted to Office of Registrar (OTR) by first working day of intended month of graduation.

Examination Schedule for Doctoral Final Oral

This form can be filled out online at http://www.grad.umn.edu/current_students/finalschedule/.

Due: Filed at least one week before exam.

The following requirements must be met with the Graduate School before the Final Oral Examination can be authorized:

1. If the Preliminary Oral Examination was passed with reservations, a letter notifying the student and the Graduate School that those reservations have been removed must be on file.
2. A Graduate School approved Thesis Proposal form must be on file.
3. The Reviewers Report form must be on file at the Graduate School before the examination.
Note: Students may schedule their exam with the Graduate School before submitting the Reviewers Report form.
4. All coursework on the doctoral Degree Program form must be complete.
5. The Graduate School must have on file certification of any language requirement as indicated on the doctoral Degree Program form.
6. The student must hold active status in the Graduate School at the time of the examination.
7. The Final Oral Examination must be taken within 5 years of the term following the Preliminary Oral Examination, or an approved time extension must be on file.
8. The student must have registered for 24 semester doctoral thesis credits (8888).

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 adviser).

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 GS.
- Guidelines may change from year to year; current version of GS #16 should be obtained.

Special Purpose Forms

Petition

This form is available online http://www.grad.umn.edu/current_students/forms/g59.pdf. This form is to request changes on an approved program or extension of time to complete degree; see details in section on Degree Program.

Graduate School Change of Status/Readmission Application

The online application is available at http://www.grad.umn.edu/current_students/registration/readmission.html and must be filed by all students who have been admitted to and registered in the Graduate School and are seeking readmission or a change of major, degree objective, or track (including dropping a track). 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 apply for readmission.

Student applying for readmission to an OLPD PhD program must also complete the department readmission application form available at <http://www.cehd.umn.edu/olpd/forms/>.

Student Name Change Request

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

Full-Time Status with a One-Credit Registration

Application form obtained online at http://www.grad.umn.edu/current_students/forms/g79.pdf. Advanced doctoral students who qualify can apply for full-time status and register for one-credit to certify “full-time” status, a condition for loan deferment, eligibility for assistantships, and registration for some fellowships. See website 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 Education Catalog* contains detailed information about various opportunities and resources available to assist graduate students during their career at the University. The *Graduate Education Catalog* is available on the web at <http://www.catalogs.umn.edu/grad/index.html>.

Please read the catalog—it is a superb source of information on the University of Minnesota Graduate School experience. Every student is responsible for meeting the regulations and requirements for graduate degrees as specified in this catalog.

OLPD Professional Activity Support

Financial assistance is made available by the Department to defray expenses for students who are making qualifying presentations at professional conferences. Qualifying requests will be considered as long as the allocated funds are available. Priority will be given to research papers and to presentations delivered at national or international conferences. Currently the funding limit is \$400 each fiscal year (July 1-June 30) to be apportioned among one or more trips. If co-authors are presenting, the maximum travel award will be divided equally among them. In no case will a travel award exceed \$400 for a single presentation.

The Travel Grant application is available at <http://www.cehd.umn.edu/olpd/current-students/travel-grant> and must be submitted to the administrative director at least 45 days in advance of planned travel. The application should include a copy of the acceptance confirmation along with a copy of the proposed paper. The Department expects recipients to share the knowledge and experience from their participation in conferences or professional meetings. Upon completion of the travel, grantees must submit a one-three page written report describing the paper presented (abstract, summary, etc.) and a brief overview of their experiences and learning from the conference. These reports will be posted on the OLPD website. Conference registration or travel expenses will be reimbursed upon return, and after receipt of report.

Students whose research is grant-funded should seek funding from the grant for travel. Other sources of funding and ways to reduce costs (e.g., sharing rooms at conference) should be investigated.

The Community of Scholars Program (COSP) has travel grants available for underrepresented domestic graduate and professional students. Up to \$1,000 per student is budgeted by COSP for students to present a paper at a national or international conference. Priority is given to first-time applications. A second award may be funded at 75% of an initial grant award; a third award may be funded at 50% of initial award. Requests must be submitted at least one month prior to travel. Underrepresented domestic students should call COSP at 612-626-4546 or go to <http://www.grad.umn.edu/outreach/COSP/> for more information.

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 340 Appleby 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, including dissertation and thesis support groups; graduate student seminars on topics such as time management, communicating with advisers, 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. Details are available online at <http://www.uccs.umn.edu/> or call 612-624-3323. For information about the types of academic assistance, click on “Learning and Academic Skills.” After students have completed a registration form in 340 Appleby Hall, they can sign up for an appointment to receive services.

Online Tutoring

Free writing tutoring is available for graduate students at Online Writing. Students submit electronic copies of their writing via the website (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 website for more information at <http://writing.umn.edu/sws/>.

Face-to-Face Tutoring

The Center for Writing provides face-to-face writing support by appointment. Staff can help you get started on papers or other writing projects, provide reader commentary on drafts, assist in learning and understanding the writing process, teach how to revise, edit, and proofread your own work. Student Writing Support is not a proofreading service; instead, writing consultants provide instruction and guidance to help students learn how to improve their own work by providing constructive feedback and using writing resources. Students can call or make an appointment online.

Proofing and Editing

The Department of English maintains a listserv of their graduate students and alumni who do proofing and editing as independent contractors. Email Karen Frederickson at frede005@umn.edu 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 <http://www.ofyp.umn.edu> or <http://www.grad.umn.edu/outreach/COSP/>.

WRIT 5051: Graduate Research Writing Practice for Non-native Speakers of English

WRIT 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.

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, 612-624-7859) and the St. Paul campus (48 McNeal Hall, 612-625-3121). While appointments are advisable, walk-in clients are accepted if time is available. Details can be found online at <http://www.stat.umn.edu/consulting/>.

OLPD Computers for Graduate Student Use

The computers in 310 Wulling are available for student research, but **ONLY** student research. The machines have the full Microsoft Office suite, including Word, Excel, Access, PowerPoint, and they also run SPSS v19.

These systems can be logged through the UMN AD account by using your UM x500 name and password. A list of first time users will be given to the Department technical coordinator to initialize their accounts.

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.

These machines can be used only for research –**not for writing papers, using email, or web surfing**. Use is also limited to OLPD students; other students are not allowed to use these resources.

If there are any problems, please report them to the technical coordinator online via the COCONUT at <http://coconut.umn.edu/education/user/contact> – ask the support staff in 330 Wulling to assist you with this task if needed.

Dictator/Transcriber Machines for OLPD Student Use

The Department has two dictator/transcriber machines that are available for student research use. One uses a standard cassette and the other a microcassette. Both can record from a phone. Contact the support staff in 330 Wulling Hall to check out equipment.

Office of Research Consultation and Services

The Office of Research Consultation and Services (ORCS) strives to maximize the potential contributions of College researchers to their fields and to the community. It is supported by the Dean of CEHD and faculty from Quantitative Methods in Education. The office provides professional consultation to advanced students in the following areas:

- developing testable research hypotheses
- matching research design with appropriate research questions, and vice versa
- selecting appropriate analyses
- planning data collection strategies
- selecting and developing tests, questionnaires and other assessment instruments
- using computing packages and statistical software
- interpreting analysis results

Please be aware that ORCS does not conduct statistical analysis for students nor provide consultation on course-related projects. They will refer you to your adviser for such things. ORCS also offers a referral service for advanced students who are available to provide tutoring in research methodology. More information about ORCS can be found at <http://www.tc.umn.edu/~orcs/> or by calling 612-624-4045.

Online Survey Access

The College of Education and Human Development has an online survey tool which will allow students and faculty to create surveys and questionnaires for research purposes. For more information, contact the Department's instructional technology fellow at olpditf@umn.edu.

Campus Events

Information about current campus events can be obtained at <https://events.umn.edu/>.

Organizational Leadership Student Association (OLSA)

The Organizational Leadership Student Association (OLSA) supports students in the program through a variety of activities: communications, mentoring program, seminars, and social gatherings. The mission of OLSA is to enhance the academic and social experience of OLPD students and to foster relationships within the OLPD community. The *OLSA Student Newsletter* and the bulletin board on 4th floor informs students of OLSA 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 OLSA bulletin board.

The OLSA organization has a Facebook page at

<http://www.facebook.com/pages/Organizational-Leadership-Student-Association-OLSA/102622606463847>.

Communications

Department Listserv

All Ph.D. and M.A. graduate students are on a Department listserv that is used to facilitate communication with the OLPD graduate students. The listserv is used by the OLPD Graduate Studies staff for the *OLPD Graduate Student Newsletter*, which provides degree and curricular updates, position openings, and special events. The *OLPD Graduate Student Newsletter* is sent about every two to four weeks.

Changing Address

When students change their mailing address, they must make the changes directly via the University's OneStop web portal at <http://onestop.umn.edu/>, click on "Personal Information". Department personnel cannot access the web to make these changes.

Web

A copy of this handbook (<http://www.cehd.umn.edu/olpd/handbooks/>) and more detailed information about faculty, curriculum and courses are available on the OLPD website <http://www.cehd.umn.edu/olpd>.

Mailboxes

For professional purposes, students are invited to use the office address (330 Wulling Hall, 86 Pleasant Street SE) for mail. Student mail will be sorted into the alphabetically grouped graduate student boxes in the mail box area of 330 Wulling Hall. Students are responsible for checking the boxes—mail is not forwarded.

Student Rights and Equal Opportunity

Three websites for reference:

- Board of Regents, Student Conduct Code, revised in 2006: http://www1.umn.edu/regents/policies/academic/Student_Conduct_Code.pdf
- Board of Regents, Academic freedom and Responsibility, adopted 9/8/95: http://www1.umn.edu/regents/policies/academic/Academic_Freedom.html
- Graduate Assistant Employment Services: <http://www1.umn.edu/ohr/gae/>

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 (612-624-9547).

Safety/Escort Services

The University provides a free “escort service” for students walking or biking to and from campus locations and nearby neighborhoods. To request an escort, students should call a student security monitor at 624-WALK shortly before your desired departure time. For more information, see <http://www1.umn.edu/police/escort.html>. Students are encouraged to feel free to use the service. For information about other safety issues or resources (blue emergency phones, bicycle theft, pedestrian and vehicle safety) see <http://www1.umn.edu/police/prevention.html>.

Web Resources

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

Requesting Transcripts

Instructions for requesting official and unofficial transcripts is available online at http://onestop.umn.edu/grades_and_transcripts/index.html.

Searching for Academic Positions

- The Chronicle of Higher Education Career Network – 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 at <http://chronicle.com/jobs/>
- Higher Education Jobs—<http://www.higheredjobs.com/>
- Graduate School of Library and Information Science (UT GSLIS)—<http://www.academic360.com/>

Research and Professional Ethics

Graduate School—<http://www.grad.umn.edu/ethics/>

Health Insurance

If registering for 6 or more credits, students 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.

If you have an assistantship, you have insurance benefits. For details, please check the website, <http://www.bhs.umn.edu/insurance/graduate/>.

College of Education and Human Development Website

The CEHD website (<http://www.cehd.umn.edu/>) contains a number of informational links to locations in the Department, the College, the Graduate School, and the University.

Please consult this site for resources in the following categories:

- Academics and Academic Support
- Financial and Career Support
- Forms
- Graduation and Commencement information
- Graduate Student Organizations: college, university, national
- News and events

Department Personnel

A list of links to individual profile pages with information about the academic background and areas of scholarly work of our faculty is available at <http://www.cehd.umn.edu/olpd/people>.

Faculty/Staff Directory

Name	Title	Phone	Address	Email
Alexander, Nicola	Associate Professor; Co-Coordinator of EdAd	624-1507	430A WullH	nalexand@umn.edu
Anderson, Melissa	Professor	624-5717	310B WullH	mand@umn.edu
Anderson, Orkideh	Coordinator of Undergraduate Studies	625-3150	110E WullH	orkideh@umn.edu
Ardichvili, Alexandre	Professor	626-4529	310E WullH	ardic001@umn.edu
Bartlett, Kenneth	Associate Professor; Associate Dean for Graduate, Professional, & International Programs	624-4935	104 BuH	bartlett@umn.edu
Brown, James	Professor	624-7754	330A WullH	brown014@umn.edu
Brunner, C. Cryss	Associate Professor	624-8527	310GWullH	brunner@umn.edu
Chapman, David	Birkmaier Professor of Educational Leadership	626-8728	310K WullH	chapm026@umn.edu
Christesen, David	Lecturer	625-2213	410H WullH	chri1614@umn.edu
DeJaeghere, Joan	Assistant Professor	626-8258	430B WullH	deja0003@umn.edu
Demerath, Peter	Associate Professor	626-0768	410G WullH	pwd@umn.edu
Dragseth, Kenneth	Director of Administrative Licensure; Co-Coordinator of EdAd	626-8647	210C WullH	drags002@umn.edu

Fry, Gerald	Professor	624-0294	410D WullH	gwf@umn.edu
Furco, Andrew	Associate Professor, Associate Vice Provost for Public Engagement	624-1562	130B MorH 210G WullH	afurco@umn.edu
Gaddey, Roy	Teaching Specialist	624-0494	110C WullH	ragaddey@umn.edu
Goh, Michael	Associate Professor	624-4885	430G WullH	gohxx001@umn.edu
Gupton, Jarrett	Assistant Professor	625-1896	210E WullH	gupton@umn.edu
Harkins, Arthur	Associate Professor	624-5244	310J WullH	harki001@umn.edu
Hendel, Darwin	Associate Professor; Coordinator of HiEd	625-0129	310H WullH	hende001@umn.edu
Hernandez, Jeremy	Coordinator of Graduate Studies	626-9377	330E WullH	herna220@umn.edu
Johnson, David R.	Senior Associate Dean for Research, Professor	624-1062 624-6300	102D Pattee 104 BuH	johns006@umn.edu
King, Jean	Professor, Director of Graduate Studies	626-1614	430F WullH	kingx004@umn.edu
Krueger, Richard	Senior Fellow	624-6754	210G WullH	rkrueger@umn.edu
Magnusson, Deanne	Lecturer; Coordinator of International Initiatives	626-9647	410A WullH	magnu002@umn.edu
Moravec, John	Lecturer	625-3517	140C WullH	moravec@umn.edu
Nickerson, Neal	Professor Emeritus	624-0815	430H WullH	nicke001@umn.edu
Paige, R. Michael	Professor	626-7456	210D WullH	r-paig@umn.edu
Park, Rosemarie	Associate Professor	625-6267	410E WullH	parkx002@umn.edu
Peterson, Shari	Associate Professor, Coordinator of WHRE	624-4980	410J WullH	peter007@umn.edu
Quast, Louis	Hellervik/PDI Endowed Chair in Adult Career Development, Associate Department Chair	626-4849	210A WullH	louquast@umn.edu
Ropers-Huilman, Rebecca	Professor, Department Chair	626-5996	330C WullH	ropers@umn.edu
Schneider, Byron	Associate Professor	624-2590	410B WullH	schne003@umn.edu
Seashore, Karen	Regents Professor, Director of Undergraduate Studies	626-8971	310D WullH	klouis@umn.edu
Stertz, Thomas	OPDO Coordinator	625-7250	460 LES	ster0112@umn.edu
Twohig, Catherine	Lecturer	624-7463	210B WullH	twoh0001@umn.edu
Vavrus, Frances	Associate Professor, Coordinator of CIDE	625-5663	410K WullH	vavru003@umn.edu
Wahlstrom, Kyla	Director, CAREI	624-1890	425 VoTech	wahls001@umn.edu
Weerts, David	Associate Professor, Co-Director of the Jandris Center for Innovative Higher Education	625-2289	330A WullH	dweerts@umn.edu
Yeh, Stuart	Associate Professor, Coordinator of ES	624-0285	430C WullH	yehxx008@umn.edu
York-Barr, Jennifer	Professor	625-6387	430C WullH	yorkx001@umn.edu

Support Staff

Office hours: 7:45 am-4:30 pm Fax: 612-624-3377

Name	Title	Phone	Address	Email
Beverage, Sara	Registration and Scheduling	624-7574	110 WullH	sara@umn.edu
Bishop-Hogan, Julie	Front Desk Principal Office Specialist	624-1006	330 WullH	bisho025@umn.edu
Elrich, Linda	Administrative Director, OLPD	624-3472	330B WullH	elric001@umn.edu
Grafton, Daniel	Graduate Studies Staff	624-8054	330 WullH	graft003@umn.edu
Gustafson, Jodie	Web Guru	624-6798	330 WullH	gusta042@umn.edu
Potter, Karen	Administrative Licensure Project Specialist	625-9087	210 WullH	kppotter@umn.edu
Schintz, Linda	Undergraduate Studies Principal Office Specialist	624-3004	110 WullH	schin003@umn.edu

CEHD Technical Staff

Name	Title	Phone	Address	Email
Woldeab, Daniel	IT Fellow	624-7780	110 WullH	wold0117@umn.edu olpditf@umn.edu
Swanberg, Levi	Technical Coordinator		140A WullH	levi@umn.edu
Zeru, Meseret	Technical Coordinator		140A WullH	zerux001@umn.edu