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# Department of Organizational Leadership, Policy and Development

## Ph.D. Handbook

### 2013-2014

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**Note:** *The OLPD major name and required coursework listed in this handbook reflect the approved changes made to the Department's Ph.D. curriculum by the University of Minnesota Board Of Regents during Summer 2013. Current students retaining the former EDPA and WHRE major names should refer to the 2012-1013 OLPD Ph.D. Handbook for those curricula. If you have any questions regarding this matter, please contact your adviser.*

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**TO:** New Students Fall 2013

**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 2013-2014 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 Comparative and International Development Education, Education Policy and Leadership, Evaluation Studies, Higher Education, and Human Resource Development. 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, welcomes your ideas and 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 is made possible by the people and organizations in OLPD, across the University of Minnesota and throughout the metro area.

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](mailto: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. The University of Minnesota Graduate Education Catalog (provides information about major program regulations) and the Twin Cities Class Schedule (includes regulations and deadlines for that semester). The Graduate School Policies and Governance website at [http://www.grad.umn.edu/deans-office/policies\\_governance/index.html](http://www.grad.umn.edu/deans-office/policies_governance/index.html) is also useful. These resources and many others are available via the web as listed throughout 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.

## How This Handbook Is Organized

This OLPD handbook has been re-organized from those provided in prior years to reflect changes made to Graduate School, College, and Department policy and procedures made in the last year.

- **Chapter 1:** an Introduction to the Department and its structure.
- **Chapter 2:** focuses on major expectations of OLPD graduate students.
- **Chapter 3:** describes the required coursework and thesis credit requirements for each of the OLPD program track.
- **Chapter 4:** describes the milestone steps that PhD students must take to complete the program in addition to coursework and thesis credits.
- **Chapter 5:** provides an overview of common administrative processes OLPD students sometimes have to negotiate.
- **Chapter 6:** provides information on additional resources available to graduate students in the Department and University that students may find beneficial.

## 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, education policy and leadership, evaluation studies, higher education, and human resource development.

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 OLPD 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).

- **Department Chair:** 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.
- **DGS:** The DGS, in conjunction with the department chair, represents the Department to both the University's Administration and the Graduate School.
- **Individual Program Coordinators:** 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.

- **CGS:** 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 (typically during the second year) to serve as their new adviser. It is important to note that the faculty member may or may not agree to serve as new adviser. However, the OLPD 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 an adviser who is an approved member of that minor in addition to their major adviser. The minor adviser must be a member of the student's preliminary examination committee and serve on the final examination 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 CGS (on behalf of 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 CGS and the student. Students are responsible for contacting their advisers to develop plans for making satisfactory progress by the deadlines.

Individual programs and/or advisers may also perform annual or semi-annual reviews of their students.

## 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, education policy and leadership, evaluation studies, higher education, and human resource development. In some areas, OLPD also offers a doctor of education degree and a master's of education degree. The Department offers a graduate minor in program evaluation, and sociocultural studies in education, and collaborates in graduate interdisciplinary minors in international education and integrative leadership. 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 College of Education and Human Development.

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, education, 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: Joan DeJaeghere**

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 and intercultural/international education.

- **Education Policy and Leadership (EPL)**

**Coordinator: Cryss Brunner**

EPL 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 (HE)**

**Coordinator: David Weerts**

HE 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.

- **Human Resource Development (HRD)**

**Coordinator: Shari Peterson**

HRD examines the purposes, practices, issues, and problems of organization development and change, training and development, and career development, as well as the social, international, economic, historical, cultural, educational, technological, and psychological contexts within which HRD exists. Problems and issues are explored within various modes of research that contribute to the knowledge base of HRD. The study of HRD is informed by theoretical foundations including those of adult learning and development and workforce education.



## CHAPTER 2: THE ENVIRONMENT OF YOUR EXPERIENCE

This chapter provides general overarching rules and knowledge that you should be aware of throughout your program.

### The Big Three Macro Level Rules You Need to Know

There are many rules and policies at the University of Minnesota. At the macro level, there are three main ones you need to be aware of at all times as a doctoral student.

#### Rule #1: The Continuous Enrollment Rule

All graduate students must register for something every Fall and Spring semester in order to maintain active student status. Failure to register by the last day of the “Add” period in a given Fall/Spring will result in your automatic discontinuation from the program. You would have to reapply for admission into the program in such a scenario and readmission is never guaranteed.

Just to be clear, if you violate the Continuous Enrollment rule, you will be discontinued on the spot and will no longer be considered active in the program. This is automatically done every Fall and Spring semester after the last registration “Add” day. It does not matter if you have completed all your required coursework or if you have completed all thesis credits as described in Chapter 3, you must register for something every Fall and Spring semester to remain an active student. If you are in this situation at some point, see Chapter 5 for special registration alternatives or contact the CGS.

#### Rule #2: Maintaining Good Milestone Progress

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. Individual programs and/or faculty advisers may also conduct reviews of your progress.

If your progress is found to be deficient (see expectations in Chapter 4), you will be notified in writing of the deficiencies and will be afforded an opportunity to demonstrate improvement. The CGS 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 CGS and the student. Students are responsible for contacting their advisers to develop plans for making satisfactory progress by the deadlines. If this is not done, a registration hold may be placed on your record until the issue is resolved.

#### Rule #3: The 8-Year Time Limit

Regardless of whether you are attending the Ph.D. program on a full- or part-time basis, all requirements for the doctoral degree must be completed and the degree awarded within eight years after admission and matriculation to the graduate program. Students who are unable to complete the degree within the time limits described above may petition the Department and College for one extension of up to 24 months. More information about time extension petitions can be found in Chapter 5.

## Know Your Bureaucracy

Throughout your time as a graduate student, you will be dealing with six main entities at the University. There may be others depending on your individual circumstance, but all students deal with each of the ones listed below at one time or another. This section provides a brief description of each.

- **The Graduate School:** The Graduate School sets policies and rules that affect all graduate students at the University. They are the final authority in handling major disputes and/or interpretations of policy involving doctoral students.
- **The GSSP Office:** The Graduate Student Services & Progress (GSSP) is the final stop for many of the milestone forms described in Chapters 4 and 5. The GSSP office maintains the official Graduate School milestone database used by the University to determine student progress and degree conferral. Many of the online forms on the Graduate School's website are administered by the GSSP office. The GSSP office also performs checks of student records prior to key milestone steps and generates key exam forms not available to students online.
- **The CEHD Dean's Office (aka The College):** OLPD is a department within the College of Education and Human Development (CEHD). The College oversees and develops policies and rules that affect all CEHD graduate students and CEHD departments. The College may have rules that are stricter than those of the Graduate School, but they cannot be more lenient. Many of the forms and processes described in Chapters 4 and 5 must get final approval from the CEHD Dean's Office before they are considered approved/complete. The College also confers all graduate degrees originating from departments under its purview.
- **The Department:** The Department sets policies and rules common to all five program tracks and is governed collectively by the OLPD faculty. The Department may have rules that are stricter than those of the Graduate School and/or College, but they cannot be more lenient. Many of the forms and processes described in Chapters 4 and 5 must be approved at the Department level before they can be approved at higher levels. The DGS and CGS are charged with enforcing the Department's policies and rules as well as approving most forms requiring a departmental approval.
- **Your Individual Program Track:** As was described in Chapter 1, OLPD has five major program tracks (CIDE, EPL, ES, HE, and HRD). Although all tracks adhere to Department rules, they often have their own expectations, rules, and norms concerning their graduate students. Individual program tracks may have rules that are stricter than the Graduate School, College, or Department, but they cannot be more lenient. Each individual program track also determines the curriculum that makes up the program track core (see Chapter 3 for each program track's curriculum).
- **The One Stop Office:** Also known as One Stop Student Services, this office provides assistance to all University students dealing with issues that cut across the University regardless of degree or program. One Stop provides services to students online, by email, on the phone, and in person. They can provide expert advice on questions or concerns about your registration, financial aid, student accounts, billing, payments, and veterans' benefits. As of the time of this writing, One Stop is also the office where Applications to Graduation are sent at the conclusion of your program need to be sent. More information on One Stop can be found at <http://onestop.umn.edu>.
- **International Student & Scholar Services (ISSS) office:** The ISSS office provides many services to the University's international student community. ISSS works with students and scholars holding F, J, H, and O visas with issues that can affect their visa status. ISSS also provides counseling to international students and scholars about academic, personal, and family matters, as well as issues of cross-cultural adjustment and professional integration upon returning home. For international students, many of the processes and special registration options described in Chapters 4 and 5 involve the ISSS office. More information about ISSS and its many services can be found at <http://www.iss.umn.edu>.

## Department Expectations of You

### Scholastic Writing

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.

### 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 on 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

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' Student Conduct Code:  
[http://regents.umn.edu/sites/default/files/policies/Code\\_of\\_Conduct.pdf](http://regents.umn.edu/sites/default/files/policies/Code_of_Conduct.pdf)
- 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://regents.umn.edu/sites/default/files/policies/Academic\\_Misconduct.pdf](http://regents.umn.edu/sites/default/files/policies/Academic_Misconduct.pdf)

## Student Rights and Equal Opportunity

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).

Three websites for reference:

- Board of Regents, Student Conduct Code, revised in 2006:  
[http://regents.umn.edu/sites/default/files/policies/Code\\_of\\_Conduct.pdf](http://regents.umn.edu/sites/default/files/policies/Code_of_Conduct.pdf)
- Board of Regents, Academic Freedom and Responsibility, adopted 9/8/95:  
[http://regents.umn.edu/sites/default/files/policies/Academic\\_Freedom.pdf](http://regents.umn.edu/sites/default/files/policies/Academic_Freedom.pdf)
- Graduate Assistant Employment Services:  
<http://www1.umn.edu/ohr/gae>

## Principles for High Quality Graduate Advising

The goal of graduate advising in OLPD is to help each student fulfill his/her full potential. To achieve this goal, the OLPD faculty strive to meet the following principles for high quality advising. These principles are listed here to inform students what they should expect in the adviser/advisee relationship:

1. **Availability/accessibility via multiple means.** Students should expect a response within a reasonable amount of time, depending on the issue. When advisers know they will be inaccessible for an extended period of time (e.g., international travel, sabbatical, or other leave), they should notify their advisees and make plans for advising support in their absence.
2. **Frequency of contact via multiple means.** Advisers should meet with students taking coursework at least once per semester, either in an individual or group setting. Advisers should meet with students at the thesis or dissertation stage individually at least once per semester. Advisers should meet with their advisees at all milestones and critical points of progress (e.g., written preliminary exam, prospectus, oral preliminary exam, thesis/dissertation chapters as they are written, and final draft).
3. **Students should expect substantive and constructive feedback on their work.** The extent of feedback may vary from one adviser to another, and it is important for students and advisers to discuss expectations for feedback early on in the advising relationship.
4. **Adviser match.** In general, advisers are initially matched with students based on the following criteria: mutual agreement, intellectual alignment, methodological alignment, and topic of interest. M.A. and Ph.D. students will be matched to advisers on as many of these criteria as possible, but students may not

necessarily be assigned to the adviser they prefer because of existing advising demands on faculty or other constraints on faculty time.

5. **Trust and a low-risk relationship and environment.** Students should feel comfortable discussing issues related to their academic progress with their advisers. Advisers must be attuned to students' varying backgrounds and needs and adapt their advising style to those needs. Students and advisers must also work together to create a healthy and mutually respectful environment for learning. This requires both students and advisers using professional language to communicate expectations and following through on the commitments they make to each other.
6. **Mentoring students around professional opportunities.** Students should expect advisers to provide support for ongoing professional development (e.g., mentoring; professional socialization; finding awards, scholarships, and internship opportunities). Advisers should write reference letters in a responsive way, alert students to opportunities, and encourage students to apply for specific professional opportunities.
7. **Students make adequate yearly progress.** Advisers should ensure that students complete benchmarks in a timely manner as specified in the review of annual progress, even after the coursework portion of a program is complete. For example, full-time M.A. students should complete their programs within 2 years; part-time M.A. students should complete their programs within 3-4 years. Full-time Ph.D./Ed.D. students should complete their programs, including their dissertations, in 4-6 years; part-time non-cohort student should complete their programs, including their dissertations, in 5-8 years.
8. **Providing guidance, clarity, and resources on the ethical standards of earning an advanced degree** (e.g., intellectual property rights, plagiarism, and co-authorship).

## Department Communication

The University provides students with an email account upon matriculation to the institution. This account is free of charge and currently is active as long as the student remains active. This University assigned student email account will be the University's official means of communication with all students. Students are responsible for all information sent to them via their University assigned email account. If you choose to forward your University email account, you are responsible for all information, including attachments, sent to any other email account.

All active OLPD doctoral and master's degree graduate students are on a Department listserv that is used to facilitate communication with 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. The listserv is also used to send out important notices affecting OLPD students.

## Your Department Student Organization: OLSA

The Organizational Leadership Student Association (OLSA) supports students in the Department through a variety of activities: communication, 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 inform 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. See more information at <http://www.cehd.umn.edu/olpd/OLSA>.

## Graduation and Commencement

The term “graduation” is often confused with “commencement”; they are different and have different deadlines and procedures. While the graduate 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 online Commencement Attendance Approval Form (which will be made available in late Fall on the CEHD website) must be turned in and approved about three months before the commencement ceremony in early May. The Commencement Attendance Approval Form must be approved by the adviser and DGS. The adviser’s approval 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. 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 160 Williamson 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 3: OLPD PHD PROGRAM COURSEWORK

This chapter describes OLPD Ph.D. course and dissertation credit requirements for all five program tracks. It also discusses policy related to transfer credits and listing OLPD program courses taken prior to the formation of the Department in 2009 and OLPD course designator in 2012.

### The Ph.D. Program

Currently the Department offers a doctor of philosophy degree in organizational leadership, policy, and development with five distinct tracks (CIDE, EPL, ES, HE, and HRD). All program tracks require the following areas be completed: department core, program core and other program courses, and supporting program or minor coursework. 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. All program tracks also require 24 thesis credits be taken.

The Graduate School requires that all incoming Ph.D. students complete their degrees within eight years of their initial matriculation into the program. Students unable to complete the program within the eight year time frame for legitimate reasons may petition for a time extension (see Chapter 5 for details). It is important to note that time extension requests are never automatic and may be denied.

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/students/registration/activestatus/index.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.

For all OLPD Ph.D. programs, the maximum total credits needed in coursework is 46-48 semester credits (number varies by program; see below). Students should consult with their advisers before electing a pass/fail grading option (called “S/N” here) for specific courses if it is an option. In addition to the course credits, 24 semester thesis credits are needed to meet graduation requirements.

In addition to coursework, 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.

Total classroom course credits required by program track:

CIDE: 48 credits

EPL: 46 credits

ES: 48 credits

HE: 48 credits

HRD: 48 credits

Total: 46-48 credits of coursework plus 24 thesis credits

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 OLPD Department Core

All Ph.D. students complete the departmental core as part of their program track. The departmental core is a set of prescribed courses that provides Ph.D. students with a common base of knowledge. The core consists of two common courses—OLPD 8011 and OLPD 8015—as well as 12 credits of methods courses. 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.

## Program Area Coursework

### Comparative and International Development Education Coursework (48 credits)

#### OLPD DEPARTMENTAL CORE (16 credits minimum)

- OLPD 8011—Doctoral Research Seminar I (1 cr) [take fall semester of first year]
- OLPD 8015—Research Design and Educational Policy (3 cr) [take spring semester of first year]
- Quantitative course (3 cr, with approval of adviser)
- Qualitative course (3 cr, with approval of adviser)
- Additional methods courses (6 cr, with approval of adviser)

**CIDE PROGRAM CORE** (20 credits minimum, which includes the OLPD 8121 series, specialization courses for one of the two CIDE specializations, and CIDE electives; courses not specifically listed below should have adviser approval)

- OLPD 8121-2—Doctoral Seminar: CIDE I (2 cr)
- OLPD 8121-3—Doctoral Seminar: CIDE II (2 cr)
- OLPD 8121-4—Doctoral Seminar: CIDE III (2 cr)

**Specialization:** Comparative and International Development Education  
(choose 6 cr, at least one course must be at 8xxx level)

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

**Specialization:** Intercultural/International Education (choose 6 cr)

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

**CIDE Electives:** (8 credits from the list below)

- OLPD 5044—Introduction to the Economics of Education (3 cr)
- OLPD 5056—Case Study for Policy Research (3 cr)
- OLPD 5061—Ethnographic Research Methods (3 cr)
- OLPD 5080—Special Topics: Human Rights Education (3 cr)
- OLPD 5095—Problems: Educational Policy & Administration (3 cr) [Understanding Southeast Asia]
- OLPD 5102—Knowledge Constructions & Applications in Int'l Development Contexts (3 cr)
- OLPD 5107—Gender, Education, and International Development (3 cr)
- OLPD 5144—Cultural Models, Simulations and Games (3 cr)
- OLPD 5381—The Search for Children and Youth Policy in the U.S. (3 cr)
- OLPD 8104—Innovative Systems Thinking in Education and Culture (3 cr)



- OLPD 8087—Seminar: Educational Policy and Administration (1-2 cr) [Adv Seminar in Int'l Development Education: The Mastercard Foundation Grant Project on Youth Livelihoods]
- OLPD 8087—Seminar: Educational Policy and Administration [Pro Seminar in CIDE]

*Any specialization core course not being used as core class can become an elective.*

**ADDITIONAL COURSEWORK** (12 or more credits to meet requirement that 12 cr be taken outside CIDE program track or for a graduate minor)

### **Education Policy and Leadership Coursework (46 credits)**

**OLPD DEPARTMENTAL CORE** (16 credits minimum)

- OLPD 8011—Doctoral Research Seminar I (1 cr) [take fall semester of first year]
- OLPD 8015—Research Design and Educational Policy (3 cr) [take spring or summer semester of first year]
- Quantitative course (3 cr, with approval of adviser)
- Qualitative course (3 cr, with approval of adviser)
- Additional methods courses (6 cr, with approval of adviser)

**EPL PROGRAM CORE** (18 credits)

- OLPD 5001 - Formal Organizations in Education (3.0 cr)
- OLPD 5346 - Politics of Education (3.0 cr)
- OLPD 8020 - Leadership: From Theory to Reflective Practice (3.0 cr)
- OLPD 8302 - Educational Policy Perspectives (3.0 cr)
- OLPD Electives: 6 cr (with approval of adviser)

**ADDITIONAL COURSEWORK** (12 or more credits; Courses not specifically listed should have adviser approval)  
To meet supporting program requirement outside EPL program track or for a graduate minor.

### **Evaluation Studies Coursework (48 credits)**

**OLPD DEPARTMENTAL CORE** (16 credits minimum)

- OLPD 8011—Doctoral Research Seminar (1 cr) [taken fall term of first year]
- OLPD 8015—Research Design and Educational Policy (3 cr) [taken spring term of first year]
- Quantitative course to be determined by student and adviser (3 cr; inside or outside department)
- Qualitative course to be determined by student and adviser (3 cr; inside or outside department)
- 6 credits of additional methods courses to be determined by student and adviser

**ES PROGRAM CORE** (20 credits)

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

**ADDITIONAL COURSEWORK** (12 or more credits; Courses not specifically listed should have adviser approval)  
To meet requirement that 12 cr be taken outside ES program track (can be OLPD courses if adviser deems appropriate) or for a graduate minor.

## Higher Education Coursework (48 credits)

### OLPD DEPARTMENTAL CORE (16 credits minimum)

- OLPD 8011—Doctoral Research Seminar I (1 cr) [take fall semester of first year]
- OLPD 8015—Research Design and Educational Policy (3 cr) [take spring semester of first year]
- Quantitative course (3 cr, with approval of adviser)
- Qualitative course (3 cr, with approval of adviser)
- Additional methods courses (6 cr, with approval of adviser)

### HIGHER EDUCATION PROGRAM CORE (21 credits)

- OLPD 5701—U.S. Higher Education (3.0 cr)
- OLPD 5704—College Students Today (3.0 cr)
- OLPD 8702—Administration and Leadership in Higher Education (3.0 cr)
- OLPD 8703—Public Policy in Higher Education (3.0 cr)
- OLPD Electives: 9 cr focused on Higher Education (with approval of adviser)

### ADDITIONAL COURSEWORK (11 or more credits; Courses not specifically listed should have adviser approval)

To meet requirement that 12 cr be taken outside Higher Education program track (can be OLPD courses if adviser deems appropriate) or for a graduate minor.

## Human Resource Development Coursework (48 credits)

**Note:** The departmental core courses are integrated throughout the HRD coursework.

### RESEARCH (23 credits)

In consultation with one's adviser, student must complete the following:

- 3 cr qualitative foundations course
- 3 cr quantitative foundations course
- 6 crs of methods courses
- 3 cr statistics
- 5 cr of capstone year-long research course
- OLPD 8015—Research Design and Educational Policy (3.0 cr, taken in first year)

### SKILLS AND SPECIAL TOPICS (16 credits)

- 15 credits of electives in consultation with one's adviser
- OLPD 8011—Doctoral Research Seminar I (1.0 cr, taken in first year)

### SPECIALIZATION (9 credits; courses must have adviser approval)

- OLPD 8xxx level theory seminar (3 cr)
- Two or three 8xxx level Special Topics seminars offered by various HRD faculty (2-3 cr each for a total of 6 cr)

## Thesis Credits

All Ph.D. students are required to register for 24 semester thesis credits (listed under OLPD 8888—Thesis Credits: Doctoral) after completing the preliminary oral exam. The 24 credits must be taken over two or more terms. 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 College, 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 9 credits of previous graduate 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. If a student's prior graduate degree was in a similar program as the current Ph.D. program track and/or involved taking OLPD graduate courses as a non-degree seeking student, an additional 9 credits may be transferred for a total of 18 credits.

Transfer of credits requires adviser approval in accordance with each student's individualized Ph.D. program plan. 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 Graduate Degree Plan form. Credits not accepted as part of a student's degree plan cannot be transferred to the University of Minnesota graduate transcript.

**Graduate Education 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 [www.catalogs.umn.edu/grad](http://www.catalogs.umn.edu/grad).

- 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 program at the University of Minnesota will not be accepted for transfer.
- 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.

### Transferring in OLPD Coursework Taken Prior to Spring 2012

Prior to Spring 2012, OLPD courses were listed under five course designators (ADED, BIE, EDPA, HRD, and WHRE). Students transferring in courses under these designators need to list them as such in the Graduate Degree Plan form.

### OLPD Course Designator Conversion

Conversion tables for ADED, BIE, EDPA, HRD, and WHRE courses to their OLPD course designator equivalents can be found at <http://www.cehd.umn.edu/olpd/designators>.

## CHAPTER 4: THE PH.D. JOURNEY STEP BY STEP

During the program, students complete a fixed series of milestones, examinations, and papers in the order listed below. Some milestones have specific time deadlines while others allow for some flexibility. This chapter seeks to explain each milestone step to students regardless of whether they are attending full-time or part-time. Each milestone is explained in greater detail within this chapter, and an overview of the milestones and department expectations can be found in the table below.

<b>Milestone</b>	<b>When should you be doing this?</b>
<b>1. Getting Started</b>	Prior to the first term by reading any recommended core texts and communicating with adviser
<b>2. Declare a Minor (optional)</b>	Ideally prior to submitting Graduate Degree Plan form (cannot be added after oral prelim exam)
<b>3. Submit the Graduate Degree Plan form*</b>	No later than Fall term of 2nd year if full-time or 30 credits (cr) completed in the program if part-time (whichever comes later)
<b>4. Establish Preliminary Committee*</b>	Within three months of Graduate Degree Plan form submission
<b>5. Written Preliminary Exam*</b>	When you have completed at least 20 cr but not more than 40 cr of actual coursework (not including any transfer credits)
<b>6. Special Paper (all except HRD)</b>	Consult adviser after the Written Prelim Exam
<b>7. Oral Preliminary Exam*</b>	Within two semesters after term passing the written prelim exam (including summer term)
<b>8. Take Thesis Credits</b>	Can only be done after passing the oral preliminary exam
<b>9. Prospectus (Proposal) Meeting*</b>	No later than six months after passing oral preliminary exam
<b>10. Establish Final Exam Committee*</b>	Within 30 days of prospectus meeting
<b>11. Human Subjects Approval (IRB approval)</b>	If dissertation project involves human subjects, this must be done before research can be conducted
<b>12. Dissertation Research/Write Up</b>	After IRB approval is received
<b>13. Reviewers' Report</b>	Must be signed by all readers on the final exam committee prior to the final oral exam
<b>14. Final Oral Exam (sometimes called Final Defense Meeting)</b>	Must be held on a date agreed upon by all members of the final examination committee
<b>15. Wrapping Things Up</b>	Work with adviser/committee to make revisions on the dissertation as determined at end of Final Defense exam and submit all documents to the Graduate School. Dissertation must be deposited prior to the end of the 8 <sup>th</sup> year in the program

*\*Students not completing this step within the prescribed time frame risk having a registration hold placed on their record until such time as the milestone is accounted for or alternative arrangements have been made. A hold means that you cannot register for any classes.*

## Milestone #1: Getting Started

Getting started in the program can be a daunting experience, especially if you are new to this University. With this in mind, the following should help in getting you started in the program.

### Meet With Your Faculty Adviser

Upon admission to the program, students are automatically assigned a faculty adviser or two co-advisers. Your faculty adviser(s) will play a crucial role throughout your doctoral experience and possibly beyond, so establishing a good working relationship early will be vital to your success. You are strongly encouraged to make an appointment to meet with your new adviser as well as to attend the OLPD New Graduate Student Orientation that is held just prior to the start of the Fall semester as it will help you start your journey to the Ph.D. Even if you know you may want to change advisers at a future point, it is a good idea to meet with your assigned adviser to get situated in the program and to learn more about each other.

Possible talking points include:

- Initial coursework to be taken in the first year
- Possible transfer courses
- Long-term academic plans
- Potential career goals now that you are here (e.g. Do you want to become faculty? An administrator? Researcher? Consultant? etc.).
- Your potential timeline to completion if attending part-time, have significant family or work responsibilities, or have any special needs that may affect your ability to meet milestones as expected
- Interests you may have going forward (e.g. Do you want to incorporate practical experience along with coursework? Do you want to be part of a research project?)

### Take OLPD 8011

All new OLPD Ph.D. students are required to enroll in OLPD 8011—Doctoral Research Seminar in their first Fall semester. This course is intended to: 1) Introduce you more fully to your doctoral program in OLPD; 2) Introduce survival skills and tips for completing the program in a way that yields the greatest possible intellectual returns to you; 3) Expose you to the professional opportunities, organizations, journals, etc., in the field as a whole with specific attention to your program; 4) Expose you to strategies for quickly gaining knowledge and expertise in a scholarly subtopic of interest to you; and 5) Help you develop a support network of fellow students and faculty.

### Frequently Asked Questions

***I have never attended the University of Minnesota before. How do I register for courses?***

The University's registration system is run by the One Stop office (<http://onestop.umn.edu>). One Stop has an online tutorial on how to register for University classes at <http://onestop.umn.edu/registration/prepare/tutorial/index.html>.

***If I am unable to either contact my adviser or make an appointment in a timely matter, is there someone else I can speak with?***

You are encouraged to meet primarily with your faculty adviser for most matters, but if there is an urgent or pressing matter that cannot wait you may contact the faculty coordinator of your program and/or the CGS.

## Milestone #2: Declare a Minor (Optional)

OLPD Ph.D., Ed.D., and M.A. students are eligible to complete a minor in another OLPD program or outside of the department. **Taking a minor is optional.** If interested in pursuing a minor, students are strongly encouraged to first discuss the possibility with their faculty adviser. Some minors are more complementary to a given major program than others in terms of course requirements and personal goals.

Minor programs housed within OLPD include:

- Integrative Leadership (an interdisciplinary minor)
- International Education (offered through CIDE)
- Program Evaluation (offered through Evaluation Studies)
- Social and Philosophic Studies Education (an interdisciplinary minor) – *This minor is currently under revision*

Students enrolling in a minor will be assigned a minor adviser. The minor adviser must be assigned as an outside member on both your preliminary and final examination committees (see Milestones # 4 and #10 for information on committees). Your major adviser cannot also be your minor adviser.

Every minor has its own DGS just as there is one for the OLPD major itself. The DGS of the minor is required to sign all paperwork you submit concerning curricular matters.

### Frequently Asked Questions

#### ***Do I have to declare a minor?***

No. Declaring a minor is optional.

#### ***Where can I find a list of all possible minors?***

A current listing of all graduate minors (program related and free standing) can be found in the Graduate Education Catalog at <http://www.catalogs.umn.edu/programs.html>.

#### ***How do I declare a minor if I do want one?***

A minor is officially declared by listing it on the Graduate Degree Plan form (see next milestone step) and having the DGS of the minor approve the form just as the DGS of your major would. Many minor programs require students to apply for admission to the minor prior to declaration. Students should refer to the Graduate Education Catalog or the minor program's website for more information on steps needed to apply.

#### ***When can I declare a minor?***

Ideally the minor should be declared when completing the Graduate Degree Plan form. A minor can be declared after this time, but it must be done prior to taking the oral preliminary exam, and a revised Degree Plan form would need to be submitted. The University prohibits minors from being declared after taking the oral preliminary exam.

#### ***My dissertation project does not involve my minor at all. Do I still need to have my minor adviser on my preliminary and/or final committee?***

Yes, if you want to keep the minor. A requirement of having a minor is that the minor adviser must be an outside member of your committee throughout your entire program. If the minor adviser is removed, the minor will be removed from your record, even if you have completed all the required coursework.

#### ***How do I drop a minor?***

If a minor has been declared on the Graduate Degree Plan form, it may be dropped via a general Petition Form (<http://policy.umn.edu/forms/otr/otr190.pdf>) so long as that is the only change being made. If coursework listed on the Graduate Degree Plan form is also being changed, please consult with the department CGS for additional instructions.

***I need to make a change to my Graduate Degree Plan, but the change does not involve credits applying to the minor. Do I still need to obtain the minor DGS signature?***

Yes. Students with a minor are required to obtain signatures from both the major DGS and minor DGS for any forms that involving curriculum.

## **Milestone #3: Graduate Degree Plan Form**

All M.A., Ed.D., and Ph.D. students are required to complete a Graduate Degree Plan (GDP) form. The GDP should be filed no later than either first term of 2nd year in the program or when you have completed 30 course credits in the program (whichever comes later). Failure to do so may result in a registration hold being placed on your record until this milestone is achieved.

In all cases, the GDP must be filed before taking the Preliminary Written Exam and at least one semester before the Preliminary Oral Exam.

This GDP form serves several purposes, including:

- Chronicling all coursework that will count towards the degree
- Establishing a minor (if applicable)
- Recognizing courses that will count as transfer credits

This form is available online at [www.policy.umn.edu/forms/otr/otr198.pdf](http://www.policy.umn.edu/forms/otr/otr198.pdf).

Given the importance of this form, you are strongly encouraged to read the instructions that accompany the online GDP form before completing it. You are expected to list chronologically all courses counting towards your program, including transfer credits and those from previous graduate work being applied to this program. This must be approved by the adviser, the OLPD DGS (or CGS), and the DGS of the minor (if applicable) via signature. Once signed, the Department will send it to the CEHD Dean's Office for final approval. If approved, the Graduate School will then record this milestone onto your record. On average, this process takes approximately 4-6 weeks from beginning to end.

### **Frequently Asked Questions**

***Can you explain how I fill out the two columns labeled "Major" and "Other"?***

This can be confusing to many, but here is the basic rule:

- Any University of Minnesota graduate-level coursework with the designator OLPD, ADED, BIE, EDPA, HRD, and/or WHRE that are not counting towards a minor should be listed under "Major."
- Everything else should be listed under "Other," even if it is a required course by your program track.

***I do not know which courses I will be taking in the future, so do I need to list them now?***

Yes, students submitting a GDP must list all courses counting towards the degree that they have taken, are currently taking, and/or expect to take in the future. Your adviser can assist you with this. If one or more future course predictions turn out to be incorrect, the form can be updated later.

***I know which courses I plan to take in the future, but I do not know when they will be offered. How do I list them?***

As mentioned in the previous question, students submitting a GDP must list all courses counting towards the degree that they expect to take in the future. If one or more future course predictions turn out to be incorrect, the form can be updated. To minimize this risk, students should consult with their adviser and/or program coordinator about upcoming courses prior to completing the GDP.

**Okay, it is now “later”. I submitted a GDP form with what is now incorrect course information. How do I update my GDP?**

The answer depends on the extent of your update.

If the update only involves 1-2 classes (e.g., you took a given class in Spring 2015 instead of Fall 2014, or you took OLPD 5063 instead of the OLPD 5064 as you had listed), you may try to update it using a general Petition Form (<http://policy.umn.edu/forms/otr/otr190.pdf>) as opposed to completing an entirely new GDP form.

If the update(s) are larger and/or more complex in scope, a new GDP form will need to be submitted.

This is not an exact science, so please consult with the CGS if you have specific questions about which option to go with.

**I have a minor. If I am making a course update/change that does not involve my minor, does the minor DGS still need to sign the revised GDP or general petition form?**

Yes. Students with a minor must obtain signatures from both the OLPD DGS and the Minor program DGS for any form involving curricular updates/changes.

## Milestone #4: Establish/Updating Your Preliminary Examination Committee

Once your Graduate Degree Plan form is accepted, you will need to establish a preliminary exam committee. **This must be done within three months of submitting the GDP form.** Failure to do so may result in a registration hold being placed on your record until a committee is assigned.

You should work with your adviser to identify individuals who may fit well on the committee. In all instances, the student should get confirmation from any potential committee member that s/he is willing to serve prior to declaring the committee membership online.

### Who Can Serve?

A doctoral committee must meet the following criteria:

- There must be a minimum of four (4) members on the committee.
- One member of your committee must serve the role of committee chair.
- At least three (3) members must have faculty role status (see below for an explanation) in a major program in OLPD. These individuals are considered to be your “internal” or “inside” members.
  - Your primary adviser must be an inside committee member regardless of any additional faculty role status s/he may have.
- At least one member (1) must have a faculty role status in a non-OLPD major and/or a graduate minor program. This individual is considered to be your “external” or “outside” member.
  - There are some OLPD faculty and administrators who have faculty role status in the OLPD major, a minor, and/or other units throughout the University. In most instances (see next bullet for the exception), these individuals may be assigned on a committee in either an inside member or as the outside member. For example, if Professor Q has a faculty role status in OLPD and in Social Work, s/he can be assigned as one of your inside members or as the outside member of your committee.
  - Although not required for the preliminary exam committee, the Department strongly recommends that you have at least two members that are tenured or on the tenure-track at the University. This is a requirement for the student’s final committee, which will be discussed in Milestone #10.



A complete listing of individuals who have faculty role status at the University, whether they are on the tenure-track, and which committee roles they can serve can be found at [https://apps.asr.umn.edu/faculty\\_roles](https://apps.asr.umn.edu/faculty_roles).

If you have a minor, your minor adviser must serve as the outside member on your committee regardless of any additional faculty role status s/he may have. If for any reason the minor adviser is dropped from the committee and not replaced with another individual with a faculty role status in that minor, the minor will be dropped from your record.

## **Preliminary Exam Committee: Frequently Asked Questions (FAQ)**

### ***How do I get committee members?***

There are many ways to find potential committee members. It is recommended that you consult with your faculty adviser prior to starting this task.

### ***I have my committee members! Now what?***

Once all committee members have agreed to serve the committee (or you need to make a revision), you can petition for the membership be established. This is done online at <http://www.grad.umn.edu/students/assignprelimcommittee/index.html>.

This online form can only be initiated by you, the student, via your university log in account. Once submitted, the request is electronically sent to your primary adviser of record for approval. If the adviser approves, the request is then sent to the DGS (or designee) for approval, and then the CEHD Dean's office for final approval. Once approved, the committee will be officially recorded by the Graduate School.

If the adviser, DGS, or Dean's Office rejects the committee membership request for any reason, you will be notified and will need to resubmit. If a reason is not given for the rejection, please consult the CGS or your faculty adviser.

### ***I established my committee, but one of my members has lost his/her faculty role status. Can this person still serve?***

Yes, provided the individual was on the committee prior to their status expiring, and s/he is willing to remain in the same role. Please note however that if you remove or switch the individual to a different slot on the committee (e.g. from inside to outside member), that individual is no longer allowed to remain on the committee and may not be moved back to his/her original slot.

### ***One of my committee members has left the University (e.g. retired, went somewhere else, etc.). What do I do?***

Consult with your adviser to determine whether it would be in your best interest to keep that person on your committee or whether a switch to a new faculty member is preferable. If you wish for the person to remain, ask her/him about it; if yes, then they will remain on the committee. Do be aware that there are no reimbursements for members who are no longer University faculty, and they can decide to cease serving on a committee at any point.

### ***Can I have more than four committee members?***

Yes, as long as the minimum committee membership requirements described above are met. While having more than four is allowed, be sure it is in your best interest to do so. You will find that getting four committee members in the same room at the same time can be difficult, and five can be even harder.

### ***Can I have an individual not affiliated with the University on my committee?***

It is possible to petition for such an addition, but it is not common practice in the Department so think carefully before pursuing such an option. Often the non-affiliated member is unaware of University expectations of committee members, which can lead to delays and other potential milestone hazards. Some OLPD students in the

past have been delayed in completing their degrees due to issues related to having a non-University member on their committee. Also be aware that there are no reimbursements for these faculty, and it may take several weeks to process a request to add a non-University member.

If you do wish to petition for a non-affiliated faculty member to be on your committee, you should do the following:

- 1) Send an email requesting it, along with a CV of the non-University individual you wish to add, to the CGS.
- 2) Include a short statement indicating why this individual should be on the committee along with an explanation of why no one else at the University has this qualification (try to keep the explanation under a page).
- 3) Include a message of support from your adviser if possible (email is fine). While not required, it may help to strengthen your case.

The CGS will then compile and send the materials to the DGS for consideration. The DGS will then make a written recommendation to the CEHD Associate Dean, and the Associate Dean will make a final decision whether to allow it. The Associate Dean's decision is final.

If the petition is approved, the CGS will then contact you and provide further instructions. The non-University member will be required to be an outside member on the committee even if in your field or discipline.

Please note that requests for members based exclusively on physical proximity to the student will be rejected. There must be a substantive reason, such as the faculty member's unique expertise in your area of interest, to warrant a petition.

***There is someone here at the University who would be perfect for my committee, but does not have a faculty role status. Can an exception be made?***

No. Only individuals working at the University who appear on the Graduate School's faculty role list with status to serve on committees may do so.

***How do I change a committee member?***

It depends on who the committee member being changed is:

If the committee member being replaced **IS NOT** your adviser, you would simply complete a new online request (<http://www.grad.umn.edu/students/assignprelimcommittee/index.html>) and replace the member. The approval process as previously described would then be initiated again.

If the committee member **IS** your adviser, you will need to complete a Change of Adviser form (<http://www.cehd.umn.edu/olpd/forms/AdviserChange.pdf>) first and return it to the CGS. Only the department can re-assign a student's adviser within the graduate student record system (more information about changing advisers can be found in Chapter 5). Once a new adviser has been entered into the system, you can then fill out a new online request form.

## **Milestone #5: Written Preliminary Examination**

The written preliminary exam is the first of two required preliminary exams that must be successfully completed before a student can be admitted into candidacy. The written preliminary examination is offered twice a year—in the winter (November – February) and in the summer (May – August).

## Eligibility

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

- 1) Completed at least 20 credits, but not more than 40 credits, of graduate study in your Ph.D. program, excluding any transfer credits. Students not taking the exam by the time they have completed 40 credits risk having a registration hold being placed on their record until this milestone is met.
- 2) Have an “active” status with the Graduate School (maintained by registering every fall and spring semester.
- 3) Be in “good standing” with the Graduate School and Department

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

## Exam Format

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

## Procedures

**Registration:** Students in all program areas must register with their program coordinator prior to taking the written preliminary examination. This is done via the electronic submission of a proposal at least one month prior to the beginning of the examination period (October 15 for the winter exam; April 30 for the summer exam).

**The Proposal:** The semester prior to taking the examination, the student will develop a proposal of no more than 750 words (excluding references) that must meet a program-specific process for approval. Students should work with their advisers to ensure that their proposal is approved prior to the beginning of the examination period. Program area faculty are responsible for providing students feedback on their proposals, and all students who have submitted a proposal by the due date in a given program will receive notification of proposal acceptance or rejection on the same notification date as others in their specific program. Individual programs may also provide supplemental instructions as deemed appropriate by the faculty.

If a proposal is not accepted, students will have seven days from the notification date to make revisions and will then re-submit it to the program coordinator 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 have three months to write their responses: May 30 to August 30 (summer) and November 15 to February 15 (winter). Responses can be no more than 25 type-written pages (double-spaced, 12-point font, with 1” margins), exclusive of references and the title/name page. Individual programs may provide additional instructions to students taking the exam.

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 must sign a form when they submit the exam indicating that the work is entirely their own except for that which they have appropriately cited in the text in quotations.

## Submission of Examination

All examinations must be submitted electronically to the CGS no later than the end of the OLPD business day (currently 4:30 pm CST) on August 30 (summer) or February 15 (winter). Examinations submitted early will not be reviewed by faculty until after the due date. The student's name should only appear on the first page.

## Reading of Exam and Notification

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 faculty member will be consulted. Four scores are possible: High Pass, Pass, Rewrite, and Fail.

Notification of exam results will vary by the timing of the exam and the availability of faculty to grade them. Those taking the exam should learn of results approximately 5-7 weeks after 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 proposal 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 proposal 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. This includes students who received a Rewrite, then a Fail, and then another Fail.

## Milestone #6: The Special Paper (for CIDE, EPL, ES, and HE Only)

Students in the CIDE, EPL, ES, and HE tracks are required to complete a special paper after the written prelim and in preparation for the oral preliminary examination.

### What Is a Special Paper?

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 rather is a conceptually organized synthesis of the relevant literature. The special paper typically explores 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.

### How to Prepare the Special Paper

You prepare the special paper under the guidance of your adviser(s). The paper may be thought of as a first cut at the first two chapters of the dissertation, but the student is not required to complete the full thesis proposal/prospectus 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 and, in some programs, it is structured into two chapters that are similar to the first two chapters of the dissertation. The paper must be distributed to the oral preliminary examination committee at least two weeks before the examination.

## Milestone #7: Oral Preliminary Examination

The oral preliminary exam is the second of two required preliminary exams that must be successfully completed before a student can be admitted into candidacy. The preliminary oral is a general knowledge examination, which includes a discussion of the special paper (if applicable) and is conducted in accordance with Graduate School policy. The examining committee includes a minimum of four members: three inside members and one outside member. 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.

***This exam must be taken by the end of the second continuous semester (including the summer session) following the completion of the written preliminary examination, and the Graduate School must authorize the taking of the exam.*** Individual OLPD program tracks may specify earlier deadlines, and requests for extension beyond the required date must be approved by the adviser and the DGS. Failure to achieve this milestone within this timeline may result in a registration hold being placed on your record until this milestone is met.

Please note that OLPD students may not register for thesis credits (OLPD 8888) until after passing the oral preliminary exam (see Milestone #8).

***It is the student's responsibility to schedule the preliminary examination with the committee members at a date and time they agree upon, to reserve a room through the Department office, and to notify the Graduate School of the date 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/students/prelimschedule/index.html>.

In order for the oral preliminary exam to be authorized, the Graduate School requires the following items to be accomplished:

- You must hold active student status in the Graduate School at the time of the examination.
- Your Graduate Degree Plan form must have been approved by the Graduate School. Note: Minors must be declared and approved prior to the preliminary oral examination.
- You must have taken and passed the Preliminary Written Examination, and the result must have been recorded by the Graduate School.

Once the Graduate School authorizes the examination, a customized Preliminary Oral Examination Form will be generated (this form is not available online). Depending on the timing of your exam date, the Preliminary Oral Examination Form will either be mailed to your committee chair or someone will need to pick up the form prior to the exam and give it to the chair. Unless the Preliminary Oral Examination Form has been generated and given to the committee chair, the exam is invalid.

The committee chair will run the oral preliminary exam meeting itself and work with the student to get the Preliminary Oral Examination Form signed and returned by all members within 24 hours of the examination.

### Oral Preliminary Exam Outcomes

The outcome of the examination, with all committee members present and voting, is recorded in one of three ways: Pass, Pass with Reservations, or Fail.

To earn a score of "Pass", a favorable verdict for passing consists of a 4-0 or a 3-1 vote if it is a four person committee. For a committee of five, a unanimous vote or a vote of 4-1 is needed. Candidates who do not earn committee votes in these proportions fail the examination. If, to achieve the minimum number of votes to reach a verdict of pass, any vote of pass with reservations is included, then the outcome will be recorded as a pass with reservations. However, a vote to pass the student with reservations still constitutes a passing vote.

If a score of "Pass with Reservations" is earned, you will be informed immediately, but the committee is permitted one week in which to convey its reservations to you in writing, informing you of the steps that must be taken to remove these reservations. A copy of this letter must be sent to the Graduate School and should accompany the signed Oral Examination Report Form. When you have satisfied the committee's reservations, a second letter informing you and the Graduate School that the reservations have been removed and that you may

proceed toward the degree is also required. Both letters should be written by the committee chair. The final oral examination may not be scheduled until the Graduate School has received a copy of the letter indicating that the reservations have been removed. If the committee members disagree as to whether the reservations have been satisfactorily removed, the committee chair asks for another vote, the results of which are subject to the same voting proportions as the initial vote. If you are unable to satisfy the committee's reservations, your doctoral candidacy and graduate student status may be terminated.

If a score of "Fail" is earned, you may be excluded from candidacy for the degree or may be allowed, on unanimous recommendation of the examining committee, to retake the examination, providing the reexamination is conducted by the original preliminary oral examining committee. In no case may the reexamination take place before 10 weeks have passed. No more than one reexamination is allowed.

## Frequently Asked Questions

### ***How do I reserve a room and/or equipment (e.g. laptop, Skype cart, etc.) through the department?***

Call the OLPD main office line at 612-624-1006 to ask for assistance.

It is strongly recommended that you reserve a room and/or any equipment needed as soon as you have finalized a meeting date/time. Depending on the time of year, supply and demand can sometimes become an issue.

### ***How long does the Oral Preliminary Exam last?***

Actual exam times can vary, but it is recommended that students block off two hours for the exam.

### ***Do all of my members need to be in attendance at the preliminary oral exam?***

Yes, although one member may participate remotely so long as the committee chair allows it. Having members participate remotely is discouraged in the department, but we understand that it is sometimes necessary. Be aware that if technical difficulties arise that prevent the remote committee member from participating, the exam must be suspended immediately until such time as the remote member can participate or the exam itself is rescheduled for another date/time.

### ***One of my committee members participated remotely. How do I get their signature on the Preliminary Oral Examination Form?***

All signatures on the Preliminary Oral Examination form should be originals, but the Graduate School does allow one of the signatures to be a scanned or faxed copy. Substitute signatures made by others are not allowed under any circumstances. You or committee chair (whatever the chair's preference) will need to arrange to have a copy of the form faxed or emailed to the remote member. That member then needs to sign the form and then fax or scan it back to whoever is in possession of the original signed form. The signed copy should then be attached to the original form with the other signatures and submitted to the Graduate School.

### ***Do I need to be physically in attendance for the Preliminary Oral Exam (e.g. Skype in)?***

Typically it is expected that the student be physically present at the defense. Exceptions can be made only in extreme circumstances, but such exceptions must be approved in advance by the adviser, committee chair, and DGS. You may be required to have a pre-approved proctor in the room with you during the examination to ensure the academic integrity of the exam. Be aware that if technical difficulties arise that prevent the student or committee from participating, the exam must be suspended immediately until such time as the issue is resolved or the exam itself is rescheduled for another date/time.

### ***I just learned that one of my committee members is unable to participate in the exam due to an unexpected circumstance. What can I do?***

The absence of a member results in an invalid examination so this is a very serious matter. Committee substitutions can be made in the case of an emergency, but the Department, CEHD Dean's Office, and Graduate

School must be informed in advance of the examination. Only an adviser or OLPD Graduate Studies staff can notify the Dean's Office and Graduate School of the situation.

Should such a circumstance arise, you should immediately contact your faculty adviser (or the CGS if your adviser is the committee member in question) to discuss any possible options for finding an appropriate substitute faculty member on short notice. If a committee substitution cannot be made on short notice, then the exam will need to be postponed.

### ***Do I need to bring refreshments?***

No refreshments are necessary or expected at oral prelims, prospectus meetings, oral defenses, etc. The focus of these exams should be on your academic work and not food or drinks that might serve as a distraction.

That being said, students often want to bring refreshments, so the Department developed the following guidelines:

- The bringing in of refreshments is allowed but limited to oral prelims, prospectus meetings and final oral defenses.
- 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).
- Coffee and water are typically available in the Department administration office (330 Wulling Hall). If using these resources, students should inform the office staff of their intent well before the exam takes place so that beverages can be prepared ahead of time.

## **Milestone #8: Taking Thesis Credits**

All Ph.D. students are required to take 24 semester thesis credits (listed under OLPD 8888—Thesis Credits: Doctoral) as part of their degree program. These 24 credits must be taken over two or more terms.

OLPD students may not enroll for thesis credits until the first available registration period after the successful completion of the preliminary oral exam has been recorded in the Graduate School's record system. If regular registration is not open at that time, you will have to wait until registration opens for the next term before registering for thesis credits.

### **Frequently Asked Questions**

#### ***Can thesis credits be taken over more than two terms?***

Yes. The only requirement is that they be spread over at least two terms and equate to at least 24 credits upon completion of the program. Although most students choose to divide up thesis credits over two terms, it is not uncommon for some to divide credits up over three or more terms.

#### ***Can I take thesis credits during the Summer term?***

Yes. Eligible students may take thesis credits during the Summer term. Please note that Summer counts as one term only.

#### ***What happens if I have completed 24 thesis credits but I am still not finished with my dissertation?***

Students who complete all required thesis credits must abide by the University's continuous enrollment rule every Fall and Spring term. Multiple registration options are available depending on a student's specific needs and circumstances. Please see Chapter 5 for possible registration options or contact the CGS and then consult with your adviser prior to registering should this situation arise.

***Can I start taking thesis credits if I pass my oral preliminary exam at the very beginning of the term (when registration for that term is still open)?***

If you pass the exam and the Graduate School is able to process the “Preliminary Oral Examination Report” form before noon on the last date to add a class for a given semester (typically the second Monday of the Fall or Spring terms), you may be able to take thesis credits that term as opposed to waiting until the following semester. Completion of the oral exam before this period, however, is strongly recommended as there are multiple steps in the process that may not be completed before the registration period ends for a given semester.

Before pursuing this strategy of taking the exam at the beginning of a new term, you should consult with your adviser well ahead of time as to whether this is a good idea and/or feasible (many faculty do not like participating in oral preliminary exams at the very beginning of the term). Upon consultation with your adviser, it is also recommended that you register for something prior to the start of the semester just in case something goes wrong so as not to violate the University’s continuous enrollment rule (consult the CGS if you need options). If it turns out that you are unable to take the exam prior to the registration deadline for any reason, you will maintain your active student status. If you do take and pass your oral exam at the beginning of the semester, you can simply swap courses in which you have enrolled to thesis credits provided it is still before the add deadline. Remember, it is your responsibility to be aware of any enrollment requirements that may apply to you when deciding what to register for and for how many credits (e.g., assistantships, citizenship status, etc.).

***I passed my oral preliminary exam just after the end of the regular registration period. May I ask for a registration exception to enroll for thesis credits?***

No, such requests will be automatically denied.

***I am eligible to take thesis credits but have not completed all my required coursework. May I take thesis credits and coursework credits at the same time?***

Yes. Students who are eligible to take thesis credits may also take regular coursework credits at the same time.

## **Milestone #9: Thesis Proposal (Prospectus) Meeting**

After completing the preliminary oral examination and developing the formal thesis proposal (often called the prospectus), but prior to beginning the thesis research, you must meet with your adviser(s) and the other members of the thesis committee to discuss the thesis proposal and get approval to proceed.

***Students are expected to have this meeting within six (6) months of passing the oral preliminary exam*** and should check with their adviser in regard to scheduling this meeting. Failure to do so within the prescribed time frame may result in a registration hold being placed on your record until this milestone is met.

The membership of the thesis committee varies by adviser and circumstance. While it is ideal to have all four members of the graduate committee at the proposal committee meeting, some program tracks allow a meeting with only the three readers on the graduate committee—the adviser, the outside member, and one other inside committee member. Consult your adviser for direction about how to proceed.

It is the student’s responsibility to bring a Thesis Panel Prospectus Approval Form (available online at <http://cehd.umn.edu/olpd/forms>) to the prospectus meeting. At the prospectus meeting, you and the faculty members come to an understanding of what you propose to do for the dissertation research project. The committee members are responsible for reviewing and approving the proposal outlining the content and methods of the study.

The graduate faculty have the responsibility to ensure that the proposed study meets high ethical standards and rigorous conduct of research at the University of Minnesota. For this reason, students must present very specific methods for the conduct of the proposed research. Approval will not be granted until the written prospectus and your presentation indicate that you are prepared to initiate an application to the Human Subjects Committee and, upon approval from this panel, to initiate data collection. The prospectus approval process not



only serves to ensure the integrity of research conducted through the University; it also serves as a safeguard for students whose procedures or findings might be called into question in the future.

The committee 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 Prospectus Approval Form 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 student needs to establish/re-affirm the membership of the final oral examination committee (see next step).

## Frequently Asked Questions

### ***What is expected of me at the prospectus meeting?***

The prospectus meeting is where you present your dissertation/thesis problem, research questions, methodology, and methods to your committee. The prospectus as a whole is 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, questions about it, and ways of addressing these questions. Doing so allows you to better select appropriate coursework, particularly courses relevant to research methodology.

You must complete a formal thesis prospectus (proposal) to present at the thesis proposal meeting. You should check with your adviser(s) about any preferred framework for the prospectus. The written prospectus for conducting thesis research typically includes the following, but each track has its particular conventions:

- a brief and focused presentation of relevant literature
- a statement of the problem
- specific research questions that will guide the inquiry
- limitations and delimitations of the study
- the research methodology and design with a corresponding rationale
- specific sampling, data collection, and data analysis procedures that will be employed in the study
- instruments that will be used in the study

You should consult with your adviser(s) about modifications to this framework that may be needed for a specific research context (e.g., a particular research methodology). Certain doctoral courses such as OLPD 8011, OLPD 8015, OLPD 8121, and/or OLPD 8890 may provide guidance on preparing the above components of the thesis proposal. For most students, the prospectus serves as very good draft of Chapters 1-3 of the dissertation.

### ***What is meant by the term "reader" and how do I determine who is and who is not one?***

The readers (also called reviewers) will serve on your final dissertation defense committee and often are the faculty members who also attend the prospectus meeting and, in most cases, the oral prelim exam as well. Their role is twofold. They serve to approve your dissertation project via the prospectus meeting as well as to verify that your dissertation is ready for defense via the Reviewers' Report Form, which will be discussed in Milestone #13.

### ***Do I need to bring refreshments?***

No refreshments are necessary or expected at oral prelims, prospectus meetings, oral defenses, etc. The focus of these exams should be on your academic work and not food or drinks that might serve as a distraction.

That being said, students often want to bring refreshments, so the Department developed the following guidelines:

- The bringing in of refreshments is allowed but limited to oral prelims, prospectus meetings and final oral defenses.
- 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).
- Coffee and water are typically available in the Department administration office (330 Wulling Hall). If using these resources, students should inform the office staff of their intent well before the exam takes place so that beverages can be prepared ahead of time.

***How do I reserve a room and/or equipment (e.g. laptop, Skype cart, etc.) through the department?***

Call the OLPD main office line at 612-624-1006 to ask for assistance. It is strongly recommended that you reserve a room and/or any equipment needed as soon as you have finalized a meeting date/time. Depending on the time of year, supply and demand can sometimes become an issue.

## **Milestone #10: Establish/Re-affirm Your Final Oral Examination Committee**

Once the prospectus meeting has been successfully completed, you must establish your Final Oral Examination Committee via the online form on the Graduate School's website (<http://www.grad.umn.edu/students/assigndocfinalcommittee/index.html>).

This step must be done even if the committee's membership is identical to the preliminary examination committee established earlier. ***The department expects doctoral students to do this within three months of a successful prospectus meeting.*** Failure to do so within this time frame may result in a registration hold being placed on your record until this milestone is met.

***As noted earlier, most, if not all, of the final committee membership will be made up of the faculty who participated in your prospectus meeting.*** If more than one of the individuals selected for the final committee did not attend the prospectus meeting and/or more than one member of the final committee member changes, your adviser may determine that a second prospectus meeting is necessary before you can proceed further.

There must be a minimum of four (4) members on the committee. Of these:

- At least three (3) members must have faculty role status in a major program in OLPD. These individuals are considered to be your "internal" or "inside" members.
- At least one member (1) must have a faculty role status in a non-OLPD major and/or a graduate minor program. This individual is considered to be your "external" or "outside" member.
  - There are some OLPD faculty and administrators who have faculty role status in the OLPD major, a minor, and/or other units throughout the University. In most instances (see next bullet for the exception), these individuals may be assigned on a committee in either an inside or the outside member slot. For example, if Professor Q has a faculty role status in OLPD and in Social Work, s/he can be assigned as one of your inside members or as the outside member.
  - At least two of the members must be tenured faculty or on the tenure-track at the University.
- University rules prohibit your adviser from serving as the chairperson on the final committee. This means that at least one of the other members on your committee must have status to chair a doctoral committee.
- A minimum of three committee members (your adviser, the outside member, and one inside member) must be assigned as "reviewers" (sometimes referred to as "readers").

A complete listing of individuals who have faculty role status at the University, whether they are on the tenure-track, and which committee functions they can serve can be found on the Faculty Role List at [https://apps.asr.umn.edu/faculty\\_roles](https://apps.asr.umn.edu/faculty_roles).

Your primary adviser must be an inside committee member regardless of any additional faculty role status s/he may have. If you have a minor, your minor adviser must serve as the outside member on your committee regardless of any additional faculty role status s/he may have. If for any reason the minor adviser is dropped from the committee and not replaced with another individual with a faculty role status in that minor, the minor will be dropped from your record.

## **I Know Who My Final Committee Members Are! Now What?**

Once all final committee members have been determined, the student petitions that the membership be officially declared. This is done online at

<http://www.grad.umn.edu/students/assigndocfinalcommittee/index.html>.

- This online form can only be initiated by you via your student log in.
- Once submitted the request is electronically sent to your primary adviser for approval. If the adviser approves, the request is then sent to the DGS (or designee) for approval, and then the CEHD Dean's office for final approval. Once approval, the committee will be officially recorded by the Graduate School.
- If the adviser, DGS, or Dean's Office rejects the committee membership request for any reason, you will be notified and will need to resubmit.

After obtaining approval of the final committee, the student can request the Graduation Packet from the Graduate School. This packet consists of several items the student will need towards the end of his/her program, including the Application for Degree Form, the Reviewers Report Form, Survey of Earned Doctorates, copyright information, and degree clearance instructions. The Graduation Packet can be obtained at

<https://apps.grad.umn.edu/secure/gradpacket>.

## **Frequently Asked Questions**

***I am using all the same people as I had on my preliminary committee. Do I really have to do this?***

Yes. The function of your preliminary committee was to oversee your preliminary written and oral examinations. Once those exams were successfully completed, that committee was officially disbanded as their job was finished. A new committee must take its place even though the people on the committee may be the same.

***Can my outside member count as one of the required tenured/tenure-track members if they have that status?***

Yes, they can count as one of the tenured/tenure-track members provided their tenure status is originating from a University of Minnesota department/program.

***Can my outside member chair the committee?***

Yes, provided they have status to do so as noted in the Faculty Role List. This action is not recommended unless they are an OLPD faculty member, however.

***I would like one of the members on my preliminary exam committee to be on my final committee, but s/he no longer appears on the Faculty Role List. Can they serve on my final exam committee?***

Maybe. This is still unclear in terms of University policy. Please consult with the CGS on this matter for the most up-to-date information.

***I established my final committee, but one of my members has lost their faculty role status since then. Can they still serve?***

Generally yes, provided the individual was on your committee prior to their status expiring, and s/he is willing to remain in the same role. Please note however that if you remove or switch the individual to a different slot on the committee (e.g. from inside to outside member), that individual is no longer allowed to remain on the committee and may not be moved back to his/her original slot.

***One of my committee members has left the University (e.g. retired, went somewhere else, etc.). What do I do?***

Consult with your adviser to determine whether it would be in your best interest to keep that person on your committee or whether a switch to a new faculty member is preferable. If you wish for the person to remain, ask her/him about it; if yes, then they will remain on the committee. Do be aware that there are no reimbursements for members who are no longer University faculty, and they can decide to cease serving on a committee at any point.

***Can I have more than four committee members?***

Yes, as long as the minimum committee membership requirements described above are met. While having more than four is allowed, be sure it is in your best interest to do so first. Students often find that getting four committee members in the same room at the same time can be difficult, five can be even harder.

***Can I have an individual not affiliated with the University on my committee?***

It is possible to petition for such an addition, but it is not common practice in the Department so think carefully before pursuing such an option. Often the non-affiliated member is unaware of University expectations of committee members, which can lead to delays and other potential milestone hazards. Some OLPD students in the past have been delayed in completing their degrees due to issues related to having a non-University member on their committee. Also be aware that there are no reimbursements for these faculty, and it may take several weeks to process a request to add a non-University member.

If you do wish to petition for a non-affiliated faculty member to be on your committee, you should do the following:

- 1) Send an email requesting it, along with a CV of the non-University individual you wish to add, to the CGS.
- 2) Include a short statement indicating why this individual should be on the committee along with an explanation of why no one else at the University has this qualification (try to keep the explanation under a page).
- 3) Include a message of support from your adviser if possible (email is fine). While not required, it may help to strengthen your case.

The CGS will then compile and send the materials to the DGS for consideration. The DGS will then make a written recommendation to the CEHD Associate Dean, and the Associate Dean will make a final decision whether to allow it. The Associate Dean's decision is final.

If the petition is approved, the CGS will then contact you and provide further instructions. The non-University member will be required to be an outside member on the committee even if in your field or discipline.

Please note that requests for members based exclusively on physical proximity to the student will be rejected. There must be a substantive reason, such as the faculty member's unique expertise in your area of interest, to warrant a petition.

***There is someone here at the University that would be perfect for my committee, but they do not have a faculty role status. Can an exception be made so they can be on my committee?***

No. Only individuals working at the University who appear on the Graduate School's faculty role list with status to serve on committees may do so.

***How do I change a committee member?***

It depends on who the committee member(s) being changed is:

If the committee member being replaced ***IS NOT*** your adviser you would simply complete a new online request (<http://www.grad.umn.edu/students/assigndocfinalcommittee/index.html>) and replace the member. The approval process as previously described would then be initiated again.

If the committee member ***IS*** your adviser, you will need to complete a Change of Adviser form (<http://www.cehd.umn.edu/olpd/forms/AdviserChange.pdf>) and return the CGS first. Only the Department can re-assign a student's adviser within the graduate student record system (more information about changing advisers can be found in Chapter 5). Once a new adviser has been entered into the system, you can then fill out a new online request form.

## **Milestone #11: Human Subjects Approval of Conduct of Research (IRB approval)**

Once the dissertation project has been approved at the prospectus meeting, you should seek University approval to conduct research before going any further. Any research that employs the use of human subjects on or off campus must be approved by the University's Human Subjects Committee prior to the gathering of data for the dissertation. 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 through 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 by 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 or involves minors and thus may require more deliberation. The "expedited review" involves minimal risk to human subjects but has some potential risk nonetheless. The "exempted review" applies to those research projects that involve very minimal risk and thus is exempt from further IRB review. Many students' dissertation projects qualify for the exempted review, but you should check with your adviser to find out whether your particular study is likely to fall into this category. 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 IRB 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.

## Milestone #12: Dissertation Research/Write Up

Once you have received approval for your project from the IRB, you may begin working on your dissertation project during the approved time period to conduct your study.

It is strongly recommended that students maintain regular contact with their adviser and other students in the program during this time. Most students at this stage in the dissertation are no longer taking coursework and many no longer visit campus on a regular basis. Because of this, it is easy to feel isolated and this may be quite different from one's educational experiences up to this point.

Students conducting their dissertation work still need to register every Fall and Spring semester to maintain their active student status, even if all required coursework and dissertation credits have been taken.

### Post-Data Collection

Once you have collected your data and begin doing your write up, you should work out a plan with your adviser(s) for getting feedback on chapter drafts if this has not already been done. In most instances, the expectation is that only the adviser reviews dissertation drafts until s/he believes it is ready to be forwarded to the whole committee for review. However, certain committee members may be asked—or may ask—to read particular chapters where their expertise is sought before the dissertation is completed.

As you get closer to completion and get a better idea of the exact date of the final defense meeting, you should fill out and submit the Application for Degree Form to One Stop by the first business day of your anticipated month of graduation (e.g. March 1, or first workday in March if the 1<sup>st</sup> is on a weekend, for a March graduation).

The Application for Degree Form is found in the Graduation Packet if you have already requested it. If you need to request the Graduation Packet, this can be done at <https://apps.grad.umn.edu/secure/gradpacket>.

### Frequently Asked Questions

***I have completed all my required coursework and taken all 24 required thesis credits, but I am still not done with my dissertation work. What should I register for to maintain my active student status?***

Students who complete all required thesis credits still must abide by the University's continuous enrollment rule every Fall and Spring term. Multiple registration options are available depending on a student's specific needs and circumstances. Please see Chapter 5 of this handbook or contact the CGS to learn about options and then consult with your adviser prior to registering should this situation arise.

## Milestone #13: Reviewers' Report

A complete draft of the dissertation must be submitted to all committee members and approved by those designated as readers/reviewers prior to the final oral defense. The judgments of those designated as the readers/reviewers on the committee are recorded on a Reviewers' Report Form that the Graduate School includes in your Graduation Packet. All members **MUST** be allowed a minimum of two weeks to read the complete written dissertation per University policy.

Each reader/reviewer 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 you in writing of the revisions required. Such revisions must be made prior to the final defense.

**The Reviewers' Report Form must be submitted prior to the final defense meeting.** The Graduate School will consider the final exam invalid unless this form is submitted to their office prior to the final defense meeting (Milestone #14).

## Frequently Asked Questions

***My Reviewers' Report Form only lists three of my committee members. Is this a mistake and how do I resolve it?***

That is not a mistake. When you formed your final committee, you assigned at least three of your members to be reviewers/readers. Only those members assigned as reviewers/readers on your committee are required to sign the form.

***If I did not assign a given member to be a reviewer/reader, do I need to give them a copy of my dissertation?***

Yes. Although the member may not have been assigned as a reviewer/reader, all members on your committee will have a vote when you defend. As with the rest of the committee, they must be given at least two weeks to read the dissertation paper.

## Milestone #14: Final Oral Examination (Final Defense Meeting)

Upon completion of the dissertation, you will defend the dissertation at a formal meeting of the final dissertation committee (which you established earlier). All assigned committee members must be present at the final examination. The absence of any member results in an invalid examination.

To be eligible for the final oral examination, you must meet the following criteria:

- Satisfactorily completed all work listed on the official Degree Program Plan form;
- Passed both the written and oral preliminary examinations;
- Maintained active status (have registered each Fall and Spring);
- Satisfied the thesis credit requirement; and
- Be within the time limit for degree completion (within 8 years from entry into the program)
- The Reviewers' Report Form must be approved by all reviewers/readers and filed in Graduate School before scheduled exam.

It is the student's responsibility to:

- Schedule with the committee members on a suitable date;
- Reserve a room and any needed equipment through the Department office; and
- Schedule the exam online with the Graduate School at least one week in advance of the examination at <http://www.grad.umn.edu/students/finalschedule/index.html>. This process is paperless.

The Graduate School will not release the Final Examination Form to the committee chair until you have scheduled the exam and the GSSP Office has verified that you have met the criteria listed above (that check is trigger when you schedule the exam online). It is your responsibility to provide all committee members with copies of the completed dissertation at least two weeks in advance of the final oral examination.

The examination is a thesis defense although questions and discussion may focus on related areas. The examination consists of three parts:

- A seminar open to the public in which the student presents the thesis research (check with adviser regarding length and format)
- 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
- 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 may ask you 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 (e.g. 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. It is recommended that the presentation be rehearsed to improve timing, organization, and ease in discussion.

Your presentation segment of the examination is open 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 exam relates to the acceptability of the defense of the dissertation by the candidate.
- If the judgment is that the examination was a “pass” but that 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 committee 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.

## Frequently Asked Questions

### ***Do I need to bring refreshments?***

No, refreshments are necessary or expected at oral prelims, prospectus meetings, oral defenses, etc. The focus of these exams should be on the academic purpose only, not things that may serve as a distraction and/or unwelcome financial pressure.

That being said, in response to numerous inquiries from students over the years about bringing in of refreshments, the Department developed the following guidelines:

- The bringing in of refreshments is allowed, but limited at oral prelims, prospectus meetings and final oral defenses.
- 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).
- Coffee and water are typically available in the Department administration office (330 Wulling Hall). If using these resources, students should inform the office staff of their intent well before the exam takes place so things can be prepared ahead of time.

### ***How do I reserve a room and/or equipment (e.g. laptop, Skype cart, etc.) through the department?***

Call the OLPD main office line at 612-624-1006 to ask for assistance. It is strongly recommended that you reserve a room and/or any equipment needed as soon as you have finalized a meeting date/time. Depending on the time of year, supply and demand can sometimes become an issue.

### ***I just learned that one of my committee members is unable to participate in the exam due to an unexpected circumstance that just came up. What can I do?***

The absence of a member results in an invalid examination so this is a very serious matter. Committee substitutions can be made in the case of an emergency, but the department, CEHD Dean’s Office, and Graduate School must be informed in advance of the examination. Only an adviser or the OLPD Graduate Studies staff can notify the Dean’s Office and Graduate School.



Should such a circumstance arise you should immediately contact your faculty adviser (or the CGS if your adviser is the committee member in question) to discuss any possible options for finding an adequate substitute on short notice. If a committee substitution cannot be made on short notice the exam will need to be postponed.

## Milestone #15: Wrapping Things Up

Once the defense is complete and any required revisions to the dissertation are made and approved by the adviser and/or committee, you are required to submit a copy of your final dissertation and other materials to the GSSP Office and the Onestop office as appropriate.

Procedures for what needs to be submitted and how it needs to be submitted can be found on the Graduate School's website at <http://www.grad.umn.edu/students/ThesisSubmission/index.html>.

Provided you have applied to graduate by the first workday of the month you submitted your final materials, your degree will be posted at the end of that month.

### Frequently Asked Questions

#### ***I've graduated! When is the Commencement ceremony?***

The CEHD Commencement ceremony is held in May each year.

#### ***Is there a Graduate School Commencement ceremony in addition to the CEHD one?***

No, the Graduate School no longer conducts a separate ceremony.

#### ***How do I sign up for the CEHD Commencement ceremony?***

If you are going to complete your degree in Spring you will need to complete the online Commencement Attendance Approval Form (which is normally made available in late Fall on the CEHD website) must be turned in and approved about three months before the commencement ceremony. The online Commencement Attendance Approval Form must be approved by your adviser and DGS (or designee). The adviser's approval indicates that, at a minimum, a draft of the thesis has been completed and that the adviser expects you to complete the final oral exam by August of that year.

If your degree was awarded in the months prior to the March deadline you need only submit the form to the CEHD Dean's office. Attending the ceremony does not imply that you have officially graduated.

#### ***I turned in my final materials later than the month I listed on my Graduation Application form. What do I do?***

Contact the Graduate School at [gssp@umn.edu](mailto:gssp@umn.edu) to inform them of the situation and learn about options. Depending on your timing, they may automatically forward your existing form so that it is filed during the later month, or they may require you to submit a new form.

#### ***Do I need to submit a bound copy of my dissertation to my adviser, committee members, and/or department office?***

Officially no, but some faculty members do expect to receive a bound copy of your dissertation if they served on your committee. Check with each of your committee members about their preferences. The department does not require a bound copy of your dissertation be submitted to our office.

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## CHAPTER 5: SPECIAL OPTIONS

In Chapters 3 and 4 of this handbook the curriculum of each program track was described and instructions were given on how to complete each required milestone step. While this is extremely useful information to have, not everything always goes according to plan. This chapter focuses on some of those more issues that can potentially disrupt your progress and describes common options for addressing them.

### How Do I Change My Adviser?

You were assigned a faculty adviser by your major program track upon admission. It is not uncommon for some doctoral student to desire a change of adviser for a wide variety of reasons as they advance in the program (e.g. learn they have more in common scholarly with another OLPD faculty member, the adviser is going on sabbatical or retiring during a key time for the student, etc.).

Students can initiate the process by completing the OLPD Change of Adviser form which can be found at <http://www.cehd.umn.edu/olpd/forms/default.html> and obtaining the signatures of both the new and soon-to-be former advisers. The form should then be sent to the CGS for processing.

Once the completed form is submitted, the Department will check the Faculty Role List to verify that the soon-to-be adviser(s) is eligible to serve in that role and, assuming they are, will then re-assign your adviser within the Graduate School's student record system.

### How Do I Apply for a Time Extension?

As mentioned in Chapter 2, all requirements for the doctoral degree must be completed and the degree awarded within eight calendar years after initial enrollment to the graduate program. If you are unable to complete the degree within the time limit, you may petition the program and collegiate unit for one extension of up to 24 months. The Time Extension Request form can be found at <http://policy.umn.edu/prod/groups/president/@pub/@forms/@grad/documents/form/um1777.pdf>.

You must obtain the approval of your adviser(s), the DGS, and the College. This petition must be submitted at least six months prior to the end of the time limit. If a petition is approved, you will be notified in writing of the expectations for progress and of the month/year of degree conferral. If the petition is denied, you will be notified in writing that you will be terminated from doctoral candidacy and from the graduate program upon expiration of the time limit.

Under extraordinary circumstances, students may file a second petition for an additional 24 month extension after the first 24 months have expired; however, such petitions after the initial extension must be reviewed and approved by the adviser(s), the DGS, the College, and the Vice Provost and Dean of Graduate Education. Students who have been terminated under such circumstances may apply for readmission to the program; however, readmission is not guaranteed.

**Registration exception requests:** The University has specified deadline dates to add and/or drop courses each semester. If you are seeking to request a change to your registration (e.g., add, drop, change your grade basis) after a deadline or wish to register for more than 18 credits, you will need to complete an online registration exception request form. This online form can be found at [http://www.onestop.umn.edu/special\\_for/graduate\\_students.html](http://www.onestop.umn.edu/special_for/graduate_students.html).

Once submitted, the form will be forwarded to the proper individuals for approval, including those at the Department level.

Please note that requests to take thesis credits (OLPD 8888) after passing the oral preliminary exam but after the add date in a given semester will be automatically denied. Also be aware that University policy explicitly prohibits grade basis changes (e.g. switching from A-F to S/N) after the second week of class.

## Special Registration Options

Occasionally doctoral students may find themselves in a position where they have taken all the courses they need to/can take, but they are not at the next milestone step to advance in the program (e.g. have not taken the oral preliminary exam, but are out of coursework to take; have taken all required thesis credits). As mentioned in Chapter 2, you are still required to register for something every Fall and Spring to maintain active student status regardless of this situation.

To better meet the needs for students in this situation, the Graduate School has developed several special registration categories to help fill the registration gap until a student is back on track. **These are not meant to be long-term place holders.** While these course options will not apply towards a degree, they will maintain a student's active status in the program. Below is a brief summary of three main options available to doctoral students depending on individual circumstances and needs. Full details on all the special registration categories below can be found at <http://www.grad.umn.edu/students/registration/specialcategories>.

### OLPD 8666

OLPD 8666 is a registration option for graduate students who must be registered for a specific number of credits (usually to be in compliance with requirements of the University and/or external agencies such as employment as a graduate assistant, loan deferment, visa requirements, etc.), and for whom neither coursework registration nor the other special registration categories are an option. Regular tuition rates apply, and only students who have not passed their preliminary oral examination may register for OLPD 8666.

### OLPD 8444

OLPD 8444 is a one-credit registration option for eligible doctoral students who must certify full-time status to be in compliance with requirements of the University and/or external agencies (e.g., employment as a graduate assistant; loan deferment, visa requirements, etc.). Regular tuition rates apply, and only students who have successfully completed all required coursework, taken all required thesis credits, and have passed all milestones other than the final defense are eligible to take OLPD 8444. This course is not supposed to be taken with any other courses in a given semester.

An application is required to take OLPD 8444 every semester it is taken. The application form and instructions can be obtained online at [http://www.grad.umn.edu/current\\_students/forms/g79.pdf](http://www.grad.umn.edu/current_students/forms/g79.pdf). Deadlines to apply are early the previous semester.

### GRAD 999

GRAD 999 is a zero-credit, zero-tuition registration option intended for graduate students who have completed all coursework and (if applicable) thesis credit requirements, and who must maintain registration to meet the registration requirement. While students can register for GRAD 999 to maintain their active student status, they cannot use GRAD 999 to meet any other requirements of the University or external agencies. Students who must maintain full-time status to hold an assistantship, defer loans, and/or receive financial aid cannot use GRAD 999 to meet registration requirements.

International students wanting to take GRAD 999 must consult with the ISSS office prior to doing so as there may be consequences related to visa status. There are also forms that international students may need to complete for ISSS prior to enrolling to maintain visa status.

Although this course option is tuition free to students, the College is charged a fee for every student enrolled in GRAD 999 each semester to pay for services you will have access to during the semester (currently about \$2000 per student per time). Because of this, **the Department only allows doctoral students to take GRAD 999 twice and M.A. students once during their degree program.**

## Leave of Absence

The University of Minnesota leave of absence (LOA) policy for graduate students allows graduate students to interrupt their enrollment for up to a maximum of two years for reasons they cannot control (e.g., military service, medical issues, etc.) and return under the rules and policies in effect when they left without having to re-apply or negatively affecting their time to degree. ***This should be used as a last resort, not a first.***

The Department will only grant an LOA for periods of up to one year at a time. Per the policy described above, you may apply for a second year if necessary, but it must be a separate application.

Please note the following points:

- Students should consult with their adviser prior to requesting a LOA. Being approved for an LOA does not guarantee the preservation of any financial aid or assistantship appointment the student may be currently holding.
- The submission of an LOA request does not guarantee that it will be approved by the Department or College nor does it automatically cancel any active registrations (this is the student's responsibility).
- LOA requests should be submitted prior to the beginning of the term in which the leave will begin, if at all possible.
- Students on a LOA will not have access to any University resources exclusive to students during the leave (e.g., library privileges, access to faculty, etc.). The only exception to this is use of University email.
- Students returning from a leave must fill out a LOA re-entry form before the semester they wish to re-enter.
- Students may return early so long as the LOA re-entry form is submitted before the semester they wish to re-enter.
- Failure to return by the semester indicated on the LOA application will result in the student being discontinued from the program.
- International students should consult with ISSS prior to requesting a LOA as such action could affect visa status.

Full information regarding the University's LOA can be accessed via the web at the following link <http://policy.umn.edu/Policies/Education/Education/GRADSTUDENTLEAVE.html>.

## Resolving Incompletes

Individual course instructors are not obligated to assign incomplete ("I") grades but some do. It is always in your best interest to resolve all incomplete grades as soon as possible.

The Department allows OLPD graduate students to carry a maximum of 8 "I" credits in the program at any given time. Students with more than 8 "I" credits risk having a registration hold being placed on their student record until they are under the limit.

Many instructors will establish terms that a student must meet prior to assigning an "I" grade. Some OLPD instructors require a written agreement with the student so there is no misunderstanding about expectations in resolving the "I" grade (see <http://www.cehd.umn.edu/olpd/forms/lform.pdf> for an example agreement template). Although such formal agreements are not required, both you and the instructor may find such a contract useful in case there are any future misunderstandings over outstanding requirements.

Only an assigned instructor of a given course can assign grade for that course. If the course instructor leaves the University or too much time passes, it may not be possible to update the course grade or the instructor may decide to assign a grade based on the coursework they do have.

If a given course does not have a specific assigned instructor, please contact the CGS or DGS for instructions.

## Applying for Readmission

As mentioned in Chapter 2, the Graduate School requires all graduate students to register each fall and spring to remain active. If students become “inactive,” they will automatically be withdrawn from the program and must apply for readmission if they wish to regain active student status. ***Readmission of a discontinued student is never guaranteed.***

Students applying for readmission to an OLPD Ph.D. program must complete a Department readmission application and the Graduate School’s online readmission application. Specific instructions on reapplying and the needed applications can be found at <http://www.cehd.umn.edu/olpd/future-students/graduate/readmitGS.html>.

Please note that OLPD will only consider Express Readmission Graduate School applications (an option listed on the Graduate School website) in cases where a student does not register in a given semester but wishes to regain active status during that same semester. All other readmission applications will go through the regular review process.

## CHAPTER 6: ADDITIONAL RESOURCES

### The Graduate Education Catalog

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 presentations delivered at national or international conferences. Currently the funding limit is \$500 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 \$500 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. 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 Principal Investigator of 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 <https://diversity.umn.edu/gradeducation/cosp> for more information.

### Writing Support for Graduate Students

Academic writing is a skill that one refines over the course of doctoral studies. Students may have extensive experience with the conventions of grant writing, report writing, or writing academic papers in one's home country, but the expectations for academic writing at the University of Minnesota and in OLPD may be unfamiliar to new doctoral students. Therefore, the Department strongly encourages students 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 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](mailto: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 <https://diversity.umn.edu/gradededucation/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 Support for Graduate Students

## 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 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> – 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 the program in 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 University of Minnesota has an online survey tool which will allow students and faculty to create surveys and questionnaires for research purposes. More information is available at <http://surveys.umn.edu>.



## Campus Events

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

## Virtual Communications

### Department Listserv

All Ph.D., Ed.D., M.A., and M.Ed. 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. The listserv is also used to send out important notices affecting OLPD students.

### Social Media

The Department (and units throughout the University) maintains a social media presence on various platforms (e.g. Facebook, Twitter, Google Groups, etc.) to inform and interact with individuals both inside and outside of the University community as is deemed appropriate. Given the dynamic nature of social media, OLPD may expand or contract its social media presence during your time here as a student. Email [olpd@umn.edu](mailto:olpd@umn.edu) if you wish to know more about social media platforms the Department currently utilizes.

### 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>.

## Physical Communications

### How to Update Your Address

When you change your mailing address, you 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.

### Student Mailboxes

Students are invited to use the office address (330 Wulling Hall, 86 Pleasant Street SE, MN 55455) for mail, provided such mail is only for professional purposes. Only students who are assigned assistantships by the Department directly are assigned individual mailboxes. Other graduate student mail received will be sorted into the alphabetically grouped graduate student boxes in the mail box area (currently in 330 Wulling Hall).

Students are responsible for checking the boxes—mail is not forwarded.

## Resources for New Mothers

The University attempts to be a family-friendly institution. One of the resources it offers is a lactation room for nursing students. The lactation room closest to Wulling is in Appleby Hall 220. A full list of resources can be found at <http://www1.umn.edu/ohr/wellness/plcc/lactation/index.html>.

## Safety/Escort Services

The University provides a free safety/“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 at [http://onestop.umn.edu/grades\\_and\\_transcripts/index.html](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/section/Jobs/61>
- Higher Education Jobs–<http://higheredjobs.com>
- Graduate School of Library and Information Science (UT GSLIS)–<http://academic360.com>

### 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 may or may not have insurance benefits. For details, please check the website at <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 and Instructional Staff

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