

C&I PH.D. HANDBOOK

Policies Effective: Spring 2014 – Summer 2017 admits

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WELCOME

Welcome to the Department of Curriculum and Instruction! We are thrilled that you have chosen to be a part of our program. Our task is to help foster your growth into an independent scholar who will contribute meaningfully to our community and the profession. Your admission into this program reflects our confidence in your skills and potential. We are glad that you are here.

C&I Graduate Studies Mission Statement

With adherence to the C&I departmental and CEHD missions:

The C&I Graduate Studies mission is to prepare graduate students to provide leadership in education through rigorous scholarship, mindful practice, and responsive service in collaboration with schools and communities.

This handbook is a guide. However, you will also routinely need to refer to these web pages:

- [Graduate School](#), provides information on degree completion processes, policies, forms • [One Stop Student Services](#), includes registration, financial services, academic calendars and more • [C&I PhD Current Student Resources](#) - CI specific forms and information

As other questions arise, be sure to contact the Graduate Studies Coordinator, Director of Graduate Studies (DGS), your adviser, other faculty or staff. Faculty members serve as students' main source of guidance on course selection and other academic or professional matters.

ADMINISTRATION AND MANAGEMENT

Governance

The Department Chair is responsible for leadership of the department and management of resources. The Director of Graduate Studies (DGS) chairs the Graduate Studies Committee and coordinates the administration of the department's graduate programs. S/he communicates and enforces University of Minnesota policies and opportunities.

Graduate Studies Committee

The Graduate Studies Committee includes four additional C&I faculty members and two student representatives (serving 1-2 year terms). The committee addresses policy and programmatic concerns, considers fellowship support for prospective and current students, and supports/initiates professional development and social activities. The committee meets monthly during the academic year.

Contact information

Contact information for all C&I faculty and staff is available at on the C&I website:

<http://www.cehd.umn.edu/ci/people/>

General info, policies & procedures related to successful graduate degree completion You can find a listing of policies governing graduate education at the University of Minnesota here:

<https://policy.umn.edu/education>

In 2010, the University Senate Committee on Educational Policy (SCEP) charged the Graduate School Policy Review Committee to review and update existing graduate education policies that were previously found in a variety of formats, including the Graduate School catalog and constitution. The committee completed its work in spring 2012. Graduate education policies will continue to be developed and reviewed under the purview of the vice provost and dean of graduate education, in consultation with faculty, staff and student stakeholders.

Major and tracks (sub-plans)

All C&I M.A./Ph.D. students are enrolled in the Major: Education, Curriculum and Instruction

Tracks (sub-plans/areas) within the Ed, C&I major are selected by students when applying to the program. A student can only be matriculated in one track at a time. The tracks are as follows:

- Arts in Education (MA/PhD)
- Culture and Teaching (PhD)
- Elementary Education (MA/PhD)
- Learning Technologies (MA/PhD)
- Literacy Education (MA/PhD)
- Mathematics Education (MA)
- Science Education (MA)
- Second Languages and Cultures Education (MA/PhD)

- Social Studies Education (MA/PhD)
- STEM (Science, Technology, Engineering and Mathematics) Education (PhD)
- TESOL (MA)

Students may focus on a specialization within each of these tracks. However, these specializations are not recognized formally by the University and do not appear on any student records. Students wishing to change

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tracks or majors at the U of M must follow the Change of Status guidelines:

<http://www.grad.umn.edu/admissions/cos/index.html>

Supplementary C&I information:

- Students submit an annual progress report. All graduate students are required to submit an *annual progress report* (APR) to the Graduate Studies Coordinator by a deadline specified in May of each year. The Graduate Studies Coordinator emails the instructions to students in April. Students are responsible for completing the report and submitting it prior to the deadline. Students who fail to complete this report will have a Registration Hold placed on their account for the following Spring semester.
- Students should come to agreement in writing with faculty members on the substance and requirements for all individualized courses (directed study, readings, problems courses). Students should use the “Proposal for Directed Study/Readings/Problems Courses” form.
- A student may not have more than three (3) Incompletes on their transcript at any given time. Any student found to have more than three (3) Incompletes will receive a one semester allowance to complete missing work and resolve their Incompletes. At the end of the semester if the number of Incompletes is still above the maximum of three (3) allowed in the department, a registration hold will be placed on the student's account. This hold will prevent further registration until the number of Incompletes on the student's record is at three (3) or below. Since all students need to register for coursework each Fall and Spring semester to stay active in the program, a registration hold will typically result in the student's discontinuation from the program. Should this occur, a student would need to re-apply to the program. All students are expected to negotiate Incomplete Agreements with this policy in mind. Students should come to agreement in writing with faculty members on the requirements and deadlines for all “incomplete” grades. Students should refer to the C&I policy on Incomplete Grades and use the “Incomplete Grade Agreement” form on the [MA/PhD Current Student Resources](#) page.
- Students should complete the necessary requirements and submit all necessary forms for degree completion within the timelines stipulated on the Graduate School web site and the C&I PhD Handbook.

When degree requirements and expectations are not met, the DGS will call a joint meeting with the student and the adviser(s) to discuss degree progress and establish clear steps and guidelines for the student. The DGS will follow up with a letter outlining the steps agreed upon in the meeting and indicate a date(s) by which the student is expected to have demonstrated appropriate progress. Consistent failure on the part of the student to meet requirements and expectations will result in a recommendation to the Dean of the Graduate School that the student's status as a graduate student be terminated.

Scholastic Dishonesty / Plagiarism

Academic integrity is essential to a positive teaching and learning environment. All students enrolled in University courses are expected to complete coursework responsibilities with fairness and honesty. Failure to do so by seeking unfair advantage over others or misrepresenting someone else's work as your own, can result in disciplinary action. The University Student Conduct Code, available on the Office of Student Conduct and Academic Integrity (OSCAI) website: www.oscai.umn.edu/index.html, defines scholastic dishonesty as follows:

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; altering forging , or misusing a University academic record; or fabricating or falsifying data, research procedures, or data analysis.

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Plagiarism is defined as representing the words, creative work, or ideas of another person as one's own without providing proper documentation of source. Examples include, but are not limited to: • Copying information word for word from a source without using quotation marks and giving proper acknowledgement by way of footnote, endnote, or in-text citation;

- Representing the words, ideas, or data of another person as one's own without providing proper attribution to the author through quotation, reference, in-text citation, or footnote;
- Producing, without proper attribution, any form of work originated by another person such as a musical phrase, a proof, a speech, an image, experimental data, laboratory report, graphic design, or computer code;
- Paraphrasing, without sufficient acknowledgment, ideas taken from another person that the reader might reasonably mistake as the author's; and
- Borrowing various words, ideas, phrases, or data from original sources and blending them with one's own without acknowledging the sources.

It is the responsibility of all students to understand the standards and methods of proper attribution and to clarify with each instructor the standards, expectations, and reference techniques appropriate to the subject area and class requirements, including group work and internet use. Students are encouraged to seek out information about these methods from instructors and other resources and to apply this information in all submissions of academic work.

If you are confronted with allegations of misconduct, the University has a process in place to resolve the issue. Review the Discipline Process outlined under the Student Information section of the OSCAI website for detailed information. You can also obtain the assistance of an ombudsman through the Student Conflict Resolution Center (www.sos.umn.edu/) to help you through the process.

Note: OSCAI does not assist with academic performance issues. Review the Conflict Resolution/Grievance Process for more information about resolving those disputes.

Conflict Resolution / Grievance Process

If you have a dispute, the first step of any resolution should be at the lowest unit level, between the parties involved or the parties and an appropriate third party (e.g., other faculty, program coordinator, or student services adviser). Students may wish to contact the Student Conflict Resolution Center (www.sos.umn.edu/) or

similar support services for advice and possible mediation. If no informal resolution is reached at the lowest unit level, a student may seek informal resolution at the collegiate level with the other party and higher level administrators. If the issue is not resolved informally, the student may seek formal resolution. Information about filing a formal grievance is found on the Office for Student Conduct and Academic Integrity website: <http://www.oscai.umn.edu/>.

Sexual Harassment Policy

“Sexual Harassment” means unwelcome sexual advances, requests for sexual favors, and/or other verbal or physical conduct of a sexual nature. Such conduct has the purpose or effect of unreasonably interfering with an individual’s work or academic performance or creating an intimidating, hostile, or offensive working or academic environment in any University activity or program. Such behavior is not acceptable in the University setting. For additional information, please consult Board of Regents Policy: <http://regents.umn.edu/sites/default/files/policies/SexHarassment.pdf>

Access to Educational Records

In accordance with University of Minnesota Board of Regents’ policies on access to student records,

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information about a student may not be released to a third party without the student’s permission. Exceptions under the law include state and federal educational and financial aid institutions. Some student information – name, address, email, telephone number, dates of enrollment and enrollment status (full-time, part-time, not enrolled, withdrawn, and date of withdrawal), college and class, major, adviser, academic awards and honors received, and degrees earned – is considered public or directory information. Students may prevent the release of public information by notifying the records office on their campus. Students have the right to review their educational records and to challenge the contents of those records.

Paid Parental Leave Policy

Any graduate student in a 50% or greater appointment wishing to request parental leave should contact their fellowship or assistantship supervisor at the beginning of the semester when the leave will occur. The supervisor will work with the department chair to identify a replacement for the assistantship responsibilities for the duration of the parental leave; the replacement's appointment should be communicated to the department HR office as soon as possible. The supervisor will work with the graduate student and their replacement to prepare for the leave prior to the start of the parental leave period. The graduate student should contact the department HR office to file the appropriate paperwork including a date for their return to work; paid parental leaves are up to six weeks in duration. Any changes should be reported immediately to the supervisor and department HR.

FINANCIAL SUPPORT

Graduate assistantships, fellowships, and loans are the most common forms of graduate student support. Advisers serve as the primary resource for available graduate assistantships. If accepted for admission, and if opportunities are available, students, on a competitive basis, are offered support within a few months following the priority admission deadline of Dec. 1 (usually in late February to early March). Students may wish to research funding opportunities from other faculty or departments depending on their interests and needs. Students who apply after the priority admission deadline of Dec. 1 are not given priority funding consideration.

Graduate assistantships

Approximately 80 students per year receive a graduate assistantship through C&I (generally 25-50% support / note: 50% is considered a 'full-time' assistantship, representing about 20 hours of work per week). Faculty members make every attempt to fully fund full-time doctoral students (via a 50% appointment) and provide them with a broad range of experiences. In addition to providing a stipend, benefits include tuition and subsidized health insurance prorated based on the percentage of appointment. For benefit details see the Grad Assistant Employment website: <http://www1.umn.edu/ohr/gae/>. Graduate assistants are reviewed annually on their job performance and continued funding is dependent on excellent work and continued academic progress.

Possible graduate assistantships include:

- **Teaching Assistantships (TA):** Many TAs supervise student teachers in the initial licensure programs. These positions usually require experience teaching in a U.S. public schools.
- **Research Assistantships:** Most faculty members have ongoing research projects that include graduate student researchers. Speak with your adviser and/or other faculty in your area regarding prospective research projects.
- **Graduate Instructors:** Ph.D. students may teach M.Ed./I.L.P. or undergraduate courses. Only advanced Ph.D. students (preferably ABD) are permitted to teach graduate courses that other Ph.D. students take.
- **Administrative Assistantships:** Some administrative assistantships are available including Administrative Fellows working in the Curriculum Library and with the Director of Graduate Studies.

Travel support

The CI Graduate Studies Committee supports students presenting at professional conferences. You may apply for travel support funds at any time (no deadlines), and support is in the form of a reimbursement after travel is complete. Students must be presenting at conferences to receive funding; attending conferences is encouraged, however, no funds are available for this. Students who receive funding are strongly encouraged to participate in all aspects of the conference (i.e. attending other sessions, networking events, etc.). Students will only be supported for one conference per year (Sept - Aug).

Awards will be a maximum of \$400 - domestic, \$600 Canada/Hawaii, and \$800 for international conferences (actual awards are based on available funds). As a condition of the award, the Graduate Studies Committee asks that all recipients participate in the annual C&I Student Research Day in the spring. Students may receive a maximum of \$3,000 total while in the program.

An email with the [CI M.A./Ph.D. Travel Support Request form](#) is sent each year in the beginning of September to all current MA and PhD students. To request the form be emailed to you, please email the Graduate Studies

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Coordinator (cigs@umn.edu). Students are also encouraged to pursue college and university-wide travel support opportunities.

Fellowships offered by program tracks

A number of program areas within the department have endowed funds which may be used to support graduate students. These funds are used both as recruitment incentives and to offer fellowships to current students on a competitive basis. The program area is responsible for announcing the funds.

Graduate School Fellowships

The Graduate School offers a variety of fellowships available to currently enrolled students. The C&I Graduate Studies Coordinator informs students about these fellowships as the Graduate School notifies programs. Students will be sent instructions for those fellowships that are competitive and require program nomination. The Graduate School maintains a listing here: <https://www.grad.umn.edu/funding-tuition/fellowshipsandgrants>

Doctoral Dissertation Fellowship (DDF)

Each spring the Graduate School holds a competition to award Doctoral Dissertation Fellowships. This program gives outstanding final-year Ph.D. candidates an opportunity to complete the dissertation within the upcoming academic year by devoting full-time effort to the dissertation. Candidates **must be nominated by their graduate program**. In December, C&I announces the process to compete for the C&I DDF nominations (typically 1-4 students are nominated each year). Students submit materials by the deadline, and the Graduate Studies committee considers nominations at their January meeting. The adviser and DGS work with nominee(s) to prepare nomination materials - due to the Graduate School Fellowship office in early March. You can find more information here: <https://www.grad.umn.edu/funding-tuition/ddf>

College of Education and Human Development Scholarships and Awards

The College of Education and Human Development lists many fellowships and scholarships here: <http://www.cehd.umn.edu/graduate/scholarships/>

ADVISING

The adviser acts as the student's major guide and advocate. Upon admission to an M.A. or Ph.D. degree program, students are initially assigned a faculty adviser or co-advisers. Once students identify a research focus, they may wish to change advisers in order to work with a faculty member with compatible research interests. This is not uncommon as research interests do shift; however, students need to communicate clearly with all parties.

Students may initiate an adviser change by notifying the present adviser of the intent to change, securing agreement of the new faculty member to serve as adviser, and emailing the Graduate Studies Coordinator (cigs@umn.edu). When you send a change of adviser email, please copy both your current and new adviser to signify approval. Or, you may also meet with your present adviser and your proposed adviser and secure their agreement for the adviser change by having them sign the Change of Adviser form:

<https://sites.google.com/a/umn.edu/students-c-and-i/m-a-and-ph-d>

If a conflict develops between a student and his/her adviser, the student should first discuss the problem with the adviser. The DGS may also be consulted as needed. Additional support can be found through the Student Conflict Resolution Center: <http://www.sos.umn.edu/>. This service offers informal and formal conflict resolution services to resolve students' university-based problems and concerns. An ombudsman provides confidential, neutral and informal options.

PH.D. INFORMATION

Steps toward successful Ph.D. degree completion

The path to a Ph.D. is challenging and requires close communication with your adviser and committee members. The following steps are intended to support you by giving you input on the dissertation study design from your entire committee and to protect you so that you know your committee members are in agreement with your plan.

PhD. students should complete the following steps in order (more details on specific steps follow): 1.

Consult with adviser regarding course selection; refer to C&I course requirements and register for courses every fall and spring to maintain active status in the program.

2. Complete the C&I Ph.D. Program Planning Form; this maps your coursework by requirement area and lists your preliminary oral examination committee. Students are expected to complete the C&I Ph.D. Program Planning Form after they have completed 30 credits. For full time students, this amounts to the second year of the program (3rd/4th semester).

3. Submit your Graduate Planning & Audit System (GPAS), required by the Graduate School, and assign your preliminary examination committee at least one term prior to your preliminary examinations.

Students are expected to file the GPAS after registering for their last semester of coursework.

4. Once finished with the majority of program coursework, take preliminary examinations (written and oral). Full time students typically complete preliminary examinations later in their third year. Track specific guidelines for preliminary exams are at: <https://sites.google.com/a/umn.edu/students-c-and-i/m-a-and-ph-d>

5. Determine final examining committee in consult with adviser. Ask faculty members if they are willing to serve on your final examining committee, and electronically assign committee.

6. Work closely with adviser to prepare draft of thesis proposal and meet with final examining committee (reviewers only) to propose thesis. At end of the meeting, readers sign the *C&I Ph.D. Thesis Proposal Meeting form*, which confirms their approval of your proposal.

7. If applicable, file Human Subjects forms to Institutional Review Board (IRB) to request approval to conduct dissertation research. Once IRB approval is received, begin data collection. Beginning data collection prior to IRB approval is not permitted, even in cases where the study is exempt from full review.

8. Write your dissertation.

9. Electronically request the Graduation Packet no later than the term before the final exam (defense). 10. Schedule Final Oral Examination (defense) with adviser and committee. Once date is set, electronically schedule with Graduate School and notify C&I Graduate Studies Coordinator.

11. Submit the Graduate Application for Degree (MyU.umn.edu > Academics > Degree Progress tab) no later than the first day of the month you intend to graduate.

12. Submit completed thesis to readers/reviewers at least two weeks prior to your defense date. 13. Submit signed *Reviewer's Report form* (in Graduation Packet) to the Graduate School prior to defense – the Graduate School will then release your *Final Exam Report form*.

14. Hold thesis Defense/Final Examination and submit signed *Final Exam Report form* to the Graduate School.

15. Submit dissertation, and all supporting paperwork, to the Graduate School by the last business day of the anticipated month of graduation.

COURSEWORK

The Ph.D. is not a coursework degree. Although coursework is certainly required, the Ph.D. program is designed to help students develop as research scholars by assisting them in initiating a research program that will contribute to the scholarly community. Development as a researcher can occur through research and teaching assistantships, professional collaboration with faculty and other graduate students, and intensive exploration of the field through independent reading and writing beyond that which is required for coursework.

Ph.D. students are expected to demonstrate independence as scholars. To meet that expectation, it is necessary for students to integrate and communicate concepts effectively both orally and in writing. This expectation is also achieved by becoming an active participant in the research community, e.g., engaging in public presentation of research projects, maintaining membership in professional organizations (e.g., AERA), attending academic conferences, and publishing.

Degree Program Planning

A minimum of 78 semester credits is required for the Ph.D. program in Education, Curriculum, and Instruction, including 24 thesis credits. Of the 54 course credits, students must take a minimum of 39 course credits while enrolled in a graduate program at the University of Minnesota. These credits can be satisfied only with graduate-level courses taken as a graduate student at the University of Minnesota (these may include up to 12 credits taken at the University of Minnesota as a non-degree-seeking student prior to official admission to the Graduate School). For more information see the Minimum Credit Requirements policy:

<https://sites.google.com/a/umn.edu/students-c-and-i/m-a-and-ph-d>

Coursework is required in these areas:

- **Core coursework:** 6 credits (CI 8131 and CI 8132)
- **Major coursework:** 15 credits from major track
- **Research coursework:** 18 credits includes CI 8134 & CI 8135 plus 12 credits of depth courses in the following - quantitative, qualitative or mixed methods
- **Supporting coursework (or minor):** 12 credits
- **Electives:** 3 credits determined in consult with adviser
- **Thesis Credits:** 24 required

(STEM students should consult with their adviser - and the [STEM Ph.D. Program planning form](#) - as program requirements are more specific than the above list)

Students are required to register for CI 8134 and CI 8135 in their first Fall and Spring semesters as these courses are often a prerequisite for other research courses. Forward planning for core research courses is available here: <https://sites.google.com/a/umn.edu/students-c-and-i/m-a-and-ph-d>

Major coursework

These credits reflect depth and breadth of the discipline; work with adviser to determine most appropriate

courses for program.

Research methodology

The research methodology requirement includes two overview courses (CI 8134, CI 8135) and at least 12 depth courses in one of three methodological strands: Qualitative (e.g. Ethnographic, Case Study, Discourse Analysis), Quantitative (e.g. Hierarchical linear modeling, Measurement, Survey Research) or a strength in either a

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quantitative or qualitative methodology with a blend of the other. Possible depth coursework strands are available on the C&I Ph.D. course requirements document at: <https://sites.google.com/a/umn.edu/students-c-and-i/m-a-and-ph-d>

Minor or supporting program

Both the minor and supporting program options may require students to take written preliminary examinations in the fields included, but students electing a traditional minor are expected to have competency in the minor field.

A traditional minor includes work in a single field related to the major, but taken outside the C&I department. The minor field must be declared when a student submits their degree program, and coursework must be approved by the DGS for the minor. In addition, the outside member on the student's committees (prelim and final) must represent the minor field. Some examples of minors completed by students in C&I are: •

Educational Psychology

- Mathematics
- Studio Arts
- International Education
- Literacy and Rhetorical Studies

A supporting program is less formal and more flexible than a minor. It should consist of a coherent pattern of courses that complement the major in a meaningful way. Whenever possible, the outside member on the student's committee should represent the supporting program. For supporting coursework, students may choose coursework from within C&I (outside their major track), coursework outside C&I, or a combination.

Examples:

Student A: Within the major, the selected track is Literacy Education and supporting coursework is in Culture and Teaching (CaT).

Supporting program coursework:

CI 8155 Immigrants and U.S. Schools
CI 8154 Culturally Relevant Pedagogy
CI 8151 Paradigms and Practices in Teacher Education
CI 8159 CaT Colloquium

Student B: Within the major, the selected track is Literacy Education and supporting coursework embraces a variety of fields.

Supporting program coursework:

GWSS 5103 Feminist Pedagogies
GWSS 8108 Feminist Theory and Method I
ENGL 8400 Seminar on Post-Colonial Literatures: Culture and Colonialism

Transfer credits

Students may transfer no more than 15 credits from an outside institution. For coursework taken as a non degree seeking student at the University of Minnesota, up to 12 credits may be applied to the program.

Each student works closely with his or her adviser to determine which credits are suitable for transfer into our Ph.D. program. Suitable transfer credits are graduate-level, and must have been taught by a faculty member with a Ph.D. or equivalent doctoral degree, or a ABD Ph.D. candidate. Please note: courses that lead to and/or enroll initial licensure students only are prohibited from transferring into the Ph.D. program. In the case of a

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transfer from a non-United States institution, graduate course credits to be transferred must have been earned in a program judged by the University graduate program to be comparable to a graduate degree program of a regionally accredited institution in the United States. Transfer of thesis/dissertation credits is not allowed.

Submitting the Graduate Planning & Audit System (GPAS)

Students work with advisers in planning their programs. Students first submit the *C&I PhD Program Planning Form*, with their Preliminary Examination Committee structure, to the Graduate Studies Coordinator for DGS review (or *STEM PhD Program Planning form* for STEM Ed PhD students). Students may either submit a hard copy of the form or email it to the Graduate Studies Coordinator (cc'ing the adviser indicates that the student's adviser has previously approved the program). Students are notified once the program is approved; they are then instructed to:

- Submit the Graduate Planning & Audit System (GPAS) via: MyU > Academics > Degree Progress tab

The Graduate Planning & Audit System (GPAS) audit automatically shows all graduate-level coursework you have taken at the University of Minnesota-Twin Cities. Students are required to enter their approved transfer coursework into the transfer coursework section of GPAS. Students should submit their GPAS once they have registered for their last semester of coursework. After being submitted by the student, the Graduate Planning & Audit System (GPAS) is first reviewed and approved by the Graduate Studies Coordinator and then by the DGS.

REGISTRATION

Registration requirements

All Graduate School students are required to register every fall and spring term to maintain their active status. Active status is necessary to register for courses, take exams, file for graduation, or otherwise participate in the University community as a Graduate School student.

GRAD 999 was created as a registration option for students seeking to maintain active status without registering for courses or thesis credits. This is a zero-credit, zero-fee, and non-graded registration option - only for graduate students who must register solely to meet the registration requirement. C&I allows students to register for GRAD 999 a maximum of two terms.

For more information on other registration categories (CI 8444) and/or readmission instructions see:

<https://onestop.umn.edu/academics/special-registration-categories-graduate-and-professional-students>

Early Thesis Credit Registration

Effective Fall 2012 C&I doctoral students could begin registering for doctoral thesis credits (CI 8888) when one of the following is true:

- the GPAS (program) has been submitted and approved;
- the student has completed at least 36 course credits and submitted a copy of their *PhD Program Planning Form* to the Graduate Studies Coordinator

Permission to enroll in thesis credits does not guarantee advancement to Ph.D. candidacy. Preliminary examinations must be passed and the thesis proposal must be approved in order to progress to Ph.D. candidate status.

Registration Exception

Should students need to request a change to their registration after a deadline (e.g. add, drop, etc.), they may do so by submitting a *Graduate Registration Exception Request form*- under “Registration” drop-down at:

<https://onestop.umn.edu/forms>

Leave of Absence and Reinstatement

Students may need to interrupt their enrollment for reasons they cannot control. A formal leave of absence provides students the opportunity to return to the University under the rules and policies in effect when they left and without affecting their time to degree. It also allows the University the opportunity to counsel students about actions they must take to be reinstated upon the expiration of the leave. An approved leave of absence may not exceed two academic years, and the time on leave will not be counted toward the time to degree.

You must apply for the leave as well as request a reinstatement when you’re ready to return. The policy and links to forms are found here: <http://policy.umn.edu/Policies/Education/Education/GRADSTUDENTLEAVE.html> (forms under Forms/Instructions section). A signature from your departmental Director of Graduate Studies is required, after consultation with your faculty adviser.

PRELIMINARY EXAMINATIONS

Preliminary written examination

All doctoral students are required to pass a written examination, which covers coursework completed within the major track. Students nearing the end of their coursework should meet with the adviser(s) to discuss the preliminary written examination process for his/her track, as requirements vary. More detailed information on specific track requirements for the preliminary written and oral exam is available at:

<https://sites.google.com/a/umn.edu/students-c-and-i/m-a-and-ph-d>

Once the preliminary written exam is completed, the student's adviser reports the results to the student and to the Graduate Studies Coordinator. The Graduate Studies Coordinator must then report the exam results via the electronic form: *Record Preliminary Written Exam Results*. The electronic form must be submitted with a result of "pass" before the Graduate School will release the Preliminary Oral Exam form.

Preliminary oral examination

Students take the preliminary oral examination after completing most (or all) coursework and passing the preliminary written examination, but before writing the dissertation. The preliminary oral is a closed examination between the student and a minimum of four committee members, which should include:

- At least three members, including the adviser, must be from the student's major field •

At least one member must represent a field outside the major

- If a student has declared a minor, at least one member must represent the minor field •

Members cannot satisfy the requirement with respect to more than one field

Assigning members and scheduling the preliminary oral examination

The student is responsible for assigning their preliminary oral examination committee at least one month prior to the exam by completing the electronic form: [Assign/Update Preliminary Oral Examination Committee](#). The student is responsible for scheduling the preliminary oral examination with the committee members and with the Graduate School at least one week before the exam; students complete the electronic form: [Preliminary Oral Examination Scheduling](#). Please contact the Graduate Studies Coordinator or other C&I staff to schedule a room for your exam. Your exam is scheduled for two hours. More details regarding specific track information can be found at: <https://sites.google.com/a/umn.edu/students-c-and-i/m-a-and-ph-d>. Students should not expect to schedule preliminary oral exams during the summer. If the date of your Preliminary Oral Exam changes after you have electronically scheduled with the Graduate School, please email GSSP with the new date of your exam (gssp@umn.edu).

Students occasionally request that someone from outside the UMN serve on their committee, in particular if the person has expertise associated with their specific area of study/research. To do this, the student must first obtain approval from their adviser. Then, the expert's CV, birth date and adviser approval should be submitted electronically to the Graduate Studies Coordinator (for DGS approval). Once the DGS approves, then the Graduate Studies Coordinator files the information with the college who provides the Graduate Studies Coordinator with the EmplID. Students need the EmplID to electronically assign the person in the Workflow Gen system.

Determining content of the preliminary oral examination

Immediately before the preliminary oral examination, the committee chair stipulates the objectives of the examination and, in consultation with other members of the committee, determines how the examination is to

be conducted. In most cases, committee members begin the exam by focusing on the content of the written prelims and then branch out to pose other questions related to the major and minor. Questions related to the

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supporting program may also emerge during the preliminary oral examination, but students are not expected to have significant competency in the field like those who include a traditional minor in their programs.

Scoring the preliminary oral examination

Immediately after the examination, the candidate is excused from the room and a written secret ballot is taken before discussing the examination. Following the discussion, a final vote is taken, and the participants sign the report form, which is submitted to the Graduate School Student Services and Progress office (160 Williamson) no later than the first workday after the examination. More detailed information about the examination and the possible outcomes can be found in the [Doctoral Degree: Performance Standards and Progress Policy](#).

Successful completion of preliminary oral examination

Once a student passes the preliminary oral examination, s/he becomes an official candidate for the doctoral degree. The preliminary examination committee officially dissolves after the written and oral examinations have been successfully completed. A final oral examination committee is formed in conjunction with the thesis proposal/defense; those members are often the same as the preliminary examination committee.

FINAL EXAMINATION & DISSERTATION

Dissertation and the final oral examining committee

The thesis must demonstrate originality and ability for independent investigation, and the results of the research must constitute a meaningful contribution to knowledge in the field. The thesis must exhibit the student's mastery of the literature of the subject and familiarity with the sources. The subject matter must be presented with a satisfactory degree of literary skill. The student works closely with the adviser(s) and committee members to develop a dissertation topic and design the research.

Final examining committee

The student works with the adviser(s) to determine members of the final oral examining committee, which, like the preliminary examining committee, must include three faculty members from within the major track and one from outside the major track, representing the minor or supporting program. The Thesis Panel, a subgroup of the Final Examining Committee, is comprised of the three readers on the committee—the adviser, the outside member, and one other committee member from within C&I who is also designated as a reader. The final member of the examining committee does not serve as a reader and is not included in the Thesis Panel. However, they read the dissertation prior to the final defense.

Students occasionally request that someone from outside the U of MN serve on their committee, in particular if the person has expertise associated with their specific area of study/research. To do this, students must first obtain approval from their adviser. Then, the expert's CV, birth date and adviser approval should be submitted electronically to the Graduate Studies Coordinator (for DGS approval). Once the DGS approves, the Graduate Studies Coordinator files the information with the college who provides the Graduate Studies Coordinator with the EmplID. Students need the EmplID to electronically assign the person in the Workflow Gen system - see link below.

Assign/Update Final Oral Examining Committee

Students electronically assign the Final Oral Examining Committee once the committee has been named – before holding the thesis proposal meeting. To assign, complete the electronic form: [Assign/Update Final Oral Examining Committee](#). If a committee member needs to be updated prior to the final defense, submit the new information electronically using the same form.

Thesis proposal meeting (Prospectus meeting)

After adviser approval of the thesis title and proposal, the student distributes the proposal to the Thesis Panel members (readers) and schedules a meeting to discuss the proposal. Together, the student and Thesis Panel agree on the final proposal, content, and scope of the dissertation. At this meeting, committee members sign the [PhD Thesis Proposal Meeting Form](#) and a chair of the Final Oral Examining Committee is assigned. The committee member serving as Chair must show this role in the [Graduate Education Faculty Role List](#) and cannot be the student's adviser. This signed form should be submitted to the Graduate Studies Coordinator for filing.

Dissertation or thesis proposal

The thesis proposal generally includes the following content:

- *Title*—summarizes the main idea of the study in no more than 15 words.
- *Introduction*—includes a statement of the problem, background and rationale. Description of the theoretical framework that informs the study may also be included in this section.
- *Research Questions*—includes a statement of specific research questions or hypotheses,

- **Methodology**—this section includes a description of the proposed (1) subjects/study participants and site/context for the research, (2) research methodology(ies) as well as methods, materials or instruments to be used for data collection, and (3) detailed procedures for data analysis.
- **Preparation and qualifications for conducting the research**—this includes a description of the student's qualifications for dealing with both the content and methodology of the study. It should include relevant coursework, independent reading, experiential background, and involvement with previous studies.
- **References**—lists the references for sources cited in the proposal, following a consistent style such as [APA](#).

Alternative to the traditional dissertation

Although most students at the University complete traditional dissertations (that is, a single and extensive quantitative, qualitative or mixed methods study that is described in detail in a five or six-chapter dissertation), it is possible to propose an alternative. This may include a series of studies completed during the Ph.D. program and possibly published previously by the student. The studies must be around a coherent theme or topic and should show how the student's thinking has evolved over time as a result of the research experience. Only those students who have had experience conducting research and who have the opportunity to engage in a variety of research projects during their Ph.D. program should consider this alternative. Consult with your adviser and the DGS should you decide to submit an alternative to the dissertation.

Finally, the student should contact the Graduate School Student Services Office for information on accommodating an alternative thesis to the required thesis format (gssp@umn.edu).

Example of an alternative to the traditional dissertation:

A student in Second Languages and Cultures Education proposed an alternative to the traditional dissertation that was titled "Teaching at the Intersection of Language and Culture: Issues in Teaching Pragmatics in Second/Foreign Language Education." The dissertation involved a series of three studies around the pragmatic use of language, or use of language in social contexts.

- Study 1 explored the role of learner agency in emulating and resisting pragmatic norms. The research was conducted during her second year of coursework and led to a presentation at a national conference and publication.
- Study 2 involved the development of a curriculum designed to help second language learners understand and use pragmatics effectively in social interaction. It focused on examining learners' reactions to the curriculum and was conducted in the context of a research assistantship. Study 2 was also presented at a national conference and the curriculum is in use in some university-level language classrooms.
- Study 3 took a phenomenological approach and explored second language learners' lived experience as they resist pragmatic norms.

The final dissertation consisted of six chapters. Chapter 1 provided an overview of the area of pragmatics and identified the problems or issues in the teaching of pragmatics. Chapter 2 presented an extensive and critical review of the literature related to the three studies. Chapters 3, 4, and 5 each presented one of the research studies in detail (as published, when applicable), and Chapter 6 synthesized the three studies and their conclusions and implications and pointed to how together they showed how the student evolved in her thinking and understanding of the topic and associated problems.

Human subjects approval

Most students in C&I complete dissertations that involve work with students, teachers or other school or business personnel, i.e., human subjects. Students must complete and submit an application to the University's Internal Review Board (IRB) and receive approval prior to beginning data collection or contacting possible subjects. IRB approval may take several weeks or months, so students are advised to plan ahead and apply

early in the research process. See the [Institutional Review Board home page](#) for current information and forms.

Ordering the Graduation Packet

Early in the term in which you plan to defend your dissertation – order your [Graduation Packet](#) online. This includes information necessary for completing the degree, in particular – the Reviewer's Report form and the Application for Degree form. More information on these forms is below.

Preparing the dissertation and scheduling the final defense

The student works closely with the adviser(s) throughout the dissertation process, submitting drafts for review and feedback along the way. The other readers on the committee may also work with the student throughout the preparation of the thesis, though this depends upon the committee.

Students should plan to schedule the final defense with their adviser and committee members well in advance of their proposed defense date (approximately 2-3 months). Once a date/time is set, reserve a room with the Graduate Studies Coordinator or other C&I staff member. In addition, you will need to electronically schedule your defense date with the Graduate School so they can begin the clearance process; see [Final Oral Examination Scheduling](#). Students should not plan to hold their final defense during the summer. If the date of your Final Oral Exam changes after you have electronically scheduled with the Graduate School, please email GSSP with the new date of your exam (gssp@umn.edu).

Once the dissertation is complete, a draft is submitted to all readers, who certify that the thesis is ready for defense by signing the Thesis Reviewer's Report form (included in the Graduation Packet). This signed form is submitted to the Graduate Student Services and Progress Office (GSSP) who will then release the Final Exam form. The Final Exam form is either sent via campus mail to the committee Chair (if at least 10 days before the defense) or the student may pick up the form from GSSP – 160 Williamson - if less than 10 days.

To permit readers sufficient time to read the thesis and decide whether it is ready for defense, students must notify their advisers and committee members at least two weeks in advance that the thesis will be delivered on a particular date. All members of the examining committee must then have at least two weeks to read the thesis after it has been delivered.

Final oral examination

The first hour of the final oral is open to the public. The Ph.D. candidate presents an overview of the research (30-45 min), and then all in attendance may pose questions and engage in discussion on the research until the first hour has ended. The exam chair should act as facilitator.

When the hour is over, the chair of the exam announces a quick break so that the public may exit. The candidate then meets with the final oral examining committee for the next hour or two for additional questions and discussion. The examination is limited to the candidate's thesis subject and relevant areas. This final session between the candidate and the committee is closed. Once the chair has determined that the questions have been satisfied, the candidate is excused so that the committee may vote and discuss the exam. The entire exam may last longer than two hours (especially given that the first hour is open to the public), but may not exceed 3 hours total.

Reporting the results of the final oral examination

Upon completion of the examination, a formal vote of the committee is taken. To be recommended for the award of the doctoral degree, candidates must receive a vote with no more than one dissenting member of the total examining committee. See the [Doctoral Degree: Completion policy](#) for more details.

The Doctoral Final Exam Report form should be submitted no later than the last business day of anticipated month of graduation.

Preparation and submission of the copies of the thesis

A copy of the thesis must be submitted to the Graduate School. The student's adviser(s) must sign the thesis to confirm that it is complete and satisfactory in all respects and that all required revisions have been made. The Thesis Formatting and Submission instructions are available at:

<https://onestop.umn.edu/academics/thesisdissertation-submission-and-formatting>

GRADUATION & COMMENCEMENT

CEHD Commencement

CEHD's commencement ceremony is held once per year in May. All students are notified early in spring term about the process for signing up for commencement. Additional information is available at:

<http://www.cehd.umn.edu/commencement/default.html>.

Please note: participating in commencement does not mean that you are, or will be, cleared for graduation. Graduation (degree) clearance is a separate process.

Clearance for graduation

Degrees are awarded monthly. To qualify for graduation in a particular month, a student must submit the Application for Degree form no later than the first day of that month and must complete the final oral examination and submit the dissertation, and all supporting paperwork, by the last business day of the anticipated month of graduation. The Application for Degree form can be found under MyU.umn.edu > Academics > Degree Progress tab

