

College of Education Doctoral Program Requirements and Procedures

Approved March 1, 1985; Amended October 4, 1996, September 1, 2000, Summer 2003, January 2006, May 2013

I. ADMISSIONS

A. Admission to Graduate Standing

1. Admission of a student to the College of Education must be executed through the College of Education Graduate Admission Office. For a student to be admitted with regular graduate standing, all credentials must reach this office at least thirty days before classes commence for the semester in which the student wishes to register. Admission is offered only upon approval of the academic program faculty. Students admitted within 30 days prior to start of classes will be granted *Associate* admission.
2. A graduate student who is absent from the University for more than a semester must petition to be readmitted to graduate standing.

B. Admission to the Doctoral Program

The College of Education has established minimum standards for admission to the Ed.D. and Ph.D. programs, although academic programs within the college may establish more rigorous admission criteria. Those minimum standards are as follows:

1. On initial application, the applicant must meet ONE of the following criteria, as appropriate to the applicant's level of previous study at time of admission:
 - A combined score at the 75th percentile for education across verbal and quantitative subtests of the GRE aptitude test or the 75th percentile of the MAT. (Programs can make their own decisions about whether to use the GRE writing sample subtest for purposes of admissions.);
--OR--
 - An undergraduate grade point average of at least 3.00 (if applying as a post-bachelor's degree admit) or a graduate grade point average of at least 3.5 on a minimum of 30 credits;
--OR--
 - An undergraduate grade point average of at least 3.00 in the last two semesters (if applying as a post-bachelor's degree admit).
2. Students must successfully pass the qualifying process, which varies from academic program to program. Students should consult their program's manual for information on the qualifying process of their particular academic program. A student who successfully completes the qualifying process will be informed in writing by the Program Director. At that point, the student will be considered to be formally admitted to the doctoral program and is henceforth referred to as a *doctoral* student (having previously classified simply as a *graduate student* pursuing doctoral study).

C. Admission to Candidacy

In order to be admitted formally to candidacy for the doctorate, the student must submit an application, a proposed program of study, and a proposal for the dissertation (see Section IV) to the Dean of Education for approval. Included in the application is verification of meeting the concentrated learning requirement. The form of the application is prescribed in an instruction sheet available from the Program Coordinator's Office.

D. A doctoral student who wishes to transfer from one academic program to another within the College of Education must:

1. Petition to transfer into the new program, and
2. Meet the eligibility requirements for that new program.
3. Be accepted into the new academic program.

II. ADVISEMENT, REGISTRATION, AND REGULATIONS

A. Advisement

1. The director of the academic program through which the student is admitted to graduate standing appoints a member of the faculty in the student's major field to advise the student on the program and support that student's registration for courses.
2. The director of the academic program that accepts a student for doctoral study establishes a file for the official credentials, records, and correspondence which relate to that student. This student file is a program file.
3. The value placed on prior professional experience and course work of each doctoral student is determined by the faculty of the program in which the student is enrolled.
4. The program of study for each doctoral student is developed by the student in consultation with his or her faculty adviser, in keeping with the curricular decisions of the faculty of that academic program.

B. Registration

1. A student that is registered full-time may take no more than 15 credit hours concurrently. A student holding a TA, RA, or GA appointment entailing 20 hours of effort per week (labeled as a *half-time appointment*) is limited to taking 10 concurrent credit hours. Students holding an appointment entailing less than 20 hours of effort per week are not so limited, although –like graduate students who are employed elsewhere and can give only part of their time to graduate work—they should restrict their academic loads accordingly.
2. Students are expected to register-before the first day of classes. After the first day of classes, late registration or registration changes are permitted only by petition to the

Registrar and a late fee is charged. Generally, registration is refused after the 15th day (8th day in summer).

3. All students using Lehigh University resources MUST be registered. A student must be registered in the semester in which the degree is conferred.
4. If a student *wishing to be certified as a full-time student* (see next section) reaches the “minimum degree registration” requirement for his or her program of study prior to formal admission to doctoral candidacy, that student must maintain continued registration of at least three (3) credits per semester in fall and spring until the committee has approved the dissertation proposal and he or she is admitted to doctoral candidacy. If the student has completed all required coursework, he or she traditionally registers for 3 credits of dissertation.

This “minimum degree registration” requirement differs, according to the student’s academic level prior to initial admission to the doctoral program: For students admitted to the doctoral program after completing their bachelor’s degree, the minimum is 72 credits. For students admitted after completing their master’s degree, it is 48 credits.

5. After admission to doctoral candidacy, regardless of whether a student wishes full-time student status, that student MUST maintain candidacy by registering at least two times each calendar year (in both fall and spring semesters or in either fall or spring semester plus one summer session). After completion of the minimal registration requirement plus any additional requirements of the student’s department or program, students may register for one credit hour of ‘Maintenance of Candidacy’ (MOC).

C. Full-time Student Status

1. Certification as a full-time student is based on where a student is in his or her program of study. Full-time status has important legal implications, including affecting visas, loan repayment schedules and the university’s IRS status.
2. Students who require certification as full-time students must complete the appropriate form at the start of EVERY fall and spring semester.
3. In order to qualify for full-time student status, a student normally must be registered for at least nine (9) credits in a semester. As noted on the full-time student status certification form, however, there are specific circumstances under which a student carrying fewer credits may be certified as full-time.

D. Time Limits (*Time-to-degree Clock*)

1. A student’s time-to-degree clock begins with the *first* course to be counted toward that degree.
2. All work beyond the baccalaureate to be counted toward the doctorate must be completed within a ten-year period after commencing graduate study.

3. If the student interrupts his/her studies after completing the Master's degree, he or she has seven years to complete the doctorate.
4. Extension of the time limit is granted only for good cause, such as serious health or personal issues or military service. Approval of such an extension is through the petition process and will only be granted in cases where there is support from the doctoral adviser, program director, department chair and associate dean. This petition MUST include: (1) a clear rationale for why the student has been unable to complete the degree within the allotted time; (2) a detailed description of the student's new timeline for degree completion, including all key doctoral milestones; and (3) a statement of support from the doctoral adviser, endorsing the fact that the new timeline is reasonable *and* confirming the adviser is confident the student can finish within that timeline.
5. A student who encounters challenges to completing his or her doctoral degree that are outside his/her control --such as job changes, health or personal issues and the like-- may petition for *up to a total of two years* of leave of absence. If granted, such leaves automatically extend the student's time-to-completion clock by the amount of the granted leave and a student already admitted to candidacy is not required to register for maintenance of candidacy while on leave.

Whenever possible, students should apply for such leaves *prior* to taking time away from doctoral study, although in unusual circumstances, a student may apply for such a leave retroactively. Students on leaves of absence are NOT ALLOWED to register or to work with faculty on doctoral work or completion of required doctoral tasks.

E. Concentrated Learning

1. Each Ph.D. or Ed.D. candidate must satisfy Lehigh's concentrated learning requirement. This requirement is intended to ensure that doctoral students spend a period of concentrated study and intellectual association with other scholars. To fulfill this requirement, the student must complete either two semesters of full-time Lehigh graduate study or 18 credit hours of Lehigh graduate study, either on or off campus, within a fifteen-month period.
2. Individual doctoral programs in the college may have specific concentrated learning requirements that exceed these minimums. For this reason, each student should confirm the specific requirements of the doctoral program in which he or she is enrolled.

F. Withdrawals and Incompletes

1. Course withdrawals with a grade of W are permitted only during the first nine weeks of classes during the regular academic year. During a summer session, such withdrawals must occur before half of the session has elapsed. After these points,

instructors may assign a mark of either WP or WF, depending on the performance of the student in the course to that point.

2. If the student withdraws from all courses, the withdrawal must be processed through the College of Education Graduate Admission Office to the Registrar.
3. Graduate students have one calendar year to remove an incomplete unless an earlier deadline is specified by the instructor. Incomplete final marks that are not removed within one year, either devolve to the parenthetical mark originally submitted by the instructor or to an F if no such parenthetical mark was submitted. One exception to this timeline is removal of incompletes in courses designated as research courses. Such courses maintain the N mark until such time as the instructor submits a *Change of Final Mark* form.

G. Academic Performance Expectations and Policies

1. Doctoral students are governed by university, college and academic program policies related to academic performance. College policies may be more stringent than university policies and academic program policies may be more stringent than college policies.
2. Applicable college policies related to student academic performance are described in the *Education and Human Services Department Handbook* and include:
 - College Policy on Adequate Academic Progress
 - College Academic Integrity Policy
 - Academic Scholarship Requirements for College of Education Programs
3. In addition, students should review the program manual for their academic programs to identify any relevant program policies related to program expectations and requirements for student academic performance.

III. GENERAL EXAMINATION

- A. The general examination (comprehensive examination) for the doctorate is designated to test both the student's capacity and proficiency in his/her major and minor fields of study. The examination is not necessarily confined to the content of courses that have been taken at Lehigh University or elsewhere.
- B. This examination is administered near the completion of formal coursework. It must be passed *no less than seven months prior to the date of graduation* and upon completion of at least 30 semester hours of post-master's work. The student may be scheduled for the examination with the consent of the major adviser and program director.

- C. Academic programs employ varying approaches to the general examination and may have different requirements. The program faculty define the format and evaluation process of the examination, which may include such components as sit-down essays, take-home examinations, portfolio presentation, formal presentation, oral presentation and/or follow-up oral examination.
- D. Should a candidate fail any part of the general examination, he/she may be permitted by petition to the program faculty to undertake a second examination *not earlier than five months after the first examination*. If the results of the second examination are also unsatisfactory, no additional examination is scheduled and the student may no longer pursue the doctoral degree.
- E. The program director notifies the student of the outcome of the general examination. In the case of a second failure, the program director also notifies the Chairperson of the Department and the Dean of Education of this fact.

IV. DISSERTATION PROPOSAL

- A. Soon after the course work begins, and no later than mid-way through the program of study, the student and his/her adviser should begin consultations on a proposal for the student's research. The sooner these consultations begin the better, since the remainder of the student's coursework should be designed in part to prepare him/her to carry out the proposed research. It is the student's responsibility to become sufficiently immersed in his/her field so as to be able to propose research that is both timely and significant. The faculty member who plans to chair the student's dissertation committee files an *Intent to Form a Dissertation Committee* form through the college admissions coordinator. This form is signed by the Department Chairperson.
- B. Students are required to pass their general examination prior to formally proposing their dissertation. However, it is recognized that exceptional circumstances occasionally arise in which students may propose their dissertation prior to passing their general examination. Students need to submit an internal petition through their dissertation chair and the program director to the department chair for variance to this requirement.
- C. It is the student's responsibility to propose research that is of interest to, and can be directed by, the faculty of the program.
- D. When the proposal is sufficiently advanced to be examined by a special committee, the adviser, through the Department Chair, appoints a special committee to examine the proposal and, if that proposal is found acceptable, to act as the student's dissertation committee while the candidate conducts the study. It is the student's responsibility, with the assistance of the adviser, to present his/her proposal to, and acquire the commitment of, prospective committee members.

- E. The following rules govern membership on this committee:
1. The minimum number of committee members is four and all members must hold a doctoral degree.
 2. Of these, three, including the committee chair, are to be VOTING Lehigh faculty members. With the written approval of the dean of the college, one of the three aforementioned faculty members may be drawn from categories that include departmentally approved adjuncts, professors of practice, university lecturers, and courtesy faculty appointees.
 3. The fourth required member must be from outside the student's department (or outside the student's program if there is only one department in the college).
 4. Committees may include additional members who possess the requisite expertise and experience.
 5. Committee membership must be approved by the University's Graduate and Research Committee; such approval may be delegated to the colleges.
 6. No member of the faculty may serve as a chairperson of a special committee unless:
 - The faculty member has served as a special committee member for at least one successfully completed dissertation in Lehigh's College of Education; and
 - The faculty member has an earned doctorate and holds a full-time regular faculty appointment at the rank of assistant professor or above in the Department of Education and Human Services; and
 - His/her training, expertise and/or prior research experience, including his/her own doctoral dissertation, is in alignment with the dissertation proposal of the student, and
 - He/she is already chairing fewer than four doctoral special committees that are active at that time.
 7. No member of the faculty may serve as a member of a special committee unless:
 - The research proposal being investigated by the student is in alignment with the training, interest, and expertise of at least one faculty person other than the chairperson; and
 - He/she has an earned doctorate and holds a faculty appointment (adjunct or non-adjunct) in the College of Education. Special committee membership may be granted to persons outside the College of Education or the University where the research proposal being investigated by the student is in alignment with the training, interest or expertise of the proposed member. Approval for all such memberships must be obtained by the program coordinator submitting in writing the proposed member's credentials to the Department Chair for transmittal to the Dean of Education for approval.
- F. When the special committee approves the proposal, the soon-to-be-candidate then prepares it for submission to the Dean of Education. The proposal is submitted to the Dean as part of the student's application for candidacy for the doctoral degree (See I-C above).
- G. The candidate may proceed with the dissertation after having been informed by the Dean of Education that candidacy for the doctoral degree is approved. Although the special

committee reserves the right to examine the candidate's progress at any time, it is the candidate's responsibility to monitor his/her own progress and to seek advice from any or all of the special committee when necessary.

V. THE DISSERTATION

The dissertation requirement for the doctorate shall be satisfied by the doctoral candidate through completion of one of two types of dissertations:

A. A Traditional Dissertation (Ph.D. or Ed.D.)

This requirement is the traditional research dissertation prevailing in other disciplines.

B. An Analytic Dissertation (Ed.D.)

1. The analytic dissertation is a critical examination of a substantive problem of educational practice. A problem of practice may be concerned with educational processes, outcomes, policies, and/or procedures but not necessarily limited to the above. The purpose of the analytic dissertation, other than satisfying a doctoral dissertation requirement, is to provide a document that might be useful to other educational practitioners faced with the same or similar problems.
2. The analytic dissertation shall define a problem of educational practice, analyze the problem from a theoretical base, and draw a set of analytic specific recommendations for action. The particular kind of inquiry suggested here might be called a decision-oriented inquiry. The process is one of identifying and collecting relevant information for decision-making. The analytic dissertation is not designed to support or refute particular theoretical positions, as would be the case in traditional dissertation research, but rather to contribute recommendations for action.
3. Unlike the traditional research investigation that delimits the research analysis to a level we might call *variable-specific*, and in many cases also *discipline-specific*, the analytic dissertation mode of inquiry is *problem-specific*. Thus, the analytical dissertation employs an eclectic approach that seeks to bring relevant theories and paradigms from related disciplines to bear upon the problem.
4. Methods of analysis appropriate for the analytic mode of inquiry include, but are not limited to, policy analysis, evaluation research, operations research, or other action-oriented research methodologies.

VI. DISSERTATION AND ORAL EXAMINATION

- A. When the dissertation is completed in draft form and approved by and signed by each member of the special committee as being ready for examination, it is submitted to the Dean of Education. The draft should be completed to such an extent that any revisions suggested by the examination be *editorial* in nature and not constitute any *substantial* changes. It is the responsibility of the special committee to withhold approval of the draft until these conditions are met.

- B. After the dissertation draft is approved by the Dean of Education, the Department Chair and the Dean approve the convening of the special committee to conduct the oral examination. That examination is public.
- C. The Chair of the student's special committee is responsible for scheduling the oral examination and must notify the Dean of Education and the faculty of the Education and Human Services Department *at least five working days* prior to the examination. It is the student's responsibility to provide copies of the draft dissertation to examiners and extra copies of the abstract to the program faculty at the time of this announcement. It is the dissertation chairperson's responsibility to withhold scheduling until these documents are made available. In addition, no oral examinations may be scheduled between University Day (May commencement) and the first day of classes in the fall semester. Students wishing to defend during this period can petition their committee for approval. Successful petitions require the agreement of ALL members of the dissertation committee.
- D. The chairperson of the special committee is responsible for coordinating the examination procedures with both the candidate and the examining committee. These procedures may be tailored to suit those involved but must be agreed upon prior to the examination.
- E. The oral examination is primarily the candidate's defense of the work done in connection with the dissertation, as opposed to the writing of the dissertation. It is the responsibility of the special committee to withhold approval of the dissertation draft until it is in such form that the examination can be conducted in this spirit.
- F. The members of the examining committee vote either *Pass* or *Fail* on the oral defense of the written document. They may NOT vote *Abstain* (since they agreed to serve as an examiner) or *Recess* (since the dissertation defense may not be recessed without taking a vote).
- G. At the time of the oral examination, the members of the special committee also provide final approval to the written dissertation. The only two options for this approval are *Approve – no revisions needed* and *Approve – revisions needed*.
- H. A report of the decision on the oral examination is made on a special form provided by the Program Coordinator's office and sent to the Dean of Education.
- I. In the event the candidate does not pass the oral examination, he/she may be granted a second opportunity on the following conditions:
 - 1. Approval is obtained through internal petition to the Department Chairperson and the Dean of the College of Education, and
 - 2. The initial examining committee conducts the second examination, and
 - 3. Rules governing the first oral examination are applied to the second attempt.
- J. In the event that a candidate does not pass this second oral examination, he/she may no longer pursue the doctoral degree. The candidate may be eligible to take a master's degree instead by completing requirements for that degree.

- K. No later than the date published in the University catalog, a finished copy of the dissertation must be deposited with the College Admissions Coordinator (acting for the Dean of Education), in accordance with instructions for the preparation and submission of such documents (see the *Doctoral Dissertations and Master's Theses Preparation/Submission Guidelines* in the EHS departmental handbook).

VII. PETITIONS

Students have the right to petition through the program director, Chairperson, and the Dean of Education via the Registrar to the Committee on the Standing of Graduate Students (SOGS). Unsuccessful petitions to SOGS may be appealed to the full Graduate and Research Committee. The *Grievances* section of the Education and Human Services Department Handbook details the proper procedures to employ for such appeals.

VIII. GRADUATION ACTIVITIES

- A. In order to be eligible to receive the doctoral degree, a student must have met ALL 10 of the following conditions:
1. Completed the required program of study, including the minimum credit degree requirement (either 72 or 48 credits);
 2. Passed the doctoral qualifier;
 3. Fulfilled the concentrated learning requirement;
 4. Passed the general examination;
 5. Been approved for candidacy;
 6. Passed the dissertation oral examination (defense);
 7. Completed all committee-required modifications to the dissertation;
 8. Complied with all electronic requirements for preparing and submitting that dissertation;
 9. Owes no outstanding debts to the university; and
 10. Been cleared by the Registrar.
- B. Students who meet (or expect to meet) all of the above requirements MUST APPLY for the degree by the deadline dates published in the University Catalog.

Doctoral Dissertations & Master's Theses Preparation/Submission Guidelines

The dissertation must conform to guidelines described in this Proquest document:

www.etsdadmin.com/UMI_PreparingYourManuscriptGuide.pdf

For submission information, visit:

www.lehigh.edu/education/assets/pdf/consolidated_guidelines.pdf

1. Illustrations, tables, graphs, etc., shall be consecutively numbered, so that they may be readily referred to in the text.
2. Your document must provide a *Table of Contents* that provides at least the chapter headings, with page numbers.
3. Your document must include an *Abstract* that summarizes the main findings and conclusions of your dissertation.
4. Each copy of the dissertation must include a “vita” or final appendix that provides a short biography of the Candidate. This shall including institutions attended, the degrees received (with dates), honors and awards, titles, publications, teaching and/or professional experience, and other pertinent information.
5. Samples of the *Title Page* and *Approval Page* are attached for your information.
NOTE: The signed approval page is NOT submitted electronically to the Lehigh ETD (Proquest).
6. The material of the complete dissertation shall be arranged, numbered, and LISTED IN THE TABLE OF CONTENTS as follows:
 - a. Title Page (which is page **i** but is not numbered)
 - b. Copyright Page (page **ii**)
 - c. Unsigned Approval Page (which is page **iii**)
 - d. Acknowledgments (if any) (*continues with Roman numerals*)
 - e. Table of Contents (*continues with Roman numerals*)
 - f. List of Tables (if any) (*continues with Roman numerals*)
 - g. List of Figures (if any) (*continues with Roman numerals*)
 - h. List of Illustrations, if any (*continues with Roman numerals*)
NOTE: Roman numeral pagination ends here.
 - i. An Abstract of 350 words maximum (*numbered with Arabic numeral 1*)
NOTE: Arabic numeral pagination starts with the Abstract at page 1 and is continued in consecutive order to the last page of the dissertation.
 - j. Main text of the dissertation, including footnotes, tables and figures
 - k. Bibliography or List of References
 - l. Any Appendices
 - m. Candidate’s “vita” or brief biography (last page)
7. Doctoral dissertations are limited to 400 pages.
NOTE: Manuscripts exceeding this limit will be returned for abridgment.
8. ALL pages of the entire dissertation, including illustrations, tables, graphs, appendices, bibliography, shall be numbered. It is important that every page (except the title page, as noted above) be numbered using the appropriate Roman or Arabic numeral.
9. **Please consult with your adviser** on the APPROPRIATE PUBLICATION STYLE TO USE.
NOTE: You MUST maintain consistency in using the SAME ONE style throughout your dissertation.

(Title of Dissertation)

by

(Your Name)

Presented to the Graduate and Research Committee

of Lehigh University

in Candidacy for the Degree of

Doctor of Philosophy

(Doctor of Education)

in

(Name of Program)

Lehigh University

(Date)

Approved and recommended for acceptance as a dissertation in partial fulfillment of the requirements for the degree of Doctor of Philosophy/Education.

Date

Dissertation Director

Accepted Date

Committee Members:

Name of Committee Member

Name of Committee Member

Name of Committee Member

Name of Committee Member

Eligibility Criteria for Participation in University Doctoral Hooding Ceremony

Approved by Provost and Graduate Research Committee in 2010.

Purpose

The doctoral hooding ceremony takes place on the weekend prior to the May commencement exercises and recognizes the Ph.D. and Ed.D. recipients with the traditional bestowing of the doctoral hood. This policy defines the criteria that determine which students are eligible to participate in the doctoral hooding ceremony.

Eligibility

A student may participate in the doctoral hooding ceremony if he or she meets any ONE of these criteria. To preserve the integrity and dignity of the ceremony, there will be no exceptions.

1. The student has completed ALL requirements for the Ph.D. or Ed.D. and is cleared by the Registrar for graduation in the May commencement exercises.
2. The student received his or her Ph.D. or Ed.D. on one of the *preceding* fall or winter degree-granting dates.
3. The student has completed ALL requirements for the Ph.D. or Ed.D. *except* for a required internship that will be completed *before* August 31 in the same year as the hooding ceremony (that is, roughly three months after the hooding ceremony). In this case, the dissertation must be defended, signed, and submitted to University Microfilms by the close of business on the last day of classes in the spring semester prior to the hooding ceremony. Such students must petition the Standing of Graduate Students Committee (SOGS) for permission to participate, and SOGS will determine whether the student's circumstances meet the eligibility criteria. The petition must be submitted to the Registrar at least 10 days prior to the May Commencement.

University Dissertation Award Processes

There are two university-related dissertation awards that are awarded annually, the Elizabeth V. Stout Dissertation Award and the Council of Graduate Schools/ University Microfilms International Distinguished Dissertation Award. This document discusses each award and presents all relevant information on which dissertations are eligible, how they are nominated and how recipients are selected. While it incorporates all university requirements and processes, it focuses specifically on how dissertations completed in academic programs in the College of Education may be nominated and selected for these awards.

Elizabeth V. Stout Dissertation Award

One Stout Dissertation Award may be awarded in each of the four colleges each year to recognize significant scholarly achievement in a dissertation project. Stout Dissertation Awards are university-level awards, selected by the colleges. Recipients receive an honorarium, a citation, and recognition at the doctoral hooding ceremony.

Eligibility

In order to be eligible, a dissertation must be completed *after* the last day of classes of the previous year and *before* the last day of classes of the current year. For example, for consideration for the 2013 Stout Award, a dissertation must have been completed after April 27, 2012 (last day of classes, spring 2012) and before April 27, 2013 (last day of classes, spring 2013). If all committee-required revisions have not been completed and approved *and* all necessary graduation paperwork submitted prior to the last day of spring classes, a dissertation is not eligible.

Nomination Process

In January of each year, all COE program directors will be notified by email that nominations for the Stout Award for the college will be due no later than the last day of classes in the spring semester. This email will include this document as an attachment.

Each of the six academic programs in the COE may nominate *one* dissertation for the award. If, in any given year, a program does not have an eligible dissertation or feels no completed dissertation is worthy of consideration that year, that program may decline to submit a nomination and will inform the associate dean that they will not be submitting a nomination.

COE academic programs may develop their own procedures for selecting this single nominee but they must ensure that all eligible dissertations receive due consideration at the program level.

Prior to nomination, each program must confirm that the author of the dissertation to be nominated (the “nominee”) is willing to have his/her dissertation nominated and agrees to prepare the required nomination packet (see next section).

In cases of interdisciplinary doctoral dissertations, the relevant COE academic program(s) should work with all academic programs involved to promote the nomination of a worthy

dissertation, whether the involved academic programs are all in the COE or are located in different colleges. When more than one college is involved, the nomination must come from college in which the author of the dissertation is enrolled.

Nomination Packet

The nominee prepares a narrative synopsis of the dissertation, not to exceed 10 pages, double-spaced using 10- or 12-point type with at least 1" margins on all four sides.

Appendices that contain non-textual material (for example, charts, tables, maps, illustrations, and the like) may be attached after the synopsis. Each item must be numbered and include the name of the nominee.

The nomination packet must include three letters of reference that evaluate the scholarly significance and quality of the dissertation. One of these three letters must be from the nominee's dissertation supervisor, one letter must be from another member of the nominee's dissertation committee, and the final letter may be from any other person the nominee's chooses.

Lastly, a copy of the nominee's vita must be provided at the same time as the nomination packet.

Submission Process

At or before 5:00 pm on the last day of classes in the spring, the program director forwards the nomination packet to the COE associate dean with a cover letter, addressed to the selection committee, in which the program director endorses the nomination on behalf of the COE academic program. The full nomination packet, which now includes this cover letter, should be submitted electronically as a PDF.

As noted above, if a COE academic program does not choose to submit a nomination, its program director should notify the associate dean of this fact no later than 5:00 pm on the last day of spring classes.

Only complete nomination packets submitted by the deadline will be considered.

Selection Process

All nominations are considered by an award selection committee consisting of four members. Three of these members are voting members chosen in rotation to assure equal representation across academic programs over a six-year cycle (see Appendix A). The fourth member is the COE associate dean who serves as chair, coordinating committee logistics and facilitating its deliberations, but who is not a voting member.

The committee chair distributes the PDF nomination packets to the committee electronically and provides a copy of the evaluation instrument (see Appendix B). Each committee members is asked to use the evaluation instrument to rank the nominations before the selection committee meets.

The chair schedules a meeting to discuss these ranking and to come to consensus on a *single* college nomination for the Stout Dissertation Award to submit to the COE dean at least two weeks prior to the May commencement date. The COE dean endorses the committee's selection and forwards to the Provost's Office the name of the person selected to receive the Stout Dissertation Award for the COE. The dean then sends congratulatory emails to the recipient, as well as nominees who were not selected, and the dean publicly announces which individual will receive the award.

The Provost's Office administers the Stout Awards, as selected by the four colleges.

Council of Graduate Schools/UMI Distinguished Dissertation Awards

Each year the university nominates outstanding dissertations for consideration for the Council of Graduate Schools/University Microfilms International Distinguished Dissertation Awards (CGS/UMI awards) in an appropriate discipline, based on the CGS schedule for recognition in specific discipline areas. CGS follows a two-year cycle in four discipline areas, recognizing two discipline areas per year.

In odd-numbered years, one award is presented in *Humanities and Fine Arts (including history and literature)*, and one award is presented in the *Biological and Life Sciences*. In even-numbered years, one award is presented in the *Social Sciences (including Education)*, and one award is presented in *Mathematics, Physical Sciences, and Engineering*.

Eligibility

In order to be eligible for the CGS/UMI award, a dissertation must be associated with a doctoral degree granted in the 20-month period preceding the last day of classes in the spring semester. For example, for consideration for the 2014 CGS Award, the doctoral degree would have to have been awarded *after* May 2012 or be scheduled *to be awarded* at commencement in May 2014. This includes dissertations successfully defended with degrees conferred in fall 2012, spring 2013, fall 2013 and spring 2014. If all aspects of a doctoral degree have not been completed prior to the last day of spring classes and all necessary graduation paperwork submitted, a dissertation is not eligible.

Nomination Process

In January of even-numbered years, the email call for program nominations for the Stout Award will also note that nominations for the CGS/UMI award are due in the same timeframe (no later than the last day of classes in the spring semester). As noted earlier, that email will include this document as an attachment.

Each of the six academic programs in the COE may choose to nominate the same person the program nominates for the Stout Award, or that program may choose to nominate a second *single* dissertation for the CGS/UMI award. The major reasons for a program's choosing to nominate a dissertation other than the one they choose to nominate for the Stout Award would likely be that the CGS/UMI award's broader eligibility allows a program to nominate a dissertation that either (1) would be ineligible for the present year's Stout Award or (2) was stronger than the program's nominee for that Stout Award.

If, in any given year, a program does not have an eligible dissertation or feels no completed dissertation is worthy of being considered for selection as the university's one CGS/UMI award nominee that year, a program may decline to submit a CGS/UMI award nomination and will inform the associate dean that they will not be submitting a nomination.

COE academic programs may develop their own procedures for selecting their single CGS/UMI award nominee but they must ensure that all eligible dissertations receive due consideration at the program level.

As noted earlier, prior to nomination, each program must confirm that the nominee is willing to have his/her dissertation nominated and agrees to prepare the required nomination packet (see next section).

In cases of interdisciplinary doctoral dissertations, the relevant COE academic program(s) should work with all academic programs involved to promote the nomination of a worthy dissertation, whether the involved academic programs are all in the COE or are located in different colleges. When more than one college is involved, the nomination must come from college in which the nominee is enrolled.

Nomination Packet

The nomination packet is identical to the packet described under the Stout Dissertation Award. That is,

- The nominee prepares a narrative synopsis of the dissertation, not to exceed 10 pages, double-spaced using 10- or 12-point type with at least 1" margins on all four sides.
- Appendices that contain non-textual material (for example, charts, tables, maps, illustrations, and the like) may be attached after the synopsis. Each item must be numbered and include the name of the nominee.
- The nomination packet must include three letters of reference that evaluate the scholarly significance and quality of the dissertation. One of these three letters must be from the nominee's dissertation supervisor, one letter must be from another member of the nominee's dissertation committee, and the final letter may be from any other person the nominee chooses.
- A copy of the nominee's vita must be provided at the same time as the nomination packet.

Submission Process

At or before 5:00 pm on the last day of classes in the spring, the program director forwards the nomination packet to the COE associate dean with a cover letter, addressed to the selection committee, in which the program director endorses the nomination on behalf of the COE academic program. The full nomination packet, which now includes this cover letter, should be submitted electronically as a PDF.

If a COE academic program is submitting *separate* nominations for the CGS/UMI Distinguished Dissertation Award and the Stout Dissertation Award, those packets must

be self-contained PDFs, including separate cover letters. They must not be a single combined PDF file with a single cover letter.

As noted above, if a COE academic program does not choose to submit a nomination for the CGS/UMI award, its program director should notify the associate dean of this fact no later than 5:00 pm on the last day of spring classes.

Only complete nomination packets submitted by the deadline will be considered.

Selection Process

In even-numbered years, the same four-person selection committee (described above under the Stout Dissertation Award) selects the college's single nominee for the CGS Dissertation Award.

If academic programs submitted *additional* nomination packets for the CGS/UMI Distinguished Dissertation Award, the chair will have distributed those packets with the Stout Award nomination packets and the committee will have followed the same deliberation process (see above) to arrive at a single college nomination for consideration for selection as the university's CGS/UMI award nominee and the committee chair will notify the dean of the nominee's name.

If no additional CGS/UMI award nomination packets were submitted, the recipient of the Stout Dissertation Award automatically becomes the college's nominee for the CGS/UMI Distinguished Dissertation Award and the chair so notifies the dean.

In either case, the dean's office sends the CGS/UMI award nomination packet for that individual to the Provost's Office at the same time as providing the name of the individual selected to receive the Stout Award for the college.

At the university level, if there is more than one dissertation nominated in a currently active CGS/UMI award discipline area, a committee designated by the Provost will select the single university nominee and the Provost's Office will forward each discipline-area nomination to CGS for inclusion in their recipient selection process.

DISSERTATION AWARD EVALUATION RUBRIC

Award (Check 1 or both): Stout CGS/UMI**YOUR RANKING**

Dissertation Title:				
Nominee Name:				
Nominating COE Program:				
CRITERION	EXCELLENT	VERY GOOD	GOOD	
Potential impact of dissertation study on the field	Dissertation appears highly likely to have major impact on the field, changing theory and/or practice. Letters of recommendation very supportive, endorsing work and confirming or documenting its impact.	Dissertation appears likely to have some impact on the field, influencing theory and/or practice. Letters of recommendation were supportive, endorsing work and confirming or documenting some impact.	Dissertation appears less likely to have impact on the field, changing theory and/or practice. Letters of recommendation were less supportive in endorsing work and/or confirming or documenting impact.	
Quality of research methodology employed	Study employed rigorous and sophisticated methodology that was well matched to problem under study. Letters of recommendation very supportive, clearly confirming or documenting rigor.	Study employed somewhat rigorous and sophisticated methodology and that methodology was fairly well matched to problem under study. Letters of recommendation were supportive, confirming or documenting rigor to a lesser degree.	Study employed less rigorous and sophisticated methodology and/or methodology was less well matched to problem under study. Letters of recommendation addressed rigor of work to a much lesser extent.	
Quality of abstract: Completeness	Abstract provides excellent condensation of relevant literature and a detailed summary of what was done and found.	Abstract provides good condensation of relevant literature and a fairly detailed summary of what was done and found.	Abstract provides less effective condensation of relevant literature and less detailed summary of what was done and found.	
Quality of abstract: Logic	Abstract does an excellent job of connecting the need for the study, methods, findings, conclusions or interpretations, and recommendations. Logical connections among elements of dissertation are clear.	Abstract does a very good job of connecting the need for the study, methods, findings and conclusions or interpretations, and recommendations. Logical connections among elements of dissertation are generally clear.	Abstract does less well at connecting the need for the study, methods, findings, conclusions or interpretations, and recommendations. Logical connections among elements of dissertation less clear.	
Quality of abstract: Clarity and Expression.	Abstract is very well written and easy to follow and understand.	Abstract is well written and generally easy to follow and understand.	Abstract is less well written and not always easy to follow or understand.	

GENERAL COMMENTS:	
--------------------------	--