

DOCTORAL CANDIDATE HANDBOOK INTRODUCTION

This *Handbook* is published to help candidates and faculty in the planning and execution of the EdD and PhD programs at Andrews University College of Education and International Services (CEIS). It does not supersede the *Andrews University Bulletin*.

Questions not answered in this *Handbook* or the *Bulletin* may be referred to the CEIS Graduate Programs Office.

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COLLEGE OF EDUCATION AND INTERNATIONAL SERVICES

DOCTORAL PROGRAMS

Please Note:

Papers/forms are usually filed with the Accr., Assm. Grad. Records Officers
College of Education and International Services, Bell Hall, Room # 151

COURSE WORK

1.1 Admissions Status

A. Regular

If you meet all admission requirements of the College of Education and International Services and the specific requirements of the department in which you propose to study, you are eligible for regular status.

B. Provisional

If you do not meet all the requirements for regular admission, but in the judgment of the proper department show the ability to undertake successfully the proposed program, you are eligible for provisional status. At the time of provisional admission, the department specifies the nature of any deficiencies and the plan and deadline for their removal. The class load limit for candidates on provisional status is normally 8 - 12 credits. Deficiencies must be removed and regular status must be granted by the time you complete 50% of the doctoral coursework. If you fail to meet prescribed specifications, you may be dropped from the program.

1.2 Minimum Admission Requirements

To qualify for regular admission to the doctoral program, you must submit official, final transcripts of all previous undergraduate and graduate work taken and meet **all** the general standards:

- A. An earned master's degree from an accredited university or its equivalent with adequate preparation for the proposed doctoral specialization.

NOTE: If you have an outstanding academic record, you may enter the counseling or educational psychology program without a master's degree providing an undergraduate major in psychology was earned with satisfactory GPA.

- B. Evidence of ability for doctoral-level work as shown by superior undergraduate- and graduate-level work and a satisfactory score on a Graduate Record Examination (GRE) General Test taken within five years of admission. The GRE scores are not required for admission to doctoral programs in the Leadership department.
- C. A research report that shows adequate ability to undertake research. (If you cannot present evidence of research ability, you must register for appropriate course work that provides research experience as prescribed by the respective department you are entering.)
- D. Evidence of ability to handle specialist-level work in the English language. If your first language is not English, you must submit a satisfactory TOEFL or IELTS score or successfully complete Intensive English Program on campus and pass the exit exam for English as a Second Language (See *AU 2023-2024 Bulletin, English Proficiency Requirements*).
- E. A minimum of three satisfactory recommendations showing strong potential for doctoral-level graduate work, educational leadership and service.
- F. A written Statement of Purpose for study in the doctoral program.

1.3 Academic Advisement

A. Temporary Advisor

Your department chair/coordinator, or someone appointed by the department chair/coordinator will help you plan your classes for the first semester.

B. Permanent Advisor

Normally, during your first semester, you should consult with your department chair/coordinator in the selection of a permanent advisor. Apply for appointment of your advisor through the Graduate Programs Office on an "Application for New Advisor" form.

1.4 Doctoral Program Course Work

A. Course Numbering/Levels

The following course numbering system and levels of graduate study are in effect:

500-699: Courses for graduate candidates only
700-999: Courses for post-master's candidates only

B. Submission of Course Plan

Your advisor will consult with you to decide your course plan (called an IDP or Individual Development Plan for candidates in the Leadership Program).

1. If you are entering with a baccalaureate or master's degree, you must finalize your course plan and have it approved before you may register for credits that bring your total doctoral credits to more than 16 credits.
2. If you are entering with an EdS from Andrews University, you must finalize your course plan and have it approved during the first semester of doctoral course work
3. If you are entering with an EdS from a university other than Andrews University, you must work out with your advisor a proposed course plan to complete degree requirements. The course plan must be finalized during the first semester of doctoral course work.

C. Approval of Course Plan

Submit a copy of your course plan and the "Student's Course Plan" form signed by your advisor and your department chair/coordinator to the Graduate Programs Office for approval.

After approval, the course plan constitutes an agreement between you and the University as the course work required for the completion of your degree, except as provided below:

1. A requested deviation submitted on a "Change of Course Plan Request" form, approved by your advisor, the department chair/coordinator, and the Graduate Programs Office.
2. Reasonable additional study to reach a competence required by your dissertation committee when it is clearly necessary for the writing of your dissertation.

D. Program Course Work Requirements

A doctoral program requires at least two full years of study beyond the master's degree, with a minimum of 90 semester credits of graduate (masters and doctoral) work of which 2 credits are EDRM880/LEAD880 Dissertation Proposal Development and 14 credits are dissertation credits. Requirements include:

1. Research credits - see the specific degree program for details.

2. Educational foundation courses as required by your program (or competency requirement for Leadership candidates).
 - a) EDFN500, Philosophical Foundations for Professionals
 - b) Graduate courses in one or two of the following areas: Psychological, Sociological or Theological
3. 75% of the non-dissertation credits met by courses numbered 500 and above.
4. A minimum of 6 credits numbered 700 and above.
5. A minimum of 60 post-master semester credits of which 32 credits in approved on-campus doctoral course work (not including the 2 dissertation proposal credits and 14 dissertation credits) must be completed after acceptance into the doctoral program at Andrews University. (A minimum of 24 credits of coursework is required for candidates with an Ed.S. degree from another institution and a minimum of 16 credits for candidates with an AU Ed.S. degree).
6. You may choose (or in some cases be required) to complete a cognate or equivalent that includes a planned sequence of courses outside your major area. (See **Cognate Option**.)
7. Successful completion of a written comprehensive examination as prescribed by your department. (See **Comprehensive Examination**.)
8. A written dissertation and successful oral defense of the dissertation. (See sections on dissertation.)

E. Cognate Option

You may choose to have a cognate option in your program, or your department/advisor may require a cognate option.

1. Definition

A cognate consists of a minimum of 8-12 credits of advanced course work in an area other than your major. Candidates are encouraged to specialize in a content area in which they have had professional experience. Individuals planning to complete a doctorate in the teaching of a selected cognate discipline should hold the equivalent of a master's degree in that discipline. You must select the cognate in consultation with your advisor, and it must relate to your professional goals. You must include these courses on your course plan.

2. Advisor

Select a cognate advisor by consulting with your program advisor. The cognate advisor will help the advisor in preparing questions for the comprehensive examination.

1.5 Transfer of Credits

Post-master's credits taken at Andrews University or another accredited university that are considered appropriate by your advisor and department chair/coordinator are transferable, but not all may count toward minimum course requirements. Exceptions to course-transfer regulations must be approved by the dean of the School of Graduate Studies. The grade earned in each transfer course must be at least a B (3.00). Permission to transfer credits taken at another university is granted only by transfer credit petition and upon receipt of an official transcript for the course(s) in question. Graduate credits taken at Andrews University that are considered appropriate for the doctoral degree program require transfer credit petition.

Candidates wishing to take courses from another university to fulfill curriculum requirements, after acceptance into a doctoral program, must petition for approval **before** taking the courses to be transferred.

Submit courses that you wish to have transferred on a "Graduate Transfer Credit Petition" form to your advisor, the department chair/coordinator and the SED Dean for approval.

A. Permission to Take Classes (PTC)

Only 8 credits taken on PTC status may apply toward a degree. To transfer PTC courses into your program, you must submit a petition for approval by your advisor, your department chair/coordinator and the SED Dean.

1.6 Transfer of Degree Programs

A. From One Doctoral Program to Another within a Department

To transfer between EdD and PhD degrees within the same department you may request transfer of program application through the Graduate Enrollment Office. This request will need approval from the Graduate Educational Programs Committee at any time during the doctoral program. You must maintain the original time limits.

B. Between Departments

If you wish to transfer between departments, you must submit a new online application to the Graduate Enrollment Office. The respective program will make decision on your program transfer and forward it to the Graduate Educational Programs Committee.

C. Returning to Doctoral Degree Program from Specialist

After receiving the EdS degree, if you had previously been admitted to a doctoral program, you may continue the doctoral program. You must maintain the original time limits.

1.7 Residence Requirements

A. PhD Residency

The PhD Counseling Psychology program requires students to complete a minimum of 3 full-time academic years of study, with at least 2-years at Andrews University. At least 1 year must be in full-time residence (3-consecutive full-time semesters) at Andrews University. The PhD residency requirements for other programs may require a sequence of two out of three consecutive semesters at a full-time load.

B. EdD Residency (other than for Leadership candidates)

A sequence of any three out of seven consecutive terms (semester or summer) after admission to the doctoral program, each with no less than 8 credits of course work (not dissertation). This could be met by enrolling for three consecutive summers.

C. Leadership and Field-Based Doctoral Residency

Completion of 16 semester credits within 3 consecutive terms (semesters or summer), with continuous, active participation via e-mail and regional study groups.

D. EdS Course Work

If you wish to apply your EdS course work towards doctoral residency, you must do so by petition preferably before you begin taking the EdS courses.

1.8 Bulletin Requirements and Responsibility

You should become familiar with the regulations governing academic matters. The *AU Bulletin* covers general questions about academic policies that you are to observe. Although the policies of the *Bulletin* have the weight of faculty action, practice and precedent, occasionally special circumstances may suggest an exception. The petition process handles such circumstances through the Graduate Programs Office.

You may choose to meet the requirements of any *Bulletin* in force after acceptance into the doctoral program, as long as you maintain active status (see Inactive Status). A break of enrollment may result in placing you on inactive status. You must meet the requirements of a *Bulletin* in effect after enrollment resumes.

1.9 Time Limitations

There are three time limitations for completing your doctoral program.

A. Course Work and the Comprehensive Examination

You must complete all doctoral course work and the comprehensive examination within six years from your initial registration after acceptance into the doctoral program.

B. All Requirements

You must meet all requirements within a total of 7 years from your initial registration after acceptance into the doctoral program.

Exception: Candidates Curriculum and Instruction must complete all requirements, including dissertation, within 10 years.

1.10 Inactive Status

A. Process

You will be placed on inactive status if either of the following occurs:

1. To maintain active status in the doctoral program before passing the comprehensive examination, you must be enrolled for classes two out of three terms (semester or summer) during the school year. Leadership students must register for classes each semester. Leadership students should refer to the Leadership section on continuous registration. Two terms (semester or summer) with no credits will cause the student to be placed on inactive status, unless the student has communicated valid reasons for the lack of progress in his/her program. Candidates must reapply to the department to be placed on active status. Candidates pursuing a degree during summer sessions only must be enrolled every summer in order to maintain active status in the program.
2. After passing the comprehensive examination you must have a continuous registration each semester according to your dissertation progress. Students who registered for the total required minimum of 16 dissertation credits but have not graduated must register for one (1) dissertation credit each semester until graduation.

The Accr., Assm. & Grad. Records Officers will attempt to contact you, your advisor or your dissertation chair (if you are at that stage) to determine if you are actively pursuing your program of studies or dissertation writing and are making satisfactory progress.

B. Definition

Classification as inactive means:

1. You are taken out of active status in the program files, and the special advisee relationship with your program advisor and/or dissertation committee is suspended. New or currently active doctoral candidates will be given preference to have dissertation committee assigned.
2. After deactivation, you must request reinstatement by the Graduate Programs Office before you may continue in your doctoral program. Upon reactivation, you must meet the requirements of the *Bulletin* in force at that time. This action also may require a new dissertation committee and/or topic.
3. Students who request reactivation will be charged an appropriate reactivation fee.

1.11 Registration and Loan Deferment/Visa

Enrollment is necessary to obtain loan deferment. For students who still have classes to complete for the degree, full time is defined one of the following three options:

1. Registering for 8 or more credits of course work and/or the dissertation and/or internship (GDPC810/820).
2.
 - a. registering for 1 or more credits of the dissertation, dissertation continuation, or internship.
 - b. completing "full-time" work on the dissertation or internship as defined by at least 24 hours a week or 720 hours per year.

1.12 Standards of Scholarship

A. Schedule of Studies

You must fulfill satisfactorily the schedule of studies outlined in the course plan filed with the Graduate Programs Office.

B. Provisional Status

Normally, your provisional status is limited to 12 credits, but if you have been accepted provisionally

1. Due to low admission GPA and/or GRE scores, you must maintain a cumulative Andrews University grade-point average of 3.50 for the first 12 credits after acceptance in courses graded A-F to continue in the program.
2. Because of English language deficiencies, you can register for no more than 25% of the doctoral credits specified in your course plan until you have met the minimal English language proficiency requirements.

C. Grade-Point Average

To remain in the program, you must maintain a grade-point average of 3.30 overall in your major or concentration. Only grades of B- or better count toward the major or concentration. Although C grades are permitted outside the major, an overall grade-point average of 3.30 or better must be maintained.

No grade of D or F may count toward a degree. If you repeat a course, the credits and quality points earned in the most recent course will be used to calculate the GPA. Accumulation of more than three grades (after acceptance to the doctoral program) below a B- (including U), normally terminates your enrollment.

D. Academic Probation

If the cumulative grade-point average in your doctoral work at Andrews University drops below 3.30 in any given semester, you will be placed on academic probation. You and your advisor must develop a plan to raise your grade-point average above 3.30, normally within the next semester. The Graduate Programs Office must approve this plan.

When your cumulative grade-point average again reaches 3.30, the Graduate Programs Office will reinstate you to regular status. However, if you have not reached the minimum grade-point average within the time limits stated in the approved plan, you may be dropped from the program.

If you are on academic probation, you may not register for dissertation, independent study or workshop credits, advance to degree candidacy, or take comprehensive examination.

E. Other Standards

1. The doctoral degree does not accept credit by examination.
2. You must successfully pass the comprehensive examination and formally defend a doctoral dissertation.

RESEARCH REQUIREMENTS

Candidates in the Leadership Program fulfill research requirements through competencies specified in their IDP. Other candidates must meet the requirements as specified below.

2.1 Rationale for the Doctoral Research Requirement

A. Definition

Research requirements for the doctoral degrees shall include breadth, depth, and flexibility. As a result of completing the research requirements, you will be able to:

Critically read journal articles that use all common methodologies, statistics, and techniques.

Conduct research using appropriate methodologies.

Write research reports, including the dissertation.

Continue research and scholarly activity beyond the dissertation.

B. Depth of Research

For depth of research expertise, you will be able to

Conduct research and write research reports. (EdD: with assistance; PhD: independently)

C. Breadth of Research

For breadth of research expertise, you will be able to

Critically read journal articles that use all common methodologies, statistics, and techniques (EdD and PhD)

Conduct research using a second methodology. (PhD: with some assistance)

D. Flexibility of Research

For flexibility of research expertise, you will be able to

Choose the type of research methodology to employ. (EdD; PhD)

2.2 Research Requirements

The Research requirements for SED doctoral programs require a core for candidates in all programs and additional requirements that are specific for each program.

The following research core is required for candidates in all programs:

1. EDM 505 Research Methods (3)
Designed to equip the student to know the basics of conducting, reading and evaluating research.
2. EDM 611 Applied Statistical Methods I (3)
An introductory statistics class designed to help candidates conduct basic data analysis.
3. EDM 710 Seminar in Research Methodology (1)
Required during the first year. Strongly recommended to be taken during the first semester. A major objective in this class is to help each student determine the classes and research experiences necessary to acquire the research competencies stated above.
4. EDM 880/LEAD 880 Dissertation Proposal Development (2)
Each student will develop a defensible dissertation proposal in this class.

5. EDXX 899 Dissertation (14)
Each student will carry out and successfully defend his/her dissertation.

To enable candidates to meet the competencies listed above, specific EdD or PhD programs in the College of Education and International Services may require additional research requirements from the following courses/experiences:

Content Courses

EDRM636	Program Evaluation
EDRM605	Qualitative Research Methods in Education and Psychology
EDRM611	Applied Statistical Methods I
EDRM704	Design and Analysis of Educational and Psychological Surveys
EDRM712	Applied Statistical Methods II
EDRM713	Applied Statistical Methods III

Research Experiences

LEAD637	Issues in Research
EDCI885	Applied Research
GDPC834	Seminar in Educational/School Psychology
EDRM710	Seminar in Research Methodology

ADVANCEMENT TO DEGREE CANDIDACY

3.1 Procedure

Upon completion of all your course work as listed on your approved course plan and no later than the semester before taking the comprehensive examination, you should file the "Advancement for Degree Candidacy" form ([AU 2023-2024 Bulletin](#)). If you have made any changes in your coursework since your approved course plan you must submit the "Change of Course Plan Request" form. Only after you have made the necessary changes to your course plan you may submit the Advancement to Degree Candidacy. The ATC forms must be:

- A. Completed by you,
- B. Approved by your advisor and department chair/coordinator, and
- C. Returned to the Accr., Assm. Grad. Records Officers.

3.2 Application

At the time you apply for "Advancement to Degree Candidacy" you should

- A. Have completed 75% of your course work,
- B. Have shown language proficiency where required,
- C. Be on regular status, and
- D. Have maintained a cumulative grade-point average of 3.30 or higher.

3.3 Approval

The doctoral candidates in all doctoral programs must have completed coursework with no more than 6 credits of DG's, satisfactorily complete comprehensive exams and have an approved dissertation proposal. The candidates in the Leadership program need to successfully present a portfolio in lieu of comprehensive exam.

COMPREHENSIVE EXAMINATION

Comprehensive examination occurs after the completion of course work and before the beginning of the dissertation proposal. Candidates in the Leadership Program will fulfill comprehensive examination requirements in connection with presenting their portfolios. Other candidates meet the requirements as specified below.

4.1 Purpose

The purpose of the comprehensive examination is to appraise your overall grasp and expertise of the foundations of education plus your total program. The examination will cover the field of study regardless of the courses taken.

4.2 Application

The comprehensive examination is normally taken after you have completed all course work. To apply to take the comprehensive examination, you must complete the "Advancement to Degree Candidacy" and "Application for the Comprehensive Examination" forms. However, there are three options you may choose from to take your exam:

- A. after completing all your course work
- B. during the semester you are concluding your course work
- C. no later than two semesters after completing the course work specified on your course plan

All course work and the comprehensive examination must be completed within six years of initial registration for Andrews University doctoral course work.

If you take class work during the semester of your comprehensive examination, do not expect any of your professors to grant you an incomplete (I) or a deferred grade (DG) grade because of "overload". As a doctoral student, you are expected to pace yourself during the semester(s) in order to successfully complete the comprehensive examination. Courses covered in the comprehensive examination must have all I and DG grades cleared before administration of the comprehensive examination.

4.3 Nature

The comprehensive exam normally may include four (4) parts of which two (2) or three (3) parts are taken at regularly-scheduled sessions. Each of the two (2) or three (3) parts is scheduled as a four-hour exam; however, you may write up to six (6) hours. Portions of the exam may be completed as an oral exam or a take-home activity. Take-home exams are given to the student in advance by the Graduate Services Coordinator to be turned in at a regularly-scheduled time. Consult your program handbook for information on comprehensive exam requirements.

The difference between the EdD and PhD program comprehensive examination is that the PhD will have more questions on research. The questions will cover research at the conceptual and applied level (not a calculation of statistics, for example, but a conceptual understanding, if that area is an area of importance in the discipline). Your department faculty prepares the examination and provides you with exam objectives. If there is a cognate, the related questions are incorporated into one or more of the four parts as appointed by your department. The faculty from the cognate department in cooperation with the major department prepares and assesses the questions.

4.4 Grading and Reporting

Each part is evaluated as a whole and graded as "pass," "pass subject to satisfactory follow-up exam (oral or written)," or "no pass." All parts of the examination that are not passed must be retaken. Consult your program handbook for information on grading comprehensive exam. You may take the exam only once more, at a regularly scheduled time. Failing any part of the retake examination may result in termination from the program. After further work you must petition to retake your exam. The Graduate Programs Office will officially notify you of your performance on the comprehensive examination within four weeks of completion of the examination.

DISSERTATION COMMITTEE AND TOPIC

5.1 General Description

There are two major phases of your doctoral program: The first phase for most students is the completion of course work and the comprehensive examine. The second phase is completion of your dissertation (selecting a committee, choosing a topic, writing a proposal, researching and writing the dissertation, and defending the dissertation). You may begin the dissertation phase (choosing topic and selecting committee) while still taking classes or you may wait until after you have passed your comprehensive examination.

There are excellent reference books available to help you. Several of these are on reserve at the James White Library. They include:

Research design:

Creswell, J. W. and Creswell, J. D. (2017). *Research design: Qualitative, quantitative and mixed methods approach*, 5/e. Thousand Oaks, CA: Sage Publications

Writing the Dissertation:

Bloomberg, L. D. and Volpe, M. (2016). *Completing your qualitative dissertation: A road map from beginning to end*. Thousand Oaks, CA: Sage Publications.

Davis, G. B. & Parker, C. A. (2012). *Writing the doctoral dissertation: A systematic approach*. Hauppauge, NY: Barrons Educational Series.

James, E. A. and Slater, T. H. (2016). *Writing your doctoral dissertation or thesis faster: A proven map to success*. Thousand Oaks, CA: Sage Publications.

Piantanida, M. and Garman, N. B. (2008). *The qualitative dissertation: A guide for students and faculty*. Thousand Oaks, CA: Corwin Press, Inc.

Roberts, C. M. (2010). *The dissertation journey: A practical and comprehensive guide to planning, writing and defending your dissertation*. Thousand Oaks, CA: Corwin Press.

Rudestam, K. E. and Newton, R.R. (4th Edition, 2014). *Surviving your dissertation: A comprehensive guide to content and process*. Thousand Oaks, CA: Sage Publications.

Literature Reviews:

Galvan, J. L. and Galvan, M. C. (2017). *Writing literature reviews: A guide for students of the social and behavioral sciences*. New York, NY: Routledge.

Machi, L. A. and McEvoy, B. T. (2016). *The literature review: Six steps to success*. Thousand Oaks, CA: Sage Publications.

Onwuegbuzie, A. J. and Frels, R. (2016). *Seven steps to a comprehensive literature review: A multimodal and cultural approach*. Thousand Oaks, CA: Sage Publications.

Piantanida, M. and Garman, N. B. (2008). *The qualitative dissertation: A guide for students and faculty*. Thousand Oaks, CA: Corwin Press, Inc.

Data analysis:

Bazeley, P. and Jackson, K. (2013). *Qualitative data analysis with NVivo (2nd Edition)*. Thousand Oaks, CA: Sage Publications.

Miles, M. B., Huberman, A. M. and Saldana, J. (2014). *A qualitative data analysis: A method sourcebook (3rd Edition)*. Thousand Oaks, CA: Sage Publications.

Salkind, N. J. (2016). *Statistics for people who (think they) hate statistics*. Thousand Oaks, CA: Sage Publications.

Green, S. B. and Salkind, N. J. (2017). Using SPSS for Windows and Macintosh: Analyzing and understanding data. New York, NY: Pearson Education.

5.2 Consideration of Topic and Committee

Selecting and getting approval of a dissertation topic and committee is a process that does not have a regular progression of steps. Frequently consideration of the dissertation topic, dissertation chair, and other members of the dissertation committee takes place simultaneously. However, many candidates select a topic before approaching faculty members to be on the committee, while many others approach faculty first and together select a topic. Discussing your ideas for potential dissertation topics with several faculty members helps you in selecting your topic and in choosing a committee. As your ideas about topics and committee members crystallize, you will want to discuss them with your advisor and department chair/coordinator.

If you prefer to approach faculty members with a topic in hand, it is wise to treat the topic as negotiable in its details and to consider other topics that might be recommended to you. The final topic is usually a result of much discussion between you and your committee.

5.3 Dissertation Committee Composition

Your dissertation committee consists of a minimum of three members including the chair. You should select members and a chair on the basis of each member's potential contribution to your proposed dissertation. You must have at least one member that is familiar with the content (literature) in the area of the dissertation and at least one member (designated or a consultant) familiar with the methodology used. Two of three members, including the chair, shall be selected from among the current full time Andrews graduate faculty at the appropriate category with at least one member being from the school in which the student is enrolled. The third member may be from the Andrews graduate faculty at the appropriate category or a person outside the University whose record of scholarship is equivalent to that required of a member of the Andrews graduate faculty at the appropriate category. Additional persons may be added either from the Andrews graduate faculty or from outside the University where specialized expertise is needed with approval of the School of Graduate Studies. Selection of a member outside of Andrews University must be petitioned and approved by the department, Dean of the College of Education and International Services, and Graduate Dean. The chair of your dissertation committee carries the primary responsibility for guiding you through your dissertation and is the person with whom you work most closely. The first requirement for a committee chair is familiarity with the content and/or methodology of your potential topic. Failure to find a faculty member who can competently guide the research might mean changing the topic. An easy, working relationship with your committee chair is most important.

After tentatively selecting a dissertation committee chair, you should discuss the remaining membership of the committee with your chair, attending closely to any recommendations for committee membership. A committee of persons who work together adequately and productively is to your advantage.

Approach potential committee members directly asking about their relationship to your possible topic and whether they would have an interest in serving on your committee. When you have agreement from all your potential committee members, be sure to report back to your committee chair to finalize the committee membership.

5.4 Dissertation Topic

You must relate the dissertation topic to your field of specialized study, to an area of academic strength in which you can conduct research responsibly, and to the Andrews University resources available for the support of the research, such as faculty guidance, library holdings (or access to relevant documents), and laboratory facilities. These will be the criteria employed by your committee in considering approval of your topic.

If you enroll in the doctoral program with the intention of researching an area outside the university's competence, you will be disappointed and waste much time and money. Talk frankly with your advisor at the time of your admission to the program if you have a specific dissertation topic in mind.

After each member of your committee has agreed to serve, you should prepare a formal statement of your dissertation topic for the committee. Consult with your committee chair for the presentation format appropriate to your proposed research. Regardless of its nature, the topic proposal should include: the nature of the topic, the problem, the reason you consider the area important, references to literature and a brief statement about

proposed methodology in the research. After sharing this brief statement (1-4 pages) with your committee chair, and probably re-writing it, present the statement to the other committee members and request your committee chair to call a meeting to consider the approval of your topic.

5.5 Call of Committee to Vote on the Topic and Submit Request Form for Approval

Fill out the "Request for Doctoral Dissertation Committee and Topic Approval" form. When your committee meets, you must convince the members of the appropriateness of your topic and of your ability to carry out the research. If they approve, they sign the "Request for Doctoral Dissertation Committee and Topic Approval" form and submit it to your department chair/coordinator and the Graduate Programs Office for approval.

5.6 After Topic Approval

Only after approval of your topic you are ready to begin the dissertation proposal. You must finish the proposal and have it accepted before formal work on the dissertation begins.

5.7 Dissertation Credits

While working on your dissertation, you register and pay for minimum of 16 credits of dissertation;-two of these credits are allocated for Dissertation Proposal Development course (EDRM880/LEAD880). Students who registered for the total required minimum of 16 dissertation credits but have not graduated within the program time limit must register for one (1) dissertation credit each semester until graduation. Automatic suspension of dissertation work results if you do not pass your comprehensive examination.

DISSERTATION PROPOSAL

6.1 Purpose of Dissertation Proposal

The dissertation proposal is designed to show the purpose and organization of your research. The proposal gives your committee enough information to determine whether the topic you are investigating and the procedures you will be using will be appropriate.

Approval of the dissertation proposal authorizes you to begin writing the dissertation. Collection of data should not begin, however, until your committee chair gives you the clearance to do so.

6.2 Format

In both the proposal and the dissertation, you are to follow the latest edition of the Andrews University *Standards for Written Work*. To download the publication *Andrews University Standards for Written Work*, access the [Style and Format Helps](#) at AU website.

6.3 Content

The following items are normally in a research proposal. The items to include and the location of the items within sections may vary.

A. The Problem

1. Introduction and background of the problem (e.g., educational trends related to the problem, unresolved issues, social concerns)
2. Statement of the problem.
3. Purpose of the study (emphasizing possible practical results or products).
4. Questions to answer, objectives to meet, or hypotheses to examine.
5. Rationale (conceptual or substantive assumptions).
6. Theoretical framework.
7. Importance of study.
8. Definition of terms (largely conceptual here--operational definitions may be included in the methodology section).
9. General methodology.
10. Limitations and/or delimitations of the study (narrowing of focus).
11. Summary.
12. Outline of the remainder of the proposal.

B. Review of Related Literature

Include a brief overview and description of representative literature. When appropriate, this overview of the proposed literature search should support the methodology used in the research. For certain types of research (such as statistical or clinical studies) this may require a brief description of procedures and instrumentation of previous studies.

C. Methodology

Listed below are the most common items included in the methodology. For some studies such as historical, philosophical, or developmental studies, other items would be proper.

1. Description of the population and any sampling procedures used.
2. Identification of the independent, dependent, and classification variables and, sometimes, formulating a workable statement of the research hypotheses in null form to prepare for a proper research design permitting statistical inferences.
3. Instruments used (tests, measures, interview or observation schedules, scales and questionnaires including details of validity and reliability) or a design for their development (including procedures for showing validity and reliability).
4. Pilot studies.
5. Procedures
 - a. Field, classroom, or laboratory procedures (e.g., instructions to subjects or distribution of materials).
 - b. Data collection and recording.
 - c. Null hypotheses, data processing, and statistical analysis.

6.4 Preparation of Your Proposal

A. Required Proposal Format

A proposal must include the first three chapters of your dissertation: introduction, literature review and methodology.

The proposal within the three chapters identifies the research problem, presents literature sources already consulted and those to be further researched, and a presentation of the research methodology.

You must prepare your proposal in a logical, polished form. To a large extent your committee judges your fitness to research your topic on the quality of your proposal.

Your proposal, with editorial changes and expansion, largely becomes the first three chapters of your final dissertation.

B. Editorial Assistance

If you have any problems with the English language, we advise you to employ the services of an editorial assistant (contact your department or the Writing Lab for suggestions) who can aid you in presenting to your committee chair and committee polished prose in approved format and style. Neither your committee chair, members of your committee, nor the Dissertation Office are responsible for your editing or writing. As a researcher, these responsibilities are yours and yours alone.

C. Committee Involvement

During the preparation of your proposal you have opportunity to establish a working relationship with your committee chair. First submit all drafts to your committee chair for evaluation and comment. After your committee chair has given approval, share the draft with the other members of your committee. You must maintain this approach throughout the writing of the dissertation.

When both your committee chair and the members of your committee have had opportunity to evaluate your proposal, request your committee chair to call your committee for formal consideration of your proposal.

6.5 Proposal Defense

You must furnish one copy of your dissertation proposal to your committee chair and each committee member. Your committee in a formal, face-to-face meeting discusses your proposal and questions you on any parts they believe may need revision. In executive session, your committee will then discuss whether or not they will give approval to your proposal. They may or may not invite you to remain for the executive session. Consult with your committee chair.

Indicate the committee's acceptance of your proposal on the "[Report of Student's Dissertation Committee](#)" form. All members of your committee, your department chair/coordinator, and the Dean must sign this form.

6.6 Human Subjects Research

If you are conducting research involving human subjects as part of your degree program, you must submit a proposal of research to the Scholarly Research Office for approval by the Institutional Review Board. Application forms and all the pertaining information to the Human Subjects Research can be accessed on the AU [Institutional Review Board](#) website. Click here for the process on how to create a [Research Protocol](#).

DISSERTATION

7.1 Content and Purpose

Your dissertation must:

- A. Reveal your familiarity with the literature pertinent to the dissertation;
- B. Demonstrate your competence to conduct independent research; and
- C. Present a logically organized and readable account of the investigation, its findings, conclusions, and implications.

It should focus on a clearly defined problem of significance to the profession and employ well planned and executed acceptable research techniques.

7.2 Working with the Committee

A. Guidance

The chair of your committee guides you in the research. The other members of your committee are available for consultation, and you should regularly inform them of your progress.

It is vital that you work in the closest possible relationship with your committee chair as you begin writing your dissertation. Your first task is to complete the literature review you began in the proposal.

If there is any question about editorial work, grammar, or English prose, consult with an editor before the presentation of the material to your committee chair.

B. Format and Style

Formatting is set by Andrews University, and students should follow AU's *Standards for Written Work*. APA is the style for College of Education and International Services students. If you have any problems with the AU format and APA style, we advise you to employ the services of an editorial assistant (contact your department or the Writing Lab for suggestions) who can aid you in presenting to your committee chair and committee polished prose in approved format and style. An early consultation with your editorial assistant during the writing process will help to identify potential problems regarding AU format and APA style.

C. Process

When your committee chair has cleared a chapter or section, it is advisable to present that material to the other members of your committee. After receiving their response, move on to the next chapter or section. It is well not to begin a new chapter of your dissertation until you resolve all questions on the current chapter. If you have not heard from your committee members within a reasonable period, consult with your committee chair.

Plan to pace your submissions to your committee chair and members. Professors should be given several weeks to read your material thoughtfully.

D. Primary Responsibility

The chair of your dissertation committee carries the primary responsibility for guiding the dissertation and holds the prerogative of deciding when a draft copy is or is not ready for examination by the other members of the committee. While the preferred method of dissertation development in the College of Education and International Services is chapter-by-chapter submission to the committee, a committee chair has the privilege of choosing another procedure with the consent of the committee. The Dissertation Chair checks the dissertation for plagiarism and makes sure that your dissertation conforms to AU's *Standards for Written Work* and does a final copy edit of your document.

7.3 Pre-Defense and Defense

The dissertation committee with the candidate at arranged pre-defense meeting decides whether the candidate is ready for defense. When no further corrections are indicated, the committee votes that the candidate is ready to defend. They will sign a "[Ready for Defense](#)" form and the dean will sign off on the dissertation defense and the external examiner. At this point an official confirmation of the dissertation defense date will be emailed to the dissertation committee, external examiner and the candidate. The official confirmation will include Zoom link and attached two letters of instruction for the dissertation committee and for the candidate and its invitees.

7.4 Final Dissertation Manuscript Preparation

After the defense you may be asked to make corrections. You need to make all changes/additions recommended by your dissertation committee, chair and the external examiner. Submit your completely edited draft with all changes/additions which conforms to the AU Standards for Written work to the Dissertation Chair.

When no further corrections are needed, ask your Dissertation Chair to send the final approved document (PDF format) and the signed and approved signature page (as a separate PDF) to the Dissertation Office (dissertationoffice@andrews.edu).

Next, upload your thesis to ProQuest/UMI, which will give your document wide exposure. Follow the [Instructions](#) given on the [Dissertation Office Website](#).

7.5 Dissertation Continuation Status

If the dissertation is not completed after all 16 dissertation credits have been taken, the candidate must register for one dissertation credit every semester, until graduation.

7.6 Course Load Equivalency for Dissertation

If US government agencies or sponsors require you to carry a full course load to qualify for continued benefits, you must register for dissertation credits.

ORAL DEFENSE OF DISSERTATION

8.1 Purpose

The dissertation defense is a University-required component of the doctoral program of study. At the dissertation defense the student clarifies, validates and demonstrates the significance of his or her research. The oral dissertation defense represents the culmination of the dissertation process.

8.2 Scheduling and Defense Countdown Deadlines

The last permissible defense date is eight weeks before the end of the term. The College of Education and International Services reserves the right to schedule defenses according to time and faculty availability. It is advisable to defend during the semester before graduation if possible. If, however, you find yourself having to defend in the same semester in which you plan to graduate, it is imperative that you thoroughly acquaint yourself with the "Dissertation Deadlines for Graduation" chart below. The most current [Dissertation Deadlines for Graduation](#) are available on the College of Education and International Services page.

Defense Countdown Deadlines

Process must be started at minimum 18 weeks before graduation and defense must be completed 8 weeks before end of term.

1. 18 weeks before graduation

The candidate must submit to the members of their dissertation committee, a completely edited copy of their dissertation, including abstract, all chapters, all appendices, complete bibliography, charts, and tables, numbered and complete. The candidate should discuss a pre-defense date with their committee.

2. Recommended timeline for pre-defense August to Mid-October (Fall), January-February (Spring), April to May (Summer)

A pre-defense meeting will be held by the dissertation committee with the candidate to approve the dissertation for the final defense. The committee may ask the candidate to make corrections in the dissertation and request another pre-defense meeting. If the committee votes that the candidate is ready to defend, they will sign a "Ready for Defense" form. If the committee votes that the candidate is ready to defend, they will sign a "Ready for Defense" form. After making sure that all corrections have been made, the Dissertation Chair will submit the signed Dissertation Defense Readiness form and the application for the External Examiner to sedgradprograms@andrews.edu. At this point the dean will sign off on the Dissertation Defense, and approve the External Examiner. Next, consensus is reached among the dissertation committee, the external examiner and the candidate to schedule the defense. An official confirmation of the scheduled dissertation defense will be emailed to the dissertation committee, the external examiner and the candidate.

3. Required Dissertation Deadlines

8 weeks before the end of term: Latest date for Oral Defense of approved document: October 19, 2023 (Fall); March 08, 2024 (Spring); June 7, 2024 (Summer)

6 weeks before end of term: Submit the completely edited draft to the Dissertation Chair
Latest date is November 2, 2023 (Fall); March 22, 2024 (Spring); June 21, 2024 (Summer)

4 weeks before end of term: Dissertation Office receives e-copy and all sign-offs
Latest date is November 16, 2023 (Fall); April 5, 2024 (Spring); July 5, 2024 (Summer)

2 weeks before end of term: Records receives Final Dissertation Approval form.
Latest date is November 30, 2023 (Fall); April 19, 2024 (Spring); July 19, 2024 (Summer)

8.3 Defense Examining Committee

The dissertation committee and External Examiner compose the defense examining committee.

8.4 Observers at Your Defense

The defense consists of a public presentation that is open to anyone who requests zoom link through Andrews University Agenda.

8.5 Procedures for Defense

Normally two and-a-half hours are available for the oral defense. Committee members bring written questions based on their review and reading. As the examination progresses other questions usually emerge.

Dean of the College of Education and International Services, or their appointee, normally, chairs the defense which usually consists of three rounds of questions. After questioning, the candidate leaves, and the committee convenes in executive session.

8.6 Acceptance or Rejection

In the executive session following the oral defense of the dissertation, the examining committee will determine the candidate's ability to defend the dissertation as well as the adequacy of the dissertation document.

- A. Oral Defense Evaluation**
 - 1. Exceeds expectations
 - 2. Meets Expectations
 - 3. Marginally Meets Expectations
 - 4. Does Not Meet Expectations

- B. Document Evaluation**
 - 1. No Revisions Required
 - 2. Minor Revisions Required
 - 3. Major Revisions Required

8.7 Final Submission of Dissertation

Follow the steps described by the Dissertation Office regarding the final submission of your Dissertation document in the following link: [Dissertation Office](#)

GRADUATION REQUIREMENTS

9.1 Application for Graduation

It is your responsibility to submit a Graduate Application for [Graduation Form](#). This form must be submitted online. Graduation Applications in paper form will not be accepted. If you have any questions contact Academic Records at (269-471-3375).

All students filing for December conferral must complete the Graduation/Marching application no later than the date specified in the academic calendar. All graduate students applying for graduation/marching in May must complete the Graduation/Marching application no later than the date specified in the published [Academic Calendar](#).

If you have missed the deadlines, you must file a new application for degree conferral/graduation for the next regularly scheduled time.

9.2. Completion of Program Requirements

You must complete all program requirements (check with the Academic Records) and receive financial clearance from the Student Finance Office one week before commencement.

9.3 Graduation Regalia

Graduation regalia are ordered online through the Herff Jones Inc., [Academic Regalia](#) website. Regalia are ordered by degree, not major. Be sure you know your degree. If you have questions, please contact the Records Office or Graduate Service Coordinator in College of Education and International Services.

There are several options to choose from:

1. The regular black one-tripper gown is made of a light weight material with a black mortarboard hat, doctoral hood with appropriate symbolic colors, and gold tassel.
2. Special order of custom-made doctoral regalia (made just for Andrews University) for about \$900 must be done six to eight weeks before graduation to insure delivery by graduation. This gown is dark blue and gold and is accompanied by an 8-sided velvet tam with an admiral blue head band.
3. The College of Education and International Services has a few gowns to rent. Reserve the full regalia via email: sedgradprograms@andrews.edu. They are available on a first come, first served basis.
4. Borrow a gown from a previous Andrews University graduate.

9.4 Announcements/Name Cards

You may purchase announcements and name cards through the Bookstore. Personalized and generic announcements are available. For more information call 269-471-3287.

9.5 Lodging

The Guest/Convention Services Office is open seven days a week. To make a reservation, call 1-269-471-3360, or email lodging@andrews.edu. Reservations should be made as early as possible--it will be a busy weekend! (Some make campus guest room reservations a year in advance for this weekend) Hotels are available within a range of 10-20 miles. For more complete lodging and transportation information, see the AU Website at [AU Convention Services](#) and [AU Transportation](#).

9.6 Graduation Schedule

It is a full weekend. Rehearsal practice is Thursday evening. There are ceremonies Friday evening, Saturday morning and Sunday morning. Details can be obtained from the Academic Records Office.

9.7 Conferral of Degree

Degrees are awarded when you have successfully completed all degree requirements. There are two commencement services each year, scheduled for May and August. Degree conferral without the graduation ceremony is available in December.

9.8 Graduation in Absentia

At the time of application for graduation/marching, students who choose not to march must indicate that they are graduating in absentia. Those who complete all degree requirements and choose to graduate in absentia forfeit their right to participate in a later graduation ceremony. You may graduate in absentia by indicating your request to the Records Office via e-mail: academicrecords@andrews.edu or call at (269-471-3375).

9.9 Questions re: Graduation

Questions regarding graduation weekend should be addressed to the Records Office by calling 1-800-253-2874 or 269-471-3375. The graduation information is available at:
[Graduation Information](#)

CANDIDATE COMPLAINT PROCEDURES

If you find yourself in conflict with the resolution of a complaint, or questioning a practice or decision that you believe unnecessarily impacts you adversely, you may seek to have your situation considered, improved or settled by following the steps in the order outlined below. The nature of the conflict will, in part, determine the procedure to follow. Fundamental to any procedure, however, is the basic commitment to Christian principles.

10.1 Candidate Complaint Procedure

If you feel that your academic rights have been violated, you should speak directly with the relevant professor. If you are dissatisfied with the professor's response, you may appeal to the department chairperson. Following a decision by the department chairperson, you (or the professor) may appeal to the appropriate academic dean, followed by an appeal to the Office of the Provost (based on [2023-2024 Student Handbook](#)).

10.2 Resolution of Grade Complaint

In keeping with the Andrews University Working Policy (2:437:6), if you dispute a grade received for a course (providing that you believe the grade was assigned as a result of **carelessness, arbitrariness, or capriciousness**), you should seek a resolution within one semester through the following steps:

1. You should seek a resolution in person with the instructor of the course.
2. If the dispute is not resolved, you may file a written grade complaint with the instructor's immediate supervisor, normally the department chair. The immediate supervisor must render a written report of his/her findings within a week.
3. If you do not receive a report or remain dissatisfied, you may file a written grade grievance with the Dean of the College of Education and International Services.
4. After reviewing all the facts about the case, the Dean may choose to issue a final decision in the case or appoint a Grade Review Committee of three Faculty members, who will investigate the matter and recommend a resolution to the Dean.
5. The Dean will then issue a final decision, taking into account the recommendations of the Grade Review Committee.

10.3 Resolution of All Other SED Complaints

Please use the following protocol in dealing with all other complaints:

1. If applicable, you may first consult with your instructor or advisor.
2. If your complaint remains unresolved, you may discuss it with the department chair
3. If the issue is still unresolved, you may submit a written complaint to the SED Dean.
4. If the issue remains unresolved, you may discuss the matter with the Provost who will provide a written decision which will be considered final.

At any point in the complaint process you may consult with either of two University Ombudspersons whose role is to facilitate understanding, communication, and resolution of conflicts. They may help by identifying and explaining relevant university policies, procedures, and problem-solving channels. The Ombudspersons will also help you to explore options or help identify University programs and resources that might be of benefit. The Ombudspersons do not get involved in:

- Legal advice or legal representation
- Non-University related disagreements or problems
- Filing grievances or making formal complaints
- Representation of students in formal University procedures (See "Ombudspersons" in the current *Student Handbook*.)

APPENDIX:

Doctoral Forms

Click on the following links to access downloadable forms that can be filled out online e-mailed directly to piskozub@andrews.edu or your advisor for approval. All forms are in Portable Document Format (PDF). Need Adobe Reader? Follow the link below.



- [Application to Advancement to Degree Candidacy](#)
- [Application for Comprehensive Examination](#)
- [Application for External Examiner](#)
- [Application for New Advisor](#)
- [Change of Course Plan Request](#)
- [Change of Dissertation Committee](#)
- [Counseling Psychology Prerequisite Transfer Approval](#)
- [Dissertation Deadlines for Graduation 2023 - 2024](#)
- [Graduate Petition](#)
- [Instruction on How to File Advancement to Degree Candidacy](#)
- [Instruction on How to File a Doctoral Courseplan](#)
- [Petition for Program Time Extension](#)
- [Petition to Qualify to Serve on the Dissertation Committee](#)
- [Petition - Transfer Credits](#)
- [Plan for Probation Status Removal](#)
- [Readiness for Dissertation Defense - Sign Off](#)
- [Request for Doctoral Dissertation Committee and Topic Approval](#)
- [Report of Student's Dissertation Committee](#)
- [Student's Course Plan](#)