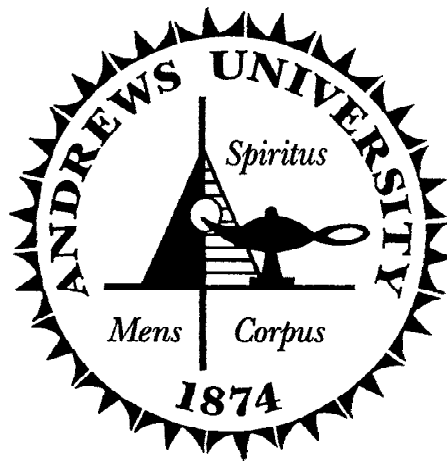


HANDBOOK

for

Doctoral Students



School of Education

Andrews University
Berrien Springs, Michigan

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 School of Education. It does not supersede the *Andrews University Bulletin*.

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

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SCHOOL OF EDUCATION
DOCTORAL PROGRAMS

Please Note:

Papers/forms are usually filed with the Secretary of Graduate Programs
School of Education, Bell Hall Room 164.

COURSE WORK

1.1 Admissions Status

A. Regular

If you meet all admission requirements of the School of Education 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 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 psychology program without a master's degree providing an undergraduate major in psychology was earned with a cumulative grade-point average of 3.80 or above on a 4.00 grading system.

- B. Evidence of ability for doctoral-level work as shown by superior undergraduate- and graduate-level work and an satisfactory score on a Graduate Record Examination (GRE) General Test taken within five years of admission.
- 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 doctoral-level work in the English language. If your first language is not English, you must submit a satisfactory TOEFL score or successfully complete Intensive English Program on campus and pass the exit exam for English as a Second (See *AU Bulletin*, pg. 48 **English Proficiency Requirement**)
- E. A minimum of three satisfactory recommendations showing strong potential for educational leadership and service.
- F. A written Statement of Purpose for study in the doctoral program.

1.3 Academic Advisement

A. Temporary Adviser

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

B. Permanent Adviser

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

1.4 Doctoral Program Course Work

A. Course Numbering/Levels

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

400-499:	Courses open to advanced undergraduate candidates and to graduate candidates if courses are listed in the <i>Graduate Programs Bulletin</i>
500-699:	Courses for graduate candidates only
700-999:	Courses for post-master's candidates only

B. Submission of Course Plan

Your adviser 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 before registering for any doctoral credits.
3. If you are entering with an EdS from a university other than Andrews University, you must finalize your course plan and have it approved 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 or a completed IDP (for Leadership candidates) signed by your adviser 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 adviser, 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 credits of graduate work of which 2 credits are EDM880/LEAD880 Dissertation Proposal Development and 14credits are dissertation credits. Requirements include:

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

2. Three educational foundation courses (or competency requirement for Leadership candidates).
 - a) EDFN500, Philosophical Foundations of Education and Psychology
 - b) Graduate courses in 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 32 credits in approved on-campus doctoral course work (not including the dissertation) must be completed after acceptance into the doctoral program at Andrews University (A minimum of 24 credits 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/adviser 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 adviser, and it must relate to your professional goals. You must include these courses on your course plan.

2. Adviser

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

1.5 Transfer of Credits

All graduate credits taken at Andrews University or another accredited university that are considered appropriate by your adviser and department chair/coordinator are transferable, but not all may count toward minimum course requirements. The grade earned in each transfer course must be at least a B (3.00). Permission to transfer credits is granted only by petition and upon receipt of an official transcript for the course(s) in question.

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 Petition" form to your adviser, the department chair/coordinator and the Director of Graduate Programs 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 adviser, your department chair/coordinator and the Director of Graduate Programs.

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 petition to 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 application 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 return to the program by either of the following two options:

1. By petition with all previous doctoral course plans, time limits, etc. in effect.
2. By application to the Graduate Educational Programs Committee with all new requirements.

1.7 Residence Requirements

A. PhD Residency (other than for Leadership candidates)

A sequence of two terms (semester or summer) out of three consecutive terms after admission to the doctoral program, each with no less than 8 credits of course work (not dissertation). One of the two terms may be a full-time internship.

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 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 10 years from your initial registration after acceptance into the doctoral program.

Exception: Candidates in the department of Educational and Counseling Psychology and Leadership & Educational Administration must complete all requirements, including dissertation, within seven (7) 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. 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. You will register either for dissertation credits, dissertation continuation or if no progress is being made program continuation.

The secretary of Graduate Programs will attempt to contact you, your adviser 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 adviser 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 (EDPC810/820).
2. registering for 4 or more dissertation credits.
3. 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.
- c. verification by the dissertation chair or internship supervisor that full-time work is being done (using a form provided by the Graduate Programs Office)

For candidates who have completed all required classes for the degree except the dissertation and/or internship, full time status is all three of the following:

- 1. registering for 1 or more credits of the dissertation, dissertation continuation, or internship.
- 2. completing a “full-time” work on the dissertation or internship as defined by at least 24 hours a week or 720 per year.
- 3. verification by the dissertation chair or internship supervisor that full-time work is being done (using a form provided by the Graduate Programs Office)

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 adviser 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.

1.13 Academic Enrichment Pass

The intent of the Academic Enrichment Pass is to allow you, the doctoral student, to have exposure to academic enrichment that you would not otherwise receive.

If you are a full-time doctoral student in the course-work phase (before the comprehensive examination), you may obtain an Academic Enrichment Pass and, with the approval of the instructor, visit a class informally without any notation by the Records Office. After the comprehensive examination, this privilege continues but without course work load requirements.

- A. You must present an "Academic Enrichment Pass" card signed by your adviser and the Dean of the School of Education to the instructor of the class you wish to attend. (Discuss the pattern of attendance with the teacher.)
- B. The following courses are excluded:
 1. Courses in your planned doctoral program;
 2. Prerequisite courses or those prescribed to clear deficiencies;
 3. Vocational, laboratory, skill, or performance courses that fall in the category of personal hobbies.

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. EDRM 505 Research Methods in Education and Psychology (3)
Designed to equip the student to know the basics of conducting, reading and evaluating research.
2. EDRM 611 Applied Statistics in Education and Psychology I (3)
An introductory statistics class designed to help candidates conduct basic data analysis.
3. EDRM 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. EDRM 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 School of Education may require additional research requirements from the following courses/experiences:

Content Courses

EDCI636	Program Evaluation
EDCI687	Design & Development Research
EDRM704	Design and Analysis of Educational and Psychological Surveys
EDRM605	Qualitative Research Methods in Education and Psychology
EDRM611	Research Methods & Stats in Education and Psychology II
EDRM712	Research Methods and Statistics in Education and Psychology III
EDRM713	Research Methods and Statistics in Education and Psychology IV

Research Experiences

LEAD637	Issues in Research
EDCI885	Applied Research
EDPC834	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 one month (pg 55) before taking the comprehensive examination, you should file the "Advancement for Degree Candidacy" form. 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 adviser and department chair/coordinator, and
- C. Returned to the secretary of Graduate Programs.

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

Subject to completion (passing) the comprehensive examination

COMPREHENSIVE EXAMINATION

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 I or 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 includes four (4) parts which are taken at regularly-scheduled sessions over a two-week period. Each of the four (4) 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 a take-home activity. Take-home exams are given to the student in advance by the Graduate Programs Secretary to be turned in at a regularly-scheduled time.

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 prepare the examination and provide 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 prepare and assess 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. If more than 2/3 of the total exam is not passed, the complete examination must be retaken. 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.

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: First is completion of the course work and second 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 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:

Creswell, J. W. (2003). *Research design: Qualitative, quantitative and mixed methods approach, 2/e*. Thousand Oaks, CA: Sage Publications.

Davis, G. B. & Parker, C. A. (1997). *Writing the doctoral dissertation: A systematic approach*. Hauppauge, NY: Barrons Educational Series.

Hart, C. (2003). *Doing literature review*. Thousand Oaks, CA: Sage Publications.

Meloy, Judith M. (2nd Edition, 2001). *Writing the qualitative dissertation*. Mahwah, NJ: Lawrence Erlbaum Associates, Inc.

Piantanida, M. and Garman, N. B. (1999). *The qualitative dissertation: A guide for students and faculty*. Thousand Oaks, CA: Corwin Press, Inc.

Roberts, C. M. (2004). *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. (2nd Edition, 2001). *Surviving your dissertation: A comprehensive guide to content and process*. Thousand Oaks, CA: Sage Publications.

Thomas, R. M. (2003). *Blending qualitative and quantitative research methods in theses and dissertations*. Thousand Oaks, Ca: Corwin Press Publications.

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 adviser 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, Graduate Programs Office, 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 adviser 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 are you 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 16 credits of dissertation; two of these credits are allocated for Dissertation Proposal Development course (EDRM880/LEAD880). Before your dissertation proposal is approved (see Dissertation Proposal), you are allowed to register for up to a total of 6 dissertation credits. It is recommended that you spread these credits as follows: 2 dissertation credits your 1st semester, 2 credits your 2nd semester and 2 credits your 3rd semester.

You may register for additional dissertation credits only after acceptance of the proposal. Automatic suspension of dissertation work results if you do not pass your comprehensive examination.

5.8 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 website: <http://www.andrews.edu/grad/OSR/> Hard copy may be obtained from the Human Subject Research Office located in the Administrative Building, Room 210.

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: <http://www.andrews.edu/GRAD/style.html> If you have any questions you may also contact the dissertation secretary, Bonnie Proctor by calling her at (269) 471-3276 or e-mailing her: proctorb@andrews.edu

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. Types of Proposals

Two types of proposals are acceptable in the School of Education.

1. A proposal may be a ten-to-fifteen page abstract covering, in overview style, all the major elements of the dissertation.
2. The second form is the first-three-chapters model (not necessarily in final form) of about thirty pages.

Either format includes the three sections of identification of the research problem, representative 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.

There are advantages and disadvantages for each proposal model. A short proposal will not take as much work and will allow you more freedom in conducting your research, but you may run into problems later on that could not have been anticipated by your committee since the proposal was short on detail. A longer proposal will take more work, but you and your committee will have a better understanding of what is to be done and thereby make it more likely that the procedures specified can be done with few, if any changes. Another advantage of the larger proposal model is that your proposal, with editorial changes and expansion, largely becomes the first three chapters of your 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 the University's Dissertation Secretary 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 Secretary 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 the Student's Dissertation Committee" form. All members of your committee, your department chair/coordinator, and the Graduate Programs Office must sign this form. Attach a copy of the proposal.

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 School of Education students. However, those students writing a historical study may choose to use Turabian and should consult with their committee at the outset regarding which style is best suited to their study. An early consultation with the Dissertation Secretary during the writing process will help students 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 School of Education is chapter-by-chapter submission to the committee, a committee chair has the privilege of choosing another procedure with the consent of the committee.

7.3 Working with the Dissertation Secretary

The Dissertation Secretary makes sure that your dissertation conforms to AU's *Standards for Written Work* and does a final copy edit of your document, making sure APA style and AU requirements have been followed. After making these corrections, resubmit this new version (along with the marked copy) to the Dissertation Secretary for a final check. When no further corrections are indicated, you will be given a clearance form to take to the secretary of Graduate Programs in the School of Education.

You are now cleared to make copies of your dissertation for each committee member and the external examiner. At this point a defense date will be set.

7.4 Final Dissertation Manuscript Preparation

Following defense, secure approval from your chairman that all changes/additions recommended at defense have been made. Submit this new version of your dissertation to the Dissertation Secretary, pointing out all changes/additions.

When no further corrections are needed, submit a final version of your dissertation to the Dissertation Secretary along with the *signed approval page*. This must occur no later than 10 days before graduation, or graduation will be postponed.

The Dissertation Secretary will arrange for duplicating the dissertation at Andrews University's LithoTech and submit the *Notification of Thesis/Dissertation Completion* form to the Records Office. LithoTech will bill your account for duplication 4 copies of the dissertation (all of which stay with the University): 2 for the Library and 2 for the School of Education.

If you would like a *personal copy* of your dissertation library-bound exactly as those housed in the James White Library, you must indicate this to the Dissertation Secretary. At this point, all students are asked to upload their dissertation (in PDF format) to the Adventist Digital Library, a new repository of the James White Library. This makes dissertation available to other researchers through such tools as WorldCat Dissertations, Google Scholar, and OpenDOAR. Go to: <http://eprint.cc.andrews.edu>. At the time of your dissertation defense you will receive a hard copy of the Steps to Follow After the dissertation Defense with all details How to Upload Your Dissertation.

7.5 Dissertation Continuation Status

If the dissertation is not completed after all 16 dissertation credits have been taken, the candidate must register for dissertation continuation (for example EDCI 888) every semester, and pay a continuation fee (see AU Bulletin) until the dissertation is completed and the defense held. If you are off campus during this dissertation continuation period, the secretary of Graduate Programs will complete this registration for you each semester upon your request.

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 or dissertation continuation. Contact Graduate Programs Office (269-471-3109) for a letter or statement concerning your full-time status.

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

The last permissible defense date is four weeks before graduation. The School of Education 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. Check with the secretary of Graduate Programs for the most current copy.

A. Defense Countdown Deadlines

Process must be started at minimum 15 weeks prior to graduation and defense must be completed 4 weeks before graduation.

1. 15 weeks prior to graduation:

(LATEST DATE) to submit the first draft of the final copy to the committee. You must submit a copy of the dissertation and abstract, complete in every respect, including all chapters completely edited with all appendices, bibliography, charts, and tables numbered and complete. The 350-word limitation to the abstract is a constraint imposed by University Microfilms, Inc. that is accepted by U.S. universities and colleges for the dissemination of research reports. It is an absolute limit. Count every word, beginning with the first paragraph. Candidates who present an incomplete manuscript cannot receive a favorable decision. Request a pre-defense date.

2. 12 weeks prior to graduation:

(LATEST DATE) for a pre-defense meeting of the committee and candidate to approve the document for defense. If the committee votes that you are ready to defend, your chair will submit the signed "Readiness of Dissertation for Defense" and application for the External Examiner to the secretary of SED Graduate Programs. The committee may ask the candidate to make corrections in the dissertation at the pre-defense meeting.

3. 11 weeks prior to graduation:

(LATEST DATE) After making corrections indicated at the pre-defense meeting, the candidate must submit their dissertation to the Dissertation Secretary for a final copy edit of the document. The Dissertation Secretary will check that the dissertation conforms to AU's *Standards for Written Work* formatting rules and APA style rules. Until this step has been completed, *no defense date will be set.*

4. 8 weeks prior to graduation:

(LATEST DATE) After making the final copyedit check, the Dissertation Secretary will e-mail the clearance form to the Graduate Programs Secretary in the School of Education. The candidate is now cleared to make copies of their dissertation for each committee member and the external examiner. At this point the dean will sign off on the Dissertation Defense, approve the External Examiner, and work to set an acceptable defense date. *Please note that this defense date will be at least 4 weeks from this sign off date.*

5. 4 weeks prior to graduation:

(LATEST DATE) for oral defense of approved document.

6. 3 weeks prior to graduation:

(LATEST DATE) for submission of dissertation document to the Dissertation Secretary. This submission must include all changes requested by the Committee at Oral Defense. The committee chair (dissertation adviser) must sign off regarding changes before the Dissertation Secretary can complete the final review. Submit the new version of your dissertation to the Dissertation Secretary, pointing out all changes/additions.

3. 1 ½ weeks prior to graduation:

When no further corrections are needed, submit a final version of your dissertation to the Dissertation Secretary along with the signed approval page. They must occur no later than 10 days before graduation, or graduation will be postponed.

Candidates should plan to meet these requirements well before the suggested deadlines. Waiting until final deadlines could jeopardize your graduation plans.

8.3 Approval of Dissertation for Defense

Before finalization of the defense date, your committee must meet and vote the dissertation as "ready to defend" which means that no further changes are anticipated. It also means that the committee is confident of the candidate's ability to successfully defend his/her research in an open forum. This is a crucial meeting. The meeting must convene no later than 12 weeks before the proposed defense date. The external examiner should be given the approved dissertation document no later than three full weeks prior to the proposed defense date.

8.4 Defense Examining Committee

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

8.5 Observers at Your Defense

The Graduate Programs Office permits observers at the defense of your dissertation upon request.

8.6 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 School of Education or the Dean of Graduate Studies, 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.

8.7 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

The vote taken on the ability to defend will be either to:

1. approve the defense or
2. reject the defense with:
 - a. opportunity for another defense or
 - b. no further opportunity for defense.

B. Document

The decision reached on the document will either be:

1. Pass
2. Pass with minor revisions
3. Pass with major revisions or

4. No pass.

8.8 Final Submission of Dissertation

A. Dissertation Secretary Clearance

Following the oral defense and the completion of any prescribed changes in the dissertation and abstract, you are to present them in final completed form to the Dissertation Secretary, who certifies that they conform to Andrews University and University Microfilm standards. The originals are returned to you for duplication with a microfilming form for you to complete. The Dissertation Secretary must complete this clearance at least two weeks before the conferral of the degree.

B. Duplication of Final Manuscript

Option 1.

The Dissertation Secretary arranges for duplicating with Andrews University Litho Tech Department, and your account is billed. At this point, the Dissertation Secretary submits the Notification of Thesis/Dissertation Completion form to the Records Office and the student's dissertation process is complete.

Option 2.

Personally arrange duplicating of the dissertation. Four unbound copies must be made to show to the Dissertation Secretary (and to receive a Completion form), three of the four unbound copies are to be delivered to the Dean of Libraries' office no later than Wednesday, a week and a half before graduation. The fourth copy must be given to the Dissertation Secretary to be processed for microfilming.

If you desire the services of the Andrews University Litho Tech Department, you must make arrangements with them in advance. (NOTE: In planning your margins on the page, you need to allow for a one percent enlargement in the duplication process.)

C. Distribution of Copies to the Dissertation Secretary

These four copies are bound by the University at your expense. One copy is given to your committee chair, two copies to the James White Library and the fourth copy is for the School of Education archives. (The dissertations should be placed in a box with a copy of the title page taped to the lid.)

One copy of the dissertation, complete with title page and abstract along with:

1. An additional title page;
2. Two additional abstracts;
3. The completed microfilming permit form

is sent by the Dissertation Secretary to University Microfilms. After it is returned to Andrews, it is bound and sent to the Graduate Programs Office for the School of Education archives. The James White Library files a microfilming of your dissertation.

You will be billed by Andrews University for copy editing, microfilming, binding each copy and for copyrighting the dissertation (if copyrighting is desired).

GRADUATION REQUIREMENTS

9.1 Application for Graduation

It is your responsibility to obtain and file an "Application for Graduation" request with the Records Office (269-471-3375). The last possible date for filing for May graduation is in mid October and for August graduation in mid May. (See the *Academic Calendar* for specific dates.)

9.2. Completion of Program Requirements

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

9.3 Graduation Gown

There are several options to choose from:

1. The regular black one-tripper gown can be ordered at the Bookstore. This gown is made of a weight material with a black mortar board hat. The tassel is yellow.
2. Special order the custom made doctoral regalia (made just for Andrews University) for about \$975 by calling the Records Office. This must be done three to four months 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 School of Education has a few gowns to rent. Check with the secretary of Graduate Programs as soon as possible. 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

Many of you may have friends visiting for the occasion. Should any of you need to arrange for guest lodging, you might call 269-471-6602 or 269-471-3397 to reserve a room on campus. Make these arrangements as soon as possible as this will be a busy weekend.

9.6 Graduation Schedule

It is a full weekend. Rehearsal practice is Thursday evening. There are ceremonies Friday evening, Saturday morning and Sunday morning.

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

You may graduate in absentia by indicating your request to the Records Office (269-471-3376).

STUDENT APPEAL PROCESS

If you find yourself in conflict with or questioning any practice, decision and/or policy that, in your mind, impacts upon you adversely, you may discuss the matter with responsible School of Education personnel in an attempt to have the situation considered, improved or settled. 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 Conflict with Policy in General

When you question an established policy, you may discuss it with your adviser, department chair, Program Coordinator, Dean, and/or any faculty member; or you may direct the question to the Graduate Student Association for general discussion by other candidates.



10.2 Conflict with Policy in Particular

When you feel adversely affected by established policy, you should discuss it first with your adviser. This may result in petitioning to waive the policy in this particular case.

You ----> Adviser ----> Program Coordinator ----> Dept Chair----> Dean

If you cannot get your adviser to support your petition, you should discuss it next with the department chair. At this point, you may file a petition seeking a waiver, or the chair may intervene by bringing the matter to the Dean's Administrative Council.

You ----> Program Coordinator ----> Petition ----> Dept Chair----> Dean

OR

You ----> Dept Chair ----> DAC ----> Appropriate resource

If either of the above protocols does not bring satisfactory resolution to the problem, you may bring the matter to the Dean of the School of Education. If the Dean cannot settle the situation, you may refer the matter to the SED Graduate and Undergraduate Academic Policies and Curricula Committee.

You ----> Dean

OR

You ----> Dean ----> AP & CC

If the problem still does not have a resolution you may discuss the matter with the University Ombudsman or the Vice President for Academic Affairs.

You ----> University Ombudsman

OR

You ----> Vice President for Academic Affairs (Final Appeal)

10.3 Conflict with a Faculty Member over Practice

If conflict arises between you and a faculty member, the ideal protocol from a Christian perspective is that you seek a resolution first with the faculty member in question.

You ----> Faculty Member

When you feel that the above procedure may, in itself, affect you adversely, you should contact your adviser who may then mediate on your behalf.

You ----> Adviser ----> Program Coordinator ----> Dept Chair----> Faculty Member

If you consider either of the above procedures counterproductive, you may bring your grievance directly to the Dean of the School of Education.

You ----> Dean ----> Faculty Member

In those rare instances when you consider all of the above procedures to be intimidating or fail to bring relief you may bring your problem to the University Ombudsman.

You ----> University Ombudsman ----> Appropriate Personnel

In those extreme instances when none of the above procedures bring satisfactory resolution to the problem, you then have the right to bring the matter to the President of the University.

You ----> President

The President's decision is final in this type of conflict.

APPENDIX

DOCTORAL DEGREE PROGRAM FORMS are available at the following link:

http://www.andrews.edu/sed/resources/doctoral_forms.html

Among these forms you will find instructions on how to file for the doctoral course plan and for the advancement to degree candidacy. Also, there are the forms pertaining to the dissertation stage beyond the coursework.