

# Leadership

A GLOBAL PLATFORM FOR SERVICE



# Handbook

School of Education • Andrews University

# Leadership

A GLOBAL PLATFORM FOR SERVICE

## ***Mission Statement and Overview***

The Leadership program develops a community of scholar-practitioners who transform the power of knowledge into global service. Its core values include: community, service, integrity, and commitment. On campus, the Leadership program is housed in the School of Education. It is an interdisciplinary program that leads to a Master of Arts (MA), a Doctor of Education (EdD), or a Doctor of Philosophy (PhD) degree and prepares leaders for service in various forums. This participant-driven program is established on the idea of developing and demonstrating competency in specific areas associated with leadership in all fields.

Because Leadership was developed to meet the needs of today's professionals, the program emphasizes competencies instead of courses. Leadership is job-embedded and work-related. The Leadership program's design embeds practice in theoretical knowledge bases. The program is field-based, flexible, and designed to provide a learning community for leaders who want to earn a master's or doctorate while continuing to be employed. Although some coursework is necessary to complete the degree, Leadership gives self-directed, self-motivated individuals a way to take charge of their own education while incorporating professional experience.

Leadership's collaborative structure promotes ongoing communication among all participants. The program is an international one; yet, even though participants are from all over the world, they take part in regularly scheduled meetings and conferences to exchange ideas and to provide support for each other. Between meetings, technology-based communication becomes the method by which participants dialogue around scholarship and practice.

The *2003 Leadership Handbook* is designed to help participants and faculty in the planning and execution of the MA, EdD, and PhD degrees in Leadership. The Leadership Handbook complements but does not supercede either the Andrews University Bulletin or the School of Education handbook. Subsequent announcements and supplements issued after June 2003 will take precedence. Leadership participants should also access the Leadership web page: <http://www.andrews.edu/leadership/>, and the Andrews University graduate page: <http://www.andrews.edu/GRAD/degree/> for more information.

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# *Philosophy Statement*

Philosophy concerns itself primarily with questions rather than answers. Leaders often ask: What is the nature of the universe? What is the nature of humankind? What is reality? How do we come to know anything at all? How do we know what is morally right and wrong? How do we find solutions for our ethical dilemmas? These questions are holistically summarized by three philosophical dimensions which are foundational to the Leadership Program: being (ontology), knowing (epistemology), and acting (ethics).

The essential, unique dimension of "being" in the Leadership Program is represented by a continuum with the individual at one end and the community at the other. Leaders are influenced by unique historical, cultural, political, and economic experiences. By engaging in a dialogue with respect and understanding, participants honor diverse cultures, beliefs, worldviews and theoretical orientations. This shared lived-experience, the journey, is a valuable component of the leadership experience.

The essential, unique dimension of "knowing" in the Leadership Program is represented by the paradoxical unity of theory and practice. Its job-embedded nature provides opportunity for the demonstration of this unity in the workplace where a leader can transmit and generate knowledge. The crossroads of the concrete and the abstract are transformational and stimulate critical reflection, growth, and development of the leader.

The essential, unique dimension of "acting" is captured in the notion of servant leadership. Greenleaf's *best test* is: "Do those served grow as persons; do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants?" The pursuit of knowledge is ethically committed to the quality of life in all its aspects: spiritual, mental, physical, and social. To achieve this purpose, there must be balance among love, justice, and power.

The Leadership Program has evolved from the scholarly and Christian heritage of Andrews University whose mission is to prepare students for generous service to the world. The hallmarks of the program include protecting human dignity and moral well-being. Leadership participants benefit from a community of learners equipped to effect positive change and the thoughtful stewardship of earth's resources.

# *Competencies: MA, EdD & PhD*

Completion of the doctorate in Leadership is achieved only after competence is demonstrated in each of the 20 competencies listed below. An asterisk indicates competencies required for the MA. The competencies are arranged into six categories. Each category is followed by a general description of the required knowledge-base, as well as the personal and professional development covered by each.

## **1. Each Leadership Graduate is an Effective Teacher/Mentor with Skills in . . .**

- a. Using, evaluating, and adapting learning materials to accommodate individual variability.
- b. Learning strategies, including group processes. \*
- c. Mentoring.

Every leader is a teacher/mentor on some level and, as such, is expected to understand and demonstrate the principles of effective learning.

## **2. Each Leadership Graduate is a Dynamic Change-Agent with Skills in . . .**

- a. Planning and implementing change.
- b. Developing human resources.
- c. Public relations.

Every leader is a change-agent and, as such, is expected to understand and demonstrate the principles of change in society and in organizations.

## **3. Each Leadership Graduate is an Effective Organizer with Skills in . . .**

- a. Organizational development, management, and allocating resources; \*
- b. Interpreting laws, regulations, and policies.

Every leader is expected to understand and demonstrate the principles of effective organizational learning.

## **4. Each Leadership Graduate is a Collaborative Consultant in Diverse Cultures with Skills in . . .**

- a. Effective communication. \*
- b. Evaluation and assessment.
- c. Problem-solving and decision-making.

Every leader is a consultant and, as such, is expected to understand and demonstrate—in written, verbal, and nonverbal formats—the principles of effective communication, evaluation, and conflict-management within and among various cultural, racial, and special interest groups.



**5. Each Leadership Graduate is a Reflective Researcher with Skills in . . .**

- a. Reading and evaluating research. \*
- b. Conducting research. \*
- c. Reporting research. \*

Every leader is a researcher on some level and, as such, is expected to understand and demonstrate the following skills:

- appreciate the value of research for decision-making
- know the logic and process of scientific inquiry
- explain major research methodologies
- critique the adequacy of research reports
- formulate empirically-driven research problems
- conduct literature reviews using electronic sources
- relate research to the body of knowledge in leadership or in a professional field
- select appropriate research designs
- explain standards for data-collection
- conduct basic data analysis
- adequately communicate research findings

**6. Each Leadership Graduate is a Scholar with a Working Knowledge of . . .**

- a. Ethics and personal/professional development.
- b. Philosophical foundations. \*
- c. Theories of learning and human development.
- d. Theories of leadership and management.
- e. Social systems, including family dynamics, community structures, and global development.
- f. Technology and its application. \*

Every leader is a scholar on some level and, as such, is expected to understand and demonstrate the following skills:

- self-reflection and the practice of harmonious integration of spiritual, mental, physical, and social aspects of life
- foundational principles of leadership, including a critical understanding from a Christian perspective, the assumptions of different worldviews wherever they are expressed, as well as the historical development of leadership
- fundamental concepts of learning-theory and human development
- practical aspects of leadership theory, with special reference to the theory of servant-leadership conceptual framework within which social systems operate
- effective use of technology for professional communication, training, and research

**\* Competencies required for MA, plus another four to be selected by the participant for a total of ten competencies.**

# *Admission Process*

## **Leadership Admission Requirements—MA, EdD, PhD**

Leadership admission requirements for the MA, EdD, and PhD include the following:

- A completed bachelor's degree for those applying for the MA.
- A completed master's degree for the EdD or PhD.
- A successful interview with one or more members of the Leadership faculty.
- A minimum of five years of professional work experience in a leadership setting for the EdD and PhD.
- A minimum of three years of professional work experience in a leadership setting for the MA.
- Employment in a leadership position in which competencies can be demonstrated. This environment, which is the participant's place of employment, provides the "laboratory" for developing and demonstrating expertise in the competency areas and for preparing the portfolio. Candidates should be advised that they need to be retained in employment throughout the program.
- The commitment to participate in the following scheduled functions:
  - 1) The initial two-week Leadership orientation.
  - 2) Regularly scheduled regional group/learning community meetings, preferably on a monthly basis *but at least* seven times per year.
  - 3) The annual Leadership Conference.
- Access to the Internet. The participant is responsible for keeping current and aware of announcements and program updates presented by faculty and staff via e-mail. Each participant is assigned an Andrews logon and WebCT password during orientation.

## **University Admission Requirements—EdD and PhD**

University admission requirements for the EdD and PhD include the following:

- At least an earned bachelor's degree from an accredited college or university or its equivalent, with adequate preparation for the proposed doctoral specialization. A master's degree is preferred.
- Evidence of ability for doctoral-level work as shown by superior undergraduate and graduate-level work and an adequate score on a Graduate Record Examination (GRE) general test taken within five years prior to admission.
- Evidence of ability to undertake research. An applicant who is unable to present evidence of research ability may be required to take appropriate

coursework that provides research experience, as prescribed by the Leadership faculty.

- Evidence of ability to undertake doctoral-level work in the English language. An applicant whose primary language is not English must submit scores from an English language proficiency test. The following minimal test scores are required:
  - 1) Test of English as a Foreign Language (TOEFL) written - B550; computer - B213.
  - 2) Michigan English Language Assessment Battery (MELAB)-80.
  - 3) Center for Intensive English Programs (CIEP) Placement Test – 80.
- Official transcript(s) from all schools, including undergraduate schools, attended by the participant sent directly to the Andrews University Graduate Admissions Office. Faxes and photocopied transcripts are not acceptable, nor are transcripts delivered by students, even in sealed envelopes.
- A minimum of three satisfactory recommendations showing strong potential for scholarship, leadership and service.
- A written Statement of Purpose for study in the doctoral program (minimum 500 words).

## **University Admission Requirements—MA**

University admission requirements for the MA include the following:

- Evidence of research ability. An applicant may be required to take appropriate coursework that provides research experience as prescribed by the Leadership faculty.
- Evidence of ability to undertake masters-level work in the English language. An applicant whose primary language is not English must submit scores in an English language achievement test. The following minimal test scores are required:
  - 1) Test of English as a Foreign Language (TOEFL) written - B550; computer - B213.
  - 1) Michigan English Language Assessment Battery (MELAB)-80.
  - 2) Center for Intensive English Programs (CIEP) Placement Test – 80.
- Official transcript(s) from all schools, including undergraduate schools, attended by the participant sent directly to the Andrews University Graduate Admissions Office.. Faxes and photocopied transcripts are not acceptable, nor are transcripts delivered by students, even in sealed envelopes.
- A minimum of two satisfactory recommendations showing strong potential for scholarship, leadership and service.
- A written Statement of Purpose for study in the master’s program (minimum 500 words).

## **Status Categories**

The Leadership faculty recommends acceptance into the program based on several criteria including, but not limited to, the minimum standards required by the School of Graduate Studies and the additional Leadership admission requirements. The decision of the Graduate Education Programs Committee is final.

### Regular Status

An applicant who meets all of the admission requirements of the University and the Leadership Program may be eligible for regular admission status in the current annual cohort. However the decision to recommend admission is based on the vote of the Leadership faculty.

### Provisional Status

The Leadership faculty may, at its discretion, recommend acceptance for participants who do not meet all of the requirements for regular admission if in its judgment the applicant demonstrates the ability to be successful in the program. Such individuals may be admitted on a provisional basis under specific provisions voted by the faculty. In the event a participant on provisional status fails to meet the specifications of their acceptance, they may be released from the program.

### Permission to Take Classes (PTC) Status

Occasionally an unusual situation merits allowing a participant to take Leadership credits before official acceptance. When this occurs the faculty must grant permission to take classes (PTC). However, PTC does not guarantee regular or provisional admission. Only eight credits taken on PTC status may apply toward a degree. To transfer PTC courses, submit a PTC Transfer Petition Form for approval by advisor, program coordinator and Director of Graduate Programs. The Leadership Program Office will automatically fill out this form. Check with the Leadership Program Office to confirm that all intended transfer credits are included.

### Inactive Status

The Leadership faculty may place a participant on inactive status when in its judgment the participant has failed to make appropriate progress in the program.

### Academic Probation

If the participant's cumulative grade-point average in doctoral work at Andrews University drops below 3.3 in any given semester after the completion of 12 credits, he or she will be placed on academic probation. The participant and the advisor must develop a plan to raise the grade-point average above 3.3 within the subsequent semester. The Director of Graduate Programs must approve this plan. When the cumulative grade-point average reaches 3.3, the Director of Graduate Programs reinstates the participant to regular status. However, if the participant has not reached the minimum grade-point average within the time limit stated in the approved plan, he or she may be dropped from the program. A participant on academic probation may not register for dissertation,

independent study, workshop credits, advance to degree candidacy, or present his or her portfolio for comprehensive evaluation.

## *Academic Advisement*

### Advisor

Upon acceptance into the program, participants are assigned an advisor. The participant will discuss the development of competencies and all other matters directly with the advisor. Changes in advisor may be made at the participant's request or the discretion of the Leadership faculty. The decision of the faculty is final in matters of advisement.

### Individual Development Plan (IDP) Program Team

The IDP will be explained during orientation. After the orientation, the Director of the Leadership program will select a second faculty member to work with the advisor as the Program Team. This team, along with the regional group/learning community, will work with the participant throughout the development and approval of the IDP and portfolio. When the participant is advanced to candidacy, a third member will be selected by the Program Team in consultation with the participant, advisor, and the program coordinator. This additional member of the team will take part in the portfolio defense and may be from the School of Education faculty, a graduate of the Leadership program, or a recognized expert in the participant's profession.

### Dissertation Chair

When ready to begin the development of a dissertation proposal, the participant will seek a faculty member to chair the dissertation committee. The dissertation chair is chosen based on his/her research competence and/or familiarity with the subject matter of the research and must be approved by the School of Graduate Studies to chair dissertations. The participant and the chair will confer on the selection of at least two other persons to serve on the dissertation committee. Such persons are chosen based on their research or subject matter competence and also must be approved by the School of Graduate Studies for membership on dissertation committees. See the dissertation section for more details.

# *Program Requirements*

## **Program Requirements – EdD and PhD**

The Leadership doctoral program includes the following requirements:

- Completion of 90 semester credits as listed on the Credit Checklist.
- A written dissertation and successful oral defense of the dissertation.
- A successful comprehensive evaluation, consisting of the following:
  - 1) The development of a portfolio demonstrating competency in all 20 areas.
  - 2) A written reflective summary that incorporates the knowledge bases for all competencies, summarizes growth in the competencies, and describes the Leadership experience. This paper is to be submitted to the program team two weeks before the presentation of the portfolio.
  - 3) Successful portfolio presentation demonstrating achievement of the program competencies (see section on Comprehensive Evaluation).

## **Program Requirements – MA**

The Leadership master’s program includes the following requirements:

- Completion of 36 semester credits as listed on the Credit Checklist.
- A written report on an approved research project.
- A successful comprehensive evaluation, consisting of :
  - 1) The development of a portfolio demonstrating mastery of 10 competencies, six of which must include 1b, 3a, 4a, 5abc, 6b, and 6f.
  - 2) Written reflective summary that incorporates the SED and Leadership knowledge bases for all competencies, summarizes growth in the competencies, and describes the Leadership experience. This paper is to be submitted to the program team two weeks before the presentation of the portfolio.
  - 3) Successful portfolio presentation demonstrating achievement of 10 program competencies (see Comprehensive Evaluation).

# *Program Components*

## **Individual Development Plan (IDP)**

Participants develop and outline a plan as to how the competencies will be fulfilled. This Individual Development Plan (IDP) typically reflects past documented experience, as well as future experience, based on theories and practices learned during the Leadership orientation and other program experiences. The IDP is usually 20 to 30 pages in length and consists of three sections: Part I—Vision Statement; Part II—Planned Experiences by Competency; and Part III—Credit checklist/courseplan. The IDP should contain only brief descriptions of the various documentation types.

### Part I: Vision Statement

Participants develop individual vision statements depicting the direction of their participation in the program. It is to be rooted in the core values expressed in the stories shared about family, schooling, special people, and enduring experiences. The vision statement is the driving force that makes each participant's journey unique.

### Part II: Planned Experiences by Competencies

This section of the IDP is a systematic projection of the experiences that demonstrate competency as a graduate of the Leadership program. It is also an opportunity to think about past experiences and how those shaped the level of entry competency. Possible ways of approaching this part of the IDP include a review of each competency and an explanation of the kinds of experiences that would develop that particular competency or think of major projects or activities that articulate the competencies required to carry out those projects. There are many ways to portray this portion of the IDP, but it needs to include past, present, and future planned experiences as they relate to the competencies.

Ultimately, the second part of the IDP must describe as explicitly as possible how the competency will be demonstrated. What will emerge from the planned experiences that might demonstrate competence? What artifacts will be used to validate competency?

Planning for a balance of the following three major types of artifacts ensures that the portfolio clearly demonstrates competence in the given area:

- Things created or to be created, for example: participant manuals, syllabi, web pages, videos of presentations, policy descriptions, organization manuals, books, articles, and reports.
- Verification from others, such as letters, cards, evaluations, and annual reports.
- Reflective journals/papers where growth in a particular competence connects with the knowledge base or theoretical underpinnings of that experience.

### Part III: The Credit Checklist/Course Plan

Part III of the IDP is a list of credits. The planned experiences in Part II of the IDP are reflected in a list of credits accumulated through a variety of options that include seminars, independent studies, fieldwork, advanced studies, and internships. At least 50 clock hours should be documented for each semester credit of individualized projects earned. The credits listed must be documented and signed by the advisor or designated faculty member.

The course plan can also be viewed on line on the Leadership home page by visiting this website: [http:// www.andrews.edu/leadership/](http://www.andrews.edu/leadership/), clicking on "Leadership Restricted Services," then entering the Andrews login and student ID or WebCT password. It is each participant's responsibility to confirm completion and changes of the Credit Checklist with the Leadership office via e-mail or fax.

The Doctoral Credit Checklist must include a total of 90 post-baccalaureate semester credits, to be distributed as follows:

- At least 32 upper-level (numbered 600 and above) non-dissertation credits from Andrews University earned after acceptance into the Leadership doctoral program. (A minimum of 24 credits is required for a participant with an Ed.S. degree from another institution, and a minimum of 16 credits for a participant with an Ed.S. degree from Andrews University.)
- A total of 16 credits of dissertation work, two of which are in proposal development.
- At least 42 additional graduate credits, which may include master's credits. These credits may be transferred in from an accredited university (minimum grade of B or higher) or may be taken at Andrews University.
- At least 75 percent of the nondissertation credits must be numbered 500 and above.
- At least six of the non-dissertation credits must be numbered 700 and above.

The MA Credit Checklist must include a total of 36 post-baccalaureate semester credits, 400 level or above, three of which will be designated for the research project.

The following levels of graduate study are in effect:

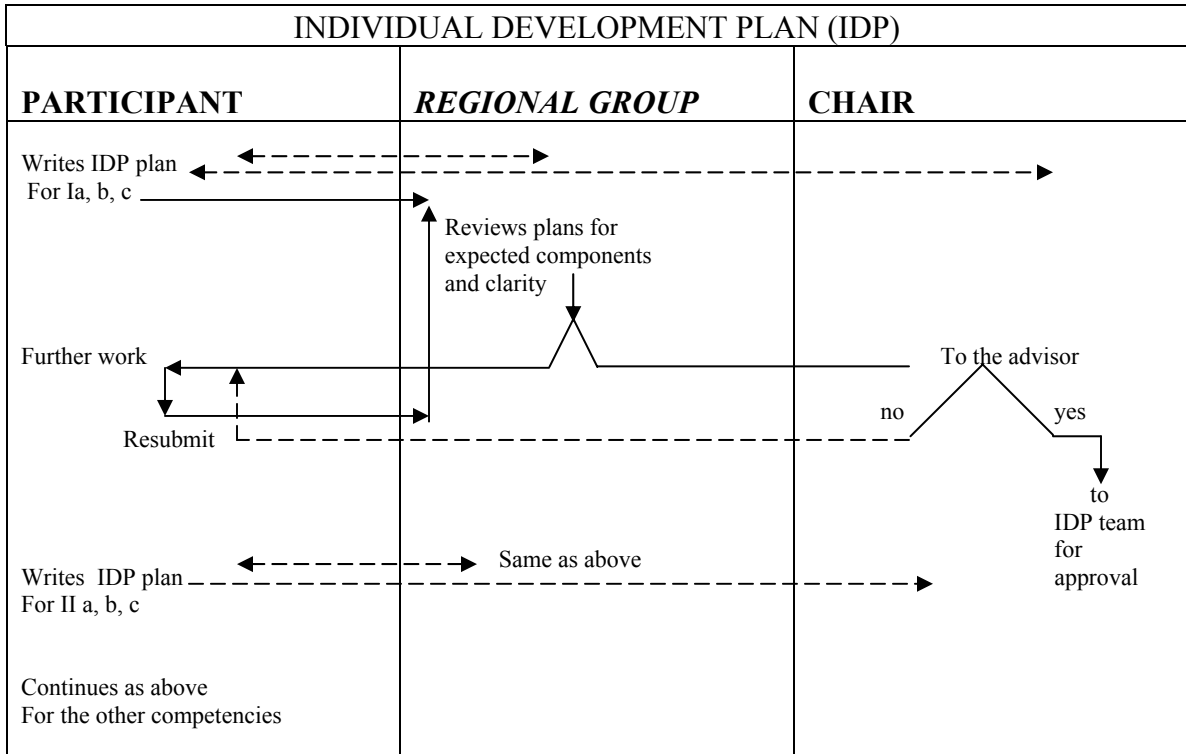
- LEAD 400-499:* Swing courses. Open to advanced undergraduate and to graduate students if so indicated in the *Andrews University Bulletin*.
- LEAD 500-699* Available to graduate students only.
- LEAD 700-999:* Available to post-master's students only.

### Submission of the IDP

Work on the IDP begins during Leadership Orientation and must be completed and approved by the end of the participant's second semester in the program and before registering for LEAD 636 (Issues in Leadership Foundations), LEAD 637 (Issues in Research), and LEAD 638 (Issues in Leadership Theory). When the IDP is reviewed by



the regional group, the participant submits the IDP draft to the advisor. During the development of the IDP, the regional group review and working with the advisor can be simultaneous. After the regional group review, the faculty and second program team member may offer additional feedback for further revisions prior to approval by the program team. Figure 1 illustrates a process whereby the IDP can be consolidated into major sections for review.



*Figure 1.* Individual Development Plan (IDP)

The writing of the IDP is a recursive process going from part to whole and back to part again. The broken line represents continuous connection between participant and advisor, or participant and regional group, whereas the unbroken line represents a flow of activities.

### Approval of the IDP

During the development of the IDP, e-mail attachments may be sent to the Program Team. The final submission is not to be an e mail version, fax, or computer disc. The final IDP document in paper format should be submitted to the Leadership office for signatures from the participant's Program Team and the program coordinator. Three final copies should be mailed, one for each team member and one for the file in the Leadership Office.

### Changes in an Approved IDP

The Leadership faculty recognizes that unforeseen opportunities and circumstances may occur after a participant has an approved IDP. Additional experiences that strengthen the competencies and focus in the program may be included in the portfolio without

changing the IDP on file. However, deletions of items in an approved IDP and changes in a participant's program focus must be approved by the advisor. Should there be substantive changes, it will be the discretion of the advisor to require a review by the Program Team. If approved, the revision will be attached to the participant's original IDP on file. Additionally, changes in Part III of the IDP (the formal course plan required by the Graduate Programs Office) must also be submitted to the Leadership office so that a "Change of Course Plan" form can be submitted to the Graduate Programs office. The course plan and registered credits must match at the time of graduation.

### IDP Requirements by Degree

#### For the PhD and EdD:

- Vision statement and goals for the program
- List and description of documentation of 20 competencies
- Credit checklist

#### For the MA:

- Vision statement and goals for the program
- List and description of documentation of 10 competencies, including 1b, 3a, 4a, 5abc, 6b, and 6f
- Credit checklist

## **Regional Group/Learning Community Participation**

Because the regional group/learning community provides collegiality, synergy, and support for progress in the program, all Leadership participants are required to meet with their groups a minimum of seven times a year. This includes attendance at the annual Roundtable Conference where group activities are evaluated, plans are formulated for the next year's activities, groups are reconfigured to accept new members and/or change groups. A group may be a "regional group" in that everyone lives in the same geographic region and usually meet face-to-face in the region, or a group may be scattered geographically, but meet using a combination of face-to-face and virtual interaction. At any rate, the group experience is a critical part of the Leadership program. It is within the group process that participants increase and enhance significant competence in leading, setting goals, evaluating progress, solving problems, resolving conflict and providing support. Competence as a servant leader may be demonstrated on the job or among the members of your learning community/regional group.

- Regional groups are to be composed of three to seven members.
- The regional group reviews the IDP for each member while in the process of being submitted for faculty review.

- Each regional group member collaborates with other members around their dissertation topic selection, proposal, and final paper or research project.
- Faculty attend regional group meetings by invitation. Weekday visitation is preferred and encouraged; however, arrangements can be made for weekend visitations. Faculty provide general program assistance as well as specific expertise in the competency areas.
- Faculty are available for two visits a year to each regional group. Smaller groups are encouraged to combine for faculty visits. Faculty visits cannot be banked; that is, remaining allowable visits may not be carried from one year to the next. Under normal circumstances, the same faculty member may not visit the same group more than twice in one year.
- The regional group reviews the portfolio of each member before it is submitted to the IDP Program Team for approval.

### **Annual Leadership Conference**

Attendance at the entire annual conference is a required component of the Leadership program. The goal of the conference is to recast the vision of the program personally and corporately. Each year there is a different emphasis with multiple opportunities to demonstrate, develop and clarify competence. It is a time of inspiration, renewal and refocus. You may only be excused from this conference in the event of a family emergency such as an illness or death. In such a case, arrangements need to be made with your advisor prior to the conference.

## ***Research and Dissertation Processes***

### **Process for Developing Research Competence**

#### Faculty and Staff of the School of Education

A strong emphasis is placed on the research competency. The faculty will help in the development and demonstration of the competence in both qualitative and quantitative research in the following ways:

- During orientation, participants will share theses or other research they may have conducted. Faculty will use these documents to ascertain the level of competence already achieved in the area of research. The assessment will be recorded on the form entitled “Evaluation of Research Competency and Recommendations” (See Appendix II). Any or all of the following may be required: LEAD 637 Issues in Research, courses or mentored experiences in qualitative and quantitative research, and proposal writing.
- Before finalizing the dissertation proposal, the portfolio documentation demonstrating evidence of the ability to conduct the kind of research proposed must be presented to the Chair of the Dissertation Committee.

### Andrews University Library Support

The James White Library is available for all active participants. Thousands of databases can be accessed from off campus through the web site:

<http://www.andrews.edu/library/ocls/offcamp.html>. Online tutorials, face-to-face support in the library, and special sessions at the orientation and the annual conference are available to help participants develop the competence needed to do literature reviews for research. If library resources not held in the James White Library are needed, the library staff will order articles, books or dissertations through inter library loan services.

### Institutional Review Board

A proposal for research involving human subjects as part of the degree program, must be submitted to the Office of Scholarly Research for approval by the Institutional Review Board. This must be approved before the data collection process may begin. Forms are available at [www.andrews.edu/GRAD/OSR](http://www.andrews.edu/GRAD/OSR).

## **MA Research Project**

All MA participants will complete a research project. This project will involve data collection and analysis of a problem or issue from the work place. The participant and an assigned advisor will select a second faculty reader who will assist in the successful completion of the research project. The advisor will then facilitate the successful completion of the research project.

The participant will register for LEAD 698 MA Research Project for three credits and will submit a proposal covering identification of the research problem or issue, representative literature sources already consulted and those to be further researched and a presentation of the research methodology. The participant should follow the *Andrews University Standards for Written Work*, with two copies of the final research project paper submitted to the departmental office. The final paper will include all of the major sections present in a dissertation.

## **Doctoral Dissertation**

### General Description

There are two major phases of the doctoral program: (1) competency work, and (2) dissertation—selecting a committee, choosing a topic, writing a proposal, researching and writing the dissertation, and defending the dissertation.

The dissertation and the competencies may be worked on concurrently or the comprehensive evaluation (portfolio presentation) may precede the dissertation phase. The defense of the portfolio needs to include either the dissertation or research projects demonstrating research competencies.

## Content and Purpose

Dissertations must . . .

- reveal familiarity with the literature pertinent to the dissertation;
- demonstrate the participants competence to conduct independent research; and,
- present a logically organized and readable account of the investigation, its findings, conclusions, and implications.

Dissertations should focus on a clearly defined problem of strong importance to the profession and employ well-planned and executed, acceptable research techniques.

## Dissertation Credits

All registration of dissertation credits must be approved by the Dissertation Chair. Participants will register for a total of 16 dissertation credits, two of which are in proposal development (EDRM 880), prior to graduation. Registration for two dissertation credits (LEAD 899) is allowed prior to signed approval of a dissertation topic. Once the topic is approved, registration is allowed for an additional four dissertation credits prior to an approved proposal. Registration beyond the initial six dissertation credits may follow once the proposal is signed and approved by the dissertation committee.

## Dissertation 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 take place simultaneously. However, many participants select a topic before approaching faculty members to be on the committee, while many others approach faculty first and together select a topic. Discussing ideas for potential dissertation topics with several faculty members helps in selecting a topic and in choosing a committee. As ideas about topics and committee members crystalize, it is important to discuss them with the advisor. However, if a participant prefers to approach faculty members having already selected a topic, it is wise to treat the topic as negotiable in its details and to consider other topics that might be recommended. The final topic is usually a result of much discussion between participant and committee.

## Dissertation Committee Composition

The dissertation committee consists of a minimum of three members including the chair. The chair must be from the School of Education. A second member is to be selected from the School of Education. A third member can be from the wider campus at Andrews University or by petition to be added from another institution.\* (Voted in the School of Education, April 1, 2003.) The selection of the members should take into consideration the content area of the dissertation and the methodology to be used. The chair of the dissertation committee carries the primary responsibility for guiding the participant through the dissertation and is the person with whom the participant works most closely.

\*Selection of a member outside of Andrews University must be petitioned and approved by the department, Graduate Programs Office, and Graduate Dean.

## Dissertation Topic

Regional groups provide the forum for thinking about a dissertation topic (Figure 2). The dissertation topic must be related to the field of specialized study and to an area of academic strength in which the participant can conduct research responsibly. Also, the topic must be one where the Andrews University resources are available to support the research, such as faculty guidance, library holdings (or access to relevant documents), and laboratory facilities. These will be the criteria employed by the committee in considering approval of a topic.

After each member of the committee has agreed to serve, a formal statement of the dissertation topic must be prepared for the committee. The committee chair is then consulted for the presentation format appropriate to the proposed research. Regardless of its nature, the topic proposal should include: the nature of the topic, the problem, its importance to the researcher, references to literature, and a brief statement about the proposed methodology to be used in the research. After sharing this brief statement, one to four pages, with the committee chair, and making the necessary revisions, the participant will present the statement to the other committee members and request that the committee chair call a meeting to consider approval of the topic. The flow of the process is illustrated in figure 2.

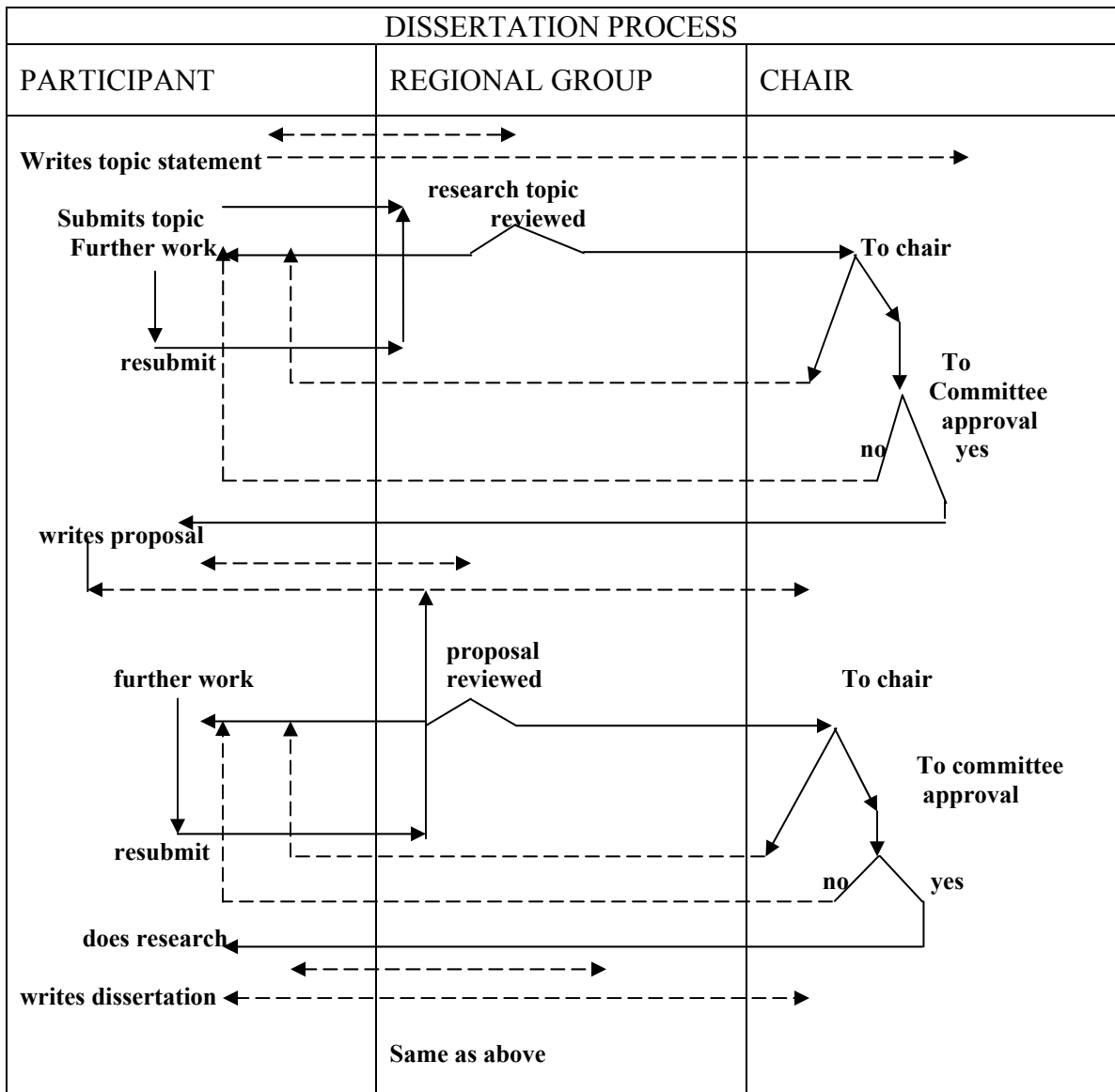


Figure 2. Dissertation Process

The broken line represents continuous connection between participant and advisor, whereas the unbroken line represents a flow of activities.

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

Participants who have selected a topic and demonstrated to the Chair that they have the competency to research the topic using the method indicated, must fill out the "Request for Doctoral Dissertation Committee and Topic Approval" form.

On this form the chair will document the participant's ability to conduct the kind of research proposed. This may require a formal or informal presentation of the documentation of competency. When the committee meets and approves, the members

sign the "Request for Doctoral Dissertation Committee and Topic Approval" form (see Appendix IV) and submit it to the appropriate department chair/coordinator and the Graduate Programs Office for approval.

### After Topic Approval

Only after approval of the topic is a participant ready to begin the dissertation proposal. The proposal must be finished and accepted before formal work on the dissertation begins.

## **Dissertation Proposal**

### Purpose of Dissertation Proposal

Approval of the dissertation proposal indicates that the topic and the procedures for investigating it are appropriate and it authorizes the participant to begin writing the dissertation. Clearance from the committee chair and the approval of the Institutional Review Board must precede the collection of data.

### Format

In both the proposal and the dissertation, written work must follow the latest edition of the Andrews University *Standards for Written Work*. These are available at: <http://www.andrews.edu/GRAD/>. Written work must meet APA (American Psychological Association) standards or some other standard approved by the committee. If there is a difference between the selected standard and the Andrews University *Standards for Written Work*, the selected standard is to be followed.

### Content

The items to include and the location of the items within sections may vary, but the following are normally included in a research proposal:

- A. The Problem
  1. Introduction and background of the problem
  2. Statement of the problem
  3. Purpose of the study
  4. Research questions or objectives/hypotheses and sub-hypotheses
  5. Rationale for the study
  6. Theoretical/conceptual framework
  7. Significance/importance of the study
  8. Definition of terms
  9. Assumptions
  10. General methodology
  11. Limitations and /or delimitations of the study
  12. Summary
  13. Outline of the remainder of the proposal



B. Review of Literature

A brief overview and description of representative literature related to the topic should be included. 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. The committee may want to know the proposed search strategy to be used in the various databases, as well as the key words that will be used.

C. Methodology

Research methods vary depending on the nature of the study, for example, historical, philosophical, and developmental studies each have their own unique requirements. The following is a list of the most common elements included in the methodology for education research:

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 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 instrument development, including procedures for showing validity and reliability.
4. Pilot studies
5. Procedures
  - a. Field, classroom, or laboratory procedures
  - b. Data collection and recording
  - c. Null hypotheses, data processing, and data analysis

Preparation of the 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: identification of the research problem, representative literature sources already consulted and those to be further researched, and a presentation of the research methodology.

B. Editorial Assistance

Participants may engage a copy editor. The copy editor may assist with grammar, syntax, and format; however, they are not to take responsibility for the content.

### C. Committee Involvement

All drafts are to be submitted to the committee chair for evaluation and comment. After the Chair has given approval, the draft may be shared with the other members of the committee.

When both the committee chair and the members of the committee have evaluated the proposal, the participant can request that the Chair call the committee for formal consideration of the proposal

#### Call of the Committee for the Proposal

The participant must furnish one copy of the dissertation proposal to the committee chair and each committee member. The committee, in formal, face-to-face meeting, discusses the proposal and questions the participant on any parts they believe may need revision. In executive session, the committee will then discuss whether or not they will give approval to the proposal. The participant may or may not be invited to remain for the executive session. The committee's acceptance of the proposal is indicated on the "Report of the Student's Dissertation Committee" form (See Appendix IV). All members of the committee, the department chair/coordinator, and the Graduate Programs Office must sign this form. Attach a copy of the proposal.

#### The Role of the Dissertation Secretary

The Dissertation Secretary is responsible for assuring conformity to the University's *Standards for Written Work*. When participants first begin writing, they should have a brief visit with the Dissertation Secretary or a consultation via e-mail at ([proctorb@andrews.edu](mailto:proctorb@andrews.edu)). This will alert the participant as to possible problems. In addition, Andrews University's web site provides directions for preparing the dissertation in Word Perfect and Microsoft Word, as well as a four-page document highlighting specific concerns regarding APA ([www.andrews.edu/GRAD/](http://www.andrews.edu/GRAD/) resources). The entire *Standards for Written Work* may be downloaded from the Andrews University's web site.

Given that each participant and dissertation committee is faced with various time constraints and deadlines, and differ in nature and makeup, two tracks are provided to ensure that the dissertation is approved by the Dissertation Secretary before a defense is set:

#### Track One

At least four weeks before pre-defense, the participant submits a complete dissertation to the Dissertation Secretary, after which the participant makes the required changes. The participant then provides each of the committee members with the *new corrected* document for the pre-defense. If the required changes from the Dissertation Secretary were extensive, a corrected version must be submitted to the Dissertation Secretary for further review. At this point, no further major changes to the document are anticipated.

#### Track Two

Sometimes, it is advisable for the participant, because of time constraints, to submit the dissertation to the Dissertation Secretary on a chapter-by-chapter basis as each chapter is

approved by the committee. This is especially true between the months of March and July when many participants are preparing to defend. Ultimately, the document format needs to be approved by the Dissertation Secretary.

### Ready for Defense

When the dissertation *content, format, and style* have been approved by the committee and the Dissertation Secretary, then an external examiner may be secured and sent a copy of the dissertation. At this point, a dissertation defense date may be set.

### Dissertation Continuation

Participants who have registered for all 16 credits and are still working on the dissertation, should register for LEAD888 Dissertation Continuation status, which indicates full time status. Participants who have not registered for all 16 dissertation credits may not register for LEAD888. Dissertation Continuation requires a nominal semester fee.

### Course Load Equivalency for Dissertation

If U.S. government agencies or sponsors require a full course load to qualify for continued benefits, and the participant must register for dissertation or dissertation continuation. Academic Records may prepare a letter or statement concerning the full-time status.

## **Oral Defense of Dissertation**

### Purpose

The dissertation defense is indicated to test the participant's ability to defend the concepts and data of the dissertation and to give the participant an opportunity to show an understanding of the larger context in which the dissertation lies.

### Scheduling

The last permissible defense date is four weeks before graduation. The School of Education reserves the right to schedule defenses according to available time and faculty availability. It is advisable to defend during the semester before graduation if possible. If, however, it is necessary to defend the same semester as graduation, it is imperative that the participant be familiar with the *Graduation Countdown Chart*. Contact the Secretary of Graduate Programs for the most current copy.

Before finalizing the defense date, the committee must meet and vote the dissertation as "ready to defend" which means no further changes are anticipated. This is a crucial meeting. The meeting must convene no later than two weeks before the proposed defense date.

### Defense Examining Committee

The dissertation committee and external examiner compose the defense examining committee. The external examiner is chosen by the Dean of the School of Education in accordance with the policy of the Graduate School. The Dean usually consults with the chair in making such a selection. Under no circumstances is the participant to dialogue with the external examiner prior to defense.

### Observers at the Defense

The Deans of the School of Education and the School of Graduate Studies or their appointees may also attend. The Graduate Programs Office permits observers at the defense upon request.

### Procedures for Defense

Normally two 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.

The School of Education Dean or the Dean of Graduate Studies, or their appointee, will chair the defense which usually consists of three rounds of questions. After questioning, the candidate and observers leave and the committee convenes in executive session.

### Acceptance or Rejection

At the Oral Defense of the dissertation the examining committee will determine the participants ability to defend the dissertation document. The vote taken will be either (1) to approve the defense, (2) to approve with changes, or (3) reject the defense with the opportunity for another defense (4) reject the defense with no further opportunity for defense. The vote is recorded on the appropriate form.

### Final Dissertation Manuscript Preparation

Following the defense and prior to publication, the dissertation is to be submitted in the form outlined in the *University Standards for Written Work* to the Dissertation Secretary (see previous section on the role of the Dissertation Secretary).

## **Comprehensive Evaluation**

### Philosophy of the Assessment Process

“Assessment is an ongoing process aimed at understanding and improving student learning. It involves making our expectations explicit and public; setting appropriate criteria and high standards for learning quality; systematically gathering, analyzing, and interpreting evidence to determine how well performance matches those expectations and standards; and using the resulting information to document, explain, and improve performance. When it is embedded effectively within larger institutional systems, assessment can help us focus our collective attention, examine our assumptions, and create a shared academic culture dedicated to assuring and improving the quality of

higher education” Angelo (1995). *Reassessing (and defining) assessment*. (The AAHE Bulletin, 48 (2), p. 8.).

### The Evaluation

The comprehensive evaluation occurs through both written and oral approaches. It encompasses an assessment of the participant’s knowledge base and skills in all required competency areas. Sustained conversation with the faculty along with regular input from the regional group members and the Program Team assess and assure growth throughout the program. The process of evaluation culminates in the final sign-off and oral presentation of the portfolio and synthesis paper.

### Purpose

The purpose of the comprehensive evaluation is to evaluate:

- Expertise in each competency area
- The inclusion of material specified in the IDP, overall completeness and quality of the portfolio
- The participant’s growth as a competent professional throughout the program.

## **The Portfolio**

The Portfolio is a peer-and-self assessment process that results in a collection of carefully chosen items to portray the development of a leader’s competency.

Characteristics of a Portfolio:

- May be organized around competencies or projects.
- Gives substantive, meaningful and appropriate evidence for each competency.
- Identifies three competencies that are exemplary (star competencies) for the PhD and two for the MA.
- Includes an introduction, table of contents, an explanation of the context of the artifact(s), and an explanation as to why they were chosen for inclusion.
- Contains artifacts of three major types for each competency:
  - 1) Self-produced Materials: books, articles, lesson plans, reports, program evaluations, seminar materials, marketing materials, budgets, financial statements, agendas, minutes, proposals and other similar items.
  - 2) Feedback from Others: evaluations, recommendations, letters, peer reviews, and student evaluations.
  - 3) Self Reflections: essays that describe personal growth and the practical application of competency and theoretical knowledge bases supporting the competency. Some stems to facilitate reflection might be:

- ✓ This artifact demonstrates my competency because . . .
- ✓ This artifact is meaningful to me because . . .
- ✓ This artifact shows my understanding and application of . . .
- ✓ A question or plan of action I plan to pursue as a result of this experience/artifact is . . .

- Reviewed by regional group/learning community.

### Synthesis Paper

The synthesis paper is a reflective summary submitted at the end of the program which summarizes competency development and describes experience in the program. It integrates the competencies into a unique whole that captures conceptually what Leadership means. It must be:

- reviewed and signed-off by program team before portfolio presentation;
- approximately 20 pages long; and,
- submitted no later than two weeks before the portfolio presentation.

### Oral Component

The oral component consists of a successful oral portfolio presentation demonstrating achievement of the program competencies and the fielding of questions in demonstration of competency in all required areas, as well as integrating the Leadership competencies.

### Approval Process

The power of the portfolio process resides in the fact that it is a “process”. Over the entire duration of the program, the participant will be actively involved in developing and demonstrating competencies. Regional group members provide feedback and sign off each competency before or at the same time as the Program Team reviews and approves the documents. This process involves a conversation that helps to strengthen documentation and competency in each area.

Learning to evaluate and give feedback for another person’s competency is at the heart of the learning activities. Some peer response starters may be:

- This artifact helps me understand . . .
- A question in my mind is . . .
- I find this artifact particularly meaningful because . . .
- This artifact extends and clarifies my own understanding of . . .
- These artifacts demonstrate “star” competency because . . .

After regional group/learning community approval, advisors evaluate each competency, give feedback, and sign off each competency before the other team members. The flow of the process is illustrated in figure 3.

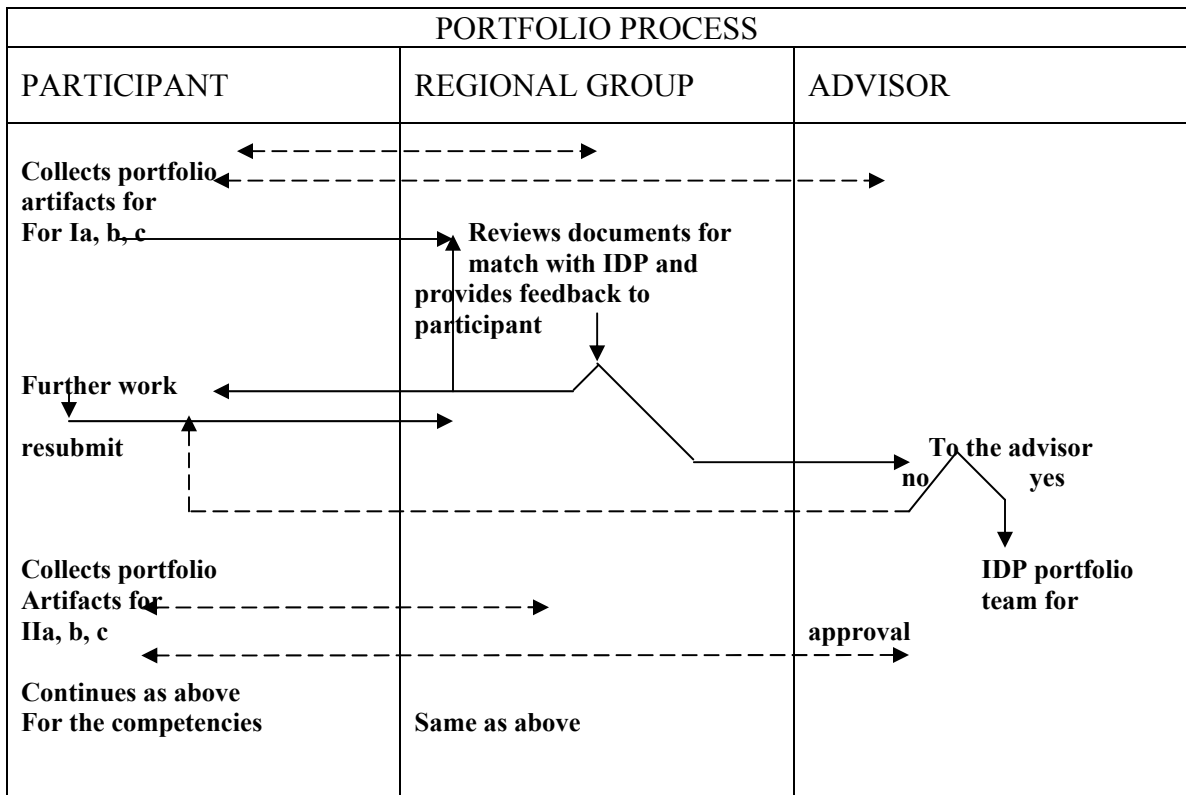


Figure 3. Portfolio Process

The broken line represents continuous connection between participant and advisor, whereas the unbroken line represents a flow of activities.

### Application Process for Summative Presentation of Portfolio

- Advisors recommend to the faculty when participants are ready to demonstrate fulfillment of program competencies.
- All coursework is completed including clearing Incompletes and Deferred Grades.
- The “Readiness to Present Portfolio” form must be completed and submitted at least two weeks in advance of the scheduled presentation. This form is available electronically on the Leadership website:  
<http://www.andrews.edu/leaderpart/services.asp>.
- A written synthesis paper is to be attached to the “Readiness to Present Portfolio” form, also available electronically on the Leadership website.
- Scheduling of the presentation will be coordinated by the advisor and the program secretary.
- The presentation may be “open” where an announcement is made inviting other Leadership or School of Education participants to observe or it may be a “closed” presentation where only the IDP Program Team is present. In either an open or closed presentation, a graduate or School of Education representative may be present.
- All MA, EdD. or PhD required competencies are defended as a whole.

## The Portfolio Presentation

The final portfolio presentation and defense follow these general guidelines:

- A two to two and one-half hour presentation by the participant in which evidence of proficiency is demonstrated.
- The format is left up to the participant and the Program Team.

# *Other Program Issues*

## **Active/Inactive Status**

### Maintaining Active Status

To maintain active status in the Leadership program the participant must:

- make appropriate progress in fulfilling the IDP;
- meet regularly with a regional group, but at least seven times per year;
- maintain contact with the advisor;
- attend the summer Leadership Conference;
- participate in online discussions;
- meet financial obligations to the university; and,
- maintain employment throughout the program.

### Dissertation Continuation Status

Participants who have previously registered for all 16 dissertation credits and are still working on the dissertation, should register for LEAD 888 Dissertation Continuation status, which indicates full-time status. Participants who have not registered for all 16 dissertation credits may not register for LEAD 888. Dissertation Continuation requires a nominal semester fee.

### Leadership Continuation

Participants may register for Leadership Continuation (LEAD 650 for 0 credits) during those times when they wish to focus on clearing DG's. While registering for Leadership Continuation, they will be considered a full-time student. Registration for Leadership Continuation is subject to the advisor's approval.

### Definition of Inactive Status

When a participant becomes inactive, the special relationship with their program advisor, dissertation committee, or both is suspended. New or currently active doctoral participants will be given preference regarding advisor availability. In addition, the participant's payment plan is suspended and new charges will not be added. The participant on inactive status may attend regional group meetings but will not remain on



the leadall listserve or have access to Leadership WebCT forums involving chatrooms and online education experiences.

### Conditions for Voluntary Inactive Status

One or more of the following may constitute the voluntary inactive status:

- Special circumstances making it impossible for the participant to continue actively in the program, but they intend to resume active progress in the program as soon as circumstances allow.
- The participant prefers to suspend payments while unable to commit adequate time to the Leadership program.

### Conditions for Involuntary Inactive Status

One or more of the following may constitute involuntary inactive status:

- The participant is not making satisfactory progress toward completion of the degree (as determined by the Leadership faculty).
- The participant has an unexcused absence from the annual Leadership Conference.
- The participant is unable to meet the financial obligations of the program or to make satisfactory arrangements with the Student Finance Office.
- The participant is not active in the regional group.

### Reactivation

The following steps must be taken as part of the reactivation process:

- The participant must submit a written request for reactivation to the Leadership program coordinator, including a verification of employment and timeline indicating a plan for completion of the program. This plan must include the following:
  - 1) Attendance at the annual conference.
  - 2) Attendance at regional group meetings.
  - 3) Completion of the portfolio.
  - 4) Completion of the dissertation.

A participant who does not have an approved IDP must also submit a draft for approval as part of the request for reactivation.

- The participant will receive a response-of-reactivation approval or nonapproval. New or currently active participants will be given preference regarding advisor availability. If approved for reactivation, the participant will be charged the tuition rate in effect at the time of reactivation and must meet the requirements of the *Andews University Bulletin* and *Leadership Handbook* in effect at the time of reactivation.

## Conditions for Withdrawal

Withdrawal from the Leadership program is appropriate if the participant does not plan to reactivate or has determined that the program does not serve his or her needs. In order to withdraw from the Leadership program, the participant must submit a written notice of intent to the Leadership Program Office.

## **Time Limitations**

### Suggested Time frame for the Master's Degree

The competency-based design of the leadership program is somewhat unique in higher education, especially as it impacts faculty workload and program budgeting. In order to assure the university of program viability, leadership participants are expected to use a three-year time frame. During this time participants register for 36 credits for their course of study. The Andrews University credits taken toward the master's degree constitute at least 80% of the requirements for the degree. Along the way there are three check points where participants will be evaluated by the faculty as to their progress in the program to allow them to continue as regular participants or be moved to inactive status. During each semester of the first three years, participants register for 4 semester credits. The cycle starts with the orientation (LEAD630: Leadership Seminar-4cr), and is followed in the fall semester with LEAD635: Individual Development Plan (4 credits). The following three semesters participants should register for the required 2 credit module plus a 2 credit module of their choice to continue satisfactory progress in the program. Counting the semester of the leadership orientation as the first semester, the three check points are the following:

*Checkpoint 1:* At the end of the second semester of year one, following the orientation, participants must have an approved IDP. This should be reviewed at the beginning of the second semester by the regional group and submitted to the advisor shortly thereafter. Participants will have completed 8 credits by then.

*Checkpoint 2:* At the end of the second semester of year two, participants must have completed the three required leadership course modules (or fulfilled their requirements in some other way) and have registered for an additional three 2-credit self-selected/designed modules.\* Participants will have completed a total of 20 credits by that time.

*Checkpoint 3:* During year three, participants register for two additional self-designed semester modules\* of four credits. They are moving towards a preliminary portfolio evaluation.

This time frame can be compressed by participants who wish to progress more rapidly, after approval of the IDP and in consultation with their advisor. However, the M.A. participant must complete program within six years of the acceptance date into the program.

Year	Semester 1	Semester 2	Chk point	Semester 3	Credits
<b>one</b>	Orientation (4 cr) LEAD 630: Leadership Seminar	IDP LEAD 635 (4 cr)	<b>1</b>	Module #1 LEAD 636: Leadership Foundations (2 cr) + 2cr*	12
<b>two</b>	Module #2 LEAD 637: Issues in Research (2 cr) + 2cr* = 4 cr	Module #3 LEAD 638: Leadership Theory (2 cr) + 2 cr* = 4cr	<b>2</b>	4 credits*	12
<b>three</b>	4 credits* LEAD 698 Proposal for research topic to begin now	4 credits*	<b>3</b>	4 credits*	12

*Note.* Self-designed/selected modules are to be listed by participants in part 3 of the IDP and should include the research project.

### Suggested Time Frame for EdD and PhD

The leadership program envisions most participants to move along a five-year time frame. During this time participants register for a minimum of 32 credits for their course of study and 16 credits for the dissertation (two of which are proposal development) for a total of 48 semester credits. Each semester, participants register for credits as outlined in the table below. Along the way there are five check points where participants will be evaluated by the faculty as to their progress in the program. At that time, the faculty may allow the participant to continue as regular participants or be moved to inactive status during which the participant is not charged tuition, but is removed from the advisor's list. To reactivate, a participant will have to reapply to the Leadership faculty.

*Check point 1:* At the end of the second semester of year one, orientation is considered semester one, participants must have developed an IDP that has been reviewed by their regional group, and received final approval by their committee. At that time they will have registered for a total of eight semester credits.

*Check point 2:* At the end of the second semester of year two, they must have completed the three required leadership course modules (or fulfilled their requirements in some other way) and have registered for an additional three 2-credit experiences for a total of 20 credits.

*Check point 3:* At the end of the second semester of year three, participants have registered for a total of 32 credits and are moving towards a preliminary portfolio evaluation and dissertation topic approval at the latest by the following semester, and an approved dissertation proposal.

*Check points 4 and 5:* During year four the candidate works on the dissertation; during year five, appropriate preparations are made for the dissertation defense and the portfolio presentation; at the end of the third semester of year five, the candidate has defended the dissertation and the portfolio and graduated from the Leadership Program.

<b>Year</b>	<b>Semester 1</b>	<b>Semester 2</b>	<b>Chk point</b>	<b>Semester 3</b>	<b>Chk point</b>	<b>Credits</b>
<b>one</b>	Orientation (4 cr)	IDP (4 cr)	<b>1</b>	Module #1 LEAD 636: Leadership Foundations (2 cr) + 2cr*		12
<b>two</b>	Module #2 LEAD 637: Issues in Research (2 cr) + 2cr* = 4	Module #2 LEAD 638: Leadership Theory (2cr) + 2cr* = 4	<b>2</b>	4 credits*		12
<b>three</b>	4 cr*	2 cr*+ Diss. topic 2cr	<b>3</b>	2 cr*+ Diss. topic 2cr		12
<b>four</b>	Proposal 2 cr	Diss. 2 cr	<b>4</b>	Diss. 2 cr		6
<b>five</b>	Diss. 2 cr	Diss. 2 cr		Diss. defense 2 cr Portfolio	<b>5</b>	6

Note. Self-designed/selected modules are listed by participants in part three of the IDP. This time frame can be compressed by participants who wish to progress more rapidly, after approval of the IDP and in consultation with their advisor. However, according to Andrews policy, the participant must meet all requirements within a total of 10 years from initial registration after acceptance.

## **Registration & Loan Deferment**

Enrollment is necessary to get loan deferment or to fulfill loan status. Documentation for full-time status for any given semester in the Leadership program may be obtained in either of two ways:

- 1) Registering for four or more credits. (For most graduate loans, registering half-time for four credits will defer the loan. Check with your loan company and Financial Aid to be sure.) If a participant registers for fewer than 4 credits, he or she may register for LEAD 650 (Leadership Continuation).
- 2) Submitting a Full-time Status Request form. To use this form, the participant must register for LEAD 899 (Dissertation Credit), LEAD 888 (Dissertation Continuation), LEAD 886 (Internship), or LEAD 650

(Leadership Continuation) and clock at least 360 hours per semester (24 hours a week) or 720 hours per year (360 hours per semester for three semesters.)

Forms are available from the Graduate Programs Office or the Leadership Office. Upon request the Leadership office may submit a letter verifying full-time status to the Financial Aid office.



## **Residence Requirements for the EdD and PhD**

Residence requirements may be fulfilled by one of the following two options:

One is the completion of the following items by the end of the participant's fourth semester in the program.

- An approved IDP.
- A minimum of 16 of the required 32 credits.
- LEAD 630: Leadership Seminar and LEAD 635: Individual Development Plan.
- LEAD 636: Issues in Leadership Foundations, LEAD 637: Issues in Research, and LEAD 638: Issues in Leadership Theory.
- Be on regular admission status.
- Actively participate via e mail.
- Regularly attend regional and learning groups.

The second option is through the registration process. A participant must register as a half-time student (four graduate credits) for two consecutive semesters after admission. A participant who has registered for fewer than four credits may register for LEAD 650: Leadership Continuation for 0 credits to maintain full-time status.

## **Advancement to Degree Candidacy**

Advancement to Degree Candidacy means that a participant has demonstrated the ability to participate in the Leadership program and is, through annual review, judged by the

faculty to be a viable candidate for completion of the Leadership degree. The Leadership Program Office will automatically fill out the Request for Advancement to Candidacy form.

EdD and PhD participants must be advanced to candidacy before they defend a dissertation or present a portfolio. Until a participant has been advanced to candidacy, it is possible for him/her to be terminated from the program or transferred into a terminal master degree track. When advanced to candidacy, a participant is still subject to the time limitations of the program and all other program requirements.

In order to be eligible for Advancement to Degree Candidacy, the participant must

- Have an approved IDP
- Have cleared any Deferred Grades
- Be on regular status
- Have maintained a cumulative grade-point average of 3.3 or higher
- Have completed at least 24 of the required 32 non-dissertation credits for the EdD and PhD.

## **Standards of Scholarship**

### IDP and Portfolio

The participant must satisfactorily fulfill the credits outlined in the approved IDP and present the portfolio successfully.

### APA Standards

All written work must conform to APA standards and AU Standards for Written Work. See Student Resources on this website: <http://www.andrews.edu/GRAD/>

### Grade-Point Average

To remain in the program, the participant must maintain an overall grade-point average of 3.30. No grade of D or F may count toward a degree. If the participant repeats a course, both grades affect the grade-point average. After acceptance into the doctoral program, earning more than three grades below a B, including any grades of *Unsatisfactory*, may result in suspended enrollment.

### Annual Evaluation

An annual evaluation takes place every spring for all participants. At this time, Leadership faculty determine each participant's progress in the program. Any concerns are brought to the attention of the participant at that time.

### Academic Probation

If the participant's cumulative grade-point average in doctoral work at Andrews University drops below 3.30 in any given semester after the completion of 16 credits, he or she will be placed on academic probation. The participant and the advisor must

develop a plan to raise the grade-point average above 3.30 within the subsequent semester. The Director of Graduate Programs must approve this plan.

When the cumulative grade-point average reaches 3.30, the Director of Graduate Programs reinstates the participant to regular status. However, if the participant has not reached the minimum grade-point average within the time limit stated in the approved plan, the participant may be dropped from the program.

A participant on academic probation may not register for dissertation, independent study, or workshop credits, advance to degree candidacy, or present his or her portfolio for comprehensive evaluation.

## **Transfer of Credits**

### Transfer Credits to an MA

The Andrews University credits taken toward the Master's degree constitute at least 80% of the requirements for the degree.

### Transfer Credits to an EdD. or PhD

Up to 42 qualifying graduate semester credits will count towards the total 90 credits and may be transferred into the Leadership doctoral program. To qualify, credits must be from an accredited university and grades must be B (3.0) or higher.

**Credits earned *before* acceptance into the doctoral program.** In order to request that qualifying graduate credits be transferred, the participant must submit a Transfer Petition Request to the Graduate Programs Office. Staff at the Leadership Program Office will automatically fill out this form from available admission transcripts. It is the participant's responsibility, however, to provide official transcripts and to check with the Leadership Program Office to confirm that all intended transfer credits are included.

**Credits earned *after* acceptance into the doctoral program.** Participants who wish to obtain transfer credit from another university after acceptance into the Leadership doctoral program must petition for the approval of such credits *before* taking the courses intended to be transferred. To do so, the participant must provide a copy of the description of the course (a course outline is helpful), submit it with a Graduate Petition Form to his or her advisor, the Leadership Program Coordinator and the Director of Graduate Programs for approval. These credits must be included as part of the 42 semester transfer credits. They may not count as part of the required 32 non-dissertation credits.

## **Transfer of Degree Programs**

### From One Doctoral Degree to Another Within a Given Program

To transfer between EdD and PhD degrees within the same program, the participant may submit a petition to the Graduate Educational Programs Committee prior to the topic approval of the dissertation. The IDP must be adjusted accordingly and the original schedule for completing the program must be maintained that is, transferring from one program to another does not allow more time for the program's completion (See section on Time Frames).

### Between Programs

To transfer from another doctoral program to Leadership, the participant must submit a new application to Leadership faculty and to the Graduate Educational Programs Committee.

## **Bulletin Requirements & Responsibility**

The *Andrews University Bulletin* covers general questions about academic policies, and each participant is responsible for becoming familiar with regulations governing such matters. Although the policies of the *Bulletin* carry the weight of faculty action, practice, and precedent, special circumstances occasionally may suggest an exception. The petition process handles such circumstances through the office of the Director of Graduate Programs.

Participants may choose to meet the requirements of any *Bulletin* published after acceptance into the doctoral program, as long as they maintain active status (see Inactive Status). A break in enrollment may result in being placed on inactive status. In order to reactivate, the requirements must be met as listed in a *Bulletin* in effect when re-enrollment resumes.

## **Services for Students With Disabilities**

The Leadership Program, as part of Andrews University, accepts and appreciates diversity in its participants, including participants with disabilities. Accordingly, qualified participants are encouraged to inform the university and the Leadership office of their disability and enter into a dialogue regarding ways in which the program might reasonably accommodate them.

## **Student Appeal Process**

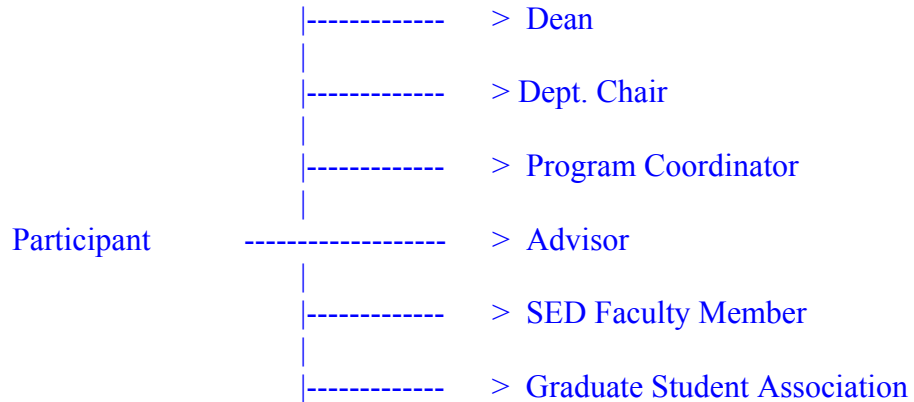
Participants who find themselves in conflict with or questioning any practice, decision and/or policy that, in their minds, impacts upon them adversely, they may discuss the matter with responsible School of Education personnel in an attempt to have the situation considered, improved or settled. The nature of the conflict will, in part, determine the



procedure to follow. Fundamental to any procedure, however, is the basic commitment to Christian principles.

### Conflict With Policy in General

When a question arises in regards to an established policy, participants may discuss it with their adviser, department chair, program coordinator, the Dean, and/or any faculty member; or direct the question to the Graduate Student Association for general discussion by other students.



### Conflict With Policy in Particular

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

Participant----> Advisor ----> Program Coordinator ----> Dept Chair----> Dean

If the participant cannot get the advisor to support the petition, it should be discussed next with the department chair. At this point, a petition may be filed seeking a waiver or the chair may intervene by bringing the matter to the Dean's Administrative Council.

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

OR

Participant ----> Dept Chair ----> DAC ----> Appropriate resource

Or, if neither of the above protocols brings satisfactory resolution to the problem, the matter may be brought to the Dean of the School of Education. If the Dean cannot settle the situation, the matter may be referred to the School of Education Graduate and Undergraduate Academic Policies and Curricula Committee.

Participant ----> Dean

OR

Participant ----> Dean ----> AP & CC

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

Participant ----> University Ombudsman

OR

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

### Conflict With a Faculty Member Over a Practice

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

Participant----> Faculty Member

When participants feel that the procedure may, in itself, affect them adversely, they should contact their advisor who may then mediate on their behalf.

Participant ---> Advisor ---> Program Coordinator ---> Dept Chair ---> Faculty Member

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

Participant ----> Dean ----> Faculty Member

In those rare instances when a participant considers all of the above procedures to be intimidating or it fails to bring relief, the problem may be brought to the University Ombudsman.

Participant ----> University Ombudsman ----> Appropriate Personnel

In those extreme instances when none of the above procedures bring satisfactory resolution to the problem, the participant then has the right to bring the matter to the President of the University. The president's decision is final in this type of conflict.

Participant ----> President

## **Graduation Procedures**

### Applications for Graduation

It is the responsibility of the participant to obtain and file an "Application for Graduation" request with the Records Office. The last possible date for filing for May graduation is in mid January and for August graduation in mid May (see the *Academic Calendar* for specific dates).

### Completion of Program Requirements

Participants planning to graduate, 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.

## **Graduation Ceremony**

### Graduation Gown

There are several options to choose from:

- The regular black one-tripper gown can be purchased at the Bookstore. This gown is made of a shear/flimsy material with a black mortar board hat. The tassel is yellow.
- Special order the custom made doctoral regalia (made just for Andrews University) for about \$1000 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 with gold and an 8-sided velvet tam with admiral blue head band.
- The School of Education has a few gowns to rent. Check with the Secretary of Graduate Programs as soon as possible because the gowns are available on a first come, first serve basis.
- Borrow a gown from a previous Andrews University graduate.

### Announcements/Name Cards

Announcements and name cards may be purchased through the Andrews University Bookstore. Personalized and generic announcements are available. For more information call 269-471-3287.

## **Lodging**

Anyone needing to arrange for a place to stay, may call 269-471-6602 or 269-471-3397 to reserve a room on campus. Space is limited so housing arrangements need to be made as soon as possible.

## **Graduation Schedule**

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

### Conferral of Degree

Degrees are awarded after participants complete 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.

### Graduation in Absentia

Participants may graduate in absentia by indicating their request to the Records Office.

# *Appendices*

## Appendix I: Sample Courseplans

### Leadership Masters Course Plan

**Name: Jane Doe**

**Cohort: 2002**

AUID: 000012345

Term	Course	Topic	Instructor	Cr	Lvl	Grade
<b>Minimum Requirement at AU after admission to Master of Arts Program 36 credits</b>						
[Must include: (1) LEAD630 Leadership Seminar, 4 cr AND (2) LEAD635 Individual Development Plan, 2cr AND (3) LEAD636 Issues in Leadership Foundations, 2cr AND (4) LEAD637 Issues in Research, 2cr (5) LEAD 638 Issues in Leadership Theory , 2 cr and (6) 4 credits should be in research						
Sm 02	LEAD630	Leadership Seminar	Faculty Name	4.00		S
F 02	LEAD635	Individual Development Plan	Faculty Name	4.00		A
Sp 03	LEAD636	Issues in Leadership Foundations	Faculty Name	2.00		A
Sp 03	Select credits from below or course		Faculty Name	3.00		
Sm 03	LEAD637	Issues in Research	Faculty Name	2.00		
Sm 03	Select credits from below or course		Faculty Name	3.00	**	
F 03	LEAD638	Issues in Leadership Theory	Faculty Name	2.00		
F 03	Select credits from below or course		Faculty Name	3.00		
Sp 04	Select credits from below or course		Faculty Name	3.00	**	
Sp 04	Select credits from below or course		Faculty Name	3.00	**	
<b>Research Credits</b>						
Sm 04	MA Research Project					
<b>Minimum Requirement at AU after admission to Master of Arts Program 36 credits</b>				<b>32.00</b>		

#### ***Leadership Credits***

LEAD630 Leadership Seminar (2-4 cr)	LEAD650 Leadership Program Continuation (0 cr)
LEAD635 Individual Development Plan (4 cr)	LEAD680 Fieldwork (1-12 cr)
LEAD636 Issues in Leadership Foundations (2 cr)	LEAD689 Seminar (1-12 cr)
LEAD637 Issues in Research (2 cr)	LEAD690 Independent Study (1-12 cr)
LEAD638 Issues in Leadership Theory (2 cr)	LEAD698 MA Research Project (3 cr)
LEAD648 Workshop (1-12 cr)	LEAD675 Portfolio Development (1-12 cr)

# Leadership Doctoral Course Plan

Name: Jane Doe

Cohort: 2002

AUID: 000012345

Term	Course	Topic	Instructor	Cr	Lvl	Grade
<b>Minimum Requirement at AU after admission to Doctoral Program 34 credits</b>						
Must include: (1) LEAD630 Leadership Seminar, 4 cr AND (2) LEAD635 Individual Development Plan, 2cr AND (3) LEAD636 Issues in Leadership Foundations, 2cr AND (4) LEAD637 Issues in Research, 2cr (5) LEAD 638 Issues in Leadership Theory , 2 cr AND (5) **At least 6 cr of coursework 700+ level.] Must include EDRM880, which counts as 2 dissertation credits.						
Sm 02	LEAD630	Leadership Seminar	Faculty Name	4.00		S
F 02	LEAD635	Individual Development Plan	Faculty Name	4.00		A
Sp 03	LEAD636	Issues in Leadership Foundations	Faculty Name	2.00		A
Sp 03	Select credits from below or course		Faculty Name	2.00		
Sm 03	LEAD637	Issues in Research	Faculty Name	2.00		
Sm 03	Select credits from below or course		Faculty Name	4.00	**	
F 03	LEAD638	Issues in Leadership Theory	Faculty Name	2.00		
F 03	Select credits from below or course		Faculty Name	4.00		
Sp 04	Select credits from below or course		Faculty Name	2.00	**	
<b>Research Credits</b>						
Sm 04	Potentially Statistics or Qualitative	In consultation with advisor		3.00		
Sm 04	EDRM880	Proposal Development		2.00		
Minimum Requirement at AU after admission to Master of Arts Program 36 credits				<b>34.00</b>		
<b>Graduate Credits from Another University (up to 42 credits; must have a grade of B or above)</b>						
Sp 04	Select credits from transcript			42.00		
Graduate Credits from Another University				<b>42.00</b>		
<b>Total Coursework [must be at least 76 credits] – can add additional Leadership credits beyond the 32 if transferring less than 42 graduate credits or you can petition to take additional transfer credits while in Leadership).</b>				<b>76.00</b>		
	EDUC899 Doctoral Dissertation		Faculty Name	14.00		
<b>Total Program Credits [must be at least 90 credits]</b>				<b>90.00</b>		

### Leadership Credits

- |  |   |
|--|---|
| LEAD 630 Leadership Seminar (2-4 cr)             | LEAD 690 Independent Study (1-12cr)           |
| LEAD 635 Individual Development Plan (4 cr)      | LEAD 675 Portfolio Development (1-12 cr)      |
| LEAD 636 Issues in Leadership Foundations (2 cr) | LEAD 775 Adv. Portfolio Development (1-12 cr) |
| LEAD 637 Issues in Research (2 cr)               | LEAD 756 Advanced Studies (1-12 cr)           |
| LEAD 638 Issues in Leadership Theory (2 cr)      | LEAD 789 Advanced Seminar (1-12 cr)           |
| LEAD 648 Workshop (1-12 cr)                      | LEAD 886 Internship (1-12 cr)                 |
| LEAD 650 Leadership Program Continuation (0 cr)  | LEAD 888 Doctoral Continuation ( 0 cr)        |
| LEAD 680 Fieldwork (1-12 cr)                     | LEAD 899 Doctoral Dissertation (variable)     |
| LEAD689 Seminar (1-12cr)                         |   |

**The following is the list of credit courses offered in Leadership:**

Leadership Credits: MA, EdS, EdD, PhD

- LEAD630 Leadership Seminar (2-4 cr)
- LEAD635 Individual Development Plan (4 cr)
- LEAD636 Issues in Leadership Foundations (2 cr)
- LEAD637 Issues in Research (2 cr)
- LEAD638 Issues in Leadership Theory (2 cr)
- LEAD648 Workshop (1-12 cr)
- LEAD650 Leadership Program Continuation (0 cr)
- LEAD680 Fieldwork (1-12 cr)
- LEAD689 Seminar (1-12cr)
- LEAD690 Independent Study (1-12 cr)
- LEAD675 Portfolio Development (1-12cr)

Leadership Credits: EdD, PhD only

- LEAD775 Advanced Portfolio Development (1-12 cr)
- LEAD756 Advanced Studies (1-12 cr)
- LEAD789 Advanced Seminar (1-12 cr)
- LEAD886 Internship (1-12 cr)
- LEAD888 Dissertation Continuation (0 cr)
- LEAD899 Doctoral Dissertation (variable)



## Appendix II: Evaluation of Research

### Entering Evaluation of Research Competency

Name \_\_\_\_\_ Degrees \_\_\_\_\_

---

Place a check mark in the areas where you feel competent:

Every leader is a researcher on some level and as such is expected to ....	Qual	Quant	Comments
Appreciate the value of research for decision-making			
Know the logic and process of scientific inquiry			
Explain major research methodologies			
Critique the adequacy of research reports			
Formulate empirically-driven research problems			
Conduct literature reviews using electronic sources – analyze and synthesize literature			
Relate research to the body of knowledge in leadership or professional field			
Select appropriate research designs			
Explain standards for data collection – HSRB approval			
Conduct basic data analysis			
Adequately communicate research findings			

## Appendix II: Evaluation of Research (cont)

### Entering Evaluation of Research Competency and Recommendations

Name \_\_\_\_\_ Degrees \_\_\_\_\_

### Prior Graduate Research Experience and Training

Graduate Research Classes Completed:

_____	_____
_____	_____

Research Experiences:

_____	_____
_____	_____
_____	_____

### IDP Recommendations:

- EDRM 505 Research Methods in Education and Psychology
- EDRM611 Applied Statistics in Education and Psychology I
- EDRM612 Applied Statistics in Education and Psychology II
- EDRM605 Qualitative Research Methods in Education and Psychology
- Other transfers

## Appendix III: Reading List

### Leadership Reference List

The following list is offered only as a suggested list of books and references that relate to each of the competencies in the graduate program in Leadership. The list should not be viewed as complete, comprehensive, or required for the Leadership program. It includes books individual faculty selected as having made an impact on their personal growth and development as scholars.

#### Listed by Competency

##### I. Effective teacher/mentor

- Angelo, T. A. & Cross, K. P. (1993). *Classroom assessment techniques: A handbook for college teachers*. San Francisco: Jossey-Bass.
- Armstrong, T. (1994). *Multiple Intelligences in the classroom*. Alexandria, VA.
- Association for Supervision and Curriculum Development (ASCD).
- Bonstingl, J. (1992). *Schools of quality: An introduction to total quality management in education*. Alexandria, VA: Association for Supervision and Curriculum Development (ASCD).
- Brooks, J. G. & Brooks, M. G. (1993). *The case for constructivist classrooms* Alexandria, VA: Association for Supervision and Curriculum Development.
- Ellis, A. (2000). *Research on Educational Innovations*. (3<sup>rd</sup> ed.). Princeton, NJ: Eye on Education Incorporated.
- Freire, P. (1998). *Teachers as cultural workers: Letters to those who dare teach*. (MacEdo, D., Koike, D., Oliveira, A., & Koike, D., Trans.). Boulder, CO: Westview Press.
- Jarvis, P. (Ed.), (2002). *The theory and practice of teaching*. London: Kogan Page.
- Johnson, D. W. & Johnson, R. T. (1998). *Learning together and alone: Cooperative, competitive, and individualistic learning* (5<sup>th</sup> Ed.). Boston: Allyn & Bacon.
- Johnson, D. W, Johnson, R. T., & Holubec, E. J. (1994) *The new circles of learning: Cooperation in the classroom and school*. Alexandria, VA: Association for Supervision & Curriculum Development (ASCD).
- Johnson, D. W., Johnson, R. T., & Smith, K. A. (1991). *Active learning: cooperation in the college classroom*. Edina, MN: Interaction Book Company.
- Joyce, B. & Weil, M. (1999). *Models of teaching*. (6<sup>th</sup> Ed.). Boston: Allyn & Bacon.

- Kohn, A. (1996). *Beyond discipline: From compliance to community*. Alexandria, VA: Association for Supervision & Curriculum Development.
- Llewellyn, Grace. (1991). *The Teenage liberation handbook: How to quit school and get a real life and education*. Eugene, OR: Lowry House.
- Marzano, R. (1992). *A different kind of classroom: Teaching with dimensions of learning*. Alexandria, VA: Association for Supervision and Curriculum Development (ASCD).
- Valentine, M. (1987). *How to deal with discipline problems in the schools: A practical guide for educators*. Dubuque, IA: Kendall/Hunt.

## **II. Dynamic Change Agent**

- Birkerts, S. (1994). *The Gutenberg elegies: The fate of reading in an electronic age*. New York: Fawcett Columbine.
- Brand, S. (1994). *How buildings learn: What happens after they're built*. New York: Penguin Books.
- Cahn, E. S. (2000). *No more throw-away people: The co-production imperative*. Washington, DC: Essential books.
- Caine, R. N. & Caine, G. (1997). *Education on the edge of possibility*. Alexandria, VA: Association for Supervision and Curriculum Development (ASCD).
- Cloke, K. & Goldsmith, J. (2002). *The end of management and the rise of organizational democracy*. San Francisco: Jossey-Bass.
- Conger, Spreitzer, & Lawler. (1999). *The leader's change handbook*. San Francisco: Jossey-Bass.
- Freire, P., MacEdo, D., Koike, D., Oliveira, & Doike, D. (Trans.) (1998). *Teachers as cultural workers: Letters to those who dare teach*. Boulder, CO: Westview Press.
- Fullan, M. (1995) *Change forces: Probing the depths of educational reform*. Bristol: PA: Falmer Pres.
- Fullan, M. & Hargreaves, A. (1991). *What is worth fighting for in your school*. New York: Teachers College Press.
- Fullan, M. & Hargreaves, A. (1991). *What is worth fighting for out there*. New York: Teachers College Press.
- Fullan, M. & Hargreaves, A. (1991). *What is worth fight for in leadership for change*. New York: Teachers College Press.

- Gatto, J. T. (1992) *Dumbing us down: The hidden curriculum of compulsory schooling*. Philadelphia: New Society Publishers.
- Gladwell, M. (2000). *The tipping point: How little things can make a big difference*. Boston: Little Brown and Co.
- Hargreaves, A. (Ed). (1994). *Rethinking educational change with heart and mind*. Alexandria, VA: Association for Supervision and Curriculum Development (ASCD).
- Hutchens, D. (2001). *Shadows of the Neanderthal: Illuminating the beliefs that limit our organizations*. Waltham, MA: Pegasus Communications. Jarvis, P. (Ed.). (2001). *The age of learning: Education and the knowledge society*. London: Kogan Page.
- Johnson, S. (1998) *Who moved my cheese?* New York: G. P. Putnam's Sons.
- Kostner, Jaclyn. (1994) *Virtual leadership: Secrets from the round table for the multi-site manager*. New York: Warner Books.
- Kuhn, T. S. (1962). *The structure of scientific revolutions*. Chicago: University of Chicago Press.
- Lessig, L. (2001) *The future of ideas: The fate of the commons in a connected world*. New York: Random House.
- Lippitt, L. (1998). *Preferred futuring*. San Francisco: Berrett-Koehler.
- Llewellyn, G. (1991). *The teenage liberation handbook: How to quit school and get a real life and education*. Eugene, OR: Lowry House.
- Lucas, D. J. (1996) *Crisis in the academy: Rethinking higher education in America*. New York: St. Martin's Press.
- Mehrtens, H. B., Jr. & Martinez. (1993). *The fourth wave: Business in the 21st century*. San Francisco: Berrett-Koehler.
- McRae, H. (1994). *The world in 2020: Power, culture, and prosperity*. Boston: Harvard Business School Press.
- Ormerod, P. (1998). *Butterfly economics*. New York: Pantheon Books.
- Peck, M. S. (1987). *The different drum: Community making and peace*. New York: Simon & Schuster.
- Quinn, R. E. (2000) *Change the world: How ordinary people can accomplish extraordinary results*. San Francisco: Jossey-Bass.
- Rosenfield, S. A. & Gravois, T. A. (1996). *Instructional consultation teams: Collaborating for change*. New York: The Guildford Press.

- Rouse, W. B. (1993). *Catalysts for change: Concepts and principles for enabling innovation*. New York: John Wiley and Sons.
- Rutz, J. H. (1992). *The open church: How to bring back the exciting life of the first century church*. Beaumont, TX: Seedsowers.
- Sanders, B. (1994). *A is for ox: The collapse of literacy and rise of violence in an electronic age*. New York: Random House.
- Senge, P. et al. (1999). *The dance of change*. New York: Doubleday.
- Shenk, D. (1997). *Data smog: Surviving the information glut*. New York: Harper Collins.
- Toffler, A. (1980). *The third wave*. New York: Bantam Books.
- Wallace, B. & Graves, W. (1995). *The poisoned apple*. New York: St. Martin's Press.
- Wheatley, M. (2002). *Turning to one another: Simple conversations to restore hope to the future*. San Francisco: Berrett-Koehler.
- Wheatley, M. (1994) *Leadership and the new science: Learning about organization from an orderly universe*. San Francisco: Berrett-Koehler.

### **III. Effective organizer**

- Argyris, Chris & Donald A. Schön. 1996. *Organizational learning II: Theory, method, and practice*. Second Edition. New York: Addison Wesley.
- Armstrong, D. (1992). *Managing by storying Around: A new method of leadership*. New York: Doubleday Currency.
- Bennis, W. G. (1989). *Why leaders can't lead*. San Francisco: Jossey-Bass.
- Block, P. (1996). *Stewardship: Choosing service over self-interest*. San Francisco: Berrett Koehler.
- Buckingham, M. & Coffman, C. (1999). *First break all the rules*. New York: Simon & Schuster.
- Cloke, K. & Goldsmith, J. (2002). *The end of management and the rise of organizational democracy*. San Francisco: Jossey-Bass.
- Deming, W. E. (1998). *The new economics for industry, government, education*. 2<sup>nd</sup> Edition. Cambridge, MA: MIT Press.
- Garvin, D.A. (2000). *Learning in action: A guide to putting the learning organization to work*. Boston: Harvard Business School Press.
- Hamel, G. (2000). *Leading the revolution*. Boston: Harvard Business School Press.

- Katzenbach, J. R. & Smith, D. K. (1993). *The wisdom of teams: Creating the high-performance organization*. New York; Harper Collins.
- Kostner, J. (1994). *Virtual leadership: Secrets from the round table for the multi-site manager*. New York: Warner Books.
- Sullivan, G. R. & Harper, M.V<sup>th</sup>. (1996). *Hope is not a method: What business leaders can learn from America's army*. New York: Broadway Books.

#### **IV. Collaborative consultant**

- Block, P. (1982). *Flawless consulting: A guide to getting your expertise used*. Second Edition. San Francisco: Jossey-Bass.
- Dougherty, A. M. (1995). *Consultation: Practice and perspectives in school and community settings*, Second Edition. Pacific Grove, CA: Brooks/Cole Publishing Co.
- Kostner, J. (1994). *Virtual leadership: Secrets from the round table for the multi-site manager*. New York: Warner Books.
- Rosenfield, S. A. (1987). *Instructional consultation*. Hillsdale, NJ: Lawrence Erlbaum.
- Rosenfield, S. A. & Gravois, T. A. (1996). *Instructional consultation teams: Collaborating for change*. New York: The Guilford Press.
- Wheatley, M. (2002). *Turning to one another: Simple conversations to restore hope to the future*. San Francisco: Berrett-Koehler.
- Wheatley, M. (1994). *Leadership and the new science: Learning about organization from an orderly universe*. San Francisco: Berrett-Koehler Publishers, Inc.

#### **V. Reflective researcher**

- Barzun, J. & Graff, H. F. (1992). *The modern researcher*. Fifth Edition. New York: International Thompson Publishing.
- Bracey, G.W. (1997). *Setting the record straight: Responses to misconceptions about public education in the United States*. Alexandria, VA: Association for Supervision and Curriculum Development (ASCD).
- Coffey, A. & Atkinson, P. (1996). *Making sense of qualitative data*. Thousand Oaks, CA: Sage Publications.
- DuBrin, A. J. (1995). *Leadership: Research findings, practice, and skills*. Boston: Houghton Mifflin.

- Eisner, E. W. (1991). *The enlightened eye: qualitative inquiry and the enhancement of educational practice*. New York, NY: Macmillan Publishing Company.
- Ellis, A. (1993). *Research on educational innovations*. Third Edition Larchmont, NY: Eye on Education Publishers.
- Holstein, J. A. & Gubrium, J. F. (1995). *The active interview*. Thousand Oaks, CA: Sage Publications.
- Merriam, S. B. (1988). *Case study research in education: A qualitative approach*. San Francisco, CA: Jossey-Bass Publishers.
- Rutestam, K. E. & Newton, R. R. (2001). *Surviving your dissertation: A comprehensive guide to content and process*. Thousand Oaks, CA: Sage.
- Straughan, R. (1988). *Can we teach children to be good: Basic issues in moral, personal, and social education*. Bristol, PA: Open University Press.
- Witherell, C. & Noddings, N. (Eds). (1991). *Stories lives tell: Narrative and dialogue in education*. New York, NY: Teachers College Press.
- Wiersma, W. (1999). *Research methods in education: An introduction*. Seventh Edition. Boston: Allyn & Bacon.
- Wolcott, H. F. (2001). *Writing up qualitative research*. Second Edition. Thousand Okas, CA: Sage Publications.

## **VI. Competent scholar**

### **A. Ethics and personal/professional development**

- Goldman, A. (1980). *The moral foundations for professional ethics*. Rowman & Littlefield.
- Scrivin, M. (1976). *Reasoning*. New York: McGraw Hill.
- Singer, P. (Ed.). (1991). *A companion to ethics*. Basil Blackwell.
- Thompson, L. (1995). *Habits of mind*. University Press of America.

### **B. Philosophical foundations**

- Anderson, W.T. (Ed.). (1995). *The truth about the truth: De-confusing and re-constructing the postmodern world*. New York: G. P. Putnam.
- Csikszentmihalyi, M. (1990). *Flow: The psychology of optimaleExperience*. New York: Harper Collins.



- Schein, E. H. (1992). *Organizational culture and leadership*. Second Edition. San Francisco: Jossey-Bass.
- Sire, J. W. (1988). *The universe next door*. Downers Grove, IL: InterVarsity Press.
- Sproul, R. C. (1978). *Lifeways*. Grand Rapids, MI: Fleming H. Revell. C. Educational foundations.
- Dewey, J. (1938). *Experience and Education*. New York: Simon & Schuster.
- Knight, G. R. (1989). *Philosophy & education: An introduction in Christian perspective*. Second Edition. Berrien Springs, MI: Andrews University Press.

### **C. Theories of learning and human development**

- Bandura, A. (1986). *Social foundations of thought and action: A social cognitive theory*. Englewood Cliffs, NJ: Prentice Hall.
- Bandura, A. & Walters, R. H. (1963). *Social learning and personality development*. New York: Holt, Rinehart, and Winston.
- Driscoll, M. P. (2000). *Psychology of learning for instruction*. Second Edition. Boston: Allyn and Bacon.
- Dryden, G. & Vos, J. (1994). *The Learning Revolution: A Life-long Learning Program for the World's Finest Computer: your Amazing Brain!* Rolling Hills Estates, CA: Jalmar Press.
- Hart, B. & Risley, T. R. (1995). *Meaningful Differences in the Everyday Experience of Young American Children*. Baltimore: Paul H. Brooks.
- Kohn, A. (1993). *Punished by Rewards*. Boston: Houghton Mifflin Company.
- Gardner, H. (1983). *Frames of Mind: The Theory of Multiple Intelligences*. Second Edition. New York: Basic Books.
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**Note.** Individual Leadership faculty members and participants in the Leadership program will continue to submit references that are believed to be particularly appropriate in setting forth the knowledge base as well as a description of the skills and applications that are involved for each competency. An expanded list is updated annually and made available upon request.

## Appendix IV: Dissertation Timelines in Leadership

### The Dissertation Process in the Leadership Program

Time Line	Event	Persons involved
As early in the program as possible	Topic selection	Participation in dialogue with potential committee members (faculty)
As topic takes shape	Selection of dissertation committee	Participant, potential committee members, Director of Grad. Programs
As early as second program semester	<b>TOPIC APPROVAL</b>	Dissertation committee
As early as third program semester	<b>DISSERTATION PROPOSAL:</b> including a proposed timeline	Dissertation committee
Attach to any dissertation proposal	<b>HUMAN SUBJECT RESEARCH INDICATION</b>	Institutional Review Board, Office of Scholarly Research
Can be in the proposal stage	Selection of <b>EXTERNAL EXAMINER</b>	Dissertation committee in consultation with candidate
Chapter by chapter or as agreed with chair	Submission of completed chapters to chair/committee and to external examiner	Dissertation committee
	Ongoing revisions to complete the first final draft	
As approved by committee and chair	Option 1: submission of revised final drafts of completed chapters to Dissertation Secretary	Submission through committee chairman (not the participant)
At least <b>three months</b> prior to defense	Option 2: submission of complete first draft of final copy to dissertation committee (copies go to committee members and Dir. Of Graduate Programs)	Chair, committee members (including outside reader)
At least <b>six to eight</b> weeks prior to defense	Written suggestions from dissertation committee to or informal meeting with candidate	Dissertation committee, (including external examiner)
	Revised final draft	Dissertation committee
At least <b>three to four</b> weeks prior to defense	<b>APPROVAL OF WRITTEN DISSERTATION DOCUMENT</b> (content) as <b>“READY TO DEFEND”</b> , subject to approval by the School of Graduate Studies Dissertation Secretary	Dissertation committee (copies of dissertation go to committee members, Director of Graduate Programs)
May need several weeks	Approval by Dissertation Secretary	
At least <b>two</b> weeks prior to defense	<b>FINALIZATION OF THE DEFENSE DATE</b> and notification of Leadership faculty	Chair in consultation with all parties concerned
Not during month of July, but at least <b>four</b> weeks before grad.	Oral defense	Dissertation committee, Outside Reader, Dir of Graduate Programs
<b>At least two</b> weeks prior to graduation	FINAL CLEARANCE of revised dissertation document by AU Dissertation Secretary. Master copy in hand.	AU Dissertation Secretary



## **Appendix V: Graduate Forms**

- [Graduate Petition](#)
- [Portfolio Completion](#)
- [Dissertation Committee & Topic Approval](#)
- [Readiness of Dissertation for Defense](#)
- [Dissertation Proposal and Oral Defense Report](#)

NAME \_\_\_\_\_  
Last First  
ID # \_\_\_\_\_

# Andrews University

## GRADUATE PETITION

---

School: \_\_\_\_\_ Department: \_\_\_\_\_  
Degree: \_\_\_\_\_ Concentration/Emphasis: \_\_\_\_\_ Bulletin: \_\_\_\_\_  
Anticipated graduation date: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_ Phone: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

### REQUEST

### REASON

\_\_\_\_\_  
Student Date

---

### Recommended

\_\_\_\_\_  
Academic Advisor Date For MAT only: Content Advisor Date

\_\_\_\_\_  
Department Chair/Program Coordinator Date

---

### Approved

\_\_\_\_\_  
School Dean/Director of Graduate Programs Date

\_\_\_\_\_  
\*Graduate Dean (if necessary) Date

\* The Graduate Dean's signature is needed for any exceptions to policies voted by the Graduate Council, including exceptions to policies for provisional/regular admission (including) English language standards, normal course loads, residency, degree candidacy and deadlines, time limitations on degrees, credit transfers, second degrees, updating, grade changes, grade point average requirements, academic probation, comprehensive examinations, projects/theses/dissertations, application for graduation deadlines, etc.

Name \_\_\_\_\_

ID # \_\_\_\_\_

**PORTFOLIO COMPLETION FORM**

Degree    EdD    PhD

Address \_\_\_\_\_

Dept    Teaching, Learning, and Administration

Program    Leadership

Phone \_\_\_\_\_

Note: Please attach a printout of your Progress Review from the web, showing all your competency signoffs.

---

**READINESS OF FINAL NARRATIVE FOR PRESENTATION**

Team Chair/Advisor    \_\_\_\_\_    Date \_\_\_\_\_

Program Team Member    \_\_\_\_\_    Date \_\_\_\_\_

Program Team Member    \_\_\_\_\_    Date \_\_\_\_\_

---

**APPROVED**

Major Advisor    \_\_\_\_\_    Date \_\_\_\_\_

Program Coordinator/Dept Chair    \_\_\_\_\_    Date \_\_\_\_\_

Director of Graduate Programs    \_\_\_\_\_    Date \_\_\_\_\_

NAME: \_\_\_\_\_  
Last First  
ID#: \_\_\_\_\_

**REQUEST FOR DOCTORAL DISSERTATION COMMITTEE AND TOPIC APPROVAL**

Address: \_\_\_\_\_ Degree and Major Area: \_\_\_\_\_  
\_\_\_\_\_  
Phone: \_\_\_\_\_

**Topic**

Title: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Description: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Methodologies** (Indicate major methodology used in dissertation and methodologies included on course plan)

Type	Major methodology of dissertation	Methodologies included on course plan	
		Basic (one for EdD; two for PhD)	Advanced (one for PhD)
Documentary			
Evaluation			
Measurement			
Qualitative			
Statistics			

**Committee**

THIS COMMITTEE WILL ASSIST THE STUDENT IN THE DISSERTATION WRITING STAGE AND THROUGH THE ORAL DEFENSE.

**Members must meet the following criteria:**

- ◆ one or more familiar with the content (literature)
- ◆ one or more familiar with the methodology
- ◆ one or more from outside the student's department
- ◆ half or more from the School of Education

**Please Check**

	Indicate the Category	Content Expertise	Methodology Expertise	<b><u>Committee Member's Signature</u></b>
1. _____ Chair	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
_____ Methodology Consultant (optional)	_____	_____	_____	_____

**APPROVED**

\_\_\_\_\_  
Department Chair  
  
\_\_\_\_\_  
Director of Graduate Programs

Date: \_\_\_\_\_  
  
Date: \_\_\_\_\_

NAME \_\_\_\_\_  
Last First  
ID # \_\_\_\_\_

**READINESS OF DISSERTATION FOR DEFENSE**

Address \_\_\_\_\_ Degree EdD PhD  
\_\_\_\_\_  
Major Area \_\_\_\_\_  
Phone \_\_\_\_\_

**COMMITTEE APPROVAL**

Approval of the dissertation is specific in overall and section by section as indicated below.

**SECTION APPROVAL** – Initial sections below where you have made a careful, critical reading of the **dissertation**.

◆ Abstract (to be attached) and ◆ Vita (to be attached)

Section	Committee Member's Initials				
	Chair:	Member:	Member:	Member:	Member:
Abstract					
Table of Contents					
List of Tables					
Chapter I:					
Chapter II:					
Chapter III:					
Chapter IV:					
Chapter V:					
Bibliography:					

**OVERALL APPROVAL**

Approval indicates the content of the document in its current form is satisfactory – no change of contents is anticipated prior to the final submission.

Dissertation Chair \_\_\_\_\_ Date \_\_\_\_\_  
 Committee Member \_\_\_\_\_ Date \_\_\_\_\_  
 Committee Member \_\_\_\_\_ Date \_\_\_\_\_  
 Committee Member \_\_\_\_\_ Date \_\_\_\_\_  
 Committee Member \_\_\_\_\_ Date \_\_\_\_\_  
 Director of Graduate Programs \_\_\_\_\_ Date \_\_\_\_\_

NAME \_\_\_\_\_

*Last*                      *First*

ID # \_\_\_\_\_ Date \_\_\_\_\_

**REPORT OF THE STUDENT'S DISSERTATION COMMITTEE**

Address \_\_\_\_\_ Degree      EdD      PhD

\_\_\_\_\_ Major Area \_\_\_\_\_

Phone \_\_\_\_\_ Cognate Area \_\_\_\_\_

***Please use for one purpose only***

\_\_\_\_\_ 1. **Dissertation Proposal** (Attach proposal)                      ( ) Turabian      ( ) APA

**Committee Members:**                      **Signature:** (Indicates Approval)  
(Print or Type)

CHAIR \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

<b>ANTICIPATED DATE OF COMPLETION:</b>  _____ Day / Month / Year
---

\_\_\_\_\_ 2. **Oral Defense of Dissertation**

**EVALUATION FOR ORAL DEFENSE**

Reject with:  
  
A. Opportunity for another defense  
  
B. No Further opportunity for defense

Committee Members:	Signature	Approved	Approved with changes	A	B
CHAIR _____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

**APPROVED** \_\_\_\_\_ Date \_\_\_\_\_  
Department Chair / Program Coordinator

\_\_\_\_\_ Date \_\_\_\_\_  
Dean / Director of Graduate Programs