



DPEL

DOCTORAL PROGRAM IN EDUCATIONAL LEADERSHIP
AT CSU BAKERSFIELD

Student Handbook

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Section 1: Introduction

The *Doctoral Program in Educational Leadership - Student Handbook* serves as a reference for policies and procedures applicable to: 1) doctoral students, 2) dissertation chairs and committee members, 3) the Faculty Graduate Group (Core and Affiliated faculty), and 4) administrative staff of the Doctoral Program in Educational Leadership (DPEL) at California State University, Bakersfield (CSUB).

The DPEL is an intensive, 60-unit program designed for full-time educators earning their doctoral degrees. Course meetings are generally held in the late afternoons, evenings, and/or on Saturdays. Students taking six to nine units per semester can anticipate completing the program in three years. Doctoral students take the first nine core courses (27 units) as a cohort. In other words, for the first four semesters, the students in a particular cohort attend all their courses together. These core courses are followed by 21 units of specialization courses, culminating in the 12-unit dissertation.

Policy on Transfer Credits

No more than nine (9) units of transfer and/or California State University, Bakersfield semester credits may be transferred into the Doctoral Program in Educational Leadership at California State University, Bakersfield, pending review by the director.

Any units accepted by the program director may be counted toward the specialization courses and may not be counted towards completion of the core courses. Courses must be graduate-level courses with a grade of B or better. Course syllabi, catalog descriptions of the courses, and a copy of the transcript showing the posted grades for the courses must be submitted to the program director along with the request to accept the transfer credits.

Section 2: Faculty Advisors

Each student will be assigned to a faculty advisor who will serve in that capacity until the student selects a dissertation chair. Upon entry to the program, the DPEL Director serves as each student's advisor.

Section 3: Maintaining Satisfactory Progress, Dismissal Qualification, and Appeal of Dismissal Qualification

Time Limits for Matriculation to Degree

The Doctoral Program in Educational Leadership is designed for completion of the degree requirements within three calendar years. Completion of degree requirements between three and a half and four years is normally acceptable. The qualifying examination will be taken after completion of core courses. A student may not advance to candidacy until she/he has passed the qualifying exam. The total time to qualifying examination and advancement to candidacy may not exceed three years, unless there are mitigating circumstances and the Graduate Group has approved the extensions; such extensions may not exceed one year.

Total registered time in the doctoral program is not expected to exceed five years, and extension beyond this period requires approval by the Graduate Group and Program Director. Extension of the period for degree completion beyond the period of five years is normally granted to students in good academic standing, not to exceed a two-year period. It will be the student's sole responsibility to cover all tuition and fees during these extensions as financial aid is not available in the form of loans or otherwise for students who do not complete their degree within the allotted three-year period. During the two-year extension period, continuation each term after the extension is granted requires determination of satisfactory progress by the Graduate Group.

Extension of the period by more than two years can be granted only under special circumstances and is based upon criteria established by the Graduate Group. Such extension requires: (a) special approval in accordance with the procedures established by the campus, and (b) demonstration that the student has maintained currency in the field, including current

literature, course work validation, and research in the field. Students must maintain continuous enrollment and will pay full fees during any granted extensions.

Continuous Enrollment

Doctoral students must be enrolled each semester (Fall, Spring, and Summer) until final completion of all degree requirements. Otherwise, students must complete a Leave of Absence (LOA) form. Not doing so could result in dismissal from the program.

Leave of Absence

Students enrolled in the DPEL may request a temporary Leave of Absence (LOA) for one semester where events such as illness or injury, active military service, or the need to provide care for a family member prevent them from actively participating in their degree program. A doctoral student who is granted an LOA suspends progress toward their degree during the semester in which they are on an approved LOA. Students may request an LOA by submitting Form 11 [Leave of Absence Request for Doctoral Students] and the Planned Educational Leave – Graduate and Post-Baccalaureate Students form to the DPEL office.

Tuition & Fees and Financial Aid. If a student begins the LOA at the start of the semester, no tuition or fees will be charged during that semester. An LOA will prevent the student from receiving funding from the program and may also affect the student's ability to receive financial aid or loans and/or to defer payments on loans. Students should contact the Office of Financial Aid if they have questions regarding their financial aid or loan status.

Although an LOA typically begins at the start of a semester, emergency situations may require a student to begin an LOA in the middle of a semester. Under these circumstances, the student would withdraw from classes. Adjustments to tuition and fees charges will be made

according to the schedule set by the Office of the Registrar. Emergency LOAs do not reverse the charges set by this schedule.

Prior to LOA Application. Prior to applying for an LOA, students should discuss with the DPEL Director and their faculty advisor the impact of taking an LOA on their progress toward degree. This discussion should include the development of a strategy for completing the degree.

Use of University Facilities and Services. Students on LOA will not have access to services or benefits provided to enrolled students and may not use university facilities or services normally available to registered students, including the use of the doctoral student workroom. Students may not use the services of faculty or administrative staff except for planning the transition back to registered status.

International Students. U.S. Immigration regulations may restrict the eligibility of an international student for an LOA. International students must consult with the Office of International Programs to determine their eligibility. If the Office of International Programs determines that an international student is eligible for an LOA, they will provide a written statement attesting to this eligibility that will be included in the student's application for the LOA.

General LOA Policies:

- The Director of the DPEL will review and forward all requests for LOAs to the DPEL Graduate Group for review and approval.
- An LOA is required for all semesters during coursework and dissertation work.
- An approved LOA request is valid for a maximum of one semester.
- Under no circumstances will LOAs be approved retroactively for prior semesters.

- Students returning from an LOA must re-enroll for the semester following their LOA or provide a written request to extend the LOA, which must be approved. A student who does not register or who does not have an LOA Extension approved will be considered to have withdrawn and will be dropped from the program.
- Students on LOA may finish work from previous semesters (e.g., completing work in courses in which grades of “Incomplete” have been assigned), but may not complete other degree requirements (e.g., taking qualifying exams).
- The time limit for reaching candidacy or completing the degree will be extended by the number of terms the student is on approved LOA.

Minimum Registration

Students must maintain minimum registration in the DPEL in order to retain current student status. Because this is a full-time professional cohort where the contributions of each member are critical to the learning and growth of the cohort, minimum registration requires students to be enrolled in the number of courses/credit hours required of their cohort each semester. If the minimum registration requirement is not met, the student will be dismissed from the program, unless they have gained prior approval from the DPEL Director to not meet this requirement.

Student Reviews

The Core faculty will review student progress at the end of each semester, academic year, and throughout the program. Letters will be sent to students regarding their progress in the program. Prior to the qualifying examination, students’ academic progress will be reviewed by core professors; this group will then determine if the student is in good academic standing, satisfactory standing, or is in need of assistance. Students will receive via mail a Green, Yellow

or Red letter that corresponds to their academic standing in the DPEL. Warning letters related to academic standing may also be sent at any time throughout the program if the student is not meeting academic expectations.

Satisfactory Progress

DPEL students are expected to maintain satisfactory progress toward approved academic objectives as defined by the Graduate Group faculty, the Graduate Committee of the Academic Senate, and the University in accordance with the program of study. Students must maintain continuous enrollment in the program in order to be considered a student in good standing. Only courses included in the doctoral program of study will be used in the grade point average (GPA) calculation that determines the satisfactory progress of an enrolled doctoral student.

In order for students to maintain satisfactory progress in the doctoral program, several standards must be met. First, the student must maintain at least a 3.0 cumulative grade point average (GPA) throughout the program. Second, the student may not have a GPA below 3.0 in any two terms. Students who fall below a 3.0 GPA in a semester will be notified that they are on academic probation. In addition, students receiving two “C’s” in courses will be dismissed from the program unless one of the courses with a “C” grade is repeated and the grade improved. Students will be advised in writing that they are on academic probation after receiving the first “C” and will be dismissed immediately after receiving the second “C” in any course in their program of study.

The student must advance to candidacy and complete all courses and examinations satisfactorily in the time period specified by the Graduate Group.

Incomplete Grades

Students will be allowed to carry no more than two “Incomplete” grades. After receiving one “Incomplete,” students will receive a letter of warning and be placed on Academic Probation by the DPEL. Students normally will not be permitted to enroll in additional courses until all “Incompletes” are cleared. Students must meet with the DPEL Director to appeal this restriction or to determine any other courses of action the student must take in order to rectify the situation. Students should refer to the appropriate General Catalog year for further details.

Normally it is expected that the student will make up an “Incomplete” grade during the next semester; however, the “Incomplete” must be made up within one calendar year immediately following the last day of the semester/session during which it was assigned. This limitation prevails whether or not the student maintains continuous enrollment. Failure to complete the assigned work will result in the “Incomplete” (I) being counted as an “Incomplete Charged” (IC), or failing grade, for GPA computation. An “Incomplete” grade not made up within one calendar year after the grade has been recorded is changed to an “Incomplete Charged” (or a “No Credit” [NC] if “Credit/No Credit” [CR/NC] grading was approved). A student may be dismissed from the program if the deadline for rectifying “Incomplete” grades outlined above is not met. “Incomplete” grades must be cleared before a degree is awarded. In the absence of the instructor who has assigned the “Incomplete,” a student seeking to make up this grade should consult with the DPEL Director.

GRE Writing Requirement

Applicants to the DPEL must meet a graduate-level entrance writing requirement. The DPEL Faculty Graduate Group voted to adopt a recommended score of 4.0 on the writing portion of the GRE examination. If a student is offered admission and does not meet this criteria, the

student will be offered a “conditional admittance” with a requirement that the student will be required to complete additional work to improved his or her writing skills. Students must complete the additional writing requirements before taking the Qualifying Examination.

Grade Substitution by Repetition of Courses

DPEL students may, with approval of an adviser, repeat a course for academic credit, regardless of what grade was originally earned in the course. However, the student is not eligible to petition for grade substitution. All course work taken, beginning with the first term of the student’s doctoral degree program, is used in determining the student’s GPA and graduation eligibility.

Dismissal

If a student earns a GPA below 3.0 in a second semester, they will be dismissed from the program. Students may appeal their dismissal through the appropriate appeal process established by the Graduate Group. After consultation with the Graduate Group faculty, students who fail to make satisfactory academic progress and are recommended for dismissal from the program by the Graduate Group must be notified officially in writing. A student who has been dismissed from the program, which has the effect of being terminated from the University, will not be allowed to continue in the DPEL, enroll in doctoral-level courses, or register again in the doctoral program without application and readmission.

Appeal of Dismissal

To ensure that a decision to dismiss a student from the program is just, basic due process requirements set by the Graduate Group must be met. This process, developed by the Graduate Group, must include the opportunity for appeal by the student. To appeal dismissal from the program, a student must submit a letter to the DPEL Director explaining why he or she believes

the dismissal was unjust. The DPEL Director will distribute the student's letter of appeal to the Graduate Group, who will determine whether or not the dismissal will stand. The DPEL Director will then notify the student, in writing, of the Graduate Group's decision. If the student does not agree with the appeal decision of the Graduate Group, the student may then follow the Student Complaint and Grievance Procedures as outlined by the CSUB Office of Academic Programs at <http://www.csub.edu/academicprograms/Complaints%20and%20Grievances/>.

Attendance

Students are expected to attend all classes and be active participants in classes and the program. Students who must miss class because of an emergency must contact the instructor prior to class. It is expected that these events will be rare. Students who miss class for any reason may be administratively withdrawn from the course by the instructor. A student being administratively withdrawn from a course means that the student must retake the entire course when it is next offered (normally one year later). Specialization courses will be handled case-by-case. Students should also make every effort to be on time for class and not plan on leaving early. Students are valuable partners in the teaching and learning process and attendance is vital to higher-level academic learning.

Doctoral Culture

The Ed.D. is the highest degree attainable for educational practitioners and is known as a terminal degree. Therefore, it is important that students have the utmost expectations of themselves as learners and students in a higher-level academic environment. It is the doctoral student's responsibility to:

- Communicate effectively with faculty, dissertation chairs, committee members, and staff
- Exercise the highest integrity in all aspects of her or his work

- Work toward the doctoral degree in a timely fashion

DPEL Students Who Work at CSUB

DPEL students who work at CSUB are not permitted to access the records, academic or otherwise, of any other student in the DPEL program. Doing so will result in immediate dismissal from the DPEL program and a referral to the appropriate university authorities.

Social Justice Thread

The DPEL faculty is committed to teaching courses from a social justice perspective. As members of the Carnegie Project on the Education Doctorate (CPED), our program aims to adhere to CPED's guiding principles, which include that a professional doctoral program frame pedagogy around issues of ethics, equity, and social justice. This means that faculty may construct course assignments and/or lead discussions that focus on questions of inclusivity, diversity, and multiculturalism to deepen understanding of how inequality is perpetuated for marginalized groups. The goal of DPEL is to create a class of educational leaders that can use their critical lenses to bring about transformative change throughout the communities in the California Central Valley.

Section 4: Doctoral Program Course Sequence

The DPEL program located at CSUB commences in the fall and includes summer school in Years 1 and 2. Upon admission to the program, students will receive a cohort-specific course sequence. The following page represents a sample course schedule, but students should not expect that Core Courses be offered in this specific order.

Notes:

- All courses are 3 units.
- Students must pass the Qualifying Exam during the fifth semester.
- An * indicates fieldwork in a course.

Core Courses	Specialization	Dissertation
27 Units	21 Units	12 Units

Year 1	Semester 1	Semester 2	Semester 3
	6 Units Total	6 Units Total	6 Units Total
	EDLD 6010 Organizational Theory in Complex Organizations	EDLD 6060* Conceptual Curriculum Perspectives for Educational Leadership	EDLD 6020* Educational Reform
	EDLD 6090 Advanced Applied Research and Measurement in Education	EDLD 6040* Advanced Applied Quantitative Methods	EDLD 6080* Theories of Cross-Cultural Education

Year 2	Semester 4	Semester 5	Semester 6
	9 Units Total	6 Units Total	9 Units Total
	EDLD 6070* Applied Qualitative Research Methods	EDLD Specialization Course	EDLD Specialization Course
	EDLD 6110* Educational Evaluation, Assessment, and	EDLD Specialization Course	EDLD Specialization Course
EDLD 6030 Educational Policy Environments	Qualifying Exam	EDLD 6900 Dissertation Units (3)	

Year 3	Semester 7	Semester 8
	9 Units Total	9 Units Total
	EDLD Specialization Course	EDLD Specialization Course
	EDLD Specialization Course	EDLD 6900 Dissertation Units (6)
	EDLD 6900 Dissertation Units (3)	
Preliminary Dissertation Defense	Final Dissertation Defense	

Section 5: Doctoral Program Phases

Students in the program move through three phases of study that comprise 60 units. The *Doctoral Program Phases* (Core, Specialization, and Dissertation) provide a learning experience designed to give students knowledge about the strategies of scholarly investigation and application in practice. The final phase (i.e., the dissertation) must deal with specific, well-defined, and important questions or issues which merit investigation. Dissertation topics must relate to some existing body of theoretical or empirical knowledge in relation to educational leadership. The student should work closely with the professor he or she selects as dissertation chair to develop the topic question(s). The DPEL program policy permits a range in both subject matter and research perspective. Chosen topics must be founded in proper scholarship and within the purview of the dissertation chair and committee.

The unique nature of the Ed.D. will also determine the nature of the dissertation. The student will be expected to construct a document with a clear theoretical framework, an adequate collection of empirical data, a critical analysis of the data collected, and a direct and specific discussion of the implications of theory and data for educational policy and/or practice. The dissertation research will be conducted under the supervision of the dissertation chair and the dissertation committee. Publication rights of the dissertation are shared between student and chair.

DPEL forms can be found on the DPEL website. The student is responsible for keeping track of her or his courses and units. The forms will be referred to by number and title in the body of this manual.

Phase I: Core Courses

The Core Courses consist of nine courses of 27 semester units. During this phase, DPEL students take these courses as a cohort. Core Courses and a description of each are listed below. Each Core Course is 3 units. Courses with an * indicate that they consist of embedded fieldwork projects.

Embedded Fieldwork

In many of the courses there is a component of embedded fieldwork or “laboratories of practice” where collaborative groups of doctoral students work with school site and college-based leaders to complete a project for that client directly related to the course curriculum. Clients are given the Embedded Fieldwork Assessment to complete at the end of the course and when the project has been completed. This instrument provides feedback about how well the students were able to undertake and complete work directly related to the course (Student Outcomes Assessment). These assessments are collected at the end of a cohort’s program of study and reviewed by the Assessment subcommittee of the Graduate Group to assess the degree to which program outcomes are being met. Courses with an * indicate that they consist of embedded fieldwork projects.

EDLD 6010. Organizational Theory in Complex Organizations

Prerequisite: Admission to the program. Seminar. Combines alternative views of organizational theory with application to the structure of the school; to critical roles played by teachers, principals, and other school personnel; and to the examination of relationships among structural elements of schools.

*EDLD 6020. Educational Reform**

Prerequisite: Admission to the program. Seminar. Examines change in educational settings in the context of organizational theory, structure, and culture; change processes; and change leadership strategies and styles. K-12 educational settings and higher education settings are used to test theories and change strategies.

EDLD 6030. Educational Policy Environments

Prerequisite: Admission to the program. Seminar. Explores the determinants of policy in educational organizations and leadership. Analysis of structures used for legal, fiscal, and political decisions and in conflict management. Role of the educational leader in relation to intergovernmental activities aimed at educational reform.

*EDLD 6040. Advanced Applied Quantitative Methods**

Prerequisites: Admission to the program. Seminar. Examines advanced research methodologies and data analysis techniques applicable to educational and social science settings. Topics include experimental and quasi-experimental design, advanced statistical techniques, sampling distributions, nonparametric statistics, inference and hypothesis testing. Specific applications to the work of the educational leader.

*EDLD 6060. Conceptual Curriculum Perspectives for Educational Leadership**

Prerequisites: Admission to the program. Students will develop the philosophical and analytical skills to examine curriculum theory and practice, including the organization of subject matter and instructional methods.

*EDLD 6070. Applied Qualitative Research Methods**

Prerequisite: Admission to the program. Seminar. Examines the purpose and nature of qualitative research including current applications in educational settings. Emphasis is directed toward critical analysis of current qualitative studies and will include field-based application.

*EDLD 6080. Theories of Cross-Cultural Education**

Prerequisite: Admission to the program. Seminar. Designed to thoroughly review the most relevant theoretical approaches dealing with cross-cultural and multicultural education. As diverse and conflicting perspectives are examined, students will experience the complexity of views and perceptions dealing with leaders with multicultural populations coexisting in a pluralistic society.

EDLD 6090. Advanced Applied Educational Research and Measurement

Prerequisite: Admission to the program. Analysis of approaches to designing and conducting educational research, including ethical issues. Emphasis on reading and evaluating research literature and designing research projects. Psychometric theory, validity and reliability of tests, professional testing standards, and hands-on experience with test evaluation are included.

*EDLD 6110. Educational Evaluation, Assessment, and Planning**

Prerequisite: Admission to the program. Examines assessment practices, planning strategies, and evaluation processes in K-12 and higher education settings. Addresses current issues and trends in the field of education related to school accountability.

Phase II. Specialization Courses

The Specialization phase is equivalent to 21 semester units. Prerequisites for all Specialization Courses are completion of core courses and a 3.0 cumulative GPA. Additionally,

students must satisfy all conditions associated with admission, if applicable. Students will take specialization units in either the PK-12 or higher education strands, depending on their declared area of emphasis. Cross-strand courses are available to students of either strand.

Phase III. Dissertation

The Dissertation Phase begins with the advancement to candidacy for the doctoral degree in educational leadership. A total of 12 dissertation units are taken in the three subsequent semesters (3 units in the sixth semester, 3 units in the seventh semester, and 6 units in the eighth semester).

EDLD 6900. Dissertation (1-12)

Prerequisites: Advancement to candidacy for the doctoral degree in educational leadership and a minimum GPA of 3.0. Submission of approved dissertation. See *Criteria for Dissertation*. CR/NC grading only.

Section 6: Policy and Procedures for the Qualifying Exam and Advancement to Candidacy

To be eligible to take the Qualifying Exam, students must:

- Be in good academic standing
- Satisfactorily complete all Core Courses (including clearing all “Incomplete” grades)
- Satisfy any conditions associated with admission to the program

The Qualifying Examination

Eligible students are required to apply for the Qualifying Examination by completing Form 1 [Application for the Qualifying Examination] and submitting it to the DPEL office no less than 30 days prior to the exam date. The qualifying examination will consist of scenario-based questions related to material covered during the Core Courses. Two scenarios, one PK-12 and one higher education, will be developed by the program director (or designee) and sent to all faculty members who taught a Core Course so they can develop questions using the scenario. Each faculty member teaching a Core Course will develop one question pertaining to his/her course material related to each scenario (a total of two questions) and will develop a scoring rubric outlining what is acceptable in a student response.

The questions written to address PK-12 and higher education scenarios will generally be the same for each scenario, written to address the specific context of the scenario. The director (or designee) will randomly select three questions for each student to address during the four-hour testing time. These questions will be given to the student at the time of the exam. Students will address the questions in depth, based on their core course materials.

As noted above, students will have four hours to take the exam, will use an on-campus computer lab, and will not have access to references (hard copy or online). Two faculty members will monitor the exam.

An ad-hoc Qualifying Examination Committee will be appointed each year and the Director (or designee) will select the questions, administer the exam, select the exam readers and also read and score some of the qualifying examinations (as appropriate). The faculty whose question was given during the exam will be assigned as first score reviewer. Another core faculty member who is familiar with the subject area will be the second reviewer. All exams are graded blindly by faculty. If there is a significant difference between the two readers, a third reader will be asked to read the paper. The two most similar scores will be used for that paper.

Students will be given two opportunities to pass the qualifying exam. If a student fails the first exam, he or she will be tested on a new question(s) from the same content area(s) in which she or he did not pass. The question(s) will not be made available to the student prior to the examination date. The re-examination will be administered similarly to the first examination. The re-examination must be taken within 30 days of the first exam, unless otherwise approved by the DPEL Director. Exam time will be retroactive depending on the number of re-take questions; for example, if the student only needs to re-take one question, he or she will be given one hour and fifteen minutes to answer the question. It is highly recommended that any student needing to re-take any part of the qualifying exam set up a meeting with the instructor for the content area not passed to gain a better understanding of the content before the re-examination.

If the student does not pass the examination after the second attempt, the student will be dismissed from the program and not permitted to take additional courses. Students who wish to appeal the decision made on their qualifying examination must use the university process for grade appeals as described in the university catalog.

Advancement to Candidacy

When the student has passed the qualifying exam and completed the selection of the dissertation committee, the student will complete Form 4 [Application for Candidacy & Formation of the Dissertation Committee] and submit this form to the DPEL Director for approval.

Section 7: Enrollment in the Doctoral Dissertation

Prerequisites

Only those students who have: 1) completed core and specialization coursework, 2) passed the qualifying exam, and 3) been advanced to candidacy may begin formal work on a doctoral dissertation.

Enrollment in Dissertation Units

Enrollment in dissertation (EDLD 6900) units is normally effected in three-unit or six-unit segments. Once the candidate has enrolled in 12 dissertation units, the maximum allowable, continuous enrollment must be maintained until the dissertation is completed. Students must register for “0” units after all regular course units have been taken. Even though the student is enrolled in “0” units, the student is responsible for covering full tuition and fees for each semester incurred during the extension.

Section 8: The Dissertation Process and the Preliminary Oral Defense

The Dissertation Committee

The student's dissertation committee counsels the student on all aspects of the doctoral research to foster the student's progress and to monitor the quality of the research and resulting dissertation. The doctoral student should begin to consider faculty who might make appropriate committee members during the Specialization Phase.

The dissertation committee will consist of at least three members, one of whom will serve as the dissertation chair. Co-chairs are allowed. More than three committee members are acceptable and may be requested by the student and the chair.

Qualified individuals whose expertise is germane to the topic but who are not members of the Graduate Group must be recommended to the DPEL Director (see Form 5: Request for Consideration of a Non-Graduate Group Dissertation Committee Member). The non-Graduate Group committee member must have an Ed.D. or a Ph.D. A curriculum vita must accompany the request. Only Core Graduate Group faculty can chair student dissertation committees.

A change of dissertation chair should only occur on very rare occasions. Reasons for the change should be documented in writing and should reflect extenuating circumstances. The change must be signed off by the current chair and the newly proposed chair and approved by the DPEL Director.

Meetings of the dissertation committee are called by the chairperson. The most important meetings are the Preliminary Oral Defense, where the proposal is presented to the committee for approval, and the Final Oral Defense, where the completed dissertation is presented to the committee for approval.

Dissertation Committee Approval

The student's proposed dissertation committee chair and committee members must sign DPEL Form 4 [Application for Candidacy & Formation of the Dissertation Committee] to verify their agreement to serve on the dissertation committee. Once the committee signatures are obtained by the student, the DPEL Form 4 [Application for Candidacy & Formation of the Dissertation Committee] must be submitted to the DPEL Director for approval.

The Preliminary Oral Defense

The purpose of the Preliminary Oral Defense is to provide a critical examination and assessment of the student's plans. The student presents the rationale, the scope, and the proposed execution of the planned research. The proposal is then discussed and evaluated by the committee. DPEL Form 6 [Scheduling of the Preliminary Oral Defense of the Dissertation Research Proposal] must be submitted to the DPEL office **three weeks prior** to the scheduled date of the Preliminary Oral Defense.

The announcement of the student's Preliminary Oral Defense must be posted one week in advance of this formal meeting. The DPEL administrative office staff will not post the student's Preliminary Oral Defense until the completed DPEL Form 6 [Scheduling of the Preliminary Oral Defense of the Dissertation Research Proposal] has been received.

Preliminary Oral Defenses are to be scheduled through the DPEL office during the academic year. Teleconference arrangements and room assignments can be scheduled through the DPEL office. The Preliminary Oral Defense can be scheduled at other times upon approval of the dissertation chair and the DPEL Director. Committee members will use Form 13 [the Preliminary Oral Defense Rubric] to evaluate students during the defense.

Students are to bring Forms 13, 7, & 8 to the Preliminary Oral Defense. At the start of the Preliminary Oral Defense, the student will provide the Committee members with DPEL Form 7 [Preliminary Oral Defense Required Changes] so that the committee members may outline the changes that are needed before Form 8 [Completion of the Preliminary Oral Defense of the Dissertation Proposal] is signed. If there are no changes required at the conclusion of the Preliminary Oral Defense, Forms 13, 7, & 8 can be completed and submitted. Otherwise, the completed Form 7 should be submitted and the required modifications have been satisfactorily completed. The student then will obtain signatures from his or her committee on Form 8 and submit it to the DPEL office.

If the research plan includes human subjects, appropriate clearances must be obtained. See Section 9, “Human Subjects Research Procedures Information and Possible Exemptions.”

Preparing for the Preliminary Defense

The research proposal consists of a draft of the first three chapters (the introduction, the literature review, the methodology) and references. This proposal (Chapters 1-3) will inform prospective committee members of tentative research plans. Students working with the dissertation committee should note:

- Students are required to use the dissertation template available on the DPEL website.
- It is recommended that the student frequently consult with her or his dissertation chair and dissertation committee.
- It is necessary to give the dissertation chair and committee members sufficient time to read the proposal and provide feedback. Committee members typically need two to three weeks to read, consider, and comment on drafts.

- The student must schedule meetings, such as the Preliminary Oral Defense, with the dissertation committee.
- When an acceptable date/time is agreed upon, the student should contact the DPEL office to arrange for meeting space and/or videoconference facilities.

**Section 9: Human Subjects Research Procedures Information and Possible Exemptions
(Institutional Review Board – IRB)**

DPEL students wishing to conduct research involving human subjects are required to review the policies and procedures for research involving human subjects at CSUB. Following the completion of the Preliminary Oral Defense, students must submit their research protocol to the CSUB Institutional Review Board (IRB).

The human subjects review process is very important and is taken very seriously. Any violations of campus or federal human subjects' protection policies can have catastrophic results. The university can lose all federal funding and be banned from receiving future funding. Please read all requirements. The latest version of the CSUB Policy and Procedures for Research with Human Subjects may be obtained from

<http://www.csub.edu/grasp/research%20compliance/irb/>

Failure to read and understand the requirements or to fill out the forms correctly will result in major delays in your research. You may not begin doing your research until you have received approval from the IRB to do so. You must be a student enrolled at the university in order to conduct any research involving human subjects.

Section 10: Writing the Dissertation

After completing the Preliminary Oral Defense, the student carries out the research plan described in the approved proposal, collects data and analyzes it, and continues writing the dissertation. The student's dissertation committee serves to guide the student in this endeavor.

The student should work with the dissertation committee chair to develop a system for reviewing drafts and for sharing drafts with other committee members at appropriate times. The student should allow the faculty members at least three weeks for a thorough reading of the last draft. The student should submit drafts of the dissertation to committee members in appropriately typed form. The completed final draft also includes the abstract, copyright page, title page, acknowledgments, table of contents, lists of tables and figures, references, and appendices.

The student will submit the manuscript to dissertation committee members for a final reading. It is the student's responsibility to pay for all production expenses such as copies, postage, and envelopes.

Section 11: The Final Oral Defense

Prior to scheduling the Final Oral Defense, the student's dissertation committee should carry out a thorough review of the completed dissertation to ensure that the manuscript will be ready for final typing following the defense. Form 9 [Scheduling of Final Oral Defense of the Dissertation] must be submitted three weeks prior to the defense so the defense can be publicly posted. Additionally, the dissertation is to be submitted for the final program-level APA format review and the student is to register his or her intent to submit the dissertation to the Division of Graduate Studies through their website.

NOTE: It is the student's responsibility to set a date for the final defense and to acquire faculty signatures after consultation with the dissertation committee.

During the Final Oral Defense, students will make a public presentation based on their dissertation projects. The details of place and time for dissertation presentations will be publicly announced in order to permit interested faculty and students to attend and ask questions. The announcement of the student's Final Oral Defense must be posted at least one week in advance of this formal meeting. The DPEL administrative office staff will not post the student's Final Oral Defense until he/she has an approved DPEL Form 9 [Scheduling of the Final Oral Defense of the Dissertation]. The Final Oral Defense may be scheduled to take place on campus during the academic year. The Final Oral Defense can be scheduled at other times upon approval of the chair and the DPEL Director.

The Final Oral Defense is conducted as an open forum guided by the candidate's dissertation chair and dissertation committee. The committee will use Form 14 [the Final Oral Defense Rubric] to evaluate the student's defense. The purpose of this formal meeting is threefold: 1) to examine and assess the quality of the dissertation, 2) to evaluate the ability of the

student to present work, and 3) to provide an opportunity to share the work with the campus community.

There are three possible outcomes of the Final Oral Defense:

1. The Defense is satisfactory and the manuscript is accepted as submitted with only minor copy editing revisions. The dissertation committee members sign DPEL Form 10 [Completion of the Final Oral & Written Defense of the Dissertation], and may, at this time, also sign the Committee Membership/Approval Page.

2. The Defense is satisfactory, but the need for substantive revision of the manuscript is apparent. The dissertation committee members sign DPEL Form 10, but withhold their signatures from the Committee Membership/Approval Page until changes have been made that satisfy the requirements of all members.

3. The Defense is judged to be unsatisfactory. This decision may be reached because the dissertation is judged to be acceptable but the student fails to present it satisfactorily or because the dissertation is unacceptable. Committee members do not sign the DPEL Form 10 or the Committee Membership/Approval Page. A second Final Oral Defense may be scheduled when the dissertation chair finds that the student is prepared and the dissertation committee members agree that the required remediation has been accomplished.

It is strongly recommended that students bring the Committee Membership/Approval Page (laser printed on appropriate paper) to their Final Oral Defense and have dissertation committee members sign the page at that time if the outcome of the defense is satisfactory. This will eliminate problems in obtaining signatures at a later date.

Submitting the Final Manuscript

Once the dissertation is approved by the dissertation committee (i.e., the student has “passed” the final defense), the completed Form 10 [Completion of the Final Oral & Written Defense of the Dissertation] is to be submitted to the DPEL office. The manuscript must be fully compliant with APA format. The dissertation must then be approved by the Graduate Student Center (GSC) prior to the conferring of the degree. Dissertations are to be submitted to the GSC in accordance with the specified dissertation submission procedures, available on the GSC website. Additional instructions for procedures regarding dissertation, submission, fees, and binding requirements will be provided at a later date.

Section 12: Applying to Graduate and Graduation

Applying to Graduate

Students should refer to the website of the CSUB Office of Admissions of Records at <http://www.csub.edu/admissionsandaid/graduation/> for information regarding graduation application procedures. **All incomplete grades must be cleared before the degree can be posted to the student transcript.**

Policy on Graduates Participating in the Graduation Ceremony

Students will be permitted to participate in graduation ceremonies (including hooding and commencement) only after final changes have been made to the dissertation as required by the dissertation committee, the dissertation committee chair has signed all forms related to the completion of the dissertation, and the final dissertation document has been sent to the Division of Graduate Studies for final review. Students must also meet all pertinent program and university timelines pertaining to graduation.

Graduation Ceremony and Hooding

Commencement ceremonies are usually held in May at CSUB. The doctoral graduates are given special recognition during this ceremony. Students are encouraged to attend the ceremony. Information regarding doctoral regalia can be obtained from the CSUB bookstore. Regalia may be ordered from the bookstore for hooding and the commencement ceremony.

Section 13: Program Support for Doctoral Student Attendance at Conferences

The aim of this policy is to provide support to current doctoral students to further their research and eventual publication of that research.

- A. In order to qualify for an award, a student must have been accepted to present either a paper or a poster at a research conference.
- B. Current students in good academic standing who have been accepted to present a paper or a poster at a national or international education conference will be given priority.
Students who have been accepted to present at a notable state conference will be given secondary consideration.
- C. Students may apply for more than one award throughout the program, but priority may be given to first-time presenters.
- D. Funding is based on the amount of funds the program receives from year-to-year and how many students apply for a Graduate Conference Travel Grant in any given year. The DPEL Director will determine priority and how the funds are granted.
- E. The DPEL Director will send awarded students a memo with the amount of the award.
- F. Students should request funding by completing Form 12 [Graduate Conference Travel Grant Application] and the Travel Authorization Request form (which can be obtained from the program Administrative Support Coordinator [ASC]). Students will be required to submit supplemental documentation with their applications including a letter of acceptance from the conference organizers, a summary of the paper or poster to be presented, a signature representing a recommendation from an instructor in the doctoral program, conference information, and budget information.

- G. Students may request funding to reimburse the cost of conference registration, transportation, per diem, and lodging. It is highly unlikely that any award will cover 100% of travel expenses. Therefore, students are expected to cover some expenses either themselves or from another source.
- H. If students choose not to accept an award once it has been offered, they must let the DPEL Director know, in writing, within two weeks of the award offer.
- I. The award will be presented after completion of travel and upon receipt of acceptable expenses on appropriate forms. The student may submit and receive payment for expenses already paid for before the conference if desired, but should do so all at one time. It is understood that in such a case, if the student does not attend the conference, all expenses paid must be reimbursed to the DPEL office.
- J. The student must complete all paperwork for reimbursement of expenses within two weeks of returning from the conference.

Memorandum of Understanding

I, _____, a student in the Doctoral Program in Educational Leadership (DPEL) at California State University, Bakersfield, acknowledge receipt of this handbook and understand that I am responsible for complying with its contents. I further understand that the content of this handbook may change as guidelines change.

Student Name (Printed)

Student Signature

Date