2019-20
STUDENT HANDBOOK
Ph.D. in Higher Education Leadership & Policy Studies

UNIVERSITY of
HOUSTON
COLLEGE of EDUCATION
Educational Leadership & Policy Studies

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Note: This handbook is provided as a guide for students in the Higher Education program and should be consulted in conjunction with official University policies. The information provided herein strives to be as accurate as possible as of August 15, 2019 but requirements, policies, programs, course numbers, etc. may change in the course of the year, thus making some information inaccurate or outdated. Please refer to the UH website for the most up-to-date information.

INTRODUCTION

PURPOSE OF THIS HANDBOOK
This Handbook is intended for students in the Department of Educational Leadership & Policy Studies (ELPS) in the College of Education (COE) at The University of Houston (UH). It provides an overview of program requirements, policy, rules, and regulations. The information included is designed to facilitate students' progress toward the attainment of their degree objectives. ***The purpose of this handbook is to supplement and clarify – not supersede – policies and procedures provided at the College of Education or University of Houston level.***

GOALS OF THE PROGRAM
The Ph.D. program in Higher Education Leadership & Policy Studies is grounded in a philosophical belief in the transformational nature of higher education as an institution of social change. As such, the primary objectives of the Ph.D. program in HELPS are to advance scholarship, research, and practice around issues of access, equity, affordability, student learning, degree completion, and excellence in higher education. Ultimately, these efforts are intended to strengthen education at the local, state, national, and international levels and further equity of opportunity for all students, but particularly those traditionally underserved by our current systems. Successful progress through the program requires academic, intrapersonal, interpersonal, and professional skill development. Participation in the program necessitates that the students balance their personal commitments (e.g., current employment, family, personal health) with the professional development commitments associated with the program.

UNIVERSITY OF HOUSTON GRADUATE & PROFESSIONAL STUDIES CATALOG
It is important for all students to read the catalog and be familiar with the requirements and policies currently in effect for all graduate students at the University of Houston. The catalog is available online at www.uh.edu/grad_catalog.

Specifically: It is the responsibility of students to be aware of rules and regulations. As such, please view the *Graduate Catalog* to review all policies regarding, but not limited to:

- Academic honesty
- Dropping courses
- Examinations
- Leave of absence
- Low Grade Policy
- Plagiarism

- Time Limitations on Completion of Degree
- Requirements
- Transfer Credit
- Withdrawal
- Graduation

UNIVERSITY OF HOUSTON WEBSITE
The UH website available at http://uh.edu/ contains policies in regard to student business services including tuition/fees amounts, payment options with due dates, and refunds; academic calendar; enrollment schedules; and more.

COE OFFICE OF GRADUATE STUDIES WEBSITE
The COE Office of Graduate Studies (OGS) provides leadership and continuous support for all graduate programs, faculty and students in the College of Education. COE policy information is available on the OGS website at http://www.uh.edu/education/student-services/graduate-office/.

DEPARTMENT OF EDUCATIONAL LEADERSHIP AND POLICY STUDIES WEBSITE
Please visit http://www.uh.edu/education/departments/elps/ for information about the department, mission, degree programs, faculty and staff, ELPS centers and institutes, testimonials, and more.

MYUH
The University of Houston is a student-focused, yet self-service, academic community. As such, students must complete many administrative actions themselves. Through the *myUH* portal, students may check admission status, register for classes, reserve parking, reset passwords, add classes, view financial aid, make payments, download 1098Ts, and much more by visiting https://accessuh.uh.edu/login.php.

Students are required to update MyUH related to all personal contact information such as phone numbers, mailing addresses, and destination email addresses change.

MYADVISOR
The *MyAdvisor* portal is the electronic interface for student services in the College of Education. Students use this online application primarily to document their progress toward the degree and to submit required forms for approvals. Please note that students must use their UH CougarNet credentials to log into the *MyAdvisor* application by accessing https://www.coe.uh.edu/MyAdvisor/login.cfm.

Detailed information pertaining to *MyAdvisor* usage is provided within the handbook.

FACULTY ADVISOR AND DEPARTMENTAL STAFF
Your faculty advisor and administrative staff within the Department of Educational Leadership & Policy Studies also serve as resources and will provide guidance on where to go in order to get more information about particular University of Houston, College of Education, and ELPS policies and procedures. Information about these policies and procedures as well as program requirements not described in this handbook can be discussed with your faculty advisor.

Visit the ELPS website at http://www.uh.edu/education/departments/elps/ to access faculty and staff contact phone numbers and email addresses.

COHORT CAPTAIN
During the first semester of enrollment, each incoming cohort will be assigned a Cohort Captain from within the cohort. This student will serve as the primary representative for the particular cohort. Responsibilities include reporting any issues or concerns that arise within the cohort to the ELPS program staff.

HIGHER EDUCATION FACULTY

Vincent D. Carales, Ed.D.
Assistant Professor
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Farish 462

Dr. Vincent D. Carales received his Bachelor's degree in Mass Communications and Master's degrees in counseling and guidance from Texas State University. He received his doctorate's degree from the University of Texas at San Antonio. His research interests include understanding the experiences and educational outcomes of first generation, Latino, low-income and community college students. He is also interested in examining federal, state, and institutional policies related to diversity, equity, and college affordability. Dr. Carales has over 20 years of higher education experience which includes working as an orientation assistant in admissions at Colorado State University and Texas State University as an undergraduate student. He has also worked professionally as an outreach financial aid counselor at The University of Texas at Austin and as a school consultant and account executive at Texas Guaranteed Student Loan Corporation (TG). Dr. Carales is an active member of the Texas Association of Chicanos in Higher Education (TACHE), American Educational Research Association (AERA), Association for the Study of Higher Education (ASHE), and the Council for the Study of Community Colleges (CSCC).

Tiffany J. Davis, Ph.D.
Clinical Assistant Professor/ M.Ed. Program Director
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Farish 426

Dr. Tiffany J. Davis has taught courses related to administration and finance of student affairs, research and assessment methods, current issues in higher education, and internship experiences in educational leadership. Dr. Davis' current scholarly endeavors focus on the pipeline to and socialization within the higher education profession, contingent faculty within the academy, and the experiences of Black students in higher education. Dr. Davis' professional background includes administrative experiences across various functional areas including residence life, multicultural affairs, fraternity and sorority life, first year programs, undergraduate research, TRiO Programs, service-learning, and leadership programs. Dr. Davis remains active in professional associations including NASPA, ACPA, and ASHE. Dr. Davis earned her Ph.D. in Counseling and Student Personnel Services and a graduate certificate in Interdisciplinary Qualitative Studies at the University of Georgia, a master's degree in College Student Personnel and graduate certificate in Organization Development and Change from Bowling Green State University, and a bachelor's degree in Human Ecology from the University of Tennessee.

Elsa Gonzalez, Ph.D.
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Farish 429

Dr. Elsa Gonzalez previously held a faculty position in Texas A&M University- Corpus Christi from 2014 to 2017 and was Visiting Assistant Professor and Senior Research Associate in the department of EAHR in Texas A&M University-College Station since 2004, in those institutions she served as the instructor in fifteen graduate courses from Leadership to Qualitative Research; she also has served as the dissertation advisor for 34 doctoral students. Dr. Gonzalez is the Regional Editor of the International Journal of Qualitative Studies in Education (QSE), and Honorary Professor from Xian Jiaotong University, in China. She serves as Energy Fellow for the UH Energy initiative of the University of Houston. She is the author of 26 publications and 40 proceedings and conference papers, she has served as co-investigator in funding for 1.5M dollars from IES, and Co-PI in grant submission for 12M dollars to NSF and TEA, including a proposal for HRD-NSF ADVANCE for the Texas A&M University System as the Evaluation Team Leader. Her research interests include higher education leadership, methodological issues in cross-language qualitative data analysis, women in higher education, and access and retention of underrepresented students. She has professional and academic leadership experience as bilingual scholar in higher education institutions in Mexico, Spain, USA, and China.

Catherine Horn, Ph.D.
Professor and Chair, Department of Educational Leadership and Policy Studies
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Farish 439

Dr. Catherine Horn focuses on the systemic influences of secondary and postsecondary assessment and related policies on the learning trajectories of students especially for students traditionally underserved by the education and social sectors. Prior to joining the University of Houston, she worked as Research Associate for The Civil Rights Project at Harvard University; Senior Research Associate for the Center for the Study of Testing, Evaluation and Educational Policy's National Board on Educational Testing and Public Policy at Boston College; and a teacher at Jefferson Davis High School in the Houston Independent School District. Dr. Horn has been honored with numerous awards including, most recently, a Fulbright Fellowship to Chile, a University Teaching Excellence Award, and appointment as an inaugural University of Houston Energy Fellow.

Lyle McKinney, Ph.D.
Associate Professor
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Farish 481

Dr. Lyle McKinney studies college affordability and degree completion. His particular interests cover understanding college experiences and outcomes of lower-income students. Overall focus of his research has explored community colleges, financial aid, and higher education policy. Dr. McKinney's overreach goal aims to aid in the development of public policies and institutional practices that significantly increase the rates of success among students from less advantaged backgrounds. Dr. McKinney earned his Ph.D. from the University of Florida.

Yali Zou, Ph.D.
Professor & University Endowed Professor and Director, Asian American Studies Center
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Farish 452A

Dr. Yali Zou founded the Asian American Studies Center in 1995 as an interdisciplinary academic institute. The center provides University of Houston students with academic courses, research opportunities, study abroad programs to China, and international student and scholar exchange programs. She has taken this program, and created a global leadership program providing leadership training for more than 2,000 Asian public officials, education leaders, and business executives in the past 21 years. Dr. Zou has been a professor at the College of Education for over 20 years. She earned a doctorate in Social and Cultural Foundations at the University of California at Davis. Dr. Zou attended UC-Davis with the intention of studying education management and going back to China to work in higher education. However, her experiences with the clash of cultures she encountered led her to change course to cross-cultural studies, a field she finds fascinating. Dr. Zou has published six books about the power of education, immigration issues, ethnic identity and cultural politics as well as cross-cultural and transnational understanding of education.

Dr. Alexander F. Schilt, *Professor Emeritus*

Over 20 plus years, Alex Schilt served as president or chancellor of four universities in three states. He is acknowledged as a prolific fund raiser, an articulate spokesperson for funding excellence in America's public universities and enhancing cultural understanding and economic progress through university partnerships in Latin American and Asia. Today he continues to support all of the above through his position as Professor of Educational Psychology at the University of Houston. He is part of a faculty team dedicated to preparing students for faculty and leadership positions in colleges and universities. The foundation for preparing students is threefold: the principles of educational psychology, theory and practice of research methods and the culture, history and leadership of American higher education.

Dr. Paula Myrick Short, *Senior Vice President for Academic Affairs and Provost, UH*

Paula Myrick Short came to the University of Houston July 2012 as Distinguished Professor and Founding Director of the Institute for Policy, Research, and Evaluation. In January 2013, she was appointed Interim Senior Vice Chancellor for Academic Affairs, UH System and Interim Senior Vice President for Academic Affairs and Provost, University of Houston. In June 2013, her appointment was made permanent.

Prior to joining the University of Houston, Dr. Short served as Vice Chancellor for Academic Affairs for the Tennessee Board of Regents since 2001. The Board of Regents is the 6th largest governing board system of higher education in the United States serving over 210,000 students. As Chief Academic Officer, she had major system-wide responsibilities including approval of new academic programs and supervision of initiatives in TBR strategic planning, institutional effectiveness, Regents Online Degree Program, student learning, program review, faculty development, research, student affairs, and transfer and articulation. Prior to serving on the Board of Regents, Dr. Short was Associate Vice President for Academic Affairs for the University of Missouri System and Department Head of Educational Leadership and Policy Studies at the University of Missouri-Columbia where in her third year as Head, led the Department to a ranking of #15 in the US News and World Report.

*Detailed ELPS core faculty information is available at http://www.uh.edu/education/departments/elps/faculty/

**Note: Adjunct faculty vary by semester given the subject matter of the specific course offered at the time.

COURSEWORK AND BENCHMARK REQUIREMENTS

The curriculum for the HELPS Ph.D. program involves the completion of specific coursework that includes foundations of educational theory, leadership and administration, public policy, statistics, and research methodology. Completion of the program typically requires at least three years of full-time study and four years of part-time study, inclusive of coursework, candidacy research project, comprehensive exam, and dissertation.

Since degree plans are enhanced periodically to support continuous improvement planning objectives, students will follow their approved degree plan that is in place at the time in which they complete an official, approved degree plan.

COURSE INFORMATION

UH COURSE LISTING
The *UH Course Listing* allows students to search for, and receive, information regarding available courses for each semester. It is available at http://www.uh.edu/academics/courses-enrollment/class-schedule/.

COURSE AND BENCHMARKS INQUIRIES
The specific course sequencing for each incoming cohort will be provided at the beginning of the program. Contact your advisor regarding questions related to course content, course sequence, and benchmarks.

COURSE REGISTRATION VIA MYUH ASSISTANCE
Contact Ms. Yonelly Gutierrez, ELPS Program Manager (ygutier6@central.uh.edu) regarding assistance with course registration in *MyUH*. Students need to be sure to make payment in order to register if a financial hold is posted in *MyUH*. Contact the Office of Student Business Services at http://www.uh.edu/about/offices/enrollment-services/student-business-services/ with questions related to financial holds. Students may register once the financial hold is cleared.

Enrollment Schedule
Students can begin planning the registration timeline by viewing http://www.uh.edu/academics/courses-enrollment/enrollment-schedule/index.php.

Core Requirements
In the first two full years of studies (i.e., fall, spring and summer in each year), students in the HELPS doctoral program are required to complete at least 6 hours of coursework each semester (i.e., Fall, Spring, and Summer) to satisfy doctoral residency requirements. Students should reference the schedule of course offerings and, in consultation, identify the courses required for a given semester.

A.   Program Core Requirements (30 hours)

Students in the HELPS doctoral program are required to complete a Program Core consisting of 10 courses (30 hours). The 10 required courses are listed below.

Course Number	Course Name
CUST 8378	Current Issues in Education
CUST 8375	History and Philosophy of Higher Education
ELCS 7371	Higher Education Law
ELCS 8331	Finance in Higher Education
ELCS 8332	Student Development in Postsecondary Institutions

ELCS 8335	Seminar in Adult Education
ELCS 8338	Administration of Higher Education in Multicultural Settings
ELCS 8355	Policy, Politics, and Governance of Education
ELCS 8360	Studies in Postsecondary Education
ELCS 8397	Seminar Topics in Educational Leadership and Cultural Studies

B.   Research Methods Core Requirements (15 hours)

Students in the HELPS program are required to complete a Program Area Core consisting of 5 courses (15 hours).

Course Number	Course Name
EDRS 8380	Research Methods in Education
EDRS 8382	Inferential Statistics
SAER 8320	Ethnographic Research
ELCS 8330	Statistical Analyses for Non-Experimental Research in Educational Settings
Additional Methods Course with Advisor Approval	

C.   Independent Research Requirements (9 hours min)
Students in the HELPS program are required to satisfy two major research requirements: (1) the candidacy research paper, and (2) a doctoral dissertation. Both of these projects typically involve the collection, analysis, and interpretation of quantitative and/or qualitative data.

a) SAER 8388 Residency Research Course (3 hours)
The Residency Research Course is designed to facilitate the development of the proposal of each student's candidacy research paper under the guidance of the course instructor. The candidacy paper requirement may be waived if students previously have completed a Master's thesis. Discuss this possibility with your advisor.

b) ELCS 8399 Dissertation (for a total of at least 6 hours)
As described in more detail below, students are required to complete at least 6 hours of Dissertation during the course of their studies. Three (ELCS 8399) of the six dissertation hours must be taken in the semester when students complete their Doctoral Dissertation (i.e., the semester of final defense of the dissertation). Students may register for additional dissertation hours, but only 6 hours may be listed on their degree plan. After first enrolling in dissertation hours, a student must be continually enrolled in dissertation hours (at least 3 hours) every Fall/Spring semester until he/she graduates.

D.   Specialization Electives (minimum 12 hours)
Students in the program are required to pursue one of the four Areas of Specialization within the program. These areas include *Equity and Social Justice, International Perspectives, Policy and   Politics*, and *Research Methods*. Although all students in the program gain some background in these areas through the Program Area Core courses, students within each area add to their expertise by selecting electives relevant to a particular area of specialization. For these electives, students are encouraged to pursue coursework pertinent to their individual career goals, including courses offered by faculty within the Educational Leadership and Policy Studies Department as well as courses offered by other departments in the College of Education, and those related to the fields of sociology, economics, political science, and other behavioral and social sciences. These electives should be identified in consultation with the student's academic advisor.

Sequence of Courses

A typical sequence of courses for a student in the HELPS program is listed below. This <u>sample</u> reflects the minimum 66 credit hours required to complete the degree. Any particular student's sequence of course-taking and the number of courses completed will depend on that student's academic background, area of specialization, and the courses that are offered in Educational Leadership and Policy Studies and other departments during their matriculation

Doctoral Residency
The University of Houston requires that doctoral students complete a period of full-time residency consisting of one academic year of continuous full-time enrollment. That is, students must complete contiguous Fall and Spring semesters with an enrollment of at least nine hours of coursework each. Alternatively, students can establish residency through enrollment in six semester credit hours in 3 consecutive semesters.

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SELECTED BENCHMARKS EXPLANATIONS

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There are four (4) key benchmarks within the HELPS Ph.D. Program: Doctoral Residency Report, Candidacy Research Project, Comprehensive Exam Portfolio, and Doctoral Dissertation. These benchmarks are scaffolded in a way that assists students in developing the requisite knowledge, skills and dispositions for graduate student socialization, as well as to successfully complete this doctoral degree.

Doctoral Residency Report – Professional Development Activities
In addition to full time enrollment, students in the HELPS program are required to satisfy a Professional Development requirement during their first year in the program.
Students are required to complete a separate **Residency Report** via *MyAdvisor* following the Fall and Spring semesters of their first year in the program that will serve to satisfy their doctoral residency/ professional development requirements. Copies of this form are available online at *MyAdvisor*. These forms must be approved by the student's academic advisor, the Ph.D. program director, the chair of the department, and the Dean or his/her designee.

Within the residency *year* (Fall and Spring semesters of the first year), the following professional development activities are required. Activities completed each semester should be listed on separate Residency Reports for each semester. At a minimum, students should complete activities and list them on the first page of the Residency Report for each semester. Students should consult with their advisor regarding selection of additional activities that will augment their academic preparation in scholarship, teaching, and service, such as attending presentations of scholarly speakers at the University of Houston or elsewhere (e.g., Rice University, the Medical Center, in the community), and assisting other doctoral students with data collection, etc.

1. Attendance at least one defense of a candidacy research proposal in Educational Leadership and Policy Studies.
2. Attendance at least one defense of a candidacy research final paper in Educational Leadership and Policy Studies.
3. Attendance at least one defense of a dissertation proposal in Educational Leadership and Policy Studies.
4. Attendance at least one defense of a dissertation final paper in Educational Leadership and Policy Studies.
5. Attendance at a local, state, or national conference that pertains to education or a relevant social science. The sessions attended may be listed as additional activities.
6. Attendance at academic or professional conference, sponsored by the College of Education, when offered.

7. Attendance at a higher education conference, sponsored by the University of Houston or other Institution of Higher Education in Houston (e.g., Rice University, Texas Southern University, Prairie View A&M University, Houston Community College, etc.).
8. Membership of the Higher Education Student Association (HESA) at University of Houston.
9. Student membership in a professional organization (e.g., American Educational Research Association (AERA), Association for the Study of Higher Education (ASHE), NASPA – Student Affairs Administrators in Higher Education, ACPA – College Students Educators International, Council for the Study of Community Colleges (CSCC)
10. Serving as a peer reviewer for an academic conference (e.g. AERA, ASHE, CSCC, etc.) or peer-reviewed journal.

CANDIDACY RESEARCH PAPER

HELPS doctoral students must complete a candidacy research paper before they are eligible to have their Comprehensive Examination Portfolio submission materials officially reviewed. Students are expected to conduct a research project within the general domain of higher education. Students who previously have completed a Master's Thesis may petition to have the thesis count for the candidacy research requirement. Consult with your academic advisor regarding this matter. The goal of the candidacy research paper is to help students acquire the necessary skills to conduct research. While research skills are taught in the context of research methods and statistics courses, the candidacy paper allows students to apply and practice their research skills under the mentorship and direct guidance of members of the faculty. The candidacy research paper may or may not be related to the topic area the student selects for his/her dissertation.

Students are advised to start planning their candidacy research paper early in their program of study. The progress of a student could be delayed significantly if a candidacy research paper is not completed before the Spring semester of the second year. Students who believe they have completed a Master's thesis that might allow this requirement to be waived should discuss the possibility and the procedures involved in this process with their advisor. **The candidacy research paper requirement must be successfully completed (or waived) before a student will be eligible to have their Comprehensive Examination Portfolio officially reviewed.**

The following are some guidelines for doctoral students regarding the completion of a candidacy research paper:

Forming a Candidacy Committee
a. A student's Candidacy committee must consist of at least three members. The candidacy committee must be chaired, or co-chaired, by a core program faculty member (tenured or tenure-track) of the HELPS program. The faculty member who directs the student's candidacy research project becomes the student's research advisor. If the research area of a student is not matched by members of the HELPS core program faculty, the student should consult with his/her academic advisor in order to identify an outside person to co-direct the candidacy paper and serve as co-chair of a student's candidacy committee.
b. The student and his/her candidacy chair identify individuals to serve on the student's committee based on the nature of the research questions and the methods adopted. It is important for the committee to consist of individuals who can provide conceptual and methodological support for the student's specific research area. In all cases the committee must have at least two core program faculty members with appointments in the Department of Educational Leadership and Policy Studies. The candidacy committee must also include a designated methodologist. To this effect, the student must complete and submit a departmental *Appointment of Candidacy Research Committee* form online via *MyAdvisor* [attached to a *general petition*]. This form must be approved by the Chair of the candidacy committee.

c. If there is a need to invite an outside member because of his/her special expertise, this outside person can serve as the third person of the committee. Outside committee members can be from outside the University of Houston but must hold a Ph.D. or other terminal degree in a relevant field.[1]

Candidacy Research Proposal Defense
a. Students work closely with their Chair to identify a set of research questions, and write a proposal describing the research project. The proposal should include a title page (with signature lines), 100-200 word abstract, a review of relevant literature, a description of the research questions, and a description of the specific methodology to be employed.
b. A formal oral defense of the proposal is required. A final defense draft of the proposal must be submitted to all the members at least 10 working days prior to the defense date. Following a successful defense, a copy of the abstract and a cover sheet that includes the title, student name, committee members (with signatures), and date of the oral defense of the proposal should be retained by the student and provided to each committee member. In addition, a copy of the cover page (with signatures & proposal defense date) and abstract should be uploaded in *MyAdvisor* as an attachment to a *general petition* after the student has successfully passed the candidacy research paper proposal defense.

Data Collection and Initial Drafts for Candidacy Paper
a. Students' candidacy research papers involve data collection (quantitative, qualitative, or mixed methods) or the use of archival data. **Students must obtain approval from the University Committee for the Protection of Human Subjects before initiating their research work.** Information regarding human subjects approval is available from the *Office of Policies, Compliance, and Committees* (www.research.uh.edu).
b. After data are collected and analyzed, the student is required to write a draft of the candidacy paper. The initial draft is typically written with input and guidance primarily from the student's chair and methodologist. The student should obtain feedback from other committee members when appropriate. All committee members must have an opportunity to provide feedback and suggest revisions before the final defense copy of the paper is completed.

Candidacy Research Final Defense
a. The final defense version of the paper must be presented and approved by the candidacy paper committee in a final oral defense meeting. A final defense draft of the candidacy paper must be submitted to all the members at least 10 working days prior to the defense date. The format, length, and style of the final candidacy paper should be consistent with those identified in the instruction to authors for a journal in which the paper might typically be published. The final version must also include a cover page and 100-200 word abstract.
b. Upon successful completion of the final oral defense of the candidacy research paper, the student is required to submit a **Departmental Candidacy Report** form (available online at *MyAdvisor)*. This form must be approved by the Chair of the candidacy committee. The student should also submit a copy of the cover page (with signatures & final defense date) and abstract in *MyAdvisor* as an attachment to the *Departmental Candidacy Report* form.
c. The quality of these projects must warrant submission for presentation at regional or national association meetings and/or publication in appropriate refereed journals.

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[1] Students must upload the CV and contact information for outside committee members in *MyAdvisor* (as an attachment to a *general petition* together with the *Appointment of Candidacy Research Committee* form).

COMPREHENSIVE EXAMINATION PORTFOLIO

All students in the HELPS program are required to submit a Doctoral Comprehensive Examination Portfolio and pass the faculty review of this portfolio. This section describes the current requirements, policies, and procedures regarding this process.

Timeline
Students are advised to become familiar and initiate work on the components of the Doctoral Comprehensive Examination Portfolio in the first year of doctoral studies. **It may take two or more years to satisfy all requirements.** Students must have successfully defended their candidacy paper before they can submit materials or be reviewed for the Comprehensive Examination Portfolio. Successful completion of the Comprehensive Examination Portfolio must occur before the student will be permitted to form a committee and defend the proposal for his/her dissertation. Students are required to submit their portfolio for review at least one time no later than during the student's third year of doctoral studies. Students have three opportunities per year to submit their portfolio materials. Typically, these deadlines will occur at the end of each academic semester and will be announced via the program listserv. Exact dates for the application deadlines are available in the Department of Educational Leadership and Policy Studies office (Rm. 112 FH) or electronically from the Chair of the Doctoral Comprehensive Examination Portfolio Evaluation Committee. In order to initiate a review of their portfolio, students should complete the ***Doctoral Comprehensive Examination Portfolio Application*** forms available online through *MyAdvisor* The application should be submitted the semester in which the student plans to submit their portfolio – no early applications will be approved.

Required Components and Supporting Evidence
The Doctoral Comprehensive Examination Portfolio requires students to gather and present evidence that they have successfully completed activities/requirements in each of six <u>components</u> that together make up the portfolio. The six components include 1) Doctoral Comprehensive Examination Submission Form, 2) Goal Statement and Curriculum Vita, 3) Foundations of HELPS Program, 4) Scholarship, 5) Teaching, and 6) Professional Development. A more detailed description of the requirements of each component can be found in the Department of Educational Leadership and Policy Studies office (Rm. 112 FH) or obtained electronically from the Chair of the Doctoral Comprehensive Examination Portfolio Evaluation Committee. Except where specifically noted in these policies or previously approved, accomplishments or experiences substantially completed *prior* to initial enrollment in the HELPS program *cannot* be used to satisfy any of the portfolio components. It is in the best interest of the student to consult with his/her advisor from the beginning of the doctoral studies as to the best way to match portfolio components to the student's career goals. The importance of seeking faculty input on these matters cannot be overstated! Students must provide specific supporting evidence to document that they have successfully completed each of the necessary components of the Comprehensive Examination Portfolio. Materials must be submitted on-line via *MyAdvisor* (signed forms or other artifacts should be scanned and submitted as PDFs). In addition, faculty on the Doctoral Comprehensive Examination Evaluation Committee may request specific additional materials when necessary to better document the successful completion of any component.

Evaluation Procedures
Portfolio materials are reviewed by a Doctoral Comprehensive Examination Evaluation Committee. Each member of the Evaluation Committee will consider independently all materials submitted by each student. Next, the Evaluation Committee will meet to complete a single *Doctoral Comprehensive Examination Evaluation Form* for each portfolio. Using this form, the Evaluation Committee will assign a score of Pass or Fail to each of the individual aspects that comprise each component. A minimum of two committee members must agree that the student has fulfilled the necessary requirements for any

particular aspect within each component in order for the student to be assigned a Pass and successfully complete that portion of the portfolio. In addition, each of the six components will be assigned a score of Pass/Fail and the portfolio as a whole will be given an overall score of Pass or Fail. Each aspect of each component must be rated as a Pass in order to get a Pass for that component, and all six components must receive a Pass in order for the overall portfolio to be given an overall score of Pass. The Evaluation Committee will indicate in writing some explanation as to why a student has failed to pass the doctoral comprehensive examination and identify any specific deficiencies needing improvement.

Remediation
If a majority of the Evaluation Committee determines that the student has not fulfilled the necessary requirements for any particular component of the portfolio, the student has failed that component and cannot pass the overall Comprehensive Examination Portfolio. For any subsequent submission deadline, students can revise and resubmit their portfolio materials. Any specific portfolio components that were passed in the first doctoral comprehensive examination submission will be considered passed for the second doctoral comprehensive examination submission and not be evaluated again. The student will only be required to resubmit supporting materials (i.e., revised doctoral comprehensive examination submission form, revised supporting evidence) for the doctoral comprehensive examination component(s) that he/she did not pass on a first attempt. Alternatively, the student may opt to submit supporting materials for a specific doctoral comprehensive examination component that was not previously reviewed by the doctoral comprehensive examination evaluation committee but also satisfies the requirements and in this sense replaces the originally reviewed component.

A doctoral student can apply and submit Comprehensive Examination Portfolio materials for review a maximum of two times. A student who fails to pass all components of the Comprehensive Examination Portfolio upon the second attempt will be terminated from the HELPS program and become ineligible for the degree.

DOCTORAL DISSERTATION

The final milestone in the HELPS program is the completion of a doctoral dissertation. A student is expected to complete a major research study within the general domain of higher education independently but under the direction of a dissertation advisor. The HELPS program provides two options students can choose from to fulfill the dissertation requirement: the 'traditional' format, and the manuscript-based (three journal article) format. The decision regarding which dissertation format to follow should be informed by the student's scholarly and professional goals. Accordingly, before beginning their dissertation work it is imperative that each student make this decision in close consultation with the chair of their dissertation committee. Students must receive approval from their dissertation chair to conduct a manuscript-based dissertation. A supplemental document that outlines the difference between these two formats and provides guidelines for students who wish to complete a manuscript-based dissertation is included in the appendix.

The dissertation committee must be chaired, or co-chaired, by a core program faculty member (tenured or tenure-track) of the HELPS program. The college policies regarding the completion of a doctoral dissertation are presented in the *Doctoral Policies, Procedures, and Program Guide* and in the College of Education *Thesis and Dissertation Guide.* It is the responsibility of students to be aware of college rules and regulations, including those concerning the doctoral dissertation. The doctoral dissertation requires frequent communication between the faculty and the student. Students are permitted to do formal dissertation work after they have successfully completed the Doctoral Comprehensive Examination Portfolio.

> **Registration for Dissertation Credits** (6 hours minimum)**.** Once students sign up for dissertation credits they must continuously enroll for a minimum of 3 credits of dissertation every subsequent Fall and

Spring semester until the Dissertation is completed. Students typically should be enrolled in 3 credit hours of dissertation the semester they defend the Proposal. The semester of the final defense, students must enroll for 3 credits of Dissertation Hours. Summer enrollment is only required if the student is actively engaged in the Dissertation and using university resources (meeting with faculty, using library or computer resources, discussing content with faculty on the telephone or via email, requesting feedback, etc.).

The following is a step-by-step description of the dissertation process:

Forming a Dissertation Committee
a. A student identifies a core program faculty member (tenured or tenure-track) of the HELPS program to serve as a dissertation chair and research advisor. If the research area of a student is not matched by members of the HELPS core program faculty, the student should consult with his/her faculty advisor in order to identify an outside person to co- direct the dissertation and serve as co-chair of a student's dissertation committee.
b. The student works with his/her dissertation advisor to identify a general research area, the literature base of this area, and the research questions to be addressed.
c. The student and his/her dissertation chair identify individuals to serve on the student's dissertation committee based on the nature of the research questions and the method adopted. It is important for the committee to consist of individuals who can provide conceptual and methodological support for the student's specific research area.
d. A student's dissertation committee must consist of at least four members. At least two of the members of the student's dissertation committee must be core program faculty of the HELPS program with appointments in the Department of Educational Leadership and Policy Studies. One committee member must be designated as methodologist. One of the committee members may be an outside person.
e. If there is a need to invite an outside member because of his/her special expertise, this outside person can serve as the fourth or fifth person of the committee. Outside committee members can be from outside the University of Houston but must hold a Ph.D. or other terminal degree in a relevant field[2].
f. Approval is needed to formalize the committee by submitting an ***Appointment of Dissertation/Thesis Committee form*** online via *MyAdvisor*. This form must be approved by the students' advisor, the Chair of the Department, and the Dean or his/her designee.
g. Changes in a student's dissertation committee must be formally approved by the Dean or his/her designee.

Dissertation Proposal Defense
a. Students are expected to develop a dissertation research proposal under the supervision of their dissertation chair.
b. A preliminary draft of a student's dissertation proposal must be approved by all members of the dissertation committee. After the approval is obtained, the student is required to write an abstract of this proposal to be distributed electronically to all the faculty members of the College of Education at least 10 working days prior to the proposal's defense meeting. This abstract must be approved and signed by all members of a student's dissertation committee before it can be electronically posted.

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[2] Students must upload the CV and contact information for outside committee members in *MyAdvisor* (as an attachment together with the *Appointment of Dissertation Committee Request* form).

c. Students must bring a copy of the proposal's abstract signed by all members of their committee to the College of Education Records Office in order to obtain instructions and a password to post their dissertation abstracts in the University's computer system. As described in the College of Education *Thesis and Dissertation Guide,* the abstract for a dissertation should be no more than 500 words.

d. The student must schedule an oral defense of the proposal when approval is received from the dissertation committee chair and members. The Dean or his/her designee must be notified of the date and time of the proposal defense at least 10 working days before the actual date of the oral defense. This is done by the student in *MyAdvisor* (upload abstract, signed abstract cover sheet, and defense date, time, and location in the **Dissertation Abstract Proposal** portal under **Upload My Student Products**). The student must have successfully completed the comprehensive examination portfolio prior to holding an oral defense of their dissertation proposal.

e. During the scheduled oral defense, students are expected to present their research proposal to all the members of the dissertation committee. The members of the committee may approve the proposal as presented, suggest changes, or disapprove the proposal.

f. The dissertation proposal must be approved by all the members of the dissertation committee. This approval is indicated by the signatures on the front page of the dissertation proposal. The dissertation chair must inform the Dean or his/her designee in writing of the outcome of the defense. In addition, a copy of the signed cover page and abstract should be uploaded in *MyAdvisor* as an attachment to a *general petition* after the student has successfully passed the dissertation proposal defense.

IRB Training/Data Collection for Doctoral Thesis Research

Review and oversight of research involving human subjects or identifiable data derived from human subjects is the charge of a federally mandated committee called an Institutional Review Board, or IRB. The University of Houston has two IRBs, collectively known as the Committees for the Protection of Human Subjects (CPHS). CPHS is responsible for safeguarding of the rights and welfare of all persons participating in research projects.

All University of Houston faculty, staff, or students proposing to engage in any research activity involving the use of human subjects must have approval from the Committees for the Protection of Human Subjects prior to the recruitment for, and initiation of, research procedures.

It is important to remember: The University of Houston will not allow data collected prior to IRB certification, or IRB research study approval, to be utilized for any research project. Practically, the previous statement means that any student preparing to collect qualitative or quantitative data for thesis development, proposal, or doctoral thesis MUST BE certified by the University of Houston Institutional Review Board. General information is available at http://www.uh.edu/research/compliance/irb/.

Then, the student must fill out the appropriate IRB forms - and receive approval – in order to collect data. IRB training information is available at http://www.uh.edu/research/compliance/irb/hs-training/. Contact your dissertation chair with questions. Students may pursue IRB as soon as the dissertation chair agrees on the question. The proposal does not need to be defended prior to pursuing IRB.

Data Collection and Initial Drafts for Dissertation

a. Students are not permitted to carry out data collection for dissertation until the proposal is formally approved by all members of the dissertation committee after an oral defense. Data that are collected before the proposal is officially approved may or may not be considered acceptable by the dissertation committee. Students may be required to collect additional data.

b. If data collection is required**,** the student must obtain approval from the University Committee for the Protection of Human Subjects before starting data collection. Approval by this committee is also needed in cases where archival or public data is used. The approval process can take up to

one to two months. A student may apply for this approval prior to taking the oral defense of the proposal if the members of the dissertation committee approve this application. Information regarding human subjects approval is available from the *Office of Policies, Compliance, and Committees (*www.research.uh.edu).

    c.   Students are expected to carry out the research study described in the proposal under the supervision of the dissertation chair. Planning is important, and each student should meet and design a timeline with their research advisor. Students must take into consideration the time it takes to complete the data collection and analyses, and the time needed for faculty to review the paper.

    d.   After data collection and analyses are completed, students write an initial draft of the dissertation. Feedback and comments based on the initial draft should be solicited primarily from the student's chair and methodologist. The student should obtain feedback from other committee members on subsequent drafts. All committee members must have an opportunity to provide feedback and suggest revisions before the final defense copy of the dissertation is completed.

Final Draft and Dissertation Defense

    a.   A dissertation must be formally presented to the members of the student's dissertation committee. Prior to the scheduled defense, a student obtains approval from the chair and members of the committee. A final defense draft of the dissertation must be submitted to all the members at least 10 working days prior to the defense date.

    b.   Students must prepare an abstract of the dissertation (500 words or less) that meets College of Education standards and have it signed by the committee members. Students must bring a signed copy of the abstract to the College of Education Records Office in order to obtain instructions and a password to post their dissertation abstract in the University's computer system. The abstract of the final defense draft of the dissertation must be distributed electronically to all the faculty members of the College of Education at least 10 working days prior to the final oral defense meeting.

    c.   The student must schedule the final oral defense when approval is received from the dissertation committee chair and members. The Dean or his/her designee must be notified of the date and time of the final oral defense at least 10 working days before the actual date of the final oral defense. This is done by the student in *MyAdvisor* (upload abstract, signed abstract cover sheet, and defense date, time, and location in the **Dissertation Final Defense Abstract** portal under **Upload My Student Products**).

    d.   During the final oral defense, the committee may approve, suggest changes, or disapprove the dissertation.

    e.   Students must make an appointment in advance and meet with a graduate studies staff person in the College of Education Office of Graduate Studies to submit a final copy of their dissertation. Information concerning the formal requirements of the final copy of your dissertation (e.g., type of paper, number of copies, etc.) is described in the *Thesis and Dissertation Guide*. When students meet with the graduate studies staff person, the staff member will give them additional paperwork required by their office that is necessary to finalize the completion of the dissertation process.

Graduation and Commencement

Through *myUH*, students should file applications to graduate either the semester prior to or the semester in which they plan to graduate. Students must complete ALL requirements toward their degree before the end of the semester they intend to graduate. Graduation applications cannot be retracted. Once students submit a graduation application they must graduate if they meet the graduation requirements. The application can be completed by logging in to *myUH* (https://my.uh.edu). Application filing deadlines are included in the UH Academic Calendar.

For details please visit: http://www.uh.edu/education/student-services/graduation/

DEGREE PLAN, MYADVISOR, AND DOCTORAL DISSERTATION RESOURCES

Students in the program are required to complete a ***Degree Plan*** via *MyAdvisor* that lists the coursework a student will complete for the degree. The degree plan should be submitted in the early stage of a student's program by the end of the first semester. A degree plan must be approved by the student's faculty advisor, the Chair of the Department, and the Dean or his/her designee.

A change in a student's degree plan must be approved by the faculty advisor. To make changes to an approved degree plan, students submit via *MyAdvisor* a ***Submit/Change Degree Plan*** form indicating the changes to the degree plan and the reason for such changes.

Please note that you must use your UH CougarNet credentials to log into the *MyAdvisor* application available at https://www.coe.uh.edu/MyAdvisor/login.cfm.

For password assistance or to reset/change to a new password, please access https://ssl.uh.edu/password/index.php#/ and follow the prompts. If you have questions about how to enter information in *MyAdvisor*, please contact the COE Office of Graduate Studies at 713-743-7676 or coegrad@central.uh.edu.

Also, ensure that you have the correct faculty advisor assigned to your *MyAdvisor* account.

Details in regard to the doctoral thesis process and completing the degree plan are available in the **"*MyAdvisor* How To"** instructions guide located in the Appendix at the end of this handbook.

Please contact your advisor if you have questions about your degree plan.

Doctoral Dissertation Proposals and Defenses Information
Information regarding dissertation submission deadlines, formatting, and the final submission process is available at http://www.uh.edu/education/student-services/graduate-office/Current%20Students/grad-student-resources/. The page also contains information about upcoming dissertation proposal and final defenses in the College of Education.

Sample Doctoral Dissertation and Resources
The sample doctoral dissertation is available at http://www.uh.edu/education/student-services/technology-services/training-library/. Use this sample to help organize or format your doctoral dissertation. The CITE Training Library is the primary location for students at the dissertation stage to view step-by-step video tutorials, view an approved sample manuscript, view tips, etc that meet APA, UH, and College standards.

TRANSFER CREDIT
The University of Houston Graduate Catalog intends to reflect current academic policies, procedures, degree offerings, course descriptions, and other information pertinent to graduate study at the University of Houston. Please view the Graduate Catalog available at http://catalog.uh.edu/index.php to view transfer credit policy:

> A student seeking transfer credit must provide the graduate program faculty advisor in their academic unit with an official syllabus, catalog, calendar and/or bulletin with detailed course description, in addition to an official transcript including official explanation of the course

numbering and grading systems at the school at which the credit was earned. The graduate program faculty advisor may request additional documentation to complete the transfer credit determination. If approved by the department and the college, a Graduate and Professional Student Petition is submitted to the Graduate School to have the credit posted to the transcript. All transfer credit petitions must be approved by department/college faculty and submitted to the Graduate School no less than sixty (60) calendar days prior to the end of the term in which the student is graduating. Students may not request transfer credit for courses taken during the same term in which they apply to graduate.

Grades earned for transferred courses from another institution are not calculated into, nor are they part of, the graduate or professional student's grade point average at the University of Houston. The student bears the final responsibility for securing the department's acceptance of transfer credit.

GRADUATION AND COMMENCEMENT

Through *myUH*, students should file applications to graduate either the semester prior to or the semester in which they plan to graduate. Students must complete ALL requirements toward their degree before the end of the semester they intend to graduate. Graduation applications cannot be retracted. Once students submit a graduation application they must graduate if they meet the graduation requirements. The application can be completed by logging in to *myUH* (https://my.uh.edu). Application filing deadlines are included in the UH Academic Calendar.

For details please visit http://www.uh.edu/education/student-services/graduation/.

ACADEMIC ADVISING, ANNUAL REVIEW, GRIEVANCE, AND DISMISSAL POLICIES

ADVISING AND VALID CONTACT INFORMATION
Upon admission to the program, all students are assigned a faculty advisor. The initial assignment of a faculty advisor takes into account current faculty advising loads, a variety of other factors, and the consistency of research interests between the student and the faculty member. Although an effort is made to match students with faculty members who may share their professional interests, students may change their advisors if such a change can support the student's academic progress and research goals.

The student's relationship with his or her faculty advisor is one of the primary means by which the program monitors and facilitates student progress through the program and professional and personal competency development. Students are expected to maintain regular contact with their faculty advisors throughout their matriculation, keep their faculty advisors apprised of any problems or concerns that may affect their academic work, complete degree plans in close consultation with their faculty advisors, and seek their faculty advisor's consultation and assistance as appropriate.

Students must keep their *myUH* accounts updated with their UH email address and/or destination email address, mailing address and telephone number that will enable the faculty advisor to reliably contact the student. Failure to maintain valid contact information is a serious issue since the faculty must be able to have confidence that time-sensitive and/or important information will be delivered to the student. Failure to maintain valid contact information is a serious deficiency that may lead to the development of a Performance Improvement Plan (PIP), at any time that the faculty determine that the contact information is not valid.

CHANGING FACULTY ADVISORS
Students who desire to change their faculty advisors should first alert their current faculty advisor and the Program Director about this intention prior to soliciting other faculty as potential faculty advisors. Once this reassignment has been approved, the student must complete and submit a **Request for Change of Advisor Form** on *MyAdvisor* so that this change is officially recognized. If the student's efforts in soliciting another faculty member to serve as faculty advisor are unsuccessful, the student's current faculty advisor should bring this matter to the attention of the ELPS Department Chair. The student's current faculty advisor continues serving in this capacity until another faculty member in the Program agrees to accept the student as a new advisee. In the event that none of the faculty are willing to accept the students as an advisee, the ELPS Department Chair will appoint an advisor on a time limited basis.

ONGOING AND ANNUAL REVIEW
The overall progress of all doctoral students is evaluated annually by advisors associated with the ELPS program. Students are reviewed following the conclusion of the full academic year (Fall, Spring, Summer) and are given written feedback concerning the outcome of this evaluation. Students are in good standing if they:

    a.   register continuously at the University in courses consistent with the approved degree plan, or seek a formal leave of absence from the program if they must interrupt their enrollment;

    b.   maintain close contact with their faculty advisor concerning progress toward the degree;

c. make adequate progress in their research (e.g., candidacy paper, etc.) in accordance with the length of time that the student has enrolled in the program; and,

e. do not violate any standards of ethical conduct for psychologists as defined by the Ethical Guidelines for the American Educational Research Association;

d. maintain adequate progress and performance in their coursework. Adequate progress includes formally resolving all Incompletes received in any course during the previous semesters.

DISMISSAL POLICIES AND PROCEDURES

The dismissal of a student from the program is a significant event for the student, the program, and the program faculty and represents the conclusion of the faculty that the student has not demonstrated appropriate, consistent matriculation; has engaged in academic dishonesty; has not met multiple program milestones; has been charged with or convicted of a criminal offense; has failed to demonstrate an adequate level of professional or personal competency, or for other serious reasons (e.g., has been disruptive to the education and training process). Dismissal action is typically the outcome of careful inquiry and collection of data from multiple sources as well as communication with the student regarding his or her unsatisfactory performance in basic or, where appropriate, remedial work, as outlined in a Performance Improvement Plan. However, immediate dismissal may occur under dangerous (e.g., threat of bodily harm, slander, libel), unusual, or other serious circumstances.

GRIEVANCE POLICY AND PROCEDURES

Students may grieve any faculty decision or action that affects their progress through the program. If the student chooses to grieve, he or she must follow the formal grievance procedures as specified in the College of Education Student Grievance Policy and in the UH Graduate Studies Catalog.

LIST OF COMMON PETITIONS

The student is the responsible party for enrolling and dropping coursework using the online system and/or completing the appropriate forms and petitions for other administrative requests. UH graduate forms and petitions are available at http://www.uh.edu/graduate-school/forms/.

These forms typically should be completed through *MyAdvisor*:
- Annual Report Form
- Graduation Petition
- Submit/Change Degree Plan
- Request Change of Advisor

This form must be completed online at *my*UH:
- Graduation Application

***Forms/petitions must be submitted to the COE Office of Graduate Studies in Farish Hall, Room 256.

STUDENT SUPPORT SERVICES

The ELPS program is situated within a university that offers students an array of support services sponsored by a variety of campus offices and facilities. This section describes some of these services and resources.

ACADEMIC CALENDAR
http://catalog.uh.edu/content.php?catoid=22&navoid=6057

COSTS, FELLOWSHIPS, ASSISTANTSHIPS, FINANCIAL AID, PAYMENT DUE DATES, AND REFUNDS
Information about these programs are available through the University of Houston Office of Student Business Services at http://www.uh.edu/about/offices/enrollment-services/student-business-services/.

COUNSELING AND PSYCHOLOGICAL SERVICES (CAPS)
Counseling and Psychological Services (CAPS) can help students who are having difficulties managing stress, adjusting to the demands of a professional program, or feeling sad and hopeless. You can reach CAPS (www.uh.edu/caps) by calling 713-743-5454 during and after business hours for routine appointments or if you or someone you know is in crisis. No appointment is necessary for the "Let's Talk" program, a drop-in consultation service at convenient locations and hours around campus.
http://www.uh.edu/caps/outreach/lets_talk.html

CENTER FOR DISABILITIES
The University of Houston System complies with Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990, pertaining to the provision of reasonable academic adjustments/auxiliary aids for students who have a disability. In accordance with Section 504 and ADA guidelines, University of Houston strives to provide reasonable academic adjustments/auxiliary aids to students who request and require them. If you believe that you have a disability requiring an academic adjustments/auxiliary aid, please contact the Justin Dart, Jr. Center for Students with DisABILITIES at Building 568, 4369 Cougar Village Dr., Room 100, 713-743-5400. You can also email them at uhcsd@central.uh.edu. For more information on UH's policy on working with students with disabilities, please see the Academic Accommodations for Students with Disabilities Policy and Procedures.

PROBLEM-SOLVING RESOURCES/OMBUDSERVICE
The ombudservice directly assists students to resolve problems or refers them to the office or person who can help resolve a particular problem. More information regarding the ombudservice can be found at Dean of Students office web page http://www.uh.edu/dos/.

The Legal Clinic at the Law Center provides advice and counsel to students for problems of a legal nature. Students will be advised of steps that can be taken without a lawyer. When an attorney is required, referrals to agencies and other legal services are provided. More information regarding this service is located at http://www.law.uh.edu/clinic/. Contact the Legal Clinic at 713-743-2094 for assistance.

STUDENT LIFE RESOURCES/WELLNESS
A great education extends beyond the classroom. At University of Houston, we support your success with wellness programs, counseling services, a professional police service and much more. University of Houston also offers specialized programs for international students and students with disabilities. More information is available at http://www.uh.edu/campus-life/resources/index.php.

TECHNOLOGY

Center for Information Technology (CITE) at the COE
- This department offers multi-faceted technology services to the entire College of Education and information is available at http://www.uh.edu/education/student-services/technology-services/.

University Information Technology (UIT)
- UIT services cover issues pertaining to email accounts and other general technology.
- Additional information is available at http://uh.edu/infotech/.

UH GENERAL OVERVIEW OF RESOURCES AND QUICK LINKS:
Please visit http://www.uh.edu/students/index.php for details regarding multiple resources available to students at University of Houston.

OBTAINING TEXAS RESIDENCY FOR TUITION PURPOSES
If you are not a Texas resident, University of Houston tuition is very costly relative to the resident rate. Therefore, nonresident students are urged to take steps during their first year to obtain residency. For more information, consult the *Graduate Catalog*.

STUDENT ORGANIZATIONS

HIGHER EDUCATION STUDENT ASSOCIATION (HESA)
The Higher Education Student Association at the University of Houston is a registered student organization that was established in Summer 2018 to foster a sense of community among Higher Education Program students, alumni, and faculty; serve as a collective voice and represent the needs of the Higher Education graduate students to university faculty and staff; facilitate the professional and personal development for Higher Education Program students, alumni, faculty, and staff; and assist in the academic development and success of Higher Education graduate students.

Every student in the Higher Education Program is a community member of HESA. To become a voting member of HESA and receive membership benefits, students can sign up via our annual membership drive at an annual rate of $30 before September 30 or $35 thereafter. Associate members of HESA consist of Higher Education program alumni and Higher Education Leadership and Policy Studies faculty members, both core and adjunct.

In addition, a private Facebook Group (HESA at University of Houston) is a virtual community for all students who are currently pursing masters or doctoral degrees in the Higher Education program. Please use this group as a way to share personal and professional development opportunities, to pose questions or concerns, and to share social events where we all can network, relax, and have some fun!

2019-2020 HESA Executive Board	
President	Yolanda Barnes, Doctoral Student
Vice President	Jamerson Hamlin, Master's Student
Financial Chair	Valentina O'Brien, Master's Student
Administrative Chair	Meghan Griggs, Doctoral Student
Doctoral Chair	Tori Amason, Doctoral Student
Master's Chair	Janise Powell, Master's Student
Social Media Chair	Alyssa Chavez, Master's Student

COLLEGE OF EDUCATION ORGANIZATIONS

Looking to join and participate in a student organization within the College of Education such as the Graduate Student Organization (GSO)? Please view the link below to find out more information: http://www.uh.edu/education/student-services/student-organizations/.

Higher Education Dates to Remember

FALL 2019 SEMESTER

August 19	First Day of Class
August 24	Higher Education Student Association (HESA) Welcome Social!
September 2	Labor Day (No Classes)
September 3	NASPA Program Proposals Deadline
September 6	ACPA Program Proposals Deadline
September 27	Deadline to Submit Graduation Application (Regular filing)
September 30	HESA Membership Early Deadline ($30)
October 20 – 22	TACUSPA Annual Conference (San Marcos, TX)
October 25	Deadline to Submit Graduation Application (Late filing)
Nov 11 – Nov 16	AEA Annual Conference (Minneapolis, MN)
November 14 - 16	ASHE Annual Conference (Portland, OR)
November 15	PhD Portfolio Intent Form Due via MyAdvisor
November 26	Last Day of Class
November 27 - 30	Thanksgiving Break (No Classes)
November 30	PhD Portfolio Submission Date
December 3-11	Fall Final Exams
December 14	COE Graduation| Fertitta Center
December 16	Deadline: Completed Submission & Approval of Master's Thesis or Dissertation

SPRING 2020 SEMESTER

January 13	First Day of Class
January 20	Martin Luther King, Jr. Day (No Classes)
February 21	Deadline to Submit Graduation Application (Regular filing)
February	Texas Association of Chicanos in Higher Education (TACHE; Houston, TX)
March 1	MEd Comprehensive Exams Intent Form Due via MyAdvisor
March 2 – 5	ACPA (Nashville, TN)
March 9 – 14	Spring Holiday (No Classes)
March 20	Deadline to Submit Graduation Application (Late filing)
March 26 – 30	M.Ed. Comprehensive Examinations
March 28 – 1	NASPA (Austin, TX)
April 2 – 4	Council for the Study of Community Colleges (CSCC; Tempe, AZ)
April 15	PhD Portfolio Intent Form Due via MyAdvisor
April 17 – 21	AERA Annual Meeting (San Francisco, CA)
April 27	Last Day of Class
April 28 – 6	Spring Final Exams
April 30	PhD Portfolio Submission Date
May 11	Deadline: Completed Submission & Approval of Master's Thesis or Dissertation
May 25 – 29	AIR Annual Conference (New Orleans, LA)
May 26 – 30	NCORE (New York City, NY)

SUMMER 2020 SEMESTER

June 1	First Day of Class
July 3	Deadline to Submit Graduation Application (Regular filing)
July 17	Deadline to Submit Graduation Application (Late filing)
August 4	Last Day of Class
August 10	Deadline: Completed Submission & Approval of Master's Thesis or Dissertation

UNIVERSITYof **HOUSTON** | EDUCATION

Ph.D. in Higher Education Leadership & Policy Studies Program

Manuscript-Based Dissertation Guidelines

The Ph.D. in Higher Education Leadership & Policy Studies (HELPS) program provides two options students can choose from to fulfill the dissertation requirement: the 'traditional' format, and the manuscript-based (three journal article) format. The purpose of this document is to outline the difference between these two formats and provide guidelines for students who wish to complete a manuscript-based dissertation.

The decision regarding which dissertation format to follow should be informed by the student's scholarly and professional goals. Accordingly, **before beginning their dissertation work it is imperative that each student make this decision in close consultation with the chair of their dissertation committee**. **Students must receive approval from their dissertation chair to conduct a manuscript-based dissertation.**

The 'Traditional' Dissertation Format

The traditional dissertation format is typically to write a five-chapter study, followed by a complete list of references, with the following sections:

> Chapter 1: Introduction (statement of the problem; introduction of the topic; research questions; data sources, methods of analysis, contribution to the literature)
>
> Chapter 2: Literature Review (review of the *empirical* literature related to the topic; identification of a conceptual or theoretical framework and discussion of how it is used to inform data collection, analysis, interpretation of findings)
>
> Chapter 3: Methods of Analysis (data, analytic plan, limitations of the study)
>
> Chapter 4: Findings (results of data analysis; interpretation of findings; discussion of the ways that the findings address the research questions)
>
> Chapter 5: Conclusion (explanation of the ways that the study responds to the introductory problem statement; contributions of the study to theory; considerations for the ways the study builds on prior literature; future research directions; implications for practice)

The traditional dissertation proposal consists of the first three chapters. At the final dissertation defense a doctoral candidate presents penultimate versions of all five chapters. After the defense, the doctoral candidate revises the dissertation based on feedback from the dissertation

committee. When the final dissertation is submitted, it must be fully formatted to the University of Houston College of Education's formatting guidelines.[1]

Within the traditional dissertation format, doctoral candidates—in consultation with their dissertation committee chair—may adopt variations, such as adding a sixth chapter. For example, a mixed-methods dissertation project may contain two separate findings chapters for quantitative findings and qualitative findings. However, the sections are typically kept separate, unlike a scholarly journal article.

The Manuscript-Based Dissertation Format

This first subsection below describes when it may be appropriate for a doctoral student to use the manuscript-based (three journal article) format. The second subsection describes the format of a manuscript-based dissertation and compares that format with the 'traditional' format described above. The third subsection provides guidance about proposing and defending a manuscript-based dissertation project.

When Is the Three-Paper Format Appropriate?

The three-paper format provides an alternative to the traditional format for students who wish to expedite the process of moving their research to publication. This format is appropriate when both the doctoral student and dissertation chair agree that the dissertation project can be completed using a series of empirical papers that would each be of appropriate length and quality for publication in peer-reviewed academic journals in educational or related fields. By the time of the dissertation proposal defense, the doctoral candidate (in close consultation with the dissertation chair) should have identified target journals for each of the three manuscripts.

The three-paper format should be used to address a series of related research questions that 'fit together' under a common topic. The three-papers may be appropriate for analyzing data using research methods that would be suitable for target journals in the field of education or a closely related field (e.g., economics of education; educational law; history of education; sociology of education). The papers may use different methodological approaches or techniques (e.g., one paper may use qualitative methods and the other two papers may use quantitative methods).

With formal approval from the dissertation chair, a student may submit no more than two of their dissertation manuscripts to a journal prior to the final dissertation defense. The third manuscript should not be submitted for publication prior to the final defense. However, submitting a paper—or having a paper accepted—to a journal does not eliminate the responsibility to respond to feedback from the members of the dissertation committee (including cases of major revision). Apart from any feedback received from journal editors and reviewers, the dissertation committee makes the final determination regarding when the student has successfully completed the Ph.D. program's dissertation requirement (e.g., following the successful final defense of the dissertation project).

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[1] http://www.uh.edu/education/student-services/technology-services/training-library/
http://www.coe.uh.edu/cite/training/tutorials/office/SampleDissertation.pdf

Each of the three manuscripts is expected to be of publication quality and make a "stand-alone" contribution to the literature. "Stand-alone" contributions may include empirical data-based studies, systematic or critical reviews of literature, meta-analyses of extant literature, or other types of scholarly work suitable for publication in peer-reviewed academic journals (e.g., descriptive studies; historical, legal, or policy analyses). The student should identify the targeted peer-reviewed journals for the three papers in consultation with their dissertation chair.

In considering the manuscript-based formatting guidelines below, it is important to recognize that expectations and requirements for the three-paper format may vary at the dissertation chair's discretion. For example, a student needs the dissertation chair's approval to (a) use the candidacy research paper as one of three dissertation manuscripts; (b) submit dissertation papers (no more than two) to academic journals for publication prior to the final dissertation defense; (c) incorporate any previous solo-authored written work within the three-paper format. Accordingly, students should regularly consult and discuss the guidelines in this document with their dissertation chairs during the process of conducting their research.

Formatting Guidelines

The three-paper or manuscript-based dissertation format will also contain five chapters, but the content of the chapters will vary significantly from the traditional format. Unlike the traditional format which separates various sections (e.g., review of prior scholarly work; discussion of the data; findings), each dissertation paper will be an independent chapter and include abbreviated sections that fulfill the same purposes as the various chapters in the traditionally formatted dissertation. The three papers will be preceded by an abstract and an introductory chapter. The three chapters should also be followed by a concluding chapter. Dissertation chairs will advise students about the suggested page length for the introductory and concluding chapters. The three-paper or manuscript format should be implemented within the University of Houston College of Education's formatting guidelines.[2]

> Chapter 1: Introduction (introduce the broad area of literature to which the dissertation contributes; presents the overall goal of the project, as well as the particular goals of each individual study; explain the need for the three papers and describe how they fit together as part of a single, coherent research project; references)
>
> Chapter 2: Research Paper 1 (statement of the problem; thesis statement; research question(s); review of the *empirical* literature related to the research question(s); identification of a conceptual or theoretical framework and discussion of how it is used; data sources; data analysis; interpretation of findings; acknowledgment of limitations; implications for theory; additional implications or discussion; references)
>
> Chapter 3: Research Paper 2 (statement of the problem; thesis statement; research question(s); review of the *empirical* literature related to the research question(s); identification of a conceptual or theoretical framework and discussion of how it is used;

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[2] http://www.uh.edu/education/student-services/technology-services/training-library/
http://www.coe.uh.edu/cite/training/tutorials/office/SampleDissertation.pdf

data sources; data analysis; interpretation of findings; acknowledgment of limitations; implications for theory; additional implications or discussion; references)

Chapter 4: Research Paper 3 (statement of the problem; thesis statement; research question(s); review of the *empirical* literature related to the research question(s); identification of a conceptual or theoretical framework and discussion of how it is used; data sources; data analysis; interpretation of findings; acknowledgment of limitations; implications for theory; additional implications or discussion; references)

Chapter 5: Conclusion (summary of the three research papers that connects the findings of the manuscripts to the final contribution of the overall study; synthesize the overarching contributions of the three papers to the research literature and academic community; identify future related research areas—that is, articulate the doctoral candidate's future research agenda; references)

The doctoral candidate's candidacy research paper may be used as the first research paper (Chapter 2) **if** the dissertation committee agrees that the candidacy research paper is written at dissertation quality; **if** the doctoral candidate can show that substantive revisions were made to incorporate feedback from candidacy committee members during the candidacy defense; **if** the candidacy research paper is directly related to the topic of the second and third dissertation papers; and **if** the qualifying paper identifies directions for future, related research, which the doctoral candidate may undertake as the second and third research papers (Chapters 3 and 4, respectively). *The second and third research papers must reflect work that was carried out **after** the completion of the candidacy research project.*

Proposing and Defending a Manuscript-Based Dissertation Project

As with the traditional dissertation format, students conducting a manuscript-based dissertation must orally defend their dissertation proposal, as well as their completed dissertation project. The college policies regarding the dissertation (including information about the oral defense of the proposal and final dissertation) are presented in the Doctoral Policies, Procedures, and Program Guide and in the College of Education Thesis and Dissertation Guide. **It is the student's responsibility to be aware of college rules and regulations, including those concerning the doctoral dissertation.**

There are differences in the organizational structure and formatting of the manuscript-based dissertation, compared to the traditional dissertation. Consequently, for students conducting a manuscript-based dissertation, the work product orally defended before the committee at the dissertation proposal defense, and the dissertation final defense, takes a different form. The following paragraphs provide guidance related to proposing and defending a manuscript-based dissertation. In addition to these guidelines, students should remain in close consultation with their dissertation chair as they prepare to propose and defend their dissertation project.

For the **dissertation proposal defense**, students must provide the dissertation committee with a clear understanding of the overall project goals and a detailed plan for carrying out the studies

that will comprise their dissertation. Accordingly, the dissertation proposal should include the following in a single document:

a) Chapter 1: Introduction of the dissertation, that includes a description of how the 3 manuscripts fit together as a part of a single, coherent research project.

b) A minimum 6-8 page double-spaced proposal <u>for each of the 3 manuscripts</u> that will comprise the dissertation. Each proposal should include the following sections: introduction and statement of the problem; purpose of the study and research questions; literature review; theoretical or conceptual framework; data sources, sampling, analysis – to include careful description of the variables/constructs of interest and analytic techniques; limitations; possible implications and contributions of the work; references.

    a. Note: if the student has received approval from their dissertation chair to use the candidacy paper as Chapter 2: Paper 1 of the dissertation, a 6-8 page proposal is <u>not</u> required for this manuscript. However, during the oral defense, the student should be prepared to discuss the current status of the manuscript (e.g., how revisions and suggested edits were handled following the candidacy paper final defense; if the paper was submitted for publication, how the feedback/revisions from the journal are being addressed).

c) Appendix A: A memo describing the targeted peer-review journal for each of the 3 manuscripts. Students should demonstrate familiarity with the submission guidelines for the targeted journals, and be able to articulate why these journals are appropriate outlets for their work.

d) Appendix B: A memo describing the proposed timeline for completion of each manuscript, as well as the full dissertation project. As appropriate, the timeline should include information about the IRB process, access to research sites for data collection, and/or access to datasets required to carry out the research.

For the **final dissertation defense**, students will defend the completed dissertation that includes all five chapters (i.e., the three separate manuscripts, as well as the Introduction and Conclusion chapters). The student will present the findings of all three studies during the oral defense (note: students using their candidacy paper as Chapter 2 will primarily focus on their second and third manuscripts). Students should further describe how their dissertation papers, individually and taken as a whole, have contributed to new understandings of the topic, and discuss the implications of their findings for practice, policy, and future research. Students should also provide updates on the status of any dissertation manuscripts submitted for publication, and explain how their dissertation research will inform their future work as a scholar and/or scholar-practitioner.