

UNIVERSITY of **HOUSTON** | EDUCATION**Higher Education and Policy Studies Ph.D. Program****Doctoral Comprehensive Examination Portfolio**

This document describes the doctoral comprehensive examination format that utilizes a *portfolio* approach and allows students in the Higher Education and Policy Studies (HELPS) program to document their curriculum, research, teaching, and other relevant professional competencies that they have attained from coursework and various academic experiences during the course of their doctoral studies. Publications, conferences, teaching experiences, grant writing skills, consultant experiences, and other competencies are crucial to obtaining faculty and professional positions after graduation. Successful completion of this process will serve to satisfy the College of Education requirements for the doctoral comprehensive examination. The policies and procedures for the doctoral comprehensive examination format, hereafter referred to as the Comprehensive Examination Portfolio, are presented on the following pages.

Comprehensive Examination Portfolio: Required Components

The Comprehensive Examination Portfolio requires students to gather and present evidence that they have successfully completed each of six components that together make up the portfolio (see Table 1). Except where specifically noted in these policies or previously approved, accomplishments or experiences substantially completed *prior* to initial enrollment in the HELPS program can *not* be used to satisfy any of the portfolio components. It is in the best interest of the student to consult with the student's advisor from the beginning of the doctoral studies on 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!

Comprehensive Examination Portfolio: Supporting Evidence

Students must provide specific supporting evidence to document that they have successfully completed each of the necessary components of the Comprehensive Examination Portfolio. Table 1 shows the evidence required for each component. Whenever possible, 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 Committee may request specific additional materials when necessary to better document the successful completion of any component.

Eligibility

All incoming students to the HELPS program must satisfy the comprehensive portfolio requirement.

Comprehensive Examination Portfolio Evaluation Committee

Each academic year, a three-person Comprehensive Examination Portfolio Evaluation Committee will be established with one member serving as chair for the given year (hereafter referred to as the Evaluation Committee). Service on this committee will be rotated on an annual basis among program area faculty. Faculty will be precluded from evaluating portfolios submitted by their student advisees (the committee chair will designate a substitute faculty

member who replaces the faculty advisor during the evaluation of the given doctoral comprehensive examination). This committee will be responsible for evaluating the evidence or portfolio materials submitted by each student. The committee will review submitted materials at the beginning of the Fall semester, the end of the Fall semester, and the end of the Spring semester. The submission dates will be announced each fall semester.

The chair of the Evaluation Committee will convey results to the HELPS program coordinator and the student's faculty advisor. Results of the evaluation will be communicated to the student and recorded via *MyAdvisor* no more than three weeks after the committee has reviewed all submitted portfolios. It will not be possible for doctoral students to meet with any member of the Evaluation Committee to discuss or review the outcomes of the evaluation process.

Evaluation Procedures

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* (see Appendix C) 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 indication of why a student has failed to pass the doctoral comprehensive examination and identify any specific deficiencies needing improvement.

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 can not 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.

Timeline

In the first year of the doctoral program the student completes the *Doctoral Comprehensive Exam Intent Form* (see Appendix A for example). The students are advised to **initiate work on**

the required doctoral comprehensive examination components in the first year of doctoral studies as it often will take two or three years to satisfy all requirements. Students must have submitted the *Doctoral Comprehensive Exam Intent Form* and 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 who fail to meet this requirement will be considered students not in good standing and risk termination from the program.

Annual Ph.D. Student Review Report

Each year students in the HELPS program complete and submit the *Annual Ph.D. Student Review Report*. This report includes a section used by program area faculty to gather information regarding the student's progress towards completing the comprehensive examination requirements. Note, however, that it is the faculty advisor who is responsible for providing *annual* and specific feedback to his/her doctoral student advisees on their progress toward satisfying the components of the Comprehensive Examination Portfolio.

Consideration of Exceptions to the Stated Policies and Procedures

Students may request modifications, waivers, or exceptions to the policies or procedures for the Comprehensive Examination Portfolio process using a *General Petition*. As part of this form, the student should describe the specific request they are making, provide a detailed explanation for why the request is necessary, and why it is justified. This form should be submitted via *MyAdvisor*. Modifications or changes must be approved by the students' Advisor, the HELPS program coordinator, the Department Chair, the Dean of the College of Education or his/her designee.

Table 1: Doctoral Comprehensive Examination Portfolio Components and Required Supporting Materials

In order to pass, students must provide the evidence required to demonstrate that they have successfully completed each of the six components listed below.

Component	Required Supporting Materials
1. Doctoral Comprehensive Examination Submission Form	
Students must submit a completed submission form (see Appendix B) along with all supporting materials prior to the stated deadline in order for their portfolio to be reviewed.	Completed, signed and dated form.
2. Goal Statement and Curriculum Vitae	
Students should describe their career goals, the activities that they completed for their Comprehensive Examination Portfolio, and what they gained from each activity	Copy of goals statement that is approximately three double-spaced pages with 12 font-size text and 1-inch margins on all sides.
Curriculum Vitae	Copy of CV meeting professional standards.
3. Foundations (all of the following activities must be successfully completed to satisfy this component):	
(approved forms must be approved at all levels)	
<p>3a. <i>Doctoral Comprehensive Exam Intent Form</i></p> <p>3b. Residency requirements (see the red <i>Ph.D. Program Student Handbook</i>) were satisfied</p> <p>3c. Coursework in core statistics and research methods (EDRS 8380, EDRS 8382, and SAER 8320) was completed with a grade of B- or better.</p> <p>3d. Coursework in core content courses (ELCS 8355 and CUST 8375) was completed with a grade of B- or better.</p> <p>3e. Candidacy research paper was successfully defended or, students had the candidacy research paper requirement waived based on their completion of a Master's thesis.</p> <p>3f. <i>Degree Plan</i> was filed and approved</p>	<p>Copy of signed and dated <i>Doctoral Comprehensive Exam Intent Form</i></p> <p>Copy of <u>approved</u> <i>Residency Forms (Fall and Spring)</i> for 1st year</p> <p>Copy of UH-transcript showing successful completion of courses EDRS 8380, EDRS 8382, and SAER 8320</p> <p>Copy of UH-transcript showing successful completion of courses ELCS 8355 and CUST 8375</p> <p>Copy of <u>approved</u> <i>Departmental Candidacy Report</i> form, or other evidence that the departmental candidacy research paper requirements were satisfied.</p> <p>Copy of <u>approved</u> <i>Degree Plan</i>.</p>

4. Scholarship (<u>two</u> of the following components must be successfully completed to satisfy this component):	
4a. One first-authored <i>manuscript submission</i> to refereed journal (typically an approximately 25-page data-based manuscript; published abstracts are <i>not</i> acceptable)	If submitted/rejected/in press, provide copy of manuscript and letter of receipt or acceptance from journal editor; if already published, provide copy of published article; also provide evidence that the journal has a peer-review process.
4b. Two co-authored <i>manuscript submissions</i> to refereed journals (one of the two co-authored manuscripts can be a book-chapter; published abstracts are <i>not</i> acceptable)	If submitted/rejected/in press, provide copy of manuscripts and letters of receipt or acceptance from journal or book editors; if already published, provide copy of published article(s) or book chapter with cover page; also provide evidence that the journal(s) has/have a peer-review process.
4c. Consultant activities on two different occasions as lead author (student must be the lead each time; can be for the same institution, but student must work on two distinct tasks/projects)	Provide final products or executive summaries of the consultation activities plus letters from recipients of the consultation acknowledging receipt of the final products and student's role.
4d. One presentation at a <i>national</i> or <i>international</i> conference, such as AERA, ASHE, AIR, CSCC, NASPA (student must be first-author), <u>or, alternatively</u> , two presentations at a <i>state</i> or <i>regional</i> conference, such as SERA (student must be first-author on both). Note that local conferences such as the <i>Houston Symposium for Research in Education</i> do <u>not</u> meet this requirement.	Provide hardcopy of presentation(s), cover sheet and page listing your presentation(s) and authorship from the conference program booklet(s), conference registration receipt(s), and either hotel or flight receipt(s).
4e. Grant proposal submission as lead author (typically this will be for an individual fellowship grant, or a minority fellowship grant, for instance from AERA, NSF; grant proposal submission to other sources such as U.S. Department of Education or private foundations is also acceptable as long as the student is the lead author, PI, or a co-PI).	Provide copy of grant proposal and evidence of submission and first-authorship or role on the project (e.g., UH transmittal form, letter of receipt from the reviewing institution).

5. Teaching (<u>one</u> of the following components must be successfully completed to satisfy this component):	
<p>5a. Graduate Teaching Assistant at U of H for one semester (undergraduate or graduate course; on-line or face-to-face course), with an evaluation component (i.e., <i>Teaching Checklist</i> in Appendix D plus student course evaluations)</p>	<p>Provide course syllabus, lecture materials (if applicable), student course evaluations of the TA or guest lecture (if the TA cannot provide student course evaluations because he/she did not have any interactions with the students, then this must be verified by the faculty supervisor), <i>Teaching Checklist</i> (see Appendix D)</p>
<p>5b. University Teaching Practicum in ELPS with at least one guest lecture held by the student for one semester, each with an evaluation component (i.e., <i>Teaching Checklist</i> in Appendix D plus student course evaluations)</p>	<p>Provide course syllabus, lecture materials or other supporting documents for three class meetings, and student course evaluations, <i>Teaching Checklist</i> (see Appendix D).</p>
<p>5c. Instructor at Community College, Other College, or Other University for one semester (undergraduate or graduate course; on-line or face-to-face course) with an evaluation component (i.e., student course evaluations)</p>	<p>Provide course syllabus, lecture materials or other supporting documents for three class meetings, and student course evaluations.</p>
<p>5d. Developed In-Service Training as lead author and applied it to a substantial number of individuals (about 100 individuals) with an evaluation component (i.e., participant evaluations). Note that instructional responsibilities for PK-12 students do not satisfy this requirement.</p>	<p>Provide an executive summary of the developed in-service training and any accompanying hardcopy materials (e.g., training materials, instruments used for assessment), as well as evidence of its application and evaluation by the participants (e.g., announcement flyer, letter from the participating institution, evaluation forms completed by participants after the training)</p>

<p>6. Professional Development (<u>one</u> of the listed activities must be successfully completed to satisfy this component):</p>	
<ul style="list-style-type: none"> - Attendance at Teacher Institute Workshop (e.g., during AERA, ASHE; CSCC; workshop must last for minimum of one half day) - Attendance at Grant-Writing for Students and Early Career Scholars Seminar (e.g., during AERA, AIR, ASHE) or at Grant- Writing Workshop organized by a community, government, or educational institution (typically focused on grant writing for service, training, or program evaluation grants) - Attendance at How to Get Published as Student or Early Career Scholar Seminar (e.g., during AERA, AIR, ASHE) - Attendance at one external seminar (e.g., on specific statistical technique, research or data collection method, research theme, or research software package; seminar must last for minimum of one half day), typically offered as pre-conference workshop or as part of a graduate summer school 	<p>Provide evidence documenting your attendance at workshop or seminar (announcement flyer of workshop outlining the contents and duration, receipt for registration fee, and hotel receipt)</p>

Note. AERA= American Educational Research Association; AIR= Association for Institutional Research; ASHE= American Association for the Study of Higher Education; GSO= Graduate Student Organization; NASPA= National Association of Student Personnel Administrators; NSF= National Science Foundation; SERA= Southwest Educational Research Association.

Appendix A: Doctoral Comprehensive Exam Intent Form

Submit the completed form on-line by the end of the first year of doctoral studies to *MyAdvisor*.

PURPOSE: The Doctoral Comprehensive Exam Intent Form is designed to allow students to get approval to apply for the comprehensive examination evaluation. All students must submit a Doctoral Comprehensive Exam Intent Form as an attachment to a General Petition in *MyAdvisor* before submitting the comprehensive examination. *They must also file an application to take comps through the Comprehensive Examination field in MyAdvisor.*

Students who take the doctoral comprehensive examination portfolio the 2nd time must repeat both steps by the given deadline (i.e., file a new intent form & another application).

Student Name:	Date:
Student ID:	Faculty Advisor:
Student Day Phone:	Student Evening Phone:
Student Email Address:	Semester/Yr. Program Started:
<p>Intent to Submit Comprehensive Examination Portfolio in (Circle one):</p> <p> <input type="checkbox"/> Early Fall <input type="checkbox"/> Late Fall <input type="checkbox"/> Spring _____ Year </p>	
Student Signature: _____	Date: _____

Appendix B: Doctoral Comprehensive Examination Submission Form & Checklist

Student Name:	Date:
Student ID:	Faculty Advisor:
Student Day Phone:	Student Evening Phone:
Student Email Address:	
First Semester Enrolled as Doctoral Student in Program: _____ Semester _____ Year	
Number of Comprehensive Examination Submission (Circle one): 1 st 2 nd	

If this is a resubmission of a revised comprehensive examination, then you must also enclose a copy of the first Doctoral Comprehensive Examination Evaluation Form (you do not need to resubmit the first doctoral comprehensive examination submission).

Instruction: Please indicate which supporting evidence you submitted for the selected components along with this submission form (mark the corresponding box with an “X”).

Component	Required Supporting Materials
1. Comprehensive Examination Submission Form	
Completed submission form.	Completed, signed and dated.
2. Goal Statement	
Written statement with all components.	Copy of goals statement that is approximately three double-spaced pages with 12 font-size text and 1-inch margins on all sides.
Curriculum Vita	Copy of CV
3. Foundations (all of the following activities must be successfully completed to satisfy this component) (approved forms must be approved at all levels)	
3a. <i>Comprehensive Exam Intent Form</i>	Copy of signed and dated <i>Comprehensive Exam Intent Form</i> .
3b. Residency requirements.	Copy of <u>approved</u> <i>Residency Forms</i> for 1 st year
3c. Coursework in core statistics and research methods.	Copy of UH-transcript showing successful completion of these courses.
3d. Coursework in core content courses.	Copy of UH-transcript showing successful completion of these courses.
3e. Candidacy research paper.	Copy of <u>approved</u> <i>Departmental Candidacy Report</i> form, or other evidence that the requirements were satisfied.
3f. Degree Plan	Copy of <u>approved</u> <i>Degree Plan</i> .

4. Scholarship (<u>two</u> of the following components must be successfully completed to satisfy this component):		
4a. One first-authored <i>manuscript submission</i> .	<u>If submitted/rejected/in press:</u>	
		Copy of manuscript
		Letter of receipt or acceptance from journal editor
		Evidence that the journal has a peer-review process.
	<u>If already published:</u>	
		Copy of published article
		Evidence that the journal has a peer-review process.
4b. Two co-authored <i>manuscript submissions</i> .	<u>If submitted/rejected/in press:</u>	
		Copy of manuscript
		Letters of receipt or acceptance from journal or book editors
		Evidence that the journal(s) has/have a peer-review process.
	<u>If already published:</u>	
		Copy of published article(s) or book chapter with cover page
4c. Two consultant activities as lead author.		Final products or executive summaries
		Letters from recipients of the consultation acknowledging receipt of the final products and student's role.
4d. One presentation at a <i>national</i> or <i>international</i> conference as lead author, <u>or</u> , two at a <i>state/regional</i> conference as lead author.		Copy of presentation(s)
		Cover sheet and page listing your presentation(s) and authorship from the conference program booklet(s)
		Conference registration receipt(s)
		Either hotel or flight receipt(s)
4e. Grant proposal submission as lead author.		Copy of grant proposal
		Evidence of submission
		Evidence of role on the project

5. Teaching (<u>one</u> of the following components must be successfully completed to satisfy this component):		
5a. Graduate Teaching Assistant at U. of H.		Course syllabus
		Lecture materials (if applicable)
		Student course evaluations
		<i>Teaching Checklist</i> (Appendix D)
5b. University Teaching Practicum		Course syllabus
		Lecture materials (if applicable) or other supporting documents
		Student course evaluations
		<i>Teaching Checklist</i> (Appendix D)
5c. Instructor at Community College or other Post-secondary setting		Course syllabus
		Lecture materials (if applicable) or other supporting documents
		Student course evaluations
5d. In-Service Training		Executive summary of the in-service training
		Any hardcopy of materials of the in-service training
		Evidence of its application
		Evidence of evaluation by the participants
6. Professional Development (<u>one</u> of the listed activities must be successfully completed to satisfy this component):		
<ul style="list-style-type: none"> - Attendance at Teacher Institute Workshop - Attendance at Grant-Writing Workshop - Attendance at How To Get Published Seminar - Attendance at one external seminar 		Announcement flyer of workshop outlining the contents and duration
		Receipt for registration fee
		Hotel receipt
Student Signature: _____ Date: _____		

Appendix C: Doctoral Comprehensive Examination Evaluation Form

Student Name:	Student ID:
Faculty Advisor:	
Chair of Comprehensive Examination Portfolio Committee:	Additional Members:
Date Comprehensive Examination Portfolio was reviewed:	

I. Evaluation of Specific Components of the Doctoral Comprehensive Examination:

Based on the review by the Comprehensive Examination Evaluation Committee, the doctoral student has PASSED or FAILED the given component.

	Passed	Failed	N/A
1. <i>Comprehensive Submission Form</i> was submitted			
2. Goals Statement and Curriculum Vita			
2a. Goals Statement			---
2b. Curriculum Vita			---
3. Foundations (<u>all</u> must be successfully completed):---			
3a. <i>Comprehensive Exam Intent Form</i> was submitted			---
3b. Residency requirements			---
3c. Coursework in core statistics and research methods			---
3d. Coursework in content courses			---
3e. Candidacy research paper			---
3f. Degree Plan			---
4. Scholarship (<u>two</u> of the following):---			
4a. One first-authored <i>manuscript submission</i>			
4b. Two co-authored <i>manuscript submissions</i>			
4c. Two consultant activities as lead author			
4d. One presentation at a <i>national</i> or <i>international</i> conference as lead author, <u>or</u> , two at a <i>state</i> or <i>regional</i> conference as lead author.			
4e. Grant proposal submission as lead author			

5. Teaching (<u>one</u> of the following components):---			
5a. Graduate Teaching Assistant			
5b. University Teaching Practicum			
5c. Instructor at Community College, etc.			
5d. Developed In-Service Training			
6. Professional Development (<u>one</u> of the following):---			
- Attendance at Teacher Institute Workshop			
- Attendance at Grant-Writing Workshop			
- Attendance at How to Get Published Seminar			
- Attendance at one external seminar			

Comments on any specific comprehensive examination components needing improvement:

II. Overall Quality of Submitted Comprehensive Examination Materials:

- How is the personal goals statement?
 Excellent Acceptable Has problems N/A
- Is there congruence between the personal goals statement and the comprehensive examination?
 Excellent Acceptable Has problems N/A
- Are the artifacts included in the comprehensive examination appropriate indicators of specific competencies?
 Excellent Acceptable Has problems N/A
- Overall is the comprehensive examination well-written, well-organized and professionally presented?
 Excellent Acceptable Has problems N/A

Comments on the overall quality of the submitted doctoral comprehensive examination submission (e.g., strengths):

Overall Doctoral Comprehensive Examination Evaluation (check one):

_____ The doctoral student has passed the Doctoral Comprehensive Examination.

_____ The doctoral student has failed to pass the Doctoral Comprehensive Examination this time, but can resubmit another Doctoral Comprehensive Examination Submission Form along with supporting evidence.

_____ The doctoral student has failed to pass the Doctoral Comprehensive Examination two times, and cannot resubmit again.

Appendix D: Teaching Checklist

Submit the completed form together with the *Doctoral Comprehensive Examination Submission Form* before the specified deadline on-line to *MyAdvisor* (signed forms should be scanned in and submitted as PDF-file).

PURPOSE: Faculty who supervised the doctoral student in the Teacher Practicum or the TA must fill out and sign the form to indicate student activities.

Student Name:	Date:
Student ID:	Faculty Supervisor:
Student Day Phone:	Student Evening Phone:
Student Email Address:	
Semester of teaching (Circle one): Fall Spring Summer _____year	
Course taught/assisted (list course number):	
Graduate Teaching Experience (Circle one): TA Teaching Practicum	

	Student Activities (Check appropriate box for each activity)	YES	NO
1	Grading assignments and exams		
2	Providing feedback to students on assignments and exams		
3	Giving class lecture		
4	Preparing course materials		
5	Supervising lab session		
6	Interacting face-to-face or on-line with enrolled class		
7.	Other (briefly describe activity):		
8.	Student course evaluations on the supervised student were collected		

Faculty Supervisor's Signature:	Date:
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