

# Program Manual

## **Guide for UCI/UCLA Joint Ed.D. Faculty & Students**



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**UCI/UCLA Joint Ed.D. in Educational Administration:  
Program Manual  
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## **INTRODUCTION**

The program is designed to accommodate the schedules of full-time employed professionals. Course work is covered in three academic years and four summers of study prior to the dissertation. Ninety-six quarter units are required. Students enroll for eight units per quarter during the academic year. All courses are required, except that a student may petition to take a substitute course at UCLA. A written examination at the end of the second year is designed to evaluate the student's analytical skills and knowledge of central issues in educational research and leadership. An oral exam, typically in the third year, assesses the student's ability to integrate and apply the range of skills and concepts addressed in the prior years of study in the context of a significant educational issue. Students admitted to the program are expected to take all courses on schedule.

## **PROGRAM OVERVIEW**

UCI/UCLA Joint Ed.D. Program in Educational Administration:

The University of California, Irvine Department of Education, in cooperation with the Graduate School of Education and Information Studies at the University of California, Los Angeles, is concluding a doctoral degree program in educational administration. The program is no longer accepting students, however, we are actively progressing current students toward degree. The program prepares proactive leaders who are able to articulate and accomplish improvements in educational practice while attending to the complex demographic, social, and economic challenges facing all levels of education. The program emphasizes a range of social and behavioral science frameworks and research methodologies and has a strong focus on theory, research, and reflective practice to select, orchestrate, and implement useful and effective educational reforms.

## CONCEPTUAL FRAMEWORK

### Conceptual Framework

**The guiding principle of the UCI/UCLA Ed.D. Program in Educational Administration is that major changes in curriculum, instruction, and social organization of U.S. schools are needed in order to meet critical challenges facing our society in the 21st century.**

- I. Accelerating social, economic, and technological changes are transforming the nature of students whom our schools serve and the range of economic opportunities available to them as they emerge from their formal education. Educational leaders must understand how these environmental changes affect the ability of schools to perform their educative functions and what kinds of changes in school curricula, instructional practices, and school organization are necessary to respond to these new conditions.
- II. Recent research in cognitive science has transformed our knowledge of how students learn and attain deep understandings. Schools have operated in the past without access to this knowledge, and it is essential that future instruction be based on this more developed model of effective learning. Fundamental changes in curriculum, instruction, and organizational practices are necessary for schooling to reflect these new advances in models of learning.
- III. U.S. society is increasingly diverse—ethnically, linguistically, and culturally. Moreover, schools historically have not been successful in overcoming differences in achievement related to social class and home background; consequently, they have not succeeded in overcoming the intergenerational reproduction of advantage and disadvantage. In short, schools have not yet achieved solutions to problems of diversity and socio-economic disadvantage, and it is essential that they do so in the next century in order to prevent trends in economic inequalities and cultural differences from creating impenetrable divisions within our society.

For all these reasons, our schools need educational leaders who understand the critical changes to schools' external environments, who can create and lead teams of professional educators to apply new knowledge about human learning, and who care deeply about overcoming inequalities of opportunity. They must be prepared to provide leadership to the design, implementation, evaluation, and administration of new programs and practices in educational institutions. The entire doctoral program, including the sequence of required coursework and the structured opportunities for collaborative and individual student inquiry and faculty mentoring, is built around these fundamental principles.

The coursework taken by students in the program consists of four domains of understanding and mastery. It provides students with an understanding of educational leadership and reform in U.S. schools. It gives them an understanding of philosophical and theoretical groundings of knowledge in education. It provides them with competencies they need for understanding and conducting research about educational processes and for the evaluation of educational programs. Finally, it provides structured support for students for learning to conduct educational research that is theoretically and empirically sound and that is relevant to improving practice in education.

The doctoral dissertation completed by each student as a culminating product typically derives from their own interests as developed through coursework in the four domains of understanding and mastery. These dissertations are generally focused in one or more of the following areas—educational policy, educational administration, teacher leadership, or educational technology. The first three of these enable students to address reforms at the key levels of (a) local, state and federal decision-making, (b) school site and district organizations, and (c) teachers' classrooms. The fourth, educational technology, derives from the central importance in current education reforms of advances in information and communication technologies.

The outline below summarizes the content of each of the four domains of understanding in terms of the emphasis of course experiences in the program:

**I. Leadership for Education Reform**

- A) The rationale for why reforms are needed in K-16 schooling.
- Advances in cognitive psychology
  - The changing world economy
  - Continuing failure to successfully deal with socio-economic, ethnic, and linguistic diversity
  - Family and generational issues resulting from social and technological change
- B) The kinds of curricular, instructional, and organizational reforms currently being tried and the history of previous efforts to reform schooling
- C) The strategies and mechanisms for accomplishing school reforms, including leadership for
- accomplishing changes in complex organizations (schools)
  - galvanizing change among adult learners (teachers)
  - exploiting new information and communication technologies
  - accomplishing responsible assessment of student learning & competencies;
  - attending to ethical issues in school change movements
  - negotiating the complex politics and finances of school reform

**II. Fundamental Perspectives on Education and the Epistemological Foundations of Education Research**

- The nature of scholarly work in education
- The nature of defensible generalizations about causes & consequences
- Alternative qualitative perspectives on understanding educational practices and contexts

**III. Research and Evaluation Competencies**

- Qualitative research methods.
- Quantitative research methods and statistical analysis tools
- Information and communications skills

**IV. Structured Support for Conducting Research**

- Practice in conducting field research activities
- Statistical work in a group lab setting
- Group and individual mentoring in research apprenticeships and in preparing to write a dissertation

## **PROGRAM OF STUDY**

### **First Year Study**

The following first year courses covering fundamental issues in the study of educational leadership and school reform are required:

Education 259A: First Year Seminar (2-4 units)

Graduate seminar for entering Ed.D. students. Employment of skills such as conducting literature reviews, types and styles of writing, use of the Internet. Also examines different issues related to educational research and methodologies

Education 251: Issues in Educational Policy and Reform (4 units)

An in-depth study of topics relevant to educational reform and policy-making. Topics include: the policy-making process, the role of values and interest groups, policy analysis, equality of educational opportunity, systemic reform, implementation and politics at the school site.

Education 271: Organizational Theory, Planning and Application (4 units)

Basic theory and function of human organizations as dependent and independent social entities. Concepts for understanding and managing the dynamics of group behavior and human relations. Structuring and leading groups in a variety of organizational settings including school boards, staff, parent and community groups, regional and state organizations.

Education 272: Philosophy and Ethics of Educational Leadership (4 units)

Philosophy, ethics, and moral values of educational leadership for school administrators. Theory and philosophy of educational change. Research about ethical and moral leadership in

Education 274: Studies of Professional and Staff Development (4 units)

Research and theory of effective strategies for professional and staff development. Topics will include: adult development as related to professional growth of teachers, staff development as vehicle for systemic reform, and reforms to enhance teacher professionalization and empowerment.

Education 276B: Studies of School Finance & Political Economy (4 units)

Fundamental fiscal concepts applied to schooling. Topics include equity and inequalities in resource allocation, public school revenue sources and expenditure patterns, the politics of school finance, public versus private-sector supply of schooling, and the supply and demand for teachers.

Education 278B: Studies of Diversity and Inequality in Education (4 units)  
Study of relationships between diversity, social inequality, and education. How differences in SES, race, culture, and gender translate in the educational process and affect educational outcomes. Addresses issues such as educational access, social mobility, and social reproduction.

Education 281: Evaluation of Educational Programs (4 units)  
Alternative approaches to formative and summative evaluation of educational programs. Standards for effective evaluations. Epistemological, political, and practical issues in designing and conducting evaluations. Students will critique specific studies relevant to educational administration and policy-making and design an evaluation.

Ed. 285B: Applications to Education of Social and Psychological Theories and Research Methods (4 units)

## **Second Year Study**

Second year required courses. Second year study, which begins in the second summer, involves four courses that round out the study of fundamental issues in leadership and reform:

Education 250: The History of Innovations in School Reform and Central Themes of the Current School Reform Movement (4 units)

Offers an analysis of major school reform movements, both on going and those from the past century. Study of the underlying dynamics affecting the interrelationship between schools and society and the implications of these relationships.

Education 270: Information & Communication Technologies for Administrators (4 units)

Provides practical and intellectual expertise about instructional software, video and multimedia technologies, computer literacy education, electronic communication networks, and technology for school and district administration.

Education 277B: School Restructuring and Resource Allocation (4 units)

Concepts and research on school change at the site level. Topics include: structure and use of physical environment, organization of school day and use of time, use of teachers and other staff, changes in governance and school-community relations.

Education 273: Student Assessment (4 units)

Purposes for conducting educational assessment. Overview of new assessments, including complex constructed responses, portfolios, and other "authentic" measurements. How assessment can help to monitor and strengthen educational programs and inform educational policy.

In the second summer, students begin **UCLA coursework**, taking one UCLA course in each of the subsequent summers.

The balance of second-year coursework focuses on fundamental perspectives of knowledge and theory, and developing competency in the use of research and evaluation tools. These courses include:

Education 260: Functional, Interpretive & Critical Analyses of Schooling (4 units) Understanding the processes of schooling from functional, interpretative, and critical perspectives. Study of paradigms in educational administration research and practice. Review of conceptual orientation to the study of educational administration. History of the knowledge base of educational administration.

Education 279: Research Applied to Administrative Practice (4 units) An overview of quantitative and qualitative research methods as used in research concerning education. Application of different experimental designs and sampling techniques, the use of questionnaires, interviews, and observational methods, and a range of data analysis approaches.

In addition, students take a three-quarter directed field research experience and seminar (Ed. 290A-B-C, Seminar in Field Research in Education, 3 units; and Ed. 291A-B-C, Directed Field Research, 8 units). A substantial research paper, based on the field research, is required at the end of the second year.

Education 290A-B-C: Seminar in Field Research in Education (1/1/1 units) Seminar concurrent with 291--Directed Field Research. Addresses conceptual frameworks and literature relevant to effective school leadership and management. Focus on identifying, carrying out, analyzing, and interpreting field research in education toward the purpose of improving school practice.

Education 291A-B-C: Directed Field Research in Educational Administration (3/3/3 units) Research in settings such as school sites, districts, county departments of education, and other K-12 educational agencies. Integration of educational administration knowledge with a range of analytic tools in designing and conducting a significant field research project.

### **Second Year Comprehensive Examination.**

At the end of the second year, a comprehensive exam evaluates student progress in acquiring the substantive knowledge and analytical skills, which the program strives to impart. If a student does not pass the exam the first time, one opportunity is granted to re-take it. See the appropriate section in this manual for additional information.

### **Third Year Study**

In the third year, students complete their study of research and evaluation tools (Educ 285A, Applications to Education of Social and Psychological Theories and Research Methods; Educ 287, Data Analysis in Education Research and Evaluation) and develop their dissertation proposals (Educ 259B-C, Third Year Seminar).

**Education 285A-B: Applications to Education of Social & Psychological Theories & Research Methods (4/4 units)**

Sociological and psychological theories and research applicable to issues facing school administrators. Theories of learning and of individual, social, and organizational behavior. Research about social context of schools, human development, cognition, motivation. Studies of student behavior, classroom practices, school organization.

**Education 287: Data Analysis in Education Research & Evaluation (4 units)**

Instruction and practice in statistical aspects of survey-based evaluations and quantitative research in education. Includes sampling, coding open-ended information, data management, scale construction, statistical analysis, and presentation of findings. Students will analyze two data sets & district-based evaluation and a national survey & SPSS.

**Education 259 B-C: Third Year Seminar (4/4 units)**

Graduate seminar for third year Ed.D. students; focus on designing and defending dissertation proposals. Includes faculty colloquia on various topics related to advanced research design and data analysis, educational theory, practice, and policy.

**Education 280: Special Topics in Education (4 units)**

This special topics course provides practitioners at the advanced degree level with insight and leadership skills for working with increasingly diverse school populations. Course content varies with interest of the instructor. The course may focus on specific populations or broader content area such as education reform in California.

**Education 299: Dissertation Research (4-8 units)**

Specifically designed for students researching and writing their dissertations. May be repeated for credit.

**Third Year Oral Qualifying Examination.**

In the third year, students may take an oral qualifying exam administered by a five-person Candidacy Committee. The exam consists of a review by the committee of the student's dissertation proposal and examination of the student's competence in areas specified in the proposal. Students who do not pass in the first attempt will have one opportunity to retake the exam within three months. Students unsuccessful at that point will not be advanced to candidacy.

**Advancement to Candidacy.**

After the completion of all required courses, and passing the third year oral qualifying exam, students advance to candidacy.

**Fourth Year Study**

Dissertation. Research and writing of the dissertation are undertaken in the fourth (and fifth, if required) year of the program. Candidates enroll in Ed. 299, Dissertation Research (4-8 units) each quarter until the dissertation is complete. At the completion of the dissertation work, the Doctoral Committee conducts a final oral examination during which the candidate defends the dissertation.

## **COMPREHENSIVE EXAMINATION**

### **Overview:**

The Written Comprehensive Examination is designed to evaluate student progress in acquiring the substantive knowledge and analytical skills which the Ed.D. program strives to impart. It is administered at the end of the second year of study. It assesses a student's ability to analyze, utilize, and contribute new knowledge as a leader in the field of education, and to communicate in a manner consistent with that role.

The Examination consists of two parts. Part I, Review of Literature, is aimed at assessing substantive knowledge, analytical reasoning, and writing proficiency and entails preparing a 20 to 30-page paper that addresses a significant topic in education. The Literature Review should be on an important topic that is informed by several of the areas of study included during year one of the Ed.D. program. It may be on a topic that the student thinks he or she may consider for dissertation research. In addition, it may derive from one or more papers prepared for courses within the first year of study. In this case, it is expected to go well beyond prior course work and will be evaluated independently using the Exam grading criteria. Specific directions for the Review of Literature will be distributed in March, and students' papers are due in June; date to be publicized. Late exams are not accepted.

Part II, Analysis of a Research Article, is designed to assess students' competencies in analyzing research articles. It entails use of framework for analyzing research articles as used in Education 281, Evaluation of Educational Programs. Specific directions for the Analysis of a Research Article will also be distributed in March; Part II is due in June; date to be publicized. A late exam will not be accepted. Both parts of the exam are open book, and students are free to draw upon any appropriate published (or unpublished) material in completing the Examination. You are expected to make reference to a broad range of relevant scholarly sources, including original sources (i.e., the studies themselves in particularly important areas), and to use correct citation procedures. All exams are expected to conform to American Psychological Association (APA) conventions governing citations and references. In the case of World Wide Web references, APA conventions are the required standard. NOTE: Part II was eliminated in 2003 and Part I of the exam was moved from the first year to the second year at that time.

Each student is expected to complete the Exam independently. Collaboration among students is NOT appropriate. Faculty feedback will be given at the completion of the Exam, but not during the preparation of either part.

If a student does not pass Part I or Part II of the Exam the first time, he or she is given one opportunity to re-take the relevant part(s). This must be done immediately in order for the student to pass both parts, which is required to enroll in year 3 (summer) courses.

### **Comprehensive Examination Part I: Review of Literature on a Significant Topic in Education**

Part I of the Exam requires that you prepare a paper of 20 to 30 pages in length addressing a significant topic of your choice in education. It is expected that your preparation of the paper will include the following:

1. Selection and Statement of the topic: Part I of the exam is intended to be a comprehensive literature review that reflects your knowledge across the disciplines studied during year one of the program. It is therefore requested that you select any topic that enables you to include perspectives from a number of the different disciplines, frameworks, and areas of study addressed within the first year of the program. You should give considerable attention to the selection of the topic, committing the time needed to identify a topic worthy of the effort you will put into writing about it. A well-chosen topic or problem can help make the Review of Literature of considerable valuable to you now and in the future.

Examples of topics to consider are given below. These are not suggested as topics to select. Rather, they illustrate the kinds of topics that lend themselves to broad coverage of issues addressed early in the program.

Effective Leadership Strategies in Schools Serving Racially and Economically Diverse Populations

Technology Reforms and Implications for Evaluation of Student Learning.

2. Discussion of the significance of the topic: The paper should discuss the significance of the topic being addressed. The discussion might include, for example, an indication of the numbers of schools or students who are affected by the issues being examined. The discussion might explain the long-term implications for the improvement of educational practice or, more generally, for society. It might discuss important gaps in the knowledge base within the field of education that the topic addresses.

3. Literature review: This should be a thorough review of the bodies of literature, from education and other fields that pertain to the topic. The expectation is that you will conduct a comprehensive review of the theoretical and empirical literature bearing on the selected topic. You should seek to identify books or book chapters that provide a conceptual or historical context related to the topic. If several theoretical frameworks are relevant to the topic, you should include them in your review and should discuss what each contributes to an understanding of the topic. You should identify research articles from a number of high quality education journals as well as from books, review them, and include them, as appropriate, in the literature review.

A review of the literature is not simply a list of research studies on a topic. You will need to bring a structure and organization to what is known and how it relates to the topic. For example, there may be some number of (e.g., three or four) central issues that you have identified through reading the literature that become the structure for your review. Alternatively, it may be that there are two opposing positions and that you work in your paper towards a synthesis of these differences. It may be that few studies address the issue you are exploring precisely but that different strands of research provide ways of understanding parts of the topic and that you discuss them each.

Important dimensions of your literature review are the organizational framework that you create for it and the approach you take for analyzing the literature relevant to the topic. While you are not offering new empirical data in the literature review, the organizational framework and analytic approach (as discussed above) are expected to be original contributions.

The literature review is expected to include discussions of both theoretical frameworks and empirical research. It is essential that you include references to studies, such as articles from refereed journals, in order to address not only conceptual issues but also research related to the topic.

A number of different perspectives are expected to be examined. The purpose is for your paper to reflect several of the issues that you studied in your first year course work. In planning your literature review, consider carefully central concepts that were examined in each of the courses and identify ones relevant to your topic.

4. Conclusions: This part of the paper should be a discussion and interpretation of the findings of the literature review and their meaning. It should identify the central conclusions that emerge from the literature review. It should indicate what the review indicates is known as well as what is not known about the topic. It is expected that the conclusions will reflect your original, creative analysis of the literature. The conclusions are not to be simply a listing of findings from the literature review. Rather, the conclusions should reflect your independent analysis of what the literature means -- what insights, patterns, meaning, and implications can be derived from it. This section should, in sum, provide a thorough and original analysis of the several conclusions that can be drawn from the theoretical and empirical literature you have reviewed. If warranted, conclusions about the need for additional research and evaluation should be included.

5. References: This should be a complete set of references drawn upon and relevant to the paper. It is expected that books and book chapters, material in edited works, and journal articles will be included. For most topics, theoretical as well as empirical works and, if appropriate, historical as well as contemporary perspectives should be included. All references should be cited in accordance with APA guidelines.

## **Comprehensive Exam Part I: Review of Literature**

### **Overall Grading Criteria**

The criteria that will be used for grading Part I, Review of Literature, are explained below. Four general sets of criteria will be considered. The specific scoring rubric that will be used in applying the criteria is provided.

#### **Overall Quality**

Key criteria in evaluating the papers pertain to the quality of (a) the discussion of the topic, (b) the analysis of issues, (c) the understanding of research and evaluation findings, and (d) the written presentation. The faculty are interested in your ability to analyze educational topics using empirical and theoretical source materials with objectivity and originality. They are interested in your ability to integrate theory and research in addressing a significant topic as well as the organization, development and support of your ideas. It is important that your paper is well written and your ideas are expressed clearly (careful editing & proofreading required).

#### **Research Base**

Your paper must be solidly based on theoretical and empirical research literature. You are expected to provide a comprehensive review of a number of bodies of literature that pertain to the topic and to discuss and cite each of them as they relate to the topic. Books, chapters, journal articles and World Wide Web references must be properly cited (in APA format) in the text of the paper and in the References section at the end.

#### **Organization**

It is expected that you will provide a well-organized review of the literature that leads to a clearly substantiated set of conclusions. You are expected to organize, integrate, and analyze the findings in a way that (a) reflects both objectivity and originality and (b) provides an overview of and insights about the topic. You should provide conclusions that reflect directly on but also draw out the meaning of the specific content you have presented. A simple list of findings from studies is not sufficient for the paper.

#### **Style**

The paper must be written clearly. The objective is to produce a high quality review of literature that communicates important conclusions to a reader. This requires that your points be clearly articulated and documented. Clarity should extend from the overall organization of the paper to the examples you use, the construction of sentences, and the choice of words that convey your meaning with precision and in accordance with the terminology of the discipline. It is expected that you produce a polished paper, and expect to prepare several drafts..

## **Comprehensive Exam Part I: Review of Literature**

The following holistic rubric will be used for scoring Part I, Review of Literature, of the Comprehensive Exam. Two faculty members will independently read and evaluate each student's Exam. A minimum score of 2.0 is required on this part of the Comprehensive Exam to pass it.

### **Holistic Scoring Rubric**

3 - The topic selected is significant and its importance is articulated. There is careful organization of the paper, which provides a clear and meaningful framework. The paper has a solid research base. Many works are cited and integrated in a coherent fashion. The overall organization of the paper, the analysis of the literature, and the conclusions drawn indicate both thorough knowledge of the field(s) and the author's own independent thinking. There is consistent reflection both of an understanding of the existing knowledge base and of originality in the author's approach to the problem and in the conclusions of the paper. The paper is clear and well written. The result is precision of thought and of language used to represent that thought. There are virtually no errors of grammar or spelling.

2 - The topic selected is relevant to current educational issues but it is not clear that it is a highly significant one. While multiple works are cited leading to an acceptable overview of the field, the literature review is limited in scope and in the perspectives covered. The author puts the cited works together in a coherent fashion, but there is not a well-conceptualized organizing framework or an insightful analysis of the literature. The conclusions have an evidentiary basis but do not contain original thinking. The paper is uneven in the quality of the writing and includes some errors of grammar and spelling.

1 - While the topic is related to the field of education, its significance is not established and it is not clear why it was selected. Only a limited number of works are cited. The paper is not well organized and does not provide a logical framework that can be easily followed. There is little or no originality in the organizational framework provided, in the analysis of the literature, or in the conclusions drawn. The points are not well articulated and the paper is not well written. Errors of grammar and spelling are fairly common.

## **Comprehensive Exam Part II: Analysis of a Research Article**

Each student will analyze a research article provided by instructor. The analysis of the research article will be according to the framework used in Education 281, Evaluation of Educational Programs (see below).

Using the following framework, students will prepare a four-page analysis of the article provided by instructor. Assessment standards for the analyses will follow the criteria used in Education 281.

### **Framework**

- Which precise behaviors or phenomena are researched in this study?
- Which questions are asked in this study?
- Which model(s) (or theories) are used that propose relations between the different behaviors/phenomena?
- What is the literature support for the model(s)?
- Do the methods--sampling, data collection instruments, coding schemes--provide an adequate test of the model(s)? Explain why.
- Do the findings support the model(s)? Explain how.
- What are the implications of this study for the model(s) that were used? How would the model(s) be refined?
- What future research directions are suggested by the study?

NOTE: Descriptions and evaluations of the statistical methods used in the studies are specifically excluded from these research analyses.

## **Comprehensive Exam Part II: Analysis of a Research Article Grading Criteria and Scoring Rubric**

The following holistic scoring rubric will be used for scoring Part II, Analysis of a Research Article, of the Comprehensive Examination. Two faculty members will independently read and evaluate each student's Exam. This section of the Comprehensive Examination will be evaluated on pass/fail basis.

### **Holistic Scoring Rubric**

**Pass** - Analysis of the research article clearly identifies the specific behaviors or phenomena observed in the study and how they are measured or operationalized. The research, in turn, is evaluated as to whether it adequately tests specific models\* that derive from the research literature. The student is able to determine whether the research methods—including sampling, data collection, instruments, and coding schemes—adequately test the model. The research findings are themselves evaluated as to whether they provide support for the model(s). Implications of the research are addressed. Possible refinements to the model are also considered, and promising follow up research is suggested.

**Fail** - Analysis of the research article fails to make connections between the behaviors or phenomena studied, the research model being tested, and the background literature. Each of these elements is either misrepresented, or associations between them are misunderstood or poorly evaluated. The evaluation of the research methods is incomplete, contains errors, or is otherwise of poor quality. The student does not indicate the significance of the research and promising follow-up studies are not identified.

### **Writing Quality**

As in Part I, the paper is required to be well organized and clearly written. Meaning must be communicated with precision in a well-constructed paper, free of errors.

\* Note: A model can be defined as the organization of behaviors or phenomena into a predictive framework. Those behaviors or phenomena may consist of mental states and/or other observable phenomena, including responses to psychometric instruments.

# DISSERTATION PROPOSAL

## Preparation Suggestions

### Part One: Topic and Its Significance

- a. General Statement of the problem
- b. Significance of the study
- c. Research purpose
- d. Research questions

Research knowledge is cumulative, in the sense that readers of research are interested in determining how a given study relates to and contributes to what is already known about the problem that was studied. In this section of your paper briefly (in summary form) answer the questions:

- What issue will you explore in your research?
- Why is this issue important?
- Has research on this problem been conducted previously?
- If so, what has been learned?

### Part Two: Review of the Literature

- a. Review of previous research and opinion
- b. Interpretive summary of the current state of knowledge

The process of defining a research problem is an important step in your professional maturation. Your first ideas for research may appear naive after you study the sophisticated formulations of experienced researchers. But, as you continue reading, your own thinking will become more sophisticated, and the problems you frame for study will become better grounded in the existing knowledge base and more likely to advance it. Through your reading of the literature, you should be able to:

- Identify the foremost theories in your field;
- Specify how your planned research will build upon or test one or more of these theories.

### **Part Three: Questions to Be Explored and Their Significance**

- What will your research contribute to what is already known?
- What are the questions around which you will organize your research?
- How will you go about answering those questions?

### **Part Four: Research Methods**

- a. Research design
- b. Selection of case to be studied
- c. Data collection procedures and procedures for human subject protection

In this section you describe the design of your study and how you implemented it in the particular setting you have chosen to investigate. The questions you should address include:

- Why is the case (or cases) you will particularly likely to yield significant insights into the phenomenon of interest?
- Why will you observe what you will?
- Why will you interview whom you will?
- Why will you use the particular documentary evidence that you will?
- How will the evidence gathered from one data source shed light on other data sources?

You should describe your data-collection and analysis procedures in detail.

### **Part Five: Research Findings**

- a. Overview of how data analysis will be carried out
- b. Description of how results for each research question will be determined
- c. Supplemental analysis

This section presents research findings but does not discuss them. That is left for the final section.

This section begins with a brief descriptive account of how procedures used for gathering and analyzing were adapted to accommodate specific conditions encountered in the field. Then each research question will be stated in the same form as it was presented in the introductory section and how findings pertinent to this question will be analyzed will be explained.

Often it is helpful, when writing up research, to put the findings for each question in a table or figure. You can then describe findings you have thus summarized and draw the readers' attention to noteworthy findings. What tables or figures do you anticipate using to present your findings?

If the study consisted of a set of case studies, the analysis of each case can be organized separately. However, each analysis should be organized similarly, in order to facilitate comparisons between them.

**Part Six: Anticipated Contribution to the Field**

- How will your research contribute to current knowledge?
- How will what you find fit into a larger historical or theoretical framework?

## **ORAL QUALIFYING EXAMINATION**

### **Qualifying Examination Overview**

The Oral Qualifying Exam is the step within the Ed.D. program that results in advancing to candidacy. The exam covers the student's dissertation proposal but also broader issues. The latter are addressed in part as they relate to the dissertation topic and may include attention to the social, political, historical, economic, and methodological issues that place the dissertation in its scholarly context. Thus, in preparation for the exam, students should review the overall body of theory and research examined in the Ed.D. program and review quantitative and qualitative research methodologies studied within the program.

### **The Candidacy Committee**

The dissertation proposal is defended by the student in front of the Candidacy Committee (this constitutes the Oral Qualifying Examination, as described below). All five members of the Candidacy Committee must be voting members of the UC Academic Senate. The Committee must include at least three faculty members from UCI and one from UCLA with the fifth member typically from either of the two campuses (but can be from any UC campus). The chair of the Committee must be affiliated with UCI's Department of Education or UCLA's Graduate School of Education. At least one member must be from outside the field of education. Ordinarily, the Candidacy Committee Chair serves as the student's Advisor through completion of the Ed.D. Program.

The student nominates the Committee. Committee members are selected on the basis of expertise in the areas relevant to the student's dissertation. The Ed.D. Program Coordinator completes the appropriate University form and forwards it to the Department Chair (or designee), for evaluation and approval of the Committee.

In advance of the Oral Qualifying Exam, the dissertation proposal is sent to Candidacy Committee members by the Ed.D. Program Coordinator. Students should submit copies of the proposal to the Program Coordinator at least three weeks prior to the date of the exam. Subsequent to this, the student is expected to communicate with each member of the Committee.

The student should be prepared for the Oral Qualifying Exam to be 2 hours in length. The components of the exam are listed below. The order is either as presented below or a reversal of sequence such that items #4 and #5 are addressed first, followed by a break, then components #1 and #2, concluding with component #6.

## **Candidacy Examination Procedures**

I. Student summarizes & discusses dissertation proposal (30 minutes).

The presentation should include:

1. topic and its significance
2. review of literature
3. questions/hypotheses to be explored and their significance
4. data collection procedures
5. data analysis methods
6. anticipated contribution to the field.

II. Student responds to questions from Committee members about dissertation proposal. The student discusses and addresses issues concerning conceptual issues raised by Committee members typically substantive and methodological questions (45 minutes).

III. Break (10 minutes)

IV. Student summarizes key conceptual issues raised, including significant points of discussion and changes to be made in the dissertation proposal based upon Committee questions (15 minutes).

V. At the conclusion of the Oral Exam, the Committee discusses the student's performance (without the student present). The Committee then votes upon a recommendation for or against candidacy (20 minutes).

The final vote and recommendation of the Committee must be unanimous.

## **Advancement to Candidacy**

If the Committee votes to recommend candidacy, each member signs Ph.D. Form I . On this form the Committee also indicates who will serve on the student's three-person Doctoral Committee. The student will receive a communication from the Ed.D. Program within five (5) working days indicating the status of the Candidacy Committee's decision.

The student then pays the Advancement to Candidacy Fee to the campus Cashier's Office, which validates the Ph.D. Form I. This signed and validated form serves as the formal application, submitted by the student, for Advancement to Candidacy. The Graduate Division, to whom the form is submitted by the student, will notify the student of his or her formal Advancement to Candidacy.

In the event that the Committee requires substantive changes to the dissertation proposal which it wishes to review, or for some other reason is not prepared to recommend candidacy, the vote will be postponed. Advancement to Candidacy cannot be recommended subject to conditions, which must be satisfied before the action is final. However, the Committee may request changes in the proposal that it considers to be of a technical nature and which it does not deem necessary to review.

The student must submit to each member of the Committee, all substantive changes in the dissertation proposal requested by the Committee for review.

The student's Candidacy Committee determines the precise form and content of each Oral Qualifying Exam.

Students who do not pass on the first attempt will have one opportunity to retake the Oral Qualifying exam within three months.

## Dissertation Proposal Outline\*

**Each student and dissertation advisor will need to adapt this outline to the specific nature of the dissertation proposal being developed.** This outline is designed as a reminder of key elements that are usually addressed in proposals. The dissertation proposal has been called “the rock upon which you build your work” (Kerchner, 1994, p. 5). In a very real sense once the proposal is approved it is like a contract between the degree candidate and the committee. Of course, the contract can be re-negotiated as circumstances in the research process warrant.

- I. Cover page following the format required for dissertations
- II. Introduction
  - a. Background
    - i. Statement of the problem
  - b. The Study
    - i. Very brief overview of the study (1 paragraph)
    - ii. Research Questions (included hypotheses if necessary)
  - c. Significance of the Research
    - i. Who will benefit from the research (scholars, school district personnel, teachers, etc.) and how? (don't repeat the statement of the problem—keep it brief and to the point)
  - d. Assumptions and Limitations [optional]
  - e. Operational Definitions [optional]
- III. Conceptual Framework
  - a. Introductory paragraph listing key concepts to be discussed
  - b. Discussion of the literature related to the theoretical or conceptual framework
  - c. Analysis of research studies and scholarly works related to the research proposed for the dissertation
  - d. Summary of research to date and lead-in to your study
- IV. Methodology
  - a. Design —description of the type of research to be conducted (exploratory, descriptive, experimental, etc.) methods that will be used
    - i. Cite the literature supporting this design
    - ii. Justify why this design is appropriate to address the research question(s)
  - b. Sites/Participants/Subjects [for human subjects research; can be a single section or divided into two]:
    - i. Where will your study be held and who will be involved in it
  - c. Sources of Data [qualitative] or Instruments [quantitative]
    - i. Describe the data sources or instruments
    - ii. Describe the methods to be used
    - iii. Justify why they are appropriate to answer the research question(s) by citing the methodology literature

- iv. Discuss the feasibility of collecting the data using these methods
    - v. Attach copies of proposed instruments or protocols
  - d. Define the key types of data or “variables and how they are operationalized” (Kerchner, 1994, p. 7). [quantitative]
  - e. Carefully outline the procedures that will be used to conduct the research including where appropriate the use of pilot studies, negotiation of access, and any special concerns with regard to the protection of human subjects [ordinarily for quantitative research; for qualitative research, may be integrated into one of the above sections]
  - f. Data analysis—describe in detail how and when the data will be analyzed. Include copies of proposed tables or charts. Justify the use of analytical methods as appropriate to address the research question by citing the research methodology literature.
  - g. Credibility and Trustworthiness – explain why your research is credible and trustworthy (triangulation, prolonged engagement, looking for disconfirming evidence, etc.), citing sources to justify your approach [qualitative research only]
- V. Timeline for completing the dissertation
 

Present a timeline for each step in the process of completing your dissertation. Exactly how many days are planned for each step? It is your job to convince the committee that you can actually complete the research in the timeframe you outline. Consider whether you will have the resources (time, money, access to data, etc.) to complete the dissertation. Your committee will be investing significant time and effort in reviewing your work, you need to be convincing that your work is worthy of their attention and that you have the capacity to complete this scholarly undertaking.
- VI. Dissertation Outline (Outline of dissertation chapters)
- VII. References
- VIII. Appendices (e.g., proposed instruments or protocols)

De Vaney, A. (2004). *Proposal sections for dissertation*.

Kerchner, C. T. (1994). *Dissertation craftsmanship*, Unpublished manuscript, Claremont, CA: Claremont Graduate University

**\* Compiled originally for Ed. 259B/C by Mark Warschauer, et al**

## DEFENSE OF DISSERTATION

### Final Defense Overview

#### The Doctoral Committee

The Doctoral Committee, with primary guidance from the Doctoral Committee Chair (who is also the student's Advisor), supervises the research and writing of the dissertation and is responsible for approving the final dissertation. Ordinarily, three members of the Candidacy Committee continue as members of the Doctoral Committee. At least one member of the Doctoral Committee must be from the UCI faculty and at least one must be from the UCLA faculty involved in the Ed.D. program, with the third member typically from either of the campuses. All three must be voting members of the UC Academic Senate and the committee chair must be affiliated with the Ed.D. program.

#### Researching and Writing the Dissertation

The dissertation will include the results of the candidate's independent research and will contribute to the body of knowledge in education. The candidate enrolls in Education 299: Dissertation Research (4-12 units, which may be repeated for credit) once he/she begins dissertation research. Students are encouraged to attend the dissertation workshops sponsored by the Office of Research and Graduate Studies and announced in the *Graduate Voice* newsletter for graduate students.

All dissertations must conform to University regulations and specifications with regard to format and method of preparation. These are described in *Manuscript Preparation: Standards and Procedures, Master's Theses and Ph.D. Dissertations* (Office of Research and Graduate Studies and University Archives, UCI Library).<sup>1</sup> Students are encouraged to attend an information session in which procedures for manuscript preparation and filing are discussed. The information sessions are offered quarterly.

#### Lapse of Candidacy

Candidacy for the Ed.D. will lapse automatically if the student loses graduate standing by academic disqualification or failure to comply with the University policy on continuous registration.

#### Final Examination: Defense of Dissertation

The Doctoral Committee will conduct a final oral exam during which the candidate defends the dissertation. Ordinarily, the final exam will be given just prior to the completion of the dissertation and while the student is in residence during a regular academic session.

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<sup>1</sup>This handbook is available through the World Wide Web <<http://www.uci.edu/students/#Graduates>> as well as in print at the Reserve Desk of the UCI Library. It can be purchased from the UCI Bookstore.

**Approval of the Dissertation**

The Doctoral Committee certifies that the completed dissertation is satisfactory through the signatures of all Committee members on the signature page of the completed dissertation. The Doctoral Committee recommends, by submission of *Ph.D. Form II*, the conferral of the Ed.D.

**Submission of the Dissertation**

The submission of the dissertation is the last step in the program leading to the award of the Ed.D. Students submit the dissertation to the manuscript librarian who accepts it for deposit in University Archives.

The dissertation is expected to be submitted by the deadline in the quarter in which the degree is to be conferred. Friday of the tenth week of classes is the deadline for submission during each quarter. Those students who complete requirements and submit the dissertation after the end of the tenth week of classes and prior to the start of the subsequent quarter will earn a degree for the following quarter, but will not be required to pay fees for that quarter.

**Time Limits**

The required program of study is designed to be completed in four to five years. A leave of absence or other exception to the program of study will only be considered under special circumstances.

## **Final Dissertation Defense: General Guidelines**

The Dissertation defense is typically conducted within a two-hour time period. The candidate devotes approximately the first half hour to the presentation of the Dissertation. Another hour or so is for questions from the Committee members. The remaining half hour is time in which the Committee discusses its recommendation(s) and communicates them to the Candidate.

### **1. Presentation of Dissertation by Candidate: Thirty (30) Minutes**

The Candidate is expected to provide a concise description of the Dissertation. In doing so, the Candidate is expected to describe:

- a. The problem examined and its importance
- b. The research methodology (e.g., sample, data collection, data analysis)
- c. The findings of the study
- d. Study conclusions and implications

### **2. Questions Asked by Dissertation Committee Members: One (1) Hour**

Dissertation Committee Members ask the Candidate questions, which they consider, warrant discussion with the Candidate prior to approval of the Dissertation. These questions may pertain to such matters as why particular approaches were or were not taken by the Candidate, the meaning of the data contained in the Dissertation, or the relationship of the Dissertation findings to other studies.

### **3. Concluding Statement by Candidate: Ten (10) Minutes**

During this period, the Candidate may be asked to make concluding comments. This is an opportunity for the Candidate to clarify unresolved issues. The Candidate may wish to return to specific questions asked by Committee members if he or she has more information to add. In addition, the concluding statement might address areas for future research. As applicable, this might relate to both (a) further analyses to address issues raised by the Committee and (b) additional questions for study that derive from the Dissertation research and which the Candidate considers important. Finally, the Candidate should end with a brief concluding statement. It should summarize the significance of the dissertation in terms of the contribution it makes to the area of study.

### **4. Discussion by Dissertation Committee Members (20 Minutes)**

Committee Members discuss the Candidate's Dissertation and defense of it and will vote on whether to (a) approve it, (b) approve it with minor modifications, or (c) request additional work on it. Approval of the Dissertation (a or b) requires a unanimous vote of the three Committee Members. In the event that additional work is needed, an MOU or similar written agreement should be considered. The Committee's decision will be communicated immediately to the Candidate

## BOOKS FOR DISSERTATION PREPARATION

Note: Some books are available for checkout from Ed.D. Library. Books are not listed in any special order. Not all are listed in APA style.

1. Bolker, J. (1998). *Writing your dissertation in fifteen minutes a day*. New York; Henry Holt and Company.
2. David, G. B. and Parker, C. A. (1979). *Writing the doctoral dissertation*. Hauppauge, New York: Barron's Educational Series, Inc.
3. Fink, A. (1998). *Conducting Research Literature Reviews*. Thousand Oaks, CA: Sage Publications
4. Glatthorn, A. (1998) *Writing the winning dissertation: A step-by-step guide*. Thousand Oaks, California: Corwin Press.
5. Locke, L. F., Silverman, S., and Spirduso, W. W. (2000). *Proposals that work: A guide for planning dissertations and grant proposals*. Thousand Oaks: Sage Publications, Inc.
6. Madsen, David. *Successful dissertations and theses*. ISBN 1-5542-389-2 Jossey-Bass Inc. Publishers  
350 Sansome St. San Francisco, CA 94104
7. Mauch, J.E. and Park, N. (2003). *Guide to the successful thesis and dissertation: A handbook for students and faculty*. New York: Marcel Dekker, Inc.
8. Newman, I., Benz, C. R., McNeil, K., and Weis, D. *Theses and dissertations: A guide to writing in the social and physical sciences*. Lanham, Maryland: University Press of America. 1-800-462-6420  
ISBN 0-7618-0815-9. 4720 Boston Way. Lanham, MD 20706
9. Rudestam K.E. and Newton, R.R. (2001). *Surviving your dissertation - A comprehensive guide to content and process* (Second Edition). Thousand Oaks: Sage Publications.