Curriculum and Instruction
Ph.D. Program
of the Departments of Educational Specialties
and Teaching & Learning

Program Guide for
Students and Faculty

Revised Spring 2020

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Curriculum and Instruction Doctoral Program Learning Outcomes

The Curriculum and Instruction (C & I) Doctoral Program is designed to help students attain a core set of learning outcomes. The learning outcomes for the program enable students to:

1. Integrate deepened understandings of curriculum and instruction, by explicating and evaluating the major movements, theories and methodologies of these fields, situating their sources and articulating the relationships and implications to areas within the education –related venues of the students' professional orientations
2. Clarify the multiple contexts that shape curricular and instructional decision-making, including socio-cultural, political, economic, organizational, and historical
3. Articulate how theoretical frameworks in curriculum and instruction can and often should be constructed from successful practice as understood broadly in professional contexts
4. Create sustained, coherent arguments or explanations summarizing elements of curriculum and instruction theory and literature with general and professional audiences
5. Examine the significant challenges involved in applying curriculum and instruction theory within the students' professional venues, clarifying the leading edges, exploring the current limits of theory, knowledge, and practice, and how these appear in practice across socio-political contexts
6. Engage the broad range of research methods, modes of inquiry and quantitative and qualitative methods used to investigate questions within curriculum and instruction and to evaluate and apply research findings within their inquiries and dissertations
7. Make significant and innovative advancements in the understanding of curriculum and instruction designing an original research study of personal or professional interest and importance including; planning, organizing, scheduling, and executing the project
   a. Articulate the theoretical framework for the project (including conducting a literature review to assess the theoretical and methodological contributions previously made to this area)
   b. Creatively generate alternative problem-solving ideas, practices, or solutions within the dissertation area
   c. Identify and define appropriate variables and methods of data collection, select and apply quantitative and qualitative research methods appropriate to the research design, and analyze, interpret and explain findings
   d. Scrutinize and evaluate various assumptions, evidence, and reasoning throughout the project
   e. Evaluate the effectiveness of the project and its implications to the fields of curriculum and instruction
   f. Present original empirical research to professional and non-professional audiences, articulating sustained, coherent explanations summarizing work
   g. Conduct a dissertation defense to a community of university faculty and peers

Program Requirements

The C & I PhD Program requires a minimum of 60 units beyond a master's degree. The Master's Degree must be in a related field to curriculum and instruction. Transfer credits for graduate coursework are not applicable. Students are allowed eight years from the semester of program admission to meet these requirements and complete the dissertation process.

The C & I PhD Program of study consists of four major areas:
- The C & I Core courses are designed to deepen understanding of curriculum and instruction – teaching, learning, and education;
- The Research Area courses address issues in quantitative and qualitative design analysis as well as practical issues related to students' chosen topics of investigation;
- The Discipline-specific courses allow students to select among specializations in to pursue a program progression pathway in consultation with student's faculty advisor and the program coordinator; and,
- Dissertation, within the completion of the first 3 (of 15 hours) credit hours students write, design, propose, and defend a dissertation study.

Completing coursework in these four areas helps ensure that doctoral students meet the learning outcomes for the program.

A minimum of 60 required units comprise the program requirements over four phases:
- Phase 1 - Coursework
- Phase 2 – Qualifying Research Project and Comprehensive Examinations
- Phase 3 - Proposal and Prospectus
- Phase 4 - Research and Dissertation

Course completion is only one of four major phases for completion of the degree. Qualifying research requirements and comprehensive examinations take place the last semester students are enrolled in courses or during the semester following completion of all coursework.

Students are allowed 16 weeks (four months) to complete all three examinations and must be registered for three units in one of the included semesters. Once comprehensive examinations are completed, then work on the dissertation can begin. However, some planning and writing may occur either concurrently or prior to completion of the comprehensive examination. In some special circumstances, after consultation with their faculty advisor, students may collect data that will be used as part of the dissertation prior to completion of the comprehensive examination. Additionally, proper IRB approval, if required, must be obtained prior to collection of any data that will be used in the dissertation. However, since these data would be collected prior to having an approved dissertation prospectus, the student must acknowledge (in writing) that they are aware that their dissertation committee may not approve using these data as part of the dissertation. Dissertation research, writing, and defense are time-intensive. The time needed to complete the dissertation process varies depending upon the type of study chosen.

Application and Admissions

Application for the program is completed through the online portal at the NAU Graduate College (https://www.applyweb.com/northazg/index.html). Candidates interested in applying to the program are required to contact a faculty member in the program prior to applying. Names and contact information are available on the web site (https://nau.edu/ed-specialties/directory/; https://nau.edu/teaching-and-learning/directory/). Documents required to complete the application process include:

Personal Information
- Name
- Address
- Contact Information

Demographic Information
- Social Security Number (for students applying domestically; international students may have other requirements)
- Ethnic Background

Education Information
- Transcripts:
  - Unofficial transcripts of all undergraduate or graduate work completed in the US must be uploaded to evaluate application. Ensure all pages of the transcript are included and can be easily read. OFFICIAL TRANSCRIPTS, sent from the issuing institution directly to Northern Arizona University, will be required upon admittance to your graduate program for GPA and degree conferral verification. NAU students do not need to submit official transcripts for NAU coursework.
    - Additional information regarding ordering official and uploading unofficial transcripts is available on the application page.
    - Specific information for uploading transcripts can be found at: http://www2.nau.edu/gradcol/Admissions/FAQ_UploadingTranscripts.pdf

Enter into **"School"** the institution where the most recent undergraduate or graduate degree was awarded to applicant. Please, identify the degree received from any institution. **"Add a School"** to upload additional transcripts.

Citizenship Verification
In accordance with Arizona law, all students attending NAU must provide documentation of U.S. citizenship, permanent residency, or other lawful immigration status in order to qualify for in-state tuition, or any other type of financial assistance that is subsidized with state monies, including all graduate assistantship awards.

With rare exceptions, applicants will not have to provide documentation of lawful presence if he or she:
- Filed a FAFSA (Free Application for Federal Student Aid);
- Works as an NAU employee or NAU student worker; or,
- Resides (is a resident of) in Arizona.

If the criteria above are not met, or if there is a question regarding status, applicants will need to provide documentation. Failure to provide this documentation results in ineligibility for in-state tuition or financial aid supported by state monies.

Documents that may be asked to be provided include:
- Birth certificate showing birth in a U.S. state, territory, or possession;
- US passport;
- US naturalization certificate;
- US permanent resident card - if this was uploaded in Section One, citizenship verification requirements are met.

Residency Information
- https://nau.edu/teaching-and-learning/c-i-overview/

Curriculum Vitae
Upload a complete professional curriculum vitae. Please, include the following information:
1. Name, home address and phone, business address and phone, e-mail address;
2. Academic history (undergraduate and graduate programs with institutions, date completed, degrees earned, and major/minor fields of study);
3. List of all certificates, endorsements, and licenses held;
4. Teaching/work experience, including present occupation and employer (with name, address, and phone);
   Applicants should specify the number of years of teaching in K-12 and/or higher education settings in full-time equivalencies (FTEs). Please, describe any post-secondary experience, including course load and topic. Do not include substitute teaching, unless these appointments were for long-term substitute teaching positions.
5. Professional honors or awards;
6. Professional activities membership and leadership roles or responsibilities in professional and/or service organizations or clubs;
7. Professional Development: significant professional growth or in-service activities
8. Publications and/or Presentations: articles, books, other published materials, professional presentations, and conference presentations; and,
9. Community/Non Professional Activities: membership and leadership roles or responsibilities in professional, and service organizations or clubs.

Goal Statement
Prepare a brief (one to two page) statement describing your short-term and long-term professional goals as well as your research interests. This statement should include how obtaining the doctoral degree in C&I will assist you in meeting your goals and what you learned about the connections between your goals and the C&I program from the faculty member(s) you spoke with as you were preparing to apply to the program. Please include the name(s) of the faculty with whom you spoke.

Diversity Statement
The College of Education at Northern Arizona University supports the university's commitment to diversity by fostering an environment that celebrates diversity and is inclusionary and reflective. Please provide a detailed and justified explanation for your own

commitment to these ideals in 150-250 words, including any experiences you have that inform your values and commitment to diversity and inclusiveness.

The Academic Writing Sample
Submit a 5 - 10 page paper on a critical issue in education (current APA style, double-spaced, 12-point font, 1 inch margins). This can be a paper submitted for a previous course assignment as long as it meets the content and length guidelines and was authored solely by the applicant.

Recommendations
Provide the contact information for individuals* who will write recommendation letters. **Three** letters of recommendation are required. Letters should be submitted by academic or professional references. If your most recent degree was within the last 5 years, at least one reference must be from a professor. It is important that you choose at least one reference who can speak to your ability to be successful in a doctoral program. **It is your responsibility to ensure letters are submitted**, so you should be sure to contact the individuals to alert them that they will be asked to submit a reference.
   *Please, remember applicants do not request these recommendations. NAU will automatically send an e-mail request to the individuals whose contact information has been provided.

Ratings Criteria
The Admission Rating Form is found on page 19 (Appendix A).

Admissions status will be forwarded to applicants no later than or November 15 (for Spring admission).

Upon admission, these are the next steps:
1. Meet with your assigned faculty advisor prior to enrollment to develop a program of study;
2. Prepare a plan to meet program residency requirements;
3. Become familiar with continuous enrollment policies and program expectations; and,
4. Become familiar with the policies regarding leave of absence.

Advising - Program of Study
Newly admitted students are assigned a faculty advisor. Meet with your advisor before beginning the first semester of courses in the program. The advisor will assist each new student in the development of a Program of Study (POS). At a minimum, students are recommended to schedule advising appointments once per semester.

Continuous Enrollment
Once admitted to the C & I PhD Program, students are expected to be continuously enrolled each Fall and Spring term until all requirements for the degree have been fulfilled. Even if all course requirements for a degree have been completed, students may need to use university resources (library access, lab, or other university facilities) to complete a required independent study or research project. For the protection of both students and the university, students must enroll during any terms, including Summer, that they use university facilities or require the professional

time of faculty members.

When students begin working on a dissertation, they are expected to enroll in at least one unit of ECI/ESE 799 (Dissertation) from the time they begin this work until the degree is completed. Students who do not have an approved leave of absence on file with the Graduate College and wish to resume work on a dissertation after one or more semesters of non-enrollment or discontinuation due to lack of continuous enrollment may be required to register for any additional units ECI/ESE 799 Dissertation missed. Students who are discontinued due to lack of continuous enrollment must submit a new application for admission.

Link to the policy on the Graduate College webpage:
https://policy.nau.edu/policy/policy.aspx?num=100326

Leave of Absence
In extenuating circumstances, doctoral students may petition for an exception to the continuous enrollment policy. The petition form, Petition for Leave of Absence, which is available on the Graduate College Website, must be approved by the student's committee chair, doctoral program coordinator, and/or department chair and sent to the Associate Dean of the Graduate College for final approval. The request must be filed and approved **before** the anticipated absence.

C& I PhD Program Student Self-Reflection

An important part of becoming a professional is our ability to examine our own growth. As part of the PhD in Curriculum and Instruction we are committed to providing annual feedback to each student. Furthermore, this will be done by triangulating various perspectives, faculty and student. Below is a brief outline of the faculty process. This form is your space to self-evaluate and reflect on this past year.

Process: During the spring semester, following a student's admission to the Curriculum and Instruction Doctoral Program, the faculty will evaluate the student's progress in the program based upon the criteria identified below. Each faculty member will complete the feedback form prior to the meeting and follow the google form process. In the google forms, if someone has worked with a student this past year as an administrator, faculty, or in another capacity, they will be prompted to complete the form.

Each student will be reviewed at the annual meeting and the advisor will generate a summary based on the feedback given which they will share with the student in an advising meeting. Every student currently enrolled will be required to meet with the advisor after this process. Students will also self-reflect annually which will be part of the meeting with the advisor. This form will be placed in the digital student file.

If a student exhibits a weakness (rating of needs improvement or unacceptable) in any of the criteria, the student's advisor and student, in consultation with the Program Coordinator, will develop a Professional Growth Plan (PGP) to remediate the weakness. The advisor will evaluate and report to the Program Coordinator and/or Program Committee successful completion of the PGP by the student. If the Advisor and the Chair and/or Program Committee determine that the student has met the objectives, activities, and timelines of the PGP, he or she can continue in the program. If the student has not met/completed the PGP successfully, the advisor reports to the

Coordinator and the Program Committee who will then make the determination that the student has not met the objectives, activities, and timelines of the PGP. If it is determined that the student has not met the objectives, activities, and timelines of the PGP, he or she will be denied continuance in the program.

Program Residency Requirement

NAU's residency requirement provides doctoral students the benefit and opportunity to engage and contribute to the full spectrum of educational and professional opportunities provided by faculty and other students within their program and across the campus. Residency requirements are designed to help the doctoral student develop an understanding of and participate in the scholarly community into which the student is being mentored. These requirements are designed to provide students with opportunities to:

- demonstrate critical thinking around education,
- develop solutions to complex educational problems,
- refine research skills,
- prepare to become active members of the community of educational scholars, and
- network and form relationships with peers and faculty.

Within four years of acceptance into the C&I PhD Program and prior to applying for candidacy, students must fulfill their residency requirements.

In order to satisfy the residency requirements students must:

- be enrolled for two semesters (Fall, Spring, Summer 1, or Summer 2) as a full-time doctoral student (9 credit hours for academic year semesters, or 6 credit terms for summer semesters) on either the Flagstaff Mountain campus or on the Phoenix campuses,
- participate in an on-campus orientation on the Flagstaff Mountain Campus (summer) to become acquainted with processes and protocol, to understand expectations, and make initial connections with peers and faculty.
- attend and participate in monthly advisory/mentor group meetings, and
- participate in at least two of the following activities each year.
    - attend colloquia organized by the Doctoral Student Organization or by the C&I Doctoral Program; and/or the annual Lapan Forum
    - present at the annual Lapan Forum
    - serve on the organizing committee for the Lapan Forum
    - serve in a leadership position within the Doctoral Student Organization
    - submit a proposal for a presentation/poster at a state/ regional/ national/ international conference
    - participate in a writing group
    - act as a reviewer for conference proposals or journal editorial board
    - participate in workshops for writing conference proposals and grant applications
    - become engaged in graduate student organizations of AERA or other national scholarly organizations
    - work with a faculty member to prepare and teach a course
    - other activities with approval of advisor

Qualifying Research Requirement

The qualifying research project (QRP) provides evidence of research and scholarly competence, and demonstrates the student's potential for undertaking the advanced research activity expected in a doctoral program. The qualifying research project is an independent research study in which the student assumes complete responsibility for the research, including the identification of a research problem, explication of the theoretical framework, a detailed literature review, and the research design process. This part of the doctoral program ensures a student's ability to conceptualize, plan and/or implement a major research initiative. The qualifying research must show familiarity with previous work in the field and must demonstrate the ability to carry out research, organize results, and defend the approach and conclusions in a scholarly manner according to disciplinary norms. The qualifying research project must be written in compliance with norms for academic and scholarly expression and for publication in the public domain. In addition, the qualifying research project must constitute original scholarship. In order to demonstrate the independent nature of the scholarship, the student must clearly describe his or her role in the research and provide supporting documentation of the student's role as distinguished from others involved with the work. The QRP is completed through ECI 685: the initial project plan is written in one semester; students must sign up for 1-3 credits of ECI 685 with their advisor during the semester when the project is completed.

Student Assumes Complete Responsibility for Each Phase of Project:	Faculty vouches for Completion of Stages of Qualifying Research Project
Identification of Research Problem	
Explication of the Theoretical Framework	
Detailed Literature Review	
Research Design Process	
Implementation of Study	
Collection of Data	
Analysis of Data	
Presentation/Publication of Study	

Comprehensive Examination Requirements

What is the Comprehensive Examination?

This is the second major component of the doctoral degree. The comprehensive examination is a written and oral examination given to C & I students to ascertain their ability to demonstrate and to apply acquired knowledge and skills. The comprehensive examination covers three major areas in the C & I Doctoral Program: Curriculum and Instruction, Discipline-specific Field of Study, and Research. Questions shall be developed for each area, and at least one question must be written that requires students to integrate all three areas. This is called the overarching question and must be designated as such on the *Scheduling Form* (Appendix F) related to Comprehensive Examination and on the *Comprehensive Examination Report Form* (see Appendix G). With the comprehensive examination committee's permission, the discipline-specific field of study question may be written as a draft of the dissertation proposal.

Who Directs the Comprehensive Examination?

The comprehensive examination plan is to be developed by the Comprehensive Examination Committee Chair in consultation with the doctoral student, including a time line for all parts of

the examination. Before students may begin taking the written portion of the comprehensive exam, they must complete the *Scheduling Form* related to the portion for Comprehensive Examination in consultation with their program committee chair and submit it to the C&I Program Coordinator. This should occur no later than the semester prior to the first planned comprehensive examination at a formal examination meeting including all committee members.

Who Writes the Questions?
Students select and request one member from the C&I faculty to chair their Comprehensive Examination committee. Together, the student and committee chair construct a Comprehensive Examination committee. This committee includes three writers for the exam. The chair and student also designate three additional readers of questions. Whenever possible, writer and reader may work together to construct questions. Typically, readers and writers are C&I doctoral faculty members. In the rare circumstance that outside expertise is needed, particularly for discipline-specific field of study area questions, the writer (who must be C&I faculty) of the question will consult with an outside committee member to create a question suitable for the student's exam. That outside member serves as the reader of that question.

How Should the Comprehensive Examination Plan Be Structured?
The comprehensive examination must be taken during or just following the last semester of classes. Students will complete one examination as a sit-down or on-site exam, one as a take-home exam, and the third as either a sit-down or take-home examination, at their discretion. Each on-site exam requires 6-8 hours of writing, and each take-home exam is limited to a period of two weeks for completion. On-site exams must be taken at the NAU College of Education, unless exceptional circumstances will not allow it. In such circumstances, students must submit a written petition, by email or in person, to the C & I Coordinator no less than six weeks prior to the scheduled sit-down examination explaining the circumstances under which the request is being made. The petition will be reviewed by the C & I Doctoral Steering Committee to determine if an exception can be made. If the petition is approved, the student must coordinate arrangements for the sit-down examination at another location in consultation with the committee chair.

Students are responsible for scheduling a room and a laptop for the sit-down comprehensive examination(s). Rooms are to be scheduled using the NAU College of Education Event Request Form (https://nau.edu/coe/coe-event-form/). The laptop is reserved with using the Scheduling Form related to Comprehensive Examination by the C&I administrative assistant. Take-home examination questions will be delivered to students and their respective Comprehensive Examination committee chair in writing or by email. Students will have two weeks to complete the exam from the day and time the examination is delivered, according to the question writer's records. Take-home examinations must be returned to the writer as an email attachment and CC'd to the second reader.

After completing all sections of the written comprehensive exam, students may schedule the oral portion of the exam (although a tentative date was noted on the *Scheduling Form).* The oral portion of the exam should take place within four weeks of the completion of the written exam, with enough time allowed for student preparation. Writers and second readers should provide written feedback to the student and chair so that the student can prepare a presentation for the oral exam. All writers must attend this oral exam. Readers are encouraged to attend, but not required. This oral session can be used to address any or all of the following activities:
•   Question the student in areas not effectively answered in the written exam

- Determine the depth of student understanding in any/all of the exam areas
- Develop a plan for retaking any part or all of the written examination
- Decide on any further requirements to be met by the student

How Are Examinations Evaluated?

Exam responses are read and evaluated by the exam author and second reader and can be read by other committee members if they choose to do so. Examinations are graded as high pass (superior), pass (good), conditional pass (contingent on additional work), or unsatisfactory (failed and must repeat all or part of exam) according to the evaluation criteria in Appendix I. If students receive a conditional pass for any portion of the exam, they may be asked to submit further materials or work as a condition for completing the comprehensive exam. Alternatively, students may be asked to fulfill these requirements at the oral examination.

When a request is made to submit additional information in writing, students will complete an addendum to their examination. Addenda must be completed within one week of the request, which will be made by the examination author and/or second reader.

If the student fails the written exam, they will be asked to rewrite a response. This means they will receive a new question and an additional time period to complete their rewrite. Students may retake the examination no sooner than the following semester, and they may retake the exam no more than once. Failing the written exam a second time will result in being removed from the C&I doctoral program.

Students will be evaluated on the written portion before the oral portion of the examination takes place. However, the final determination of pass/fail depends on students' responses during both portions (written and oral) of the exam.

Following the oral portion of the comprehensive exam, the committee chair submits the *Comprehensive Exam Report Form* (see Appendix G) to the C&I coordinator and C&I administrative assistant.

What Else Might Occur at the Comprehensive Examination Oral?

The committee will ask the student to leave the room following the oral exam. The committee reviews the effectiveness of the student's responses and makes a final determination as to the overall grading of the exam.

What happens after I learn the results of my Comprehensive Examination?

Students who successfully complete both the written and oral portions of the comprehensive exam are eligible to begin plans for dissertation work. This does not mean that some efforts such as written proposals and committee meetings have not taken place before this exam completion.

Dissertation Process

The Proposal

The first step in the dissertation planning process is to schedule a meeting with the proposed dissertation committee. This meeting may take place at the end of the oral portion of the Comprehensive Examination (if the committee agrees this is appropriate) or can be scheduled

as a separate meeting at a time the student is ready to plan for the study. Before this meeting, a dissertation proposal (generally 15 to 30 pages) is to be submitted to each member of the proposed dissertation committee. This proposal outlines the dissertation work that the student would like to pursue. It must include a summary of the information which will eventually be expanded into chapters (or sections) one, two, and three (problem, literature review, research design) of the final dissertation. The format of this proposal must conform to the most recent edition of APA guidelines. The Graduate College provides additional guidelines (see the NAU Graduate College website: http://www.nau.edu/gradcol/). After feedback from the chair and committee and appropriate revisions, this proposal is then developed into a prospectus.

The Dissertation Committee

After the successful defense of the proposal and prior to the prospectus process, in consultation with the faculty advisor, the student will select their doctoral dissertation chair and committee. The committee chair submits the Dissertation Committee Recommendation Form to the coordinator and department chair/s for approval. A Committee Recommendation includes the proposed members, a 1 to 2-page summary of the proposed research, and the curriculum vitae of any members not employed by NAU. The summary includes, but is not limited to, descriptions of the scope, purpose, methodology, and impact of the proposed research. The summary also includes a list of the preliminary resources forming the foundation of the research. The department forwards the committee recommendation to the Graduate College for approval and formal appointment.

The Prospectus

Once students begin writing their prospectus, they must enroll in dissertation course credits. The dissertation prospectus forms the basis of chapters 1-3 of the dissertation. The successful defense of the prospectus must take place during the first 3 hours of dissertation credits. The dissertation committee must approve the student's prospectus. A copy of the signed prospectus title page must be included with the material students submit in support of their application for admittance to candidacy. Students are considered doctoral candidates upon successfully defending the prospectus.

A minimum of 15 hours of dissertation credit are required to complete program requirements, although additional hours may be necessary to complete dissertation process. Students must be enrolled in at least one hour of ECI 799 per semester during the research and writing phase of the dissertation phase.

Dissertation Defense Policy and Procedures

Dissertation Defense Policy

(Refer to the Academic Catalog for full Requirements for Theses and Dissertations policy)

Early in the semester in which students expect to graduate, they must *electronically* submit the thesis or dissertation document to the Graduate College's Electronic Thesis and Dissertation (ETD) Coordinator. The Coordinator will check it against the Graduate College's requirements for document formatting. To obtain details regarding document formatting, thesis and dissertation checklists, and deadlines, students may contact the Graduate College or visit the Graduate College website.

- When the thesis or dissertation is in essentially final form and the committee agrees that the document is ready, the examination/defense should be scheduled.
- Some departments have restrictions on when examinations/defenses can be held; students must consult with their committee chairs or department chairs for information about departmental restrictions.
- Dissertation defenses must be scheduled using the [Dissertation Defense Scheduling Form](#), which must be submitted to the Graduate College **at least two weeks before** the anticipated defense date.
- Dissertation defenses are not permitted during the last two weeks of the term. Generally, members of the dissertation committee, the doctoral student and the University Graduate Committee representative must be present at the same location for a dissertation defense. However, given the global initiatives and geographically distributed nature of some NAU doctoral programs, a requirement that all participants in a defense be physically present at the same location presents a hardship for some faculty and students. Therefore, participation from a distant location may be approved for a committee member, or, in unavoidable circumstances, two committee members. At a minimum, the committee chair, the student, and one other committee member must attend at the same location. All committee members must attend the entire defense.
- Permission to participate remotely and the justification for the request must be presented in writing to the Graduate College when the Defense Scheduling Form is submitted at least two weeks prior to the scheduled defense date. Permission is granted only when there is no other option available
- A two-thirds majority of the appointed committee is required for the student to pass the oral examination/defense.
- A student may repeat the oral examination/defense one time. Whether or not a formal vote is taken during the scheduled examination/defense, this will be considered a first examination/defense and the student will have one additional opportunity to pass the oral examination/defense.
- Final copies of theses or dissertations are electronically submitted via the Graduate College electronic thesis/dissertation submission process as soon as the following requirements are completed:
    - The final oral examination/defense is passed;
    - The committee signs the final approval form; and
    - Format corrections noted by the Graduate College ETD Coordinator have been made-and no later than the last day of the term in which the student plans to graduate
- Committee members and the department may require bound copies.
  Students should check with the thesis or dissertation chair or department for details.

Dissertation Defense Procedures

Scheduling the Defense:

The dissertation chair, in consultation with the student, is responsible for contacting all members of the committee to establish the date, time and location of the dissertation defense so that **all** committee members can attend. The dissertation chair and student must complete the [Dissertation Defense Scheduling Form](#), have it signed by the dissertation chair, the doctoral program coordinator and committee members, indicating that the dissertation is ready for defense. Emails from committee members may be attached to the form in lieu of signatures. The Defense Scheduling Form is submitted to the Graduate College at least two weeks (10

working days) before the defense date **with** an electronic copy of the dissertation. This copy of the dissertation is for the University Graduate Committee representative attending the defense. The dissertation chair and student share the responsibility for scheduling the defense and submitting the dissertation scheduling form and the electronic dissertation by the due date.

Doctoral students and committee members are encouraged to informally schedule the defense date in their calendars and reserve the location well in advance of the defense date. Formal scheduling of the defense by submitting the Defense Scheduling Form to the Graduate College should occur after all committee members have had an opportunity to review the final draft of the dissertation and agree that it is ready for defense. **While minor changes and corrections may be suggested at the defense, the defense copy of the dissertation must be complete and in its final form when it is provided to the committee members and the University Graduate Committee representative.** The Defense Scheduling Form and the electronic copy of the dissertation must be submitted together.

No defenses are permitted during the last two weeks of the term. Defenses may be held during the summer if permitted by the academic department involved and if all committee members agree to be present for the defense. Summer defenses may not be scheduled during the final two weeks of the summer term.

When the defense scheduling form is received in the Graduate College, Graduate College staff arrange for a member of the University Graduate Committee (UCG) to attend the defense as an observer and representative of the Graduate Dean. When the UGC representative is identified, the Graduate College issues a memorandum confirming the date, time and location of the defense to all committee members, the student and the UGC representative.

The presentation component of the defense is open to faculty and students at the university and to interested community members. The defense date, time, and location are indicated on the Graduate College calendar. The student and dissertation chair are encouraged to publicly announce the date, time, place and topic of the defense.

Upon receipt of the dissertation for review, if any committee member thinks the dissertation is incomplete or seriously flawed (in terms of format, clarity or consistency), or it is felt that there are serious correctable errors in analysis or interpretation of data, it is his/her responsibility to bring the problem to the attention of the committee chair and, if necessary, to the associate dean of the Graduate College. The chair may, at this point, decide to cancel the defense and have the student's committee convene to discuss major problems.

Assuming that all committee members are satisfied with the quality of the dissertation, the defense can take place as scheduled. The dissertation committee should not hold the student responsible for design flaws that were approved in the prospectus, but may choose to bring such issues to the attention of the associate dean of the Graduate College.

University Graduate Committee (UGC) Representative Role:
As indicated in the UGC Bylaws (http://nau.edu/GradCol/University-Graduate-Committee), the role of the UGC representative is to represent the Graduate Dean and ensure that examinations are conducted in a manner consistent with the expectations and standards of the

Graduate College. The UGC representative may not be from the department granting the student's degree. UGC representatives attending dissertation defenses are responsible for:

1. Clarifying policy and procedures when necessary
2. Observing the fairness of the examination
3. Conducting the voting process for the pass/fail decision and reporting results to the dissertation committee
4. Reporting the results of the examination to the Graduate College, including professionalism, adherence to academic standards, and outcome of the examination.

If no UGC representative is in attendance at the defense, the committee chair shall perform these responsibilities.

Format Review:
Format review and approval is done by the Graduate College's Electronic Thesis and Dissertation (ETD) Coordinator and is a separate process. The initial format review will have occurred early in the semester in which the student seeks to graduate. The ETD Coordinator submits the final grade change for the student's dissertation (799) hours after the dissertation has been approved by the committee and after the format has been approved. To graduate in a given semester, the student must successfully complete the format review process, defend the dissertation and submit final copies, forms and fees to the NAU ETD Coordinator via the electronic submission process by the last day of the semester. (See the Checklist for Doctoral Students at http://nau.edu/GradCol/Student-Resources/Theses-and- Dissertations/ for more information.)

Attendance at the Defense:
All members of the committee must be present in person for the entire defense. If a committee member is away from campus on sabbatical and unable to return to participate in the defense in person or if it is not feasible for a committee member to travel a great distance to attend the defense, the dissertation chair may petition the associate dean of the Graduate College, in writing, to have that committee member participate in the entire defense electronically or by speaker phone. If this is approved, the dissertation chair and the UCG representative will be notified in writing. Such a request must be approved when the Dissertation Defense Scheduling Form is submitted. The electronic address or telephone conference must be listed on the Defense Scheduling Form. If the UGC representative will be attending from a different university campus than the dissertation committee, the Graduate College will arrange a telephone conference line and will notify the student and committee chair of their responsibility to ensure that an adequate speaker phone is available at the schedule defense location. Please see details below in the section titled *Dissertation Defenses Via Speaker Phone, Web Conferencing or Other Electronic Means.*

If a committee member must be absent because of a last-minute emergency such as illness, the University Graduate Committee representative and the committee chair will discuss the feasibility of postponing the exam. In cases where the candidate may have traveled a great distance, rescheduling may be inappropriate. The associate dean of the Graduate College, should be consulted. Only in an unavoidable emergency will the defense take place with less than the full committee present. In the rare event, that one committee member does not attend due to any emergency, such as illness, and approval is given by the Graduate College to proceed with the defense, the chair or the University Graduate Committee representative must inform the candidate of the voting requirements based upon the number of committee members

in attendance. If the candidate does not wish to proceed with the defense under these conditions, the defense will be rescheduled.

Procedures during the defense:
Typically, the candidate begins the formal defense by making a presentation outlining the study and its relevance. If the candidate's presentation takes the form of a seminar at a different time and place than the defense, it is expected that the University Graduate Committee representative will be invited to the presentation. At his/her discretion, the chair may allow questions during the presentation to clarify points. Following the presentation, the chair provides an opportunity for all committee members and the University Graduate Committee representative to question the candidate. At the discretion of the chair, questions may be received from the audience. At his/her discretion, the chair may ask all guests to leave when questioning begins.

Following the defense presentation, at the beginning of defense questioning, guests may be asked to leave the room at the discretion of the committee chair. The committee chair affirms to the UGC representative that the committee members agree that the defense should proceed, and the committee chair reviews the procedures, including the voting requirements for the defense. A two-thirds majority of the appointed committee is required for the student to pass. If only four members of a five-member committee attend, all four must vote yes.

At the conclusion of the questioning period, the candidate and any guests who have remained are asked to leave the room, and the committee discusses the student's performance on the exam. The University Graduate Committee representative (or committee chair if no UGC representative is in attendance) provides the ballots and conducts a secret ballot vote as to whether the student passes the exam. The University Graduate Committee representative does not vote. A two-thirds majority of the appointed committee is required for the student to pass. For example, four affirmative votes are required on a five-person committee and three affirmative votes are required on a four-person committee. If only four members of a five-member committee attend, all four must vote yes.

If the candidate passes the defense and there are minor changes in the dissertation to be made, the committee should note those changes on the /Dissertation Defense—Part 1 (Pass/Fail Form) and specify a process to verify that the changes are made prior to submission of the final copy. This form, which includes parts one and two, will be provided to the UGC representative or the committee chair if no UGC representative is in attendance. The form is also located at the Graduate College website in a section available to faculty only and requires log-in authentication (http://nau.edu/GradCol/Student-Resources/Theses-and-Dissertations/).

If a candidate does not perform satisfactorily on the defense, or if there are major problems with the dissertation (such as rewrite of a chapter or re-analysis of data), the student will be advised of the deficiencies. The defense will be rescheduled after the committee is satisfied that the deficiencies have been corrected. A student may repeat the defense once. If serious problems with the dissertation are agreed upon at the end of the defense, the committee may decide not to take a formal vote on the exam, but to require the student to make corrections and then appear before the committee at a later date. Whether or not a formal vote is taken, this will be considered a first defense and the student will have one more opportunity to pass the defense.

Forms:
The University Graduate Committee representative provides the Thesis/Dissertation Defense Form—Part 1 (Pass/Fail) on which the vote is recorded and which the committee members sign. The University Graduate Committee representative (or the committee chair if no UGC representative is in attendance) returns this form to the Graduate College no more than 48 hours after the exam. The University Graduate Committee representative also completes a Report to the Graduate Dean on the Doctoral Defense form. A copy of the Report form is sent to the committee chair and graduate coordinator by the Graduate College. If no UGC representative is in attendance, the reporting form need not be completed.

The Verification of Final Thesis/Dissertation Document—Part 2 (Verification Form) is not needed during the defense. This Verification Form replaces faculty signatures on the title page of the electronic dissertation and indicates to the Graduate College that the student has completed all of the changes required by the committee and the student may submit the final document via the Electronic Thesis and Dissertation website. Once this form is completed in its entirety, the original must be returned to the Graduate College, by the committee chair via scan from the chair's NAU email account or in person or (forms delivered by students or via campus mail will not be accepted). The chair will provide the student with a copy to assist with answering the questions regarding copies, embargoes, and other matters during electronic submission of the final dissertation document for publishing.

No University Graduate Committee Representative Present:
In rare situations when a defense is held without a representative of the University Graduate Committee, the chair of the committee shall conduct the defense and conduct the balloting. The Dissertation Defense for Doctoral Degree form and ballots will be sent to the dissertation committee chair, who shall be responsible for tabulating, announcing the results, obtaining the signatures of the committee and returning the form to the Graduate College within the 48-hour time frame. When there is no University Graduate Committee representative, that signature line on the form is left blank and the Report to the Graduate Dean form shall not be not completed.

Dissertation Defenses Via Speaker Phone, Web Conferencing or Other Electronic Means:
Generally, members of the dissertation committee, the doctoral student and the University Graduate Committee representative must be present at the same location for a dissertation defense. However, given the global initiatives and geographically distributed nature of some NAU doctoral programs, a requirement that all participants in a defense be physically present at the same location presents a hardship for some faculty and students. Therefore, participation from a distant location may be approved for a committee member, or, in unavoidable circumstances, two committee members. At a minimum, the committee chair, the student, and one other committee member must attend at the same location. All committee members must attend the entire defense. The following considerations apply to remote participation in a defense:
1. Approval for a committee member to attend a defense electronically and the justification for the request must be presented in writing to the Graduate College when the Defense Scheduling Form is submitted at least two weeks prior to the scheduled defense date. Electronic attendance is approved only when there is no other option available.
2. In addition to the requirement for Graduate College advance approval, the decision to conduct a dissertation defense via speaker phone, web conferencing, or other

electronic means must be agreeable to the student and all members of the committee. If the student or any member of the committee is not comfortable participating in a defense with some members attending from distant sites, all participants must be present at the same location, usually Flagstaff.

3. The dissertation committee chair or the administrative assistant of the student's department shall arrange for the web conferencing or telephone conference line. If there are problems with the technology (e.g., the system "goes down" during the defense,) the committee must wait for the problem to be resolved or reschedule the defense. Committees are encouraged to set up more than one system to avoid delays should technology fail. For example, committees using Skype might also arrange for a Meet-Me line as a back-up.

4. Any handouts prepared in advance by the doctoral candidate should be delivered electronically to participants at other locations.

5. Voting shall be by secret ballot, consistent with existing dissertation defense guidelines. Committees with members attending remotely are encouraged to arrange a means for secret balloting in advance. The ballots may be sent electronically via fax, email, or text message to the University Graduate Committee representative who will tally them and announce the results. In the event a University Graduate Committee representative is unavailable, the committee chair shall be responsible for tabulating and announcing the results.

6. The University Graduate Committee representative is responsible for circulating the Thesis/Dissertation Defense Form—Part 1 (Pass/Fail) to committee members for their signatures. With the permission of members at remote sites, the University Graduate Committee representative may sign the form on behalf of committee members. This is formally done by writing p.p. (Latin for *per procuration*, meaning power has been delegated to sign on behalf) followed by the UGC representative's signature on the signature line and the committee member's name printed to the right. As in:
   Signatures of the Committee   Printed Names
    pp Shamika Jones, Member   Ruben Ortega
   Alternatively, members may e-mail an endorsement of the defense outcome to the associate dean of the Graduate College. A copy of that e-mail shall be attached to the original form and shall become part of the official documentation.

Important Dates and Deadlines

Item	Due Date
Applications for Fall Term	November 15
Apply for Assistantships and Scholarships http://nau.edu/coe/curriculum-instruction/	Each Spring
Application Decision	January 30
Comprehensive Examination	By Arrangement

Admission to Candidacy	After coursework, internship, residency, comprehensive examination, and prospectus requirements have been successfully completed. Must be at least 90 days before oral defense of dissertation.
Oral Defense of Dissertation	At least 90 days after admission to candidacy and prior to reading week or by special arrangement
Submission of Dissertation to Committee Members and the Graduate College	At least 10 working days before the oral defense
Submit Final Copy of Dissertation to Graduate College	Before final day of the semester in which you Graduate

Appendix A: C & I PhD Admissions Evaluation

NAU NORTHERN ARIZONA UNIVERSITY

College of Education

Curriculum and Instruction Ph.D. Program
Admission Rating Scale

Applicant: _____ **Evaluator:** _____

Review Semester: _____ **Total Score:** _____

Application is complete: _____ yes _____ no (will not be evaluated)

	Writing Mechanics Across Application Materials		
	Evaluate the writing mechanics across the application materials (i.e. goal statement, diversity statement)		
	3	**2**	**1**
	Writing is clear with few, if any spelling/grammatical errors.	Writing is generally clear, but contains some spelling/grammatical errors	Writing contains multiple spelling/grammatical errors and/or lacks clarity and structure.

	Goal Statement		
	Goal Statement: Prepare a brief (one to two page) statement describing your short-term and long-term professional goals as well as your research interests. This statement should include how obtaining the doctoral degree in C&I will assist you in meeting your goals and what you learned about the connections between your goals and the C&I program from the faculty member(s) you spoke with as you were preparing to apply to the program. Please include the name(s) of the faculty with whom you spoke. *Note: The Curriculum and Instruction (C&I) Doctoral Program is designed and ideally suited for educational professionals with prior degrees in fields such education, higher education, and other professional fields (i.e. engineering and nursing). Individuals may be continuing their academic journey or engaged in careers such as teaching (K-20), education leadership, curriculum development, or community development through curricular design. Students should have a desire to engage in a rigorous program to gain a thorough understanding of the field of curriculum and instruction.*		
	4	**3**	**2**	**1**
	Short and long term goals align strongly with what a graduate from the C&I program will be prepared to do. A degree in C&I will be essential to meet research interests of the applicant.	Goals/research interests are specific and show some alignment to the purpose of the C & I program.	Goals/research interests are vague, but appear to be related to the purpose of the C & I program.	Goals/research interests are not related to the purpose of the C & I program. **or** No research interests are evident **or** There is no evidence that the applicant has been in contact with a C&I faculty member.

	Teaching Experience

Years of teaching experience must be made clear in the vita.

Note: Teaching experience includes K-12 and higher education. Applicant should have indicated number of years in full-time teaching. **If it is unclear, score a 1.**

5	4	3	2	1
Seven- or more years full-time teaching experience	Five- to six-years full time teaching experience	Three-to-four-years full time teaching experience	One- to two-years full time teaching experience	Less than one-year full time teaching experience; or unable to determine

	Professional/Leadership Experience in Education

Examples of professional experience: activities with professional organizations, presentations, articles, grants, consulting for school districts, research in educational settings, committees, evaluation of program, director of program, conference attendance, textbook evaluations, curriculum development, awards and honors

5	4	3	2	1
More than two professional experiences related to teaching and learning, **including presentations and publications.**	More than two professional experiences related to teaching and learning, **including presentations.**	More than two professional experiences related to teaching and learning, **excluding presentations and publications.**	Two professional experiences related to teaching and learning	One professional experience related to teaching and learning

	Community Non-professional Activities (experiences that are community-focused, but not education related)

Examples of community non-professional activities: non-profit organization work, volunteer work, community/political work that is not education related

3	2	1
Participation in more than two community activity, and **leadership role in at least one activity**	Participation in two community activities	Participation in a minimum of one community activity

	Diversity Statement

Diversity Statement: The College of Education at Northern Arizona University supports the university's commitment to diversity by fostering an environment that celebrates diversity and is inclusionary and reflective. Please provide a detailed and justified explanation for your own commitment to these ideals in 150-250 words, including any experiences you have that inform your values and commitment to diversity and inclusiveness.

3	2	1
Diversity statement indicates a detailed understanding of and strong commitment to diversity including connections to personal experiences and/or research in the field	Diversity statement indicates general understanding of diversity	Diversity statement indicates a limited understanding of diversity (e.g. "heroes and holidays")

	Academic Piece of Writing (out of 9 points by adding three rows.)		
	Academic Writing Sample: Submit a 5 - 10 page paper on a critical issue in education (current APA style, double-spaced, 12-point font, 1 inch margins). This can be a paper submitted for a previous course assignment as long as it meets the content and length guidelines and was authored solely by the applicant.		
	3	**2**	**1**
Content	Issue addressed is a critical issue in education and relevant to the C&I doctoral program. *(3 points)*	Issue addressed is a critical issue in education but is not relevant to the C&I doctoral program. *(2 points)*	Issue addressed is not a critical issue in education. *(1 point)*
Flow of Writing	Topic is introduced, and groundwork is laid as to the direction of the paper. Literature included is identified and justified. Writing goes from general ideas to specific conclusions. Transitions tie sections together, as well as adjacent paragraphs. Appropriate content is covered in depth without being redundant. *(3 points)*	Readers are aware of the overall problem, challenge, or topic that is to be examined. There is a basic flow from one section to the next, but not all sections or paragraphs follow in a natural or logical order. All major sections of pertinent content are included, but not covered in as much depth, or as explicit, as expected. *(2 points)*	Neither implicit nor explicit reference is made to the topic being examined. The writing appears to have no direction, with subtopics appearing disjointed. Major sections of pertinent content have been omitted. *(1 point)*
Clarity and Mechanics	Writing is crisp, clear, and succinct. Incorporates the active voice when appropriate. Uses appropriate pronouns, modifiers, parallel construction, and non-sexist language. *(3 points)*	Writing is generally clear, but unnecessary words are occasionally used. Meaning is sometimes hidden. Paragraph or sentence structure is too repetitive. *(2 points)*	Hard to know what the writer is trying to express. Writing is convoluted. Misspelled words, incorrect grammar, and improper punctuation. *(1 point)*

	Letters of Recommendation (minimum of three recommendations)		
	Three letters of recommendation are required. Letters should be submitted by academic or professional references. If your most recent degree was within the last 5 years, at least one reference must be from a professor. It is important that you choose at least one reference who can speak to your ability to be successful in a doctoral program. **It is your responsibility to ensure letters are submitted.**		
	3	**2**	**1**

Strong recommendations (look for consistency; notes multiple examples of specific academic qualities)	No criticisms, no strong recommendations (focuses primarily on personal rather than academic qualities)	One or more concerns stated in at least one letter or no academic references provided

	Master's GPA	
2		**1**
3.5 – 4.0		Less than 3.5

NAU NORTHERN ARIZONA UNIVERSITY

College of Education

Curriculum and Instruction Ph.D. Program
Residency Requirements

Residency Requirements

Completing the residency requirements is one of the most rewarding and meaningful aspects of students' doctoral studies. Within the residency are embedded experiences that deepen understandings, expand horizons, and lead to transformations from doctoral students to members of the community of scholars. These activities are designed and expectations set to help the doctoral student develop a sense of and be mentored into the scholarly community. The overarching expectation is that students, through meaningful engagement in residency activities, build collegial and collaborative relationships among peers and faculty members. Through active participation at varying levels, residency requirements are designed to provide students with opportunities to:

- hone research skills,
- refine leadership capabilities,
- network and form relationships with peers and faculty. and
- prepare to become active members of the community of educational scholars.

The C&I Program residency is organized into general requirements, expectations for semesters 1-3, and requisites for semesters beyond coursework. The additional options for students in semester 4 and beyond are designed to deepen experiences and augment, rather than replace, the avenues of participation expected earlier in the program. Within four years following acceptance into the C&I Doctoral Program, and prior to applying for candidacy, students must fulfill their residency requirements. Faculty advisors certify students' successful completion of their residency.

(A) General Residency Requirements

In order to satisfy the general residency requirements, students must:

- (A-1) be enrolled for two terms (Fall, Spring, Summer 1, or Summer 2) as full-time (* link policy 100324) doctoral students (9 credit hours for academic year terms, or 5 credit hours for summer terms) on either the Flagstaff Mountain campus or on the Phoenix campuses.
- (A-2) participate in an on-campus orientation on the Flagstaff Mountain Campus (summer) to become acquainted with processes and protocol, to understand expectations, and make initial connections with peers and faculty.

- (A-3) attend and participate in monthly advisory/mentor group meetings.

(B) Residency Expectations for Terms 1-3

- participate in at least two of the following activities each term, either on the Flagstaff Mountain campus, at Phoenix-area campuses, or through video-conferencing connections:
    - (B-1) attend events and workshops organized by the C&I Program
    - (B-2) attend colloquia organized by the C&I Program
    - (B-3) attend colloquia organized by the Doctoral Student Organization
    - (B-4) attend the Annual Lapan Forum
    - (B-5) attend the university's 3MRP competition
    - (B-6) attend Graduate College workshops and events
    - (B-7) serve on the organizing committee for the Lapan Forum
    - (B-8) participate in a writing group
    - (B-9) participate in a comprehensive examination study group
    - (B-10) serve in a leadership position within the Doctoral Student Organization

(C) Residency Expectations for Term 4 and Beyond

- participate in at least two of the following activities each term, either on the Flagstaff Mountain campus, at Phoenix-area campuses, or through video-conferencing connections:
    - (C-1) present at the Annual Lapan Forum
    - (C-2) participate in the 3MPR program
    - (C-3) lead a comprehensive examination study group
    - (C-4) lead a writing group
    - (C-5) submit a proposal for a presentation/poster at a state/ regional/ national/ international conference
    - (C-6) act as a reviewer for conference proposals or journal editorial board
    - (C-7) participate in workshops for writing conference proposals and grant applications
    - (C-8) become engaged in graduate student organizations of AERA or other national scholarly organizations
    - (C-9) other activities with approval of advisor
    - (C-10) working with faculty on a research project

Curriculum and Instruction Ph.D. Program
Continuing Student Evaluation Form

During the spring semester, following a student's admission to the Curriculum and Instruction Doctoral Program, the faculty will evaluate the student's progress in the program based upon the criteria identified below. Each faculty member will complete the feedback form prior to the meeting and follow the google form process. In the google forms, if someone has worked with a student this past year as an administrator, faculty, or in another capacity, they will be prompted to complete the form.

Each student will be reviewed at the annual meeting and the advisor will generate a summary based on the feedback given which they will share with the student in an advising meeting. Every student currently enrolled will be required to meet with the advisor after this process. Students will also self-reflect annually which will be part of the meeting with the advisor. The summary and the student reflection will be placed in the digital student file.

If a student exhibits a weakness (rating of needs improvement or unacceptable) in any of the criteria, the student's advisor and student, in consultation with the Program Coordinator, will develop a Professional Growth Plan (PGP) to remediate the weakness. The advisor will evaluate and report to the Program Coordinator and/or Program Committee successful completion of the PGP by the student. If the Advisor and the Chair and/or Program Committee determine that the student has met the objectives, activities, and timelines of the PGP, he or she can continue in the program. If the student has not met/completed the PGP successfully, the advisor reports to the Coordinator and the Program Committee who will then make the determination that the student has not met the objectives, activities, and timelines of the PGP.   If it is determined that the student has not met the objectives, activities, and timelines of the PGP, he or she will be denied continuance in the program.

Name (Last, First, MI): _____   **Year in Program:** _____

Advisor's Name: _____   **Evaluation Date:** Click here to enter a date.

Cumulative GPA: _____   **Cumulative Hours:** _____

Will student be rated this semester?:   ☐ **YES**   ☐ **NO**

If NO, please state reason: _____

Please rate this student on the following dimensions

A.   Academic Aptitude

	Presently Unacceptable	Needs Improvement	Competent	Excellent	Outstanding	Haven't Observed
1. Writing Skills	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
2. Speaking Ability	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
3. Research Skills	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐

	1	2	3	4	5	
4. Content Knowledge	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
5. Technological Skills	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐

B.   Goals & Objectives

	Presently Unacceptable	Needs Improvement	Competent	Excellent	Outstanding	Haven't Observed
1. Student Goals	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
2. Desire to Achieve	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
3. Potential to On track to Complete Program	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐

C.   Qualities Relevant to the Community of Scholars

	Presently Unacceptable	Needs Improvement	Competent	Excellent	Outstanding	Haven't Observed
1. Presents an Openness to Learn and an Inquisitive Nature	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
2. Values Reflection in Scholarly Learning and Professional Practice	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
3. Exhibits Autonomy and Self-motivation While Recognizing the Roles and Responsibilities within the Community of Scholars	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
4. Exhibits Openness to Others' Opinions, Receptivity to New Ideas, and Willingness to Engage in Diversity	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
5. Accepts and Values Feedback, and Exhibits Humility and Resilience	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
6. Demonstrates Ethical Research and Writing Practices	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
7. Values Relationships with Others, is Respectful and Exhibits an Ability to Collaborate	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
8. Is self-directed and takes initiative	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐

Faculty feedback For students in the C&I Program:

Coursework Completed: Choose an item.   QRP and Comprehensive Exams Completed: Choose an item.

Overall Strengths: _____

Overall Weaknesses: _____

C&I PhD Program Guide, Revised 4.17.20

Appendix D: C& I PhD Program Student Self-Reflection Form

NORTHERN ARIZONA UNIVERSITY

College of Education

Curriculum and Instruction Ph.D. Program
Student Self-Reflection Form

An important part of becoming a professional is our ability to examine our own growth. As part of the PhD in Curriculum and Instruction we are committed to providing annual feedback to each student. Furthermore, this will be done by triangulating various perspectives, faculty and student. Below is a brief outline of the faculty process. This form is your space to self-evaluate and reflect on this past year.

Process: During the spring semester, following a student's admission to the Curriculum and Instruction Doctoral Program, the faculty will evaluate the student's progress in the program based upon the criteria identified below. Each faculty member will complete the feedback form prior to the meeting and follow the google form process. In the google forms, if someone has worked with a student this past year as an administrator, faculty, or in another capacity, they will be prompted to complete the form.

Each student will be reviewed at the annual meeting and the advisor will generate a summary based on the feedback given which they will share with the student in an advising meeting. Every student currently enrolled will be required to meet with the advisor after this process. Students will also self-reflect annually which will be part of the meeting with the advisor. This form will be placed in the digital student file.

If a student exhibits a weakness (rating of needs improvement or unacceptable) in any of the criteria, the student's advisor and student, in consultation with the Program Coordinator, will develop a Professional Growth Plan (PGP) to remediate the weakness. The advisor will evaluate and report to the Program Coordinator and/or Program Committee successful completion of the PGP by the student. If the Advisor and the Chair and/or Program Committee determine that the student has met the objectives, activities, and timelines of the PGP, he or she can continue in the program. If the student has not met/completed the PGP successfully, the advisor reports to the Coordinator and the Program Committee who will then make the determination that the student has not met the objectives, activities, and timelines of the PGP. If it is determined that the student has not met the objectives, activities, and timelines of the PGP, he or she will be denied continuance in the program.

Student reflection:

Name (Last, First, MI): _____   **Year in Program:** _____

Advisor's Name: _____   **Meeting with Advisor:** Click here to enter a date.

Cumulative GPA: _____   **Cumulative Hours:** _____

Please rate yourself on the following dimensions

A.   Academic Aptitude

	Presently Unacceptable	Needs Improvement	Competent	Excellent	Outstanding	Haven't Observed

1. Writing Skills	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
2. Speaking Ability	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
3. Research Skills	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
4. Content Knowledge	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
5. Technological Skills	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐

B.   Goals & Objectives

	Presently Unacceptable	**Needs Improvement**	**Competent**	**Excellent**	**Outstanding**	**Haven't Observed**
1. Student Goals	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
2. Desire to Achieve	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
3. Potential to On track to Complete Program	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐

C.   Qualities Relevant to the Community of Scholars

	Presently Unacceptable	**Needs Improvement**	**Competent**	**Excellent**	**Outstanding**	**Haven't Observed**
1. Presents an Openness to Learn and an Inquisitive Nature	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
2. Values Reflection in Scholarly Learning and Professional Practice	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
3. Exhibits Autonomy and Self-motivation While Recognizing the Roles and Responsibilities within the Community of Scholars	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
4. Exhibits Openness to Others' Opinions, Receptivity to New Ideas, and Willingness to Engage in Diversity	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
5. Accepts and Values Feedback, and Exhibits Humility and Resilience	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
6. Demonstrates Ethical Research and Writing Practices	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
7. Values Relationships with Others, is Respectful and Exhibits an Ability to Collaborate	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐
8. Is self-directed and takes initiative	1 ☐	2 ☐	3 ☐	4 ☐	5 ☐	☐

We also appreciate your feedback on the overall program as you have experienced it this past year. Please respond to the following prompts and provide details on what you have done and with whom. This helps to track your residency requirements as well as provide us information on your movement through the program.

I have had opportunities to participate in research.
I have had opportunities to teach.
I participated in the following professional opportunities for residency requirements:
For next year I have set the following professional goals:

Appendix E: C&I PhD Program Professional Growth Plan (PGP) Form

NAU NORTHERN ARIZONA UNIVERSITY

College of Education
Curriculum and Instruction Ph.D. Program
Professional Growth Plan (PGP) Form

Student Name (Last, First, MI): _____

Advisor: _____ Evaluation Date: _Click here to enter a date._

Objective 1: _____

    Activities to Accomplish the Objective: _____

    Timeline for Completing Activities: _____

    Criteria for Successfully Completing the Objective: _____

Objective 2: _____

    Activities to Accomplish the Objective: _____

    Timeline for Completing Activities: _____

    Criteria for Successfully Completing the Objective: _____

Additional Comments: _____

Signature of Advisor	**Date**	**Signature of Coordinator/Director**	**Date**

Signature of Student	**Date**

Date PGP Successfully Completed: _Click here to enter a date._

Signature of Advisor	**Date**	**Signature of Coordinator/Director**	**Date**
Signature of Student	**Date**	**Signature of Department Chair**	**Date**

Appendix F: Dissertation Proposal Hearing Scheduling Form

To be completed and submitted by Dissertation Committee Chair in consultation with student

Name of Student: _____ Date:_____

Committee Chair/s: _____ Date:_____

Date: _____

Room Reserved: _____

Signed by COE Rm. Scheduler

This schedule is agreed to by:

Student: _____ Date:_____

_____

Committee Chair/s:_____ Date:_____

_____

C & I Coordinator: _____ Date:_____

_____

CC: Dissertation Committee Chair
     C & I Coordinator
     Student File (T&L Admin. Assist.)

Appendix G: Dissertation Prospectus Defense Scheduling Form

To be completed and submitted by Dissertation Committee Chair in consultation with student

Name of Student: _____ Date: _____

Committee Chair/s: _____ Date: _____

Date: _____

Room Reserved: _____

Signed by COE Rm. Scheduler

This schedule is agreed to by:

Student: _____ Date: _____

_____

Committee Chair/s: _____ Date: _____

_____

C & I Coordinator: _____ Date: _____

_____

CC: Dissertation Committee Chair
     C & I Coordinator
     Student File (T&L Admin. Assist.)

Appendix H: C&I PhD Forms and Resources

IRB Approval
- If human research participants are expected to be used in the dissertation research, doctoral students are responsible for completing the on-line training, submitting an Institutional Review Board (IRB) application, and receiving IRB approval before beginning the research. For guidelines, forms, and on-line training, see: https://nau.edu/research/compliance/human-subjects/ https://about.citiprogram.org/en/homepage/ http://nau.edu/uploadedFiles/Administrative/Research/Compliance/_Forms/Special%20 Instructions%20for%20Students.pdf
- Application for IRB approval, if needed, is required after a successful Prospectus defense.

Graduation Application Guidance:
Graduate Admissions Overview: https://nau.edu/graduate-college/admissions/
International Admissions Overview: https://nau.edu/graduate-college/international-graduate-admission/
Deadlines: https://nau.edu/graduate-college/deadlines/
Apply Online: https://www.applyweb.com/northazg/index.ftl

NAU Graduate College Forms
https://nau.edu/graduate-college/forms/
Checklist for Doctoral Students
Candidacy Application for Doctoral Degree
Dissertation Committee Recommendation Form
Dissertation Defense Scheduling Form
Extension of Time Limit (doctoral degree), Petition for
Oral Defense Forms (Parts I and II)
http://www2.nau.edu/gradcol/Forms/LeaveOfAbsence.docx
https://nau.edu/graduate-college/programs-of-study/

College of Education Forms
https://nau.edu/coe/curriculum-instruction/forms/

C&I PhD Program Forms
 https://nau.edu/teaching-and-learning/c-i-forms/

1. Student Program Checklist
2. Residency Plan Approval
3. Residency Checklist
4. Comprehensive Exam Scheduling Form
5. Comprehensive Exam Report Form

Appendix I: C & I PhD Comprehensive Examination Grading Rubrics

NAU NORTHERN ARIZONA UNIVERSITY

College of Education

Curriculum and Instruction Ph.D. Program
Comprehensive Examination Grading Rubrics

HIGH PASS
- Response fully addresses all parts of question
- Response is well organized
- Accuracy is apparent in use and interpretation of sources
- Details demonstrate comprehensive understanding
- Substantial depth and insight apparent in response
- Response includes discussion of several specific studies and findings where appropriate and notes counter-argument where appropriate
- Answer is well-developed, coherent, and offers logical analysis or synthesis of information as required by the question
- Writing is clear, fluent, and effective

PASS
- Response fully addresses all parts of question
- Response is generally well organized
- Accuracy is generally evident, but limited in interpretation
- Details demonstrate general understanding
- Shows firm grasp of the relevant materials as evidenced by use of correct, specific, and up-to-date references to theorists and researchers in the field
- Compared to "high pass," somewhat lacking in scope of discussion, range of studies/findings discussed, or coherent synthesis of ideas
- Writing is clear, fluent, and effective

CONDITIONAL PASS
- Response addresses all parts of the question, but not completely, or fully addresses most, but not all, parts of the question
- Response is generally well organized overall, with some parts lacking effective organization
- Accuracy in general is evident, but there are few important inaccuracies, and interpretation is limited
- Shows a grasp of relevant material as evidenced by use of generally correct, specific, and current references to theorists and researchers in the field, but one or two additional significant references should have been used
- Compared to "pass," somewhat less coverage and organization, somewhat less accuracy, and somewhat less overall grasp of the material
- Writing is generally clear, fluent, and effective

FAIL
- Fails to address major parts of the question
- Response is not well organized

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- Addresses the question in such brief and/or vague terms that there is not enough information to determine whether or not the writer actually understands the area
- Demonstrates limited or no knowledge of the area in question
- Mistakes in use and interpretation of sources
- Obvious inaccuracies
- Few details, minimal or lack of understanding is evident
- Writing lacks clarity or fluency