CHECKLIST OF PROCEDURES FOR DOCTORAL PROGRAMS IN EDUCATION

Advancement to Candidacy

NOTE: These are procedures excerpted from the COEDU Graduate Handbook and the USF Graduate Catalog. The student is responsible for knowing and following all College and University procedures pertaining to doctoral study, as well as any additional procedures required by individual departments and programs. Action steps are sequenced in the order in which they occur. Please read this document carefully and refer to it on a consistent basis to ensure that you are taking the steps necessary during this phase of your program.

Key to Abbreviations used in this document

ADA = Associate Dean for Academic Affairs in College of Education, Dr. Keller, EDU 105F
CGS = Coordinator of Graduate Studies, College of Education, EDU 320
COEDU = College of Education
DC = Doctoral Committee
DPC = Department Program Coordinator for Doctoral Study
DGS = Dean of Graduate School, Dr. Karen Liller, ALN 226
MP = Major Professor
S = Student
GAO = Graduate Admissions Office, ALN 226

Time Limits: Dissertations must be completed within 7 years after admission to the Program. Refer to the Graduate School for time limits that relate to earlier admission dates.

Full-time Status: Full-time students must enroll for a minimum of 9 semester hours.

Enrollment for Dissertation Hours:

Students must be admitted to candidacy before they are permitted to enroll in dissertation hours. Students may not register for dissertation hours until the semester immediately following the semester of formal admission to candidacy by the USF Dean of Graduate Studies. This requirement is strictly enforced at USF. Students who obtain an override and register for dissertation hours will be dis-enrolled by the Graduate School. Faculty and staff who override this restriction may have their permitting privileges revoked by the university.

- If students have incomplete or missing grade(s) or are completing coursework during the semester in which they sit and successfully complete the doctoral qualifying examination, their admission to candidacy will be delayed until the grades are cleared. Once the admission to candidacy form has been filed by the COEDU, and while students are awaiting official notification of admission to candidacy, they may enroll in Directed Research hours (xxx 7910). These Directed Research hours, upon written request by the Major Professor to the COEDU Coordinator of Graduate Studies, may be applied to reduce the total number of dissertation credit hours required. The written request should be sent during the semester in which the Directed Research hours will be taken. No more than 50% of the total number of dissertation hours required may be used in this way. Directed Research hours taken during the qualifying examination semester, and the semester during which admission to candidacy is awaited may be used in this way.
If students have completed all coursework prior to the semester in which they sit and successfully complete the doctoral qualifying examination, their admission to candidacy can occur during the same semester in which the qualifying examination is completed, if and only if, their admission to candidacy paperwork has been received in the Graduate School by the published university deadline in the semester during which candidacy is sought. If this condition is met, students may enroll in Directed Research hours (xxx 7910) in the semester during which the qualifying examination was taken, if they will also be working on the dissertation proposal during the semester and approval is requested by the Major Professor and approved by the COEDU Coordinator of Graduate Studies. These Directed Research hours, upon written request by the Major Professor, may be applied to reduce the dissertation credit hour requirement.

Students are advised to consult their major professors to determine in which section of the Directed Research course (XXX 7910) they should register. Upon formal written request by the major professor to the COEDU Coordinator of Graduate Studies (EDU 320), these directed research hours may be applied to reduce the total number of dissertation credit hours required. **Directed Research hours taken during a semester when coursework is being completed may not be applied toward dissertation hours.**

Ph.D. students will enroll for dissertation hours under the course prefixes for their areas of specialization.

**NOTE:** If the candidate elects to pursue dissertation research in an area for which he/she was not deemed adequately prepared by the DC, the DC may request that the candidate take additional coursework during candidacy to better prepare him/her to conduct the study.

**Graduate School Deadlines and Forms** and **The USF Graduate Thesis and Dissertation Handbook** are available from the Graduate School website for enrolled students at [http://www.grad.usf.edu](http://www.grad.usf.edu).

**College of Education Forms and Deadlines** may be accessed from the College of Education website at [http://www.COEDU.usf.edu](http://www.COEDU.usf.edu) (then select “Important Downloads & Links” for graduate students). 

**AFTER NOTIFICATION OF ADMISSION TO CANDIDACY, THE STUDENT (S) BEGINS FORMAL WORK ON THE DISSERTATION**

**Steps** *(NOTE: Steps 1.0 – 3.0 are completed prior to Admission to Candidacy)*

**4.0 DISSERTATION PROPOSAL**

_____ 4.1 (S) Enrolls for dissertation hours. (Students are unable to register for dissertation hours until the semester immediately following the semester in which they are admitted to candidacy by the Dean of the Graduate School).

Student enrolls for dissertation hours under the following course prefixes according to his/her area of specialization:

- EDV ADE 7980 Adult Education
- EDU EEC 7980 Early Childhood Education
- EDB EDA 7980 Educational Leadership
- EDE EDE 7980 Elementary Education
Develops a 1-page summary with pros and cons listed for each of his/her research ideas and discusses these ideas with MP. Determines the appropriateness of each idea for dissertation research and the feasibility of implementing and completing the research within reasonable time limits.

[This is a recommended communication device.]

Develops a 2- to 3-page concept paper on the chosen research topic. A concept paper serves as an early communication device between S, MP, and DC. Typically, the concept paper presents an overview of the proposed research problem, its context, and a way to study it.

[This is a recommended communication device].

S may meet with individual DC members or the entire DC to discuss aspects of the proposed research problem and to seek concurrence.

Develops dissertation proposal with help of DC.

The dissertation proposal:
- identifies the research problem;
- surveys and evaluates the relevant literature; and
- describes the plan for conducting the research.

The proposal is a contract between the S and the DC as to the research that will be conducted. It is therefore important that the details of the research plan be specified in the proposal before the data are collected.

Views or Obtains a copy of 1) the USF Graduate Thesis and Dissertation

4.5 (DC)  Holds a pre-defense meeting to ensure that the proposal is ready to defend and to set the date and time of the formal proposal defense.  DC members should be given a copy of the proposal for their review at least 2 weeks prior to the pre-defense.

4.6 (S)  Makes needed changes to the proposal draft as recommended at the pre-defense.  Provides each member of the DC a copy of the revised proposal. Obtains signature of each committee member on the Request for Ph.D./Ed.D. Proposal Defense Form.

4.7 (S)  Completes NIH NCI (National Cancer Institute) training module in the Protection of Human Subjects at website http://cme.cancer.gov/ (then select “Human Participant Protections Education for Research Teams”).  On completion of training, saves and prints certificate of completion.  (See enclosed information on USF Resource Compliance on Education for Human Subjects Protection)

NOTE:  (S)  Secures a copy of the Major Professor’s Certificate verifying that he or she has completed the NIH NCI training module or other applicable CE courses in the Protection of Human Subjects.

4.8 (S)  Completes and submits to the IRB a request for review by the Internal Review Board (IRB) for the Protection of Human Subjects if the proposed research will involve participation of human subjects. Almost all research in the COEDU involves use of human subjects. The IRB Form and relevant information may be accessed and downloaded from the USF Office of Sponsored Research website www.research.usf.edu/cs/download02.htm (depending on your type of study, choose “Application for Initial Review” or Exemption Certification Request”). Also complete the Investigator Responsibilities Certification form. Templates for the Consent Form(s) to be completed by participants/ or parents in the study are available on the same website.

4.9 (S)  At least 3 weeks before the proposal defense, submits 2 copies of the approved dissertation proposal and the Request for Ph.D./Ed.D. Proposal Defense Form signed by each member of the dissertation supervisory committee, to the ADA, with information re: date, time, and place of the proposal defense.  Gives 1 copy of the dissertation proposal to each member of his/her dissertation committee.
Note: The dissertation proposal must contain the correct title page (choose from http://www.grad.usf.edu/Thesis_and_Dissertations/templates.asp), a Table of Contents, a List of References, and a copy of the Certificate of Completion of NIH NCI training module on human subjects protection (if applicable).

_______ 4.10 (ADA) Appoints a fully credentialed member of the COEDU graduate faculty outside the S’s academic department as Chairperson for the dissertation proposal defense. Sends a copy of proposal and Outline of Chairperson’s Report Form to Outside Chairperson.

_______ 4.11 (S) Meets with DC and Outside Chairperson for proposal defense at scheduled time. During the proposal defense, S presents a 15-20 minute summary of the proposed research. Each member of the DC and the Outside Chairperson questions S about any component of the proposal that may need clarification.

_______ 4.12 (DC) Listens to and evaluates S’s dissertation proposal defense and acts on proposal. Proposal is approved, approved subject to modification, or disapproved.

If approved, all DC members sign the proposal title page.

If approved with modification, DC members may 1) agree to sign the title page, leaving MP responsible to see that the recommended changes are made; 2) request that S make modifications and the revised proposal submitted to them for their review, prior to signing title page.

If disapproved, S consults with the DC as to changes/additions to be made.

_______ 4.13 (MP) Prepares a list of the recommended changes and sends copies to S, DC members, and Outside Chairperson. The Outside Chairperson completes the Outline of Chairperson’s Report form, attaches the list of changes prepared by MP, and submits the form to ADA.

_______ 4.14 (S) Make recommended changes (if any) to proposal, secures signatures of DC on title page (if they have not already signed), and distributes copies of the revised proposal with signed title page to DC and ADA (EDU 105).

S completes the dissertation with assistance from the DC and contacts MP at least once per semester for consultation or to arrange committee meetings. During this period student must be enrolled in the required
5.0 DISSERTATION AND FINAL ORAL DEFENSE

5.1 (S) Applies for Graduation by University deadline (usually in the first 4 weeks of the semester) for the semester in which S expects to defend the dissertation and graduate. Register for ETD Submission (Graduate School website).

Checks deadlines for doctoral defense and submission of dissertation. Copies of the Graduate School’s deadlines for current semester are available from S’s Department, CGS, or at the Graduate School’s Web site http://www.grad.usf.edu. Copies of the College of Education deadlines for current semester are available from S’s department, CGS, ADA or at the College’s Website at http://www.COEDU.usf.edu under “Important Dates” for Graduates.

5.2 (S) Contacts MP and DC members to schedule pre-defense meeting and tentative date for Final Oral Defense.

5.3 (S) Distributes a draft of the dissertation to each DC member at least two weeks before pre-defense meeting.

5.4 (S) Meets with DC for pre-defense. If DC members decides that the dissertation is ready to defend after any recommended modifications are made, a definite date for the Final Oral Defense is set, and S secures the signature of each DC member on the Request for Ph.D./Ed.D. Final Oral Examination form. The Final Oral Defense must be held at least three weeks prior to the end of the term in which S wishes to graduate (Consult COEDU and Graduate School websites for deadlines).

5.5 (MP+S) Recommend a Final Oral Defense Chairperson, who must be a fully credentialed member of the COEDU graduate faculty outside S’s academic department. Enter name on the Request form.

5.6 (S) Submits 1 copy of final draft of dissertation to each member of the DC at least 2 weeks before scheduled Final Oral Defense date.

5.7 (S) At least two weeks before the scheduled defense date submits to ADA completed Request for Ph.D./Ed.D. Final Oral Examination form; Successful Defense Form and Certificate of Approval (completed, not signed). Signs in dissertation with Administrative Assistant to ADA (EDU 320).
5.8 (ADA) Approves Request for Ph.D./Ed.D. Final Oral Examination form.

5.9 (ADA) Forwards one copy of dissertation to the Outside Chairperson for the Final Oral Defense, and retains 1 copy. Sends a written notice to the faculty announcing time and place of the Final Oral Defense.

5.10 (DC) Conducts Final Oral Defense.

All members of the DC must be present for the entire Examination.

S presents a 15-20 minute summary of the research: why s/he chose the problem, the context of the problem based on the review of the literature, the method, the results, and the implications. Following this presentation the Outside Chairperson opens the floor to questions from DC members in rotation, after which the Chairperson may ask questions. The scope of the questioning can be narrow (i.e., limited solely to the dissertation) or broad (i.e., including tangential issues), but the Chairperson should specify the scope in advance to S. If desirable, more than one round of questions may be conducted; finally, questions from visitors are requested. When the questioning is completed, S and visitors are asked to leave the room, and the Chairperson presides over the deliberation and voting of the committee but does not participate in the voting. The Chairperson then asks S to return to the room to hear the results of the deliberation and voting and to conclude the Final Oral Defense.

Dissertation is approved, approved subject to modification, or disapproved.

If the dissertation is approved, all DC members sign the Certificate of Approval Form.

If approved with modification, DC members may agree to sign the Certificate of Approval Form, leaving MP responsible to see that the recommended changes are made.

If disapproved, S consults with DC.

MP signs Certificate of Approval Forms and ensures that the Outside Chairperson secures original signatures on Successful Defense of the Doctoral Dissertation.

The Outside Chairperson submits signed Successful Defense form to Marilyn Washington in the Office of Graduate Studies (EDU 320).

5.11 (S) Submits signed Certificate of Approval to Marilyn Washington (EDU 320) for Associate Dean of Academic Affairs signature and Committee verification.
Submits Final Approved Dissertation in PDF, Approval Form, GS Exit Survey and NORC SED Survey (check Graduate School website for deadlines).

NOTE: Students admitted after Fall semester 2002 are **required** to submit their final Dissertation copy via electronic PDF form. You may review Final Submission Requirements online at: [www.grad.usf.edu](http://www.grad.usf.edu).

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