



Policies and Guidelines

Doctoral Study
in
K-12 Educational Leadership

College of Education and Human Development
University of Maine
Orono, Maine

PLEASE NOTE

A recent change in a federal law, “The Clery Act,” requires universities to disclose to prospective students our three-year statistics regarding campus crime, including public property within, or immediately adjacent to and accessible from the campus. This report includes our policies for campus security, such as those concerning alcohol and drug use, crime prevention, the reporting of crimes, sexual assault, and other matters. You can obtain a copy of this by accessing the following web site: <http://www.umaine.edu/security> or by contacting the Director of Public Safety, University of Maine, 375 College Ave., Orono, ME 04473 (207) 581-4053.

University of Maine

College of Education and Human Development

Doctoral Program in K-12 Educational Leadership

Program Mission and Purpose

The University of Maine's Educational Leadership faculty is committed to educating effective and visionary leaders for educational institutions in Maine and beyond. We develop—as well as sustain in practice—leaders who collaborate with, inspire, and model for others the best qualities of learning, ethical conduct, and commitment to student development. Since 1983, the Doctoral Program in Educational Leadership has offered experienced educational leaders an opportunity to stretch professionally and academically. Because today's educational leaders are being called upon to guide their constituents into an uncertain, yet exciting future, this doctoral program is designed to equip students with the skills and insight to make responsible and effective choices in the midst of turbulence and change. Coursework experiences take place collaboratively within a cohort and are directed toward developing and strengthening students' knowledge, proficiency, and ability to meet the challenges facing today's schools and tomorrow's educators.

The Doctoral Program in K-12 Educational Leadership seeks to admit post-master's students who: 1) have leadership experience in K-12 education and who wish to grow professionally and academically; 2) intend to make substantial contributions to the leadership of K-12 education and are committed to making a positive difference in their leadership practice and workplace; 3) demonstrate the self-direction necessary for advanced graduate study and independent research; and 4) possess the ability and motivation to succeed in the rigorous interpersonal and academic demands of doctoral study. Students who are admitted to the Cohort Doctoral Program in K-12 Educational Leadership study and conduct research in leadership theory and practice, human and organizational development, policy analysis, and other topics related to educational leadership.

Doctoral Program Goals

The Doctoral Program in K-12 Educational Leadership is targeted to meet the interests, needs, and time demands of mid-career professionals; promote individual advancement and career options; and enhance their organization's and constituents' capacity to continuously improve. These outcomes will occur through the acquisition of:

- multiple lenses for understanding the social, political, cultural, and organizational contexts of schools
- insight into and appreciation of the dynamics and impact of diversity and difference on schooling
- knowledge of and skill at engaging in ethical, collaborative, and research-based decision-making
- effective, persuasive, and inclusive written and oral communication skills
- high-level critical thinking, analytical inquiry, and problem-solving skills
- flexibility and confidence to provide leadership in times of complex and dynamic institutional and societal change

The acquisition of these knowledge and skills areas will provide doctoral students with a number of benefits, including: better appreciation for the context and complexity of schooling; enhanced ability to think systemically about problems; increased comfort and confidence in reading and writing scholarly and empirical work; enlarged capacity to effectively contribute to the field via scholarship and professional development; and more effective and satisfying interactions with colleagues and constituents.

Program Overview

Coursework Phase

Following admission to the program, students typically pursue coursework to satisfy basic requirements (e.g., research foundation and professional core courses) and to prepare for a Comprehensive Examination. Students develop an initial Program of Study, with the faculty advisor to whom they are assigned. Before their fifth course, the Program of Study must be finalized and approved by the Program Committee and filed with the Graduate School. A maximum of four years is customarily devoted to the coursework phase of the program. At this point, the student stands for the Comprehensive Examination.

Dissertation Phase

Upon successful completion of the Comprehensive Examination, the student is admitted to candidacy for the doctoral degree. The student then invites a minimum of three faculty members to serve on her/his Dissertation Committee. The student then has four years to complete the final requirements which begin with the development of a dissertation proposal and its presentation to the committee.

After acceptance of the proposal, the student pursues the research and writing activities necessary to complete the dissertation. The dissertation is accepted after an oral defense before a full doctoral dissertation committee, which is comprised of a minimum of five faculty members. A minimum of two of these five members must come from Educational Leadership faculty at the University of Maine. We also strongly urge that an Educational Leadership faculty member serve as chair of this committee.

Program Policies and Regulations

Upon admission to the program, each student must become thoroughly acquainted with the **policies and regulations of the Graduate School** and the **policies and regulations for Doctoral Study at the College of Education and Human Development**. Faculty members in Educational Leadership will provide assistance in locating and clarifying regulations.

A minimum of 90 graduate credits is required beyond the bachelor's degree (of which up to 45 credits may be transferred upon evaluation of prior coursework). The subsequent selection of coursework is aimed at developing:

1. a comprehensive background in the field of leadership and educational studies (see Educational Foundations and Professional Core);
2. knowledge and skills in educational research (see Research Foundations); and
3. thorough specialized knowledge in the dissertation research area.

Although the minimum credit requirement for the doctorate is 90 credit hours beyond the bachelor's degree, the number of credits required for any individual student will be determined by the student's Program Committee. Students with limited prior study in these areas should expect to take additional credits beyond the minimum.

Prerequisite Leadership Core

Students who are admitted to doctoral study in Educational Leadership must be familiar with research as well as organizational and leadership theory and practice. The Prerequisite Leadership Core is intended to provide students with a grounding in organizational theory, leadership practice, and educational research. Students without such a background will be required to take 4 prerequisite courses, as appropriate. The following courses have typically served to meet these prerequisites.

- Organizational Theory (e.g., EAD 550, 560, or equivalent);
- Leadership Practice (e.g., EAD 500, 615, 650, or equivalent);
- Educational Research (e.g., EDS 510, 520, EDA 570 or equivalent); and
- Educational Statistics (e.g., EDS 521 or equivalent)

Practical experience in educational leadership positions may substitute for formal prerequisite coursework in the Leadership Practice domain.

Transfer Credits

Upon admissions to the program, the doctoral student will be notified of which previous graduate credits may be counted toward the minimum credit requirement. Thirty credits will be awarded for the Master's Degree. Up to fifteen additional credits may be applied for post-Master's work which is relevant to the field, has been taken within ten years, and has been approved by the student's Program Committee.

The following process will be followed:

1. Transcripts submitted with admissions material will be examined.
2. At the interview (or in a letter if no interview is held), the candidate will be given a tentative opinion by the admissions committee on which courses are "transferable" and on which Prerequisite Leadership Core courses may be required.
3. The candidate will have the opportunity to explain his/her preparation in any areas of concern.
4. The admissions committee will make a final decision which will be communicated to the student in writing upon admission.
5. The substance of the decision will become the initial information used by the student and his/her advisor and Doctoral Committee in establishing a Program of Study.

Developing the Program of Study

Upon admission, each student is assigned an advisor to provide information and advice as needed. This assignment is temporary until the student has formed a **Program Committee** of at least three graduate faculty members (invited by the student and approved by the Graduate

School). The Program of Study must include courses that fulfill the Program Distribution Requirements described below. Many details of the student's program will be determined by the student in collaboration with his/her Program Committee. Before enrolling for her/his fifth course, the student must have established such a committee and have gained the committee's approval for a Program of Study (see format available from Graduate School). The Program is then filed with the Graduate School and serves as a working agreement and timetable for the completion of doctoral study. **The program of study must be filed before enrolling for the fifth course.**

Program Distribution Requirements

Educational Foundations: The College of Education and Human Development requires a **minimum of 9 credits** of coursework in educational foundations:

- Historical and philosophical foundations (EDH 662 or equivalent);
- Psychological foundations (EPT 522 or equivalent); and
- Sociological foundations (EDH 500 or equivalent).

Research Foundations: The College of Education and Human Development requires a **minimum of 12 credits** of coursework in research. The College, as well, strongly recommends at least one additional research course germane to the student's professional interests and research needs. The following courses (or their equivalents) meet the research foundation requirement:

EDG 595	Educational Research
EDS 521	Statistical Methods in Education
EDS 697	Advanced Statistical Methods in Education
EDS 571	Qualitative Research: Theory, Design, and Practice

To ensure that candidates for the Ed.D. have sufficient breadth of background in the field of education, **students must pass each foundation course with a grade above a B-** or have earned such a grade in equivalent courses within ten years of admission to doctoral study. In addition, **foundation courses must be passed prior to admission to candidacy.**

Professional Core: The Educational Leadership Doctoral Program requires a **minimum of 15 credits** of coursework in a organizational theory, leadership theory and practice, human development, and policy analysis. The following courses (or their equivalents) meet the professional foundation requirement:

EDS 676	Doctoral Seminar in Educational Administration
EAD 654	Educational Policy Formulation and Analysis
EDU 690	Advanced Leadership Studies
EDU 690	Human and Organizational Development
EDG 657	Educational Practicum: Research in Educational Leadership

Specialization Strand: Each doctoral student, in consultation with his/her Program Committee will include a **minimum of 12 credits** in a specific area of specialization. Coursework can be drawn from upper level offerings in the College of Education and Human Development and other colleges. Students may also arrange for individualized study (e.g., EDS 500--Directed Readings; EDU 698--Individual Study in Education). **The professional and specialization courses must be passed prior to admission to candidacy.**

Dissertation Credits: Students include in their Programs of Study a **minimum of 6 credits** for dissertation research and writing (EDS 699 Graduate Thesis).

Sample Program	Graduate Credits
Transferable Master's Credits	30
Educational Foundations	9*
Research Foundations	12*
Professional Core	15*
Specialization Strand	12*
Electives	6*
Dissertation	6
	90 credits
Leadership Core Prerequisites (if appropriate)	0-9
	Total: 90-99 credits

***May be included in 15 post-Master's transfer credits.**

The Comprehensive Examination

Upon successful completion of coursework covering Educational Foundations, Research Foundations, the Professional Core, and the Specialization Strand, students will complete written examinations in Educational Leadership. The examinations assess the doctoral student's broad understanding of the theory and practice of educational organizations and leadership, their ability to analyze issues and synthesize reasoned responses to them, and their ability to design research. **The Comprehensive Examination must be passed prior to admission to candidacy.** Phase I of the Comprehensive Examination is written. Phase II is a conference with the faculty which is an occasion for the faculty and student to review the student's knowledge and skills in the context of "Expectations for Qualified Doctoral Students." These are delineated in Appendix A.

The Dissertation

Upon successful completion of the Comprehensive Examination, a recommendation for candidacy is forwarded to Graduate School by the student's Program Committee. The dissertation must be completed within four years following admission to candidacy.

The student is responsible for assembling a **Doctoral Dissertation Committee** of five qualified graduate faculty members and for requesting that one member serve as chairperson of the committee. A minimum of two of these five members must come from Educational Leadership faculty at the University of Maine. We also strongly encourage that an Educational Leadership faculty member serve as chair of this committee. The committee's purpose is to provide initial approval, ongoing advice, and final evaluation as the dissertation progresses. In this regard, the Dissertation Committee is composed of faculty members who can provide the best guidance to the student regarding her/his dissertation topic and the soundness and thoroughness of the research design to address it.

The dissertation involves focused study of a problem in the field of educational leadership. Ordinarily, the research is structured to solve problems or produce knowledge with direct applicability to educational practice. Phase I involves the development of a research proposal and its oral presentation to the Dissertation Committee. The proposal includes the definition of a significant research question, a description of its relevance to existing knowledge and theory, and the explication of a program of research to address the question. The proposal is presented to the

doctoral Dissertation Committee at a proposal hearing. The committee must accept the proposal before research is undertaken.

The dissertation defense **follows submission of the completed dissertation.** An oral examination will be conducted by a faculty committee appointed by the Graduate Dean (normally, the Doctoral Dissertation Committee). Its purpose will be to establish the candidate's research contributions as represented in the dissertation. Successful completion of this examination will lead to the conferral of the doctoral degree. A checklist outlining benchmarks that must be completed prior to attaining a doctoral degree is included as Appendix B.

Students are urged to read and familiarize themselves with "Guidelines for Doctoral Study and Advising" published by the College of Education and Human Development and "Guidelines for Thesis and Dissertation Preparation" published by the Graduate School.

Application and Admission to the Program

Individuals seeking the doctorate first gain admission to the Graduate School based on the recommendations of the faculty in Educational Leadership. Applications are submitted by the published deadline and include:

- a portfolio of leadership experiences as described in *Doctoral Program in K-12 Educational Leadership Application Instructions* ;
- transcripts of undergraduate and graduate coursework including a completed Master's degree from an accredited institution;
- scores on the verbal and quantitative and subtests of the Graduate Record Examination;
- an interview.

Admissions decisions are based on the congruence of candidates' goals and program resources, candidates' academic performance (GRE scores above 1,000; graduate G.P.A. above 3.5), and candidates' expressed understanding of leadership and educational issues. The Admissions Committee uses a rubric designed from "Expectations of Qualified Doctoral Students" (see Appendix A).

Residence Requirement*

Doctoral students are required to satisfy a residence requirement for the degree. Residency is intended to provide the student with the intensive interaction with faculty and other resources necessary for advanced education and research. The K-12 EDL residence requirement is satisfied if the candidate is either:

- in residence (engaged in full-time study) at the Orono campus for at least one full academic year; **OR**
- engaged in off-campus employment while maintaining enrollment for six credit hours each semester for three out of four continuous semesters (including summer session).

*Revised 12/2001; 5/2006

Appendix A

Expectations Of Qualified Doctoral Students

In order to be successful in the Educational Leadership Doctoral Program, students would need to demonstrate a history of academic success. In addition, they would need to possess the following interpersonal, intrapersonal, and cognitive skills, capacities, and traits.

Interpersonally, students would need to demonstrate:

- the ability to get along with diverse thinkers and people;
- the capacity to be honest;
- a willingness to advocate for their needs; and
- a capacity to contribute to the cohort, groups, and the college.

Intrapersonally, students would need to demonstrate the following propensities and personal dispositions:

- a sense of efficacy (i.e., capacity to make a difference and belief that they can)
- curious about lots of things;
- secure sense of self (confidence);
- openness to new ideas;
- creativity and inventiveness;
- tolerance of ambiguity;
- a life of the mind (playfulness with ideas);
- openness to disconfirming information/feedback; and
- ability to use feedback to improve performance.

Cognitively, students would need to demonstrate:

- fundamental thinking skills to conceptualize, synthesize, analyze, and integrate;
- fundamental writing skills and comfort level;
- communication skills; and
- a background in educational literature, thought, and practice.

It is also important for students to possess a strong work ethic, one that would involve being a hard worker, being persistent and committed to finishing, being self-directed and committed to some overarching ideal and/or goal.

Because there are a number of important experiential factors as well, students would need to have:

- at least five years experience in schools;
- significant teaching and leadership experience;
- a record of contribution to the profession and/or their school; and
- employment and personal circumstances that would allow them to finish.

Finally, it will be important to assess the degree of "fit" between students' interests and goals and the focus, content, and goals of the program, as well as with the backgrounds of the faculty.

Appendix B

Doctoral Program in K-12 Educational Leadership Benchmarks

1. Admitted Date _____
2. Program Committee Established Date _____
3. Program of Study Approved Date _____
4. Dissertation Committee Established Date _____
5. Research Foundations
 - a. EDS 521: Statistical Methods in Education Date _____
 - b. EDG 595: Educational Research Design Date _____
 - c. EDS 697: Advanced Statistical Methods Date _____
 - d. EDS 571: Qualitative Research Models and Methods Date _____
6. Educational Foundations
 - a. EDH 500: Social Context of Education Date _____
 - b. EDG 662: History and Philosophy of Education..... Date _____
 - c. EPT 522: Advanced Educational Psychology Date _____
7. Professional Core
 - a. EDS 676: Doctoral Seminar in Educational Administration..... Date _____
 - b. EAD 654: Educational Policy Formulation and Analysis..... Date _____
 - c. EDU 690: Advanced Leadership Studies..... Date _____
 - d. EDU 690: Human Resource Development..... Date _____
 - e. EDG 657: Educational Practicum: Research in Ed. Lead. Date _____
8. Specialization Strand (12 credits)..... Date _____
9. Electives (6 credits)..... Date _____
10. Residency Fulfilled
 - Full-time Study: Dates _____ to _____
 - Part-time Study: Dates _____ to _____
11. Comprehensive Examinations PassedDate _____

Signature of Chairperson
12. Admission to Candidacy Date _____
13. Approval of Doctoral Dissertation ProposalDate _____

Signature of Chairperson
14. Dissertation: Tentative Approval _____ Date _____

Advisor's Signature

Final Committee Approval _____ Date _____

15. Dissertation Oral Date _____