



*Florida International University
College of Education*

Doctoral Policies and Procedures Manual

**Updated
February 2014**

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Preface

The *College of Education Doctoral Policies and Procedures Manual* contains College policies and procedures for the governance of doctoral programs. These policies and procedures are the basic guidelines and minimum requirements for doctoral program development, implementation and evaluation. In addition, it includes information about the Office of Graduate Studies (OGS) that supports doctoral programming in the College. Please note that the University Graduate School (UGS) Manual and all forms referred to in this *Manual* appear online.

The *College of Educational Doctoral Policies and Procedures Manual* is intended to provide the doctoral student and faculty with an understanding of the policies governing doctoral study in a step-by-step progression. These steps are followed as the student progresses through the program and provide markers of the student's progress. It is important to note that the *Manual* provides a basic summary of the student's responsibilities.

This is a working document continually under review and revision to serve the needs of the various programs in the College. Although changes in programs, policies, requirements, and regulations receive constant attention and are incorporated immediately into this document, some changes in policy may be made without advance notice. The reader is advised to seek out the latest version of the manual. Key points (those that are new or often missed by students) are marked through the document with a key symbol.

This revision incorporates any recent policy changes approved by the Doctoral Studies Committee, and any procedural or policy changes made at the College- or University-level that impact our doctoral programs. As such, this revision supersedes all earlier versions that should no longer be used.

Revised: February 2014

Thomas G. Reio, Jr., Ph.D.

Associate Dean of Graduate Studies College of Education

Office of Graduate Studies (OGS) Contact Information

The COE Office of Graduate Studies is located on the 3rd floor of the Ziff Education Building. Campus directions and maps can be found at http://www.fiu.edu/docs/campus_maps-up.htm

Office of Graduate Studies
Florida International University
ZEB 310

11200 SW 8th Street

Miami, FL 33199

Phone: (305) 348-2723

FAX: (305) 348-2081

Skype: Skype Ms. Caprila Almeida, the OGS Office Manager at caprila.fiu. Skype accounts can be obtained at <http://www.skype.com/>

Email: almeidac@fiu.edu (Ms. Caprila Almeida, Office Manager's Email)

OGS Website: <http://education.fiu.edu/ogs/>

COE Website: <http://education.fiu.edu/>

FIU University Graduate School (UGS) Website: <http://gradschool.fiu.edu/>

OGS Personnel and Contact Information

Contact information for all OGS personnel can be found at

<http://education.fiu.edu/ogs/contacts.html>

COE Doctoral Central Portal Online Support Site

Currently, the OGS has an online support site for doctoral students and advisors. This new COE online doctoral portal provides vital information to COE doctoral students and their advisors (e.g., required forms, candidacy exam procedures, sample dissertations and proposals, links to faculty research interests). Much of the information in this policies and procedures manual can be found at this site. Directions for doctoral students, faculty, and staff to log on can be found at <http://education.fiu.edu/ogs/index.html>. Beginning summer 2011, all COE doctoral students have been strongly recommended to log into the portal site to receive critical announcements.

College of Education Doctoral Forms

Doctoral students will need to use multiple forms as they progress through their programs. Each is identified and described below. The use of these forms is discussed throughout the COE Doctoral Policies Manual.

Forms	COE	UGS	Descriptions
<i>Doctoral Program of Studies Forms</i>			
Inclusion Form		X	<p><i>FIU Registrar Inclusion Form</i></p> <p>This form is used by the Major Professor to include courses in the doctoral program that were taken as a Special student. Used only when needed.</p> <p>University form found at http://education.fiu.edu/ogs/forms.html or from Departmental Secretary.</p>
POS Forms	X		<p><i>Program of Studies Form</i></p> <p>Used to develop and track the student's Program of Studies. Each program has its own POS form.</p> <p>Sample form found at http://education.fiu.edu/ogs/forms.html. Specific program form provided by Major Professor.</p>
The Annual Student Evaluation and Mentoring Plan		X	<p><i>The Annual Student Evaluation and Mentoring Plan.</i></p> <p>This new document follows the form of the University's annual employee evaluation, serves as a tool for student mentoring and facilitates the time to degree. The Annual Student Evaluation and Mentoring Plan is due to UGS on May 30 of <i>every year</i> beginning with the first year the student is enrolled in a doctoral-degree granting program. The completed forms should be submitted to OGS by the end of March. Check OGS announcements for exact March deadline.</p> <p>Form found at http://gradschool.fiu.edu/student-forms.shtml</p>
<i>Candidacy Examination Forms</i>			
Form A	X		<p><i>COE Request to take the Doctoral Candidacy Examination</i></p> <p>Certifies that the student has met the academic requirements to take the doctoral candidacy examination. To be submitted the semester that the student is taking his/her exam, approximately 6 weeks prior to the exam.</p> <p>Form found at http://education.fiu.edu/ogs/forms.html or OGS office (ZEB 310)</p>
Form D-2		X	<p><i>Program for Doctoral Degree and Application for Candidacy</i></p> <p>Certifies that the student has met the academic requirements for doctoral candidacy. To be submitted after finishing coursework, as soon as candidacy examination's results are available, and BEFORE registering for dissertation credits. Certifies that the student is ready to register for dissertation.</p> <p>Form found at http://gradschool.fiu.edu/student-forms.shtml</p>
<i>Dissertation Committee Forms</i>			
Form D-1		X	<p><i>Appointment of Dissertation Committee</i></p> <p>Identifies the membership of the student's Dissertation Committee. To be submitted at the time of the student's candidacy examination. When submitting the D-1, students are required to provide a brief summary (no more than 2 pages) of the expertise of their committee members. The summary should identify the expected contributions of each committee member and his/her qualifications to serve in that capacity (a paragraph on each member is sufficient).</p> <p>Form found at http://gradschool.fiu.edu/student-forms.shtml</p>

Forms	COE	UGS	Descriptions
Form D-1R		X	<p><i>Appointment of Revised Dissertation Committee</i></p> <p>Identifies changes in the membership of the student's Dissertation Committee. To be submitted when there is a change in the Dissertation Committee Membership. When submitting a D-1r, students are required to provide a brief summary of the expertise of their new committee members. The summary should identify the expected contributions of each new committee member and his/her qualifications to serve in that capacity (a paragraph on each new member is sufficient)</p> <p>Form found at http://gradschool.fiu.edu/student-forms.shtml</p>
Dissertation Proposal Forms			
Form B	X		<p><i>COE Authorization for Proposal Defense</i></p> <p>Certifies that the Major Professor has deemed the student's dissertation proposal ready for OGS review. To be submitted by the student with the proposal to OGS.</p> <p>COE form found at http://education.fiu.edu/ogs/forms.html or at OGS office (ZEB 310)</p>
Form D-3		X	<p><i>Doctoral Dissertation Proposal</i></p> <p>Certifies that the dissertation proposal is ready for UGS review. To be submitted with the five-page dissertation proposal.</p> <p>Form found at http://gradschool.fiu.edu/student-forms.shtml</p>
Dissertation Form			
Form D-5		X	<p><i>Preliminary Approval of Dissertation and Request for Oral Defense</i></p> <p>Indicates preliminary approval of proposal and permission by Major Professor, Committee and OGS to conduct the dissertation defense. MUST be submitted along with dissertation and defense announcement to the University Graduate School 3 WEEKS BEFORE THE DEFENSE DATE or by the deadline, whichever date is earlier.</p> <p>Form found at http://gradschool.fiu.edu/student-forms.shtml</p>
Final Dissertation Submission Forms			
Final ETD Approval Form		X	<p><i>Final Approval of Dissertation</i></p> <p>Certifies the dissertation is deemed ready for University Graduate School (UGS) review, approval, and electronic dissemination. To be filed with UGS along with supporting documentation and dissertation by UGS deadline.</p> <p>Form found at http://gradschool.fiu.edu/student-forms.shtml</p>
COE Doctoral Survey	X		<p><i>COE Doctoral Survey (digital document)</i></p> <p>This survey is completed as an OGS requirement upon submission of the dissertation and the ETD. It is a questionnaire about the student's experiences in his/her doctoral program. Doctoral students will be sent a link to this survey at the appropriate time. Applicable to all doctoral students.</p>
Survey of Earned Doctorate (SED)		X	<p><i>Survey of Earned Doctorates</i></p> <p>This survey is completed as a UGS requirement upon submission of the dissertation and the ETD. It is a questionnaire about the student's experiences in his/her doctoral program. ONLY APPLICABLE TO Ph.D. STUDENTS.</p> <p>Registration for survey found at https://sed.norc.org/doctorate/showRegister.do</p>

<i>Graduation Application Form</i>			
Graduation Application		X	<p><i>Graduation Application Form</i></p> <p>Students complete this form to apply for graduation. Form may be found at http://gradschool.fiu.edu/student-forms.shtml There are strictly enforced deadlines to apply for graduation. These dates are posted in the academic calendar of on the Web at http://gradschool.fiu.edu/current-students-calendar-deadlines.shtml</p> <p>The deadline to apply for graduation is typically about four weeks into the semester you plan to graduate.</p>

Part I
Doctoral Study in the College of Education, Florida International University

The College of Education at Florida International University is one in which candidates, faculty, and staff embrace the shared experiences of a diverse, international, and professional learning community. The College, therefore, strives to facilitate diverse learning environments in which knowledge becomes the means to foster goal attainment for all those involved in the learning process. This process necessitates the highest ethical standards, while emphasizing inquiry as the means-ends connection to enhancing reflective intelligence in a changing social, political, cultural and technological world.

The College of Education is charged to prepare professionals who have the knowledge, abilities, and dispositions to facilitate and enhance learning and development within diverse settings. Consequently, the college promotes and facilitates the discovery, development, documentation, assessment, and dissemination of knowledge related to teaching and learning by developing professional partnerships in the larger community that foster significant educational, social, economic and political change. Our mission supports:

- Programs that reflect curricula that reflect sound theory and best practice.
- Highly qualified and diverse students and graduates.
- Highly qualified and diverse faculty active in teaching, research and service.
- Effective and ethical governance and organizational structure within an environment of open communication among faculty, administrators, staff, students and community.
- Collaborative and mutually beneficial partnerships with schools and other organizations.
- Visibility and impact at the local, state, national and international levels.
- Continuous improvement of the College.

The conceptual framework guiding the education curricula and programs in the College is grounded in three core outcomes central to the vision faculty have of professional educators graduating from the College's programs: stewards of the discipline, reflective inquirers, and mindful educators.

The College, housed in the Sanford and Dolores Ziff Education Building (ZEB) at Florida International University—Modesto A. Maidique Campus (MMC), is fully accredited by the National Council for the Accreditation of Teacher Education, the Florida Department of Education, and the State University System. To support its mission, the College is organized into two separate but related departments with doctoral programs:

- Teaching and Learning
- Leadership and Professional Studies

Academic Orientation

The College of Education doctoral degrees are designed to promote the preparation of highly competent professionals in several fields of education. Although each major has its own specific goals, a shared goal is personal and professional growth. Because of this overarching goal, the

programs seek to create the type of doctoral environment through which it becomes possible for students and faculty with varying interests, perspectives, and expertise to address issues of common concern and importance to the entire field of education and educational change. The degrees are conferred on the basis of high scholarship, skill in the application of knowledge from theory and research findings to practical educational problems, and proven professional competence.

Inquiry Emphasis in Doctoral Study

Doctoral students are expected to generate questions about educational phenomena. They must be curious about how things are and how they came to be as they are. They must learn to identify assumptions made in posing questions and in drawing conclusions, as well as to judge the consistency and logic of arguments. They are required to question their own assumptions about what is right and what is wrong in educational practice. They must learn to evaluate educational programs and to inquire into the effects and effectiveness of educational practices. As such, inquiry training is included in all components of doctoral study.

Sources of Authority

Sources of authority governing academic processes and procedures exist within and outside of the College of Education. These sources of authority may include university-wide bodies and administration, the Florida Board of Regents, Florida Board of Education, the College of Education, and the University Graduate School (UGS). The College of Education may be bound to alter and/or add to the present documents to comply with the expectations and directives from such authority sources. Accordingly, policies, procedures, requirements, and standards stated in this document are subject to change and modification. Students should contact the *University Graduate School Policies and Procedures* (<http://gradschool.fiu.edu/policies-procedures.shtml>) and/or the *Office of Graduate Studies* (<http://education.fiu.edu/ogs/>) to secure the latest information governing graduate policies and procedures.

The source of academic authority resides in the knowledge base of the field as represented by the faculty in the various academic units of the university. The faculty is charged with the responsibilities of developing and administering academic programs, supervising research including the development and defense of dissertations and evaluating programs, students and peers. At no time will the academic authority of the faculty supersede the authority of the college or university.

Students' Rights and Responsibilities

This Student Handbook is published through the joint efforts of students and the University. It outlines the services, programs, and activities of the University, which are designed to enhance the quality of students' educational experiences. A link to the handbook can be found at <http://globaldatebooksonline.com/flipbooks/flo2011/>

Non-Discrimination Statement

Florida International University believes in equal opportunity practices that conform to all laws against discrimination and is committed to non-discrimination with respect to race, color, creed, age, handicap, sex, marital status, or national origin. Additionally, the University is committed to the principle of taking the positive steps necessary to achieve the equalization of educational and employment opportunities.

Exceptions to Guidelines

Although the College of Education is committed to following the policy guidelines in operation at the time of the official appointment of the Program of Studies (POS) Committee, certain additions, exceptions and extensions to these guidelines may become necessary for students, programs, and/or the College of Education to fulfill. These additions, exceptions, and extensions may arise from the programs in the College of Education or from entities outside of the structure of the College.

Part II

College of Education Doctoral Degrees Granted and Admission

This section describes the COE doctoral programs, application guidelines, criteria for admission and admission procedures. In addition, descriptions of relevant policies for Doctoral students are provided. These policies are subject to changes as needed. The University Graduate School sets policies, procedures and guidelines for directing graduate study at Florida International University. The COE policies are based on these policies and are subject to UGS changes in policy. In addition, COE Committees may recommend policy changes. All policies MUST minimally follow UGS/OGS policies. The UGS policy manual can be found on line at <http://gradschool.fiu.edu/policies-procedures.shtml>

COE Doctoral Degrees Offered

The College of Education offers Doctor of Education (Ed.D.) and Doctor of Philosophy (Ph.D.) degrees with specializations to reflect individual student interests. The following major program areas are available for doctoral study.

Doctor of Education (Ed.D.) degrees are offered in the following areas:

- Adult Education and Human Resource Development
- Curriculum and Instruction
- Educational Administration and Supervision
- Exceptional Student Education
- Higher Education

A Doctor of Philosophy (Ph.D.) degree is offered in the following area:

- Curriculum and Instruction

COE Application Criteria/Guidelines

Applicants for admission to a doctoral degree-granting program of the University must meet the minimum standards set forth by the Florida Board of Regents and the University as well as the specific requirements set by COE and the specific COE programs. Programs must minimally follow standards set by the University and the COE.

Admission Criteria

Ed.D. COE doctoral programs have the following criteria:

- Undergraduate GPA of 3.0 or greater in upper division coursework or 3.25 or higher GPA in a graduate degree from an accredited institution
- GRE score required (verbal, quantitative, and analytic writing).

- TOEFL score (Applicable to international students whose first language is not English.) TOEFL Internet-Based Test (IBT) score of 80, Composite Paper and Pencil score of 550. IELTS Scores of 6.5 overall can be used instead of the TOEFL.
- Personal Interview with Doctoral Program Admissions Committee with a minimum of three members (in-person or via electronic means)

Ph.D. COE doctoral program has the following criteria:

- Undergraduate GPA of 3.0 or greater in upper division coursework or greater in upper division coursework or 3.25 or higher GPA in a graduate degree from an accredited institution
- GRE scores required (verbal, quantitative, and analytic writing).
- TOEFL score (Applicable to international students whose first language is not English) TOEFL Internet-Based Test (IBT) score of 80, Composite Paper and Pencil score of 550. IELTS Scores of 6.5 overall can be used instead of the TOEFL.
- Personal Interview with Doctoral Program Admissions Committee with a minimum of three members (in-person or via electronic means)

Exceptions to Admission Requirements

All admission documentation must be submitted. If faculty believe it is merited, they can submit a petition of exception for admission criteria. A faculty member can initiate a petition by e-mailing a request to petition@fiu.edu. The petition may or may not be approved.

University and College Admission Procedures

The application procedure for the COE doctoral program requires that prospective students complete an online University Graduate Admissions application with submission of the following:

- GRE scores and, in some cases, TOEFL scores (submitted officially)
 - Official Transcripts (submitted officially)
 - Medical reports
 - Letters of Recommendation (submitted either online or mailed to FIU's Graduate Admissions Office)
 - Letter of Intent (submitted either online or mailed to FIU's Graduate Admissions office)
 - Resume or Vitae (submitted either online or mailed to FIU's Graduate Admissions Office)
 - Professional Writing Sample: (Program Specific) Contact Program Leaders to determine whether or not a professional writing sample is required and the specific type of sample.
- The Office of Graduate Admissions acknowledges receipt of application materials, notifies the applicant of any deficiencies (e.g., missing transcripts, GRE scores and anything relevant to the Graduate Admissions requirements) and forwards all relevant documents to the OGS.

- OGS will follow up with the student if departmental requirements are still pending to facilitate the completion of the application process.
- Upon receipt of all required documentation, the student's Admission file is given to the appropriate Graduate Program Director. The Departmental Program Faculty Committee will review the application and determine whether to contact the student for an interview.
- The student will be informed of the decision from the University Graduate School Office of Graduate Admissions via letter. If accepted, subsequently, a brochure called "*The Next Step*" is sent to the student that includes important information needed as a new student at FIU (e.g., parking, registration). OGS also sends a letter to students who have been accepted informing them of their advisor and other College of Education information.
- Submission deadlines are indicated in the Graduate Admission Calendar, which is published each year at <http://gradschool.fiu.edu/current-students-calendar-deadlines.shtml>.



KEY POINT: As soon as student submits an online application, he or she is sent an email with a Panthersoft ID. At this point, the student can check the status of his or her application online by going to <https://my.fiu.edu> and following the sign-in procedures.

FIU Application/Submission Procedures

1. *Complete Application Online:* Applicants can apply online through the FIU Office of Admissions, (questions, email: gradadm@fiu.edu or phone: 305-348-7442). The online application procedures begin at <http://gradschool.fiu.edu/admission-requirements.shtml>. An admissions process checklist can be found at <http://gradschool.fiu.edu/admission-requirements.shtml>.
2. *Pay Fee:* Students will be asked to pay the non-refundable application fee online using a major credit card (Visa, Master Card, Discover or American Express) or students may pay the application fee by using a personal check or money order in U.S. dollars. Please be mindful that no application will be considered until the application fee is paid.
3. *Submit Transcripts:* As part of the FIU Graduate Application, students are required to submit official transcripts of academic records from each college or university attended. Institutions of origin can forward the transcripts directly to the FIU Office of Graduate Admissions. In addition, transcripts submitted by the student in the original sealed envelope can be accepted, as long as it is clear that they are in the original, sealed envelope from the Institution. It is best if the envelope is stamped with the College or University seal.
4. *Submit Test Scores:* National and International students are required to submit test scores.
 - **National Applicants:** It is the responsibility of all national degree-seeking applicants to make arrangements to take the Graduate Record Exam (GRE). Further, it is the responsibility of applicants to request that the Educational Testing Service mail the official test results directly to FIU. **When submitting GRE scores, students should use FIU's Institutional Code: 5206.**

- **Foreign International Applicants:** Foreign International Applicants whose native language is not English must take the Test of English as a Foreign Language (TOEFL) or the IELTS in addition to the GRE and have their scores submitted directly to FIU by the Educational Testing Service. In addition, foreign international applicants are required to submit financial statements verifying adequate financial resources. **When submitting GRE and TOEFL scores, students should use FIU's Institutional Code: 5206.**
6. *Submit Medical History:* Medical reports are required of all students by Student Health Services. Completion and clearance of medical history and immunization reports are required to validate registration. Shortly after receipt of the application by the FIU Office of Admissions, a medical history form will be mailed to the student. Immunization information can be found at <http://www.fiu.edu/~health/immunization/index.html>. Additional information will be sent to the student regarding medical history requirements after acceptance.
 7. *Submit Letters of Recommendation, Letter of Intent, and Current Resume or Vitae:* When students apply to doctoral programs, supporting documents must be provided. All supporting documents are submitted either electronically or via mail to the Graduate Admissions Office. If documents are mailed, they will be scanned and added to the electronic application. These documents are:
 - **Letters of Recommendation:** A minimum of three recommendation letters from educational professionals attesting to applicant's ability for success in doctoral study.
 - **Letter of Intent:** A brief letter describing why applicant is applying for the doctoral program.
 - **Current Resume/Vitae:** This will provide detailed work and educational history.
 - **Professional Writing Sample:** (Program Specific) Contact Program Leaders to determine whether or not a professional writing sample is required and the specific type of sample.

There are two methods to provide this supporting documentation:

A. Letters of Recommendation:

- a. Students can submit during the online application process email addresses of those who are submitting letters. These individuals will be sent instructions, the recommendation form, and login passwords. With this information, the individuals can submit forms and/or letters online, *OR*
- b. Students can request that those writing letters of recommendation mail the letters directly to the Graduate Admissions Office. Mailing addresses are below.

B. Letter of Intent/Current Resume/Vitae:

- a. During the online application process, prospective students will see a section to upload documents. At this time, students can upload their letter of intent and resume as a word document or a PDF file, *OR*
- b. Students can mail letters of intent/resumes directly to the Graduate Admissions Office.

Mailing Addresses: Following are the addresses to use when required supporting documents and/or check or money orders (payable to FIU) need to be mailed.

For regular U.S. mail to:	For Overnight/Courier Services mail to:
Florida International University Graduate Admissions Office PO Box 659004 Miami, FL 33265-9004	Florida International University Graduate Admissions Office 11200 S.W. 8th St. PC 230 Miami, FL 33199

8. *On-Site Interview (program and/or situation specific)*: Applicants to be further considered for a COE doctoral program will be asked to participate in an interview with faculty from the program's Doctoral Program Admissions Committee with a minimum of three members and other appropriate faculty. Interview formats vary but typically include a group interview with the program faculty, interviews with individual faculty members, or other formats (e.g., phone or SKYPE interviews). An interview will be arranged once an applicant has submitted all materials to the University and Department. Interviews are considered only for those students whose documentation suggests that the application deserves further consideration. Subsequently, a student can be denied admittance prior to the schedule of an interview.



KEY POINT: All documentation is to be submitted electronically through the application process to the Graduate Admissions Office or mailed to one of the addresses above. **No application materials are to be submitted to OGS directly.**

Exceptions to Admission Requirements

Students seeking Full Admission who do not meet set criteria can seek Full admission endorsement of the program faculty, OGS Associate Dean, and UGS Associate Dean through a Petition of Exception. The petition may or may not be approved pending the strength of the case made for the exception. The faculty can request to initiate the petition at petition@fiu.edu

Transfer of Graduate Credits from Other Institutions

UGS policy states:

Doctoral programs may accept a maximum of 6 semester hours of graduate credit earned from another institution beyond a bachelor's degree as a non-degree student (or student who has not earned that degree). An exception is made for courses contained within an **earned** master's or doctoral degree. For such courses, the maximum is one fewer than half of the total credits required for the program can be transferred. (See UGS Policies and Procedures http://gradschool.fiu.edu/documents/Graduate_Transfer_Credit.pdf).

Also, see UGS Policies and Procedures

(http://gradschool.fiu.edu/documents/University_Doctoral_Program_Requirements.pdf) for total number of credit hours required in doctoral programs. A maximum of 6 thesis credit hours may be transferred to a doctoral program only if part of an earned degree.



KEY POINT: Transfer courses and/or those included from the student's special student status taken outside of a degree seeking program, must have been completed within the 6 years preceding admission to the program AND fall within the 9-year time limit at the time of graduation from the doctoral program.

Acceptance of transfer credits is dependent upon all the following provisions being met:

Acceptance of transfer credits for a course is dependent upon the following provisions:

- The student received a grade of 3.0 or better on a 4.0 scale and the course was taken at a regionally accredited institution
- The course was relevant to the graduate program in which the student is accepted, as judged by an appropriate Committee of the department or program, to the graduate program in which the student is accepted
- The course is listed on an official transcript received by Graduate Admissions
- The course is listed on an official transcript sent to the Office of Admissions, FIU Registrar's Office
- The course was completed within the 6 years preceding admission to the program (does not apply to credits earned as part of a completed graduate degree)
- The course will be no older than 9 years for doctoral degrees at the time of graduation (does not apply to credits earned as part of a completed graduate degree)
- The advisor must file a memo with the Registrar, for credits to be transferred from another degree program, *at the time the Program of Study is submitted*
- No more than 30 credit hours of coursework, as part of a degree program, may be transferred

Transfer of Graduate Credit Hours Earned at FIU by Non-Degree-Seeking Students

Non-degree students include students seeking admission to graduate degree programs who enroll prior to completing the requirements for admission. These students are referred to as "special students." They do so with the guidance of an Academic Advisor from the program into which each special student seeks entry. Enrollment as a non-degree student does not imply a right to future admission as a regular degree-seeking student. *A maximum of 12 graduate level credit hours earned at FIU as a special student may be applied toward the doctoral degree, provided they were earned within the 6 years preceding admission to the degree program and provided they meet program requirements and receive program director approval.*

Waiver of Transfer of Credit Limits

Waiver of any credit limits requires approval by the degree granting program, the Dean of the COE and the Dean of University Graduate School as indicated on the form entitled: *Petition for Exception to Requirements*. A request to initiate the Petition can be sent to petition@fiu.edu. The Petition may or may not be approved pending the strength of the case made for the exception.

Florida Residency

For the purpose of assessing registration and tuition fees, a student shall be classified as a “Florida” or “non-Florida” student. Additional information on Florida residency may be obtained from the Office of Graduate Admissions and the Academic Catalog at <http://catalog.fiu.edu/>.

University Graduate School Admissions Categories

The admissions categories are Full-Admission, Full-Admission with Waiver, Conditional One-Term Admission, Deferred, and Denied.

1. **Full-Admission:** Full-Admission means that the admission is without qualification. The student may enroll in courses immediately, select a POS supervisory Committee and prepare the Program of Study.
2. **Full-Admission with Waiver:** Doctoral students seeking Full-Admission who do not meet set criteria can seek Full-Admission endorsement of the program faculty and COE and UGS Deans through a Petition of Exception. The Petition may or may not be approved pending the strength of the case made for the exception. Faculty can initiate the Petition by sending a request to petition@fiu.edu. Missing test scores **cannot** be waived for doctoral applicants.
3. **Conditional One-Term Admission:** This is a type of Full admission. The Conditional One-term admission covers the situation in which an application for admission is acted upon prior to the availability of required admission evidence, such as degree posted, GRE score, or an official transcript, but the application appears to meet requirements as reported by the student. For example, a student may apply to a doctoral program prior to graduating from his/her master’s (required for that program) or submitting an official GRE score. Acceptance into the doctoral program may be approved pending receipt of evidence of the posted degree or GRE score. With a Conditional One-Term admission, students have all of the rights and privileges of a fully admitted student. Those students who do not meet the condition will have a one term hold placed on their file until official documentation is provided. The following scenarios **do not** qualify for conditional one term admission:
 - Student has not yet taken the required exam for admission.

- Student has not yet graduated from their Bachelor's/Master's program until after the start of their first semester.
- International student who does not have passing TOEFL scores, but wishes to retake exam during first semester.



Key Point: All missing official documentation for a Conditional One-Term admission must be provided by the end of the first semester that the student is enrolled. Extensions to this 1-semester policy can be requested through a *Petition for Exception* that can be initiated through an e-mail from the program faculty to petition@fiu.edu . The Petition may or may not be approved.

4. **Deferral Admissions:** When a student or department wishes to defer the decision on acceptance to a later term.
5. **Denial of Admission:** Students may be denied admission even though they meet the minimal standards. For example, it may be determined that a student's research interests do not match those of the program faculty. A student whose application for a graduate program is denied, but who meets the SUS standards for admission to graduate status, is allowed under Rule 6C-6.003 to seek the reason for rejection in writing. The applicant may request reconsideration by written petition to the University within 30 days of the date of denial. The route for reconsideration is first to the graduate program of interest, then to the academic dean who, in consultation with the program, makes the final decision. If a student is denied admission, he or she cannot take any classes at the University for one year.
6. **Cancelled:** The cancelling option is used when a student who is in the process of applying wishes to cancel his/her application to a program. The cancelling option might also be used when there is an attempt to make contact with the student regarding missing items, but the student does not reply to the inquiries. Once the deadline for that specific term comes, the list of students who are missing information on their applications and who have not attempted to contact the unit will be cancelled unless the student requests that the application be deferred. No letter will be mailed out from Graduate Admissions when the unit cancels an application. Also, those students whose applications have been canceled and who are still interested in applying to a doctoral program will have to reapply online and pay another application fee.

Readmission after Discontinuation or Dismissal

Academic Dismissal or Discontinuation

Failure to maintain a GPA of 3.0 will result in academic warning, probation or dismissal according to University rules. A regularly admitted graduate student who has not been registered for three consecutive semesters (including summer semester) is deemed *discontinued* unless a leave of absence has been approved. A student who does not complete all requirements for a doctoral degree within the 9-year time limit is *discontinued*.

Readmission

Reinstatement under either of these circumstances requires a memo containing a detailed timeline for completion from the Graduate Program Director to UGS. The request for readmission may or may not be approved. A student who has been discontinued may apply for readmission at any time to the same or any other graduate program at FIU. A student who has been academically dismissed or discontinued from the doctoral program may apply for readmission to the same or any other graduate program at FIU under the regulations in force at the time of reapplication. A period of at least one calendar year must elapse after the date of dismissal for failure to maintain a 3.0 GPA before an application for readmission will be accepted for consideration. When the application is for readmission to the same program, admissions criteria shall include consideration of previous performance in that graduate program in addition to the normal admission requirements. Policies and program requirements at readmission will govern the student's program.



KEY POINT: A period of at least one calendar year must elapse after the date of academic dismissal before an application for readmission will be accepted for consideration.

Doctoral Student Status Definitions and Policies

The College of Education Doctoral Policies minimally must adhere to the University Graduate School (UGS) Policies. UGS Policies can be found at <http://gradschool.fiu.edu/policies-procedures.shtml>. Following are several of the most critical policies. In cases where the COE has additional policies, those are indicated.

Degree-seeking Students/Full-Time Status

These are students who have been fully admitted to a graduate program. Students can be full- or part-time degree seeking. Recipients of stipends from the University must be full-time students who have been admitted to the program. For full-time status, the University requires a minimum of 9 graduate credit hours for Fall and Spring terms and 6 graduate credit hours Summer term. The maximum number of hours for which a doctoral student may enroll in any given term, without special permission is 15. Approval by both the Major Professor and the Dean must be obtained for a heavier load.

Non-degree Seeking Students

These are students seeking admission to graduate degree programs who enroll prior to completing the requirements for admission. Enrollment as a non-degree-seeking student does not imply a right to future admission as a regular degree-seeking student. A maximum of 12 graduate level credit hours earned at FIU as a non-degree-seeking student may be counted toward a graduate degree provided they were earned within 9 years of the semester that the student graduates from the degree program.

Active Status

Active status entitles students to use the University's resources. Prior to advancing to candidacy status, doctoral programs require a minimum of 1 credit hour per semester to maintain active status in the program. Once the student advances to candidacy, a minimum of 3 credit hours per semester are required to maintain active status. For UGS forms to be acted upon (e.g., Petitions for Exception, D-forms), the student must have active status.

Leave of Absence

A student who finds it necessary to be excused from registration in a graduate degree program for three or more consecutive semesters (including Summer) must formally request a leave of absence. This means that if a student does not take classes a consecutive Fall to Spring or Spring to Fall, the student must request and receive an approved leave to remain in the program. The program director, Academic Dean, and the FIU Dean of University Graduate School approve leave. Leave will be granted only under exceptional circumstances.

When a student returns from a leave of absence, the Program of Study (POS) will be reviewed and the student's POS Committee and the student will make decisions mutually.

Change of Major or College

If a student wishes to change his or her major field of study or college after having been admitted to a graduate program, he or she must apply for admission to the new program by submitting a *Change of Graduate Degree Program* form. This form can be found at <http://gradschool.fiu.edu/student-forms.shtml>. To submit this form, students must be fully admitted and enrolled.

Maintaining Graduate Status/Academic Warning, Probation, Dismissal

To remain in good standing, students must maintain a GPA of 3.0 (on the 4.0 scale) for all courses attempted. No more than two grades of "C" in non-major courses, no grades of "C" in the major courses, and no "D's" or "F's" may be counted toward the Doctor of Education Ed.D. or Ph.D. degree programs. Students who do not maintain a 3.0 GPA will be placed on academic probation.

Repeat Course and Forgiveness Policy (discontinued Fall 2011)

A forgiveness policy is a way in which a student may repeat a limited number of courses to improve his or her grade point average by having only the grade received on the last repeat course used in its calculation.

Graduate students may repeat no more than two courses, with no course being repeated more than once. The course shall be repeated on a letter grade basis. Only the grade and credit received on the second attempt shall be used in computing the graduate GPA. The original grade will remain posted on the student's permanent academic record.

The FIU's Faculty Senate passed a resolution to discontinue the grade forgiveness policy for all graduate programs beginning the Fall 2011 semester. With this policy change, students may still repeat courses, but all graduate coursework, including repeats, will be calculated in a student's GPA.

Because the policy change went into effect in Fall 2011, the forgiveness policy cannot be applied to any graduate course taken in Fall 2011 or later. The forgiveness policy can be applied, however, to graduate courses taken prior to Fall 2011, but only if the "repeat" course was completed no later than summer 2012. In other words, students had one full academic year, Fall 2011, Spring 2012 and Summer 2012, to complete a repeat of courses already taken before the Fall 2011 semester.

Forgiveness Policy Discontinuation Timeline

Fall 2011 – Forgiveness policy cannot be applied to any graduate course taken in Fall 2011 or later.

Fall 2011 – Summer 2012 - Repeat course for coursework taken prior to Fall 2011 will have the forgiveness policy applied.

After Summer 2012 – Forgiveness policy was permanently discontinued.

Incomplete Grades

An incomplete grade is a temporary decision made at the discretion of the instructor for work not completed because of a serious interruption not caused by the student's own negligence. An incomplete grade is not to be assigned to dissertation or thesis credits to indicate that the work is in progress.

An incomplete grade must be made up within two semesters or it will automatically default to the grade that the student earned in the course. An extension of the two-semester deadline is at the discretion of the OGS and UGS Deans. Any changes of grade over 1-year old require a memo and the approval of The Provost. To complete the course, the student must consult with the instructor. The student in most cases will not register again for the course.

Dissertation Credit Enrollment Requirement

A student may enroll for dissertation credits only after (1) completing all Program of Study (POS) coursework, (2) passing the candidacy examination, and (3) formal advancement to candidacy as recognized by UGS. Any dissertation credits taken prior to advancement to candidacy will not be counted towards the credit minimum required for the degree.

Candidates should check with their Program Leaders concerning the appropriate number of semester hours of dissertation credits (based on individual program requirements). Once enrollment for dissertation credits is initiated, continuous registration of a minimum of three (3) semester hours each semester (Fall, Spring, and Summer) is required until the dissertation is completed and successfully defended. Non-compliance will result in the candidate being discontinued from the program and the university.

Re-admission to the program is required should lapses in dissertation study registration occur. Policies and procedures in effect at the time of re-application will govern the applicant's admission and graduation requirements. In cases where the lapse is for more than two semesters, faculty may choose to re-admit only after the student has retaken and successfully passed the major area candidacy examination.



KEY POINT: COE Dissertations should be completed within 5 years of being admitted to candidacy.

The maximum number of dissertation credits for which a student may register any given term (Fall, Spring, and Summer C) is 9 semester hours. The elapsed time between being admitted to candidacy and completing the dissertation requirement shall not exceed 5 years. Extensions will require support of the student's Dissertation Committee and the approval of the Dean of the College of Education, and the FIU Dean of University Graduate School. Petitions for exception may be filed to request consideration of the extension of the time limit. The form can be found at <http://gradschool.fiu.edu/StudentForms.html>. The Petition may or may not be approved.

Time Limits to Graduation

All requirements at the doctoral level, including the successful dissertation defense, must be completed within 9 years of first enrollment in the doctoral program. Courses taken as an FIU non-degree seeking student or those transferred (except for those in a degree program) must also fall within the 9-year limit. Petitions for exception may be filed to request consideration of inclusion of courses that fall outside of the time limit. The request to initiate a petition should be sent to petition@fiu.edu. The petition may or may not be approved.



KEY POINT: Courses taken as a non-degree seeking FIU student or those transferred (except for those in a completed degree program) must also fall within the 9-year limit.

Educational Support Services

A major advantage of a University is that unique resources and specialized departments and Colleges are available to other departments and Colleges within the University. The student should become aware of and take advantage of available resources and services in support of study for the doctoral degrees. Basic information concerning individual programs of study, and accommodation to career goals is available from Program faculty. The Office of Graduate Studies in the College of Education can provide many of the routine advisory services for the activities described in this manual. The University Graduate School provides services requiring the interpretation of university policy and procedures as well as financial aid and other opportunities for awards and support of graduate study.

Office of Graduate Studies (OGS)

The mission of the Office of Graduate Studies (OGS) is to facilitate graduate student progress to assure that the student meets all requirements at the appropriate time. The activities monitored are described in the steps that appear above the line at each phase described in “Part II: Procedures for Doctoral Study” of this *Manual*. The OGS will refer requests for materials and forms to the University and College websites. Although activities are facilitated by the OGS, it is essentially the student’s responsibility to know and meet doctoral requirements.

Part III:
Program Advisement, Program of Studies (POS) Committee and Procedures

Forms Required

- *Program-Specific POS Form:* (Each program has its own form. Forms are available from Major Professor). A sample form for the Ed.D. in Exceptional Student Education can be found from a link at this OGS website: <http://education.fiu.edu/ogs/forms.html>
- The Annual Student Evaluation and Mentoring Plan is due to OGS at the end of March. OGS then submits the Plan to UGS before the UGS deadline of May 30 of *every year* beginning with the first year the student is enrolled in a doctoral-degree granting program. The form can be found at <http://gradschool.fiu.edu/student->

Graduate Student Advisement

Each program provides initial advisement and appointments for advisement as needed. In addition, a Program of Studies (POS) Committee is developed soon after admission into the doctoral program.

Initial Advisement

Upon entry to a degree program, each student will be assigned an advisor by the department chair or program leader. Initial advisement will focus on identifying initial courses to take, requesting transfer credit, and discussing the make-up of the POS Committee. The advisor must be succeeded by a POS Committee, as defined below, as soon as possible, but no later than upon completion of the second semester of enrollment.

Annual Student Evaluation and Mentoring Plan

Once a doctoral student is admitted and enrolled in his/her doctoral program, the Annual Student Evaluation and Mentoring Plan must be completed and submitted to OGS by the end of March and OGS submits it to the Graduate School by May 30 of *every year* he/she is in the program. The form can be found at <http://gradschool.fiu.edu/student-forms.shtml>.

Program of Study (POS) Supervisory Committee

The primary function of a POS Committee is to oversee the preparation and completion of the program of study and development and evaluation of the candidacy examination. The student, guided by the Major Professor, will form a POS Committee no later than the second semester of enrollment in course work or upon completion of 12 semester hours of advised doctoral coursework. *The POS Committee usually consists of a minimum of three members, as required by the program or department. The POS Committee will consist of at least two program faculty and one faculty member from the cognate (minor) area, or instructional field.*

Program of Studies (POS) Form

Individual student programs must use a program of studies format, available from the major advisor. The POS form delineates specific program requirements. Admitted students may not register for more than 12 semester hours until a *Program of Studies* is on file. A sample POS Form can be found from a link at this OGS website: <http://education.fiu.edu/ogs/forms.html>. Common elements to be designated on all programs of studies include:

- Prior specific requirements
- Core requirements
- Program requirements
- Research and Statistics requirements
- Professional Studies requirements
- Dissertation requirements
- Course record: name, where/when taken, credits, grade
- Admission data
- Cover sheet with place for signatures

POS Procedures/Responsibilities

POS Student Procedures/Responsibilities

- Under the supervision of the Major Professor identify potential POS Committee
- Meet with potential POS Committee members and request their membership to the POS Committee.
- After POS Committee is formed, obtain POS form from Major Professor. Complete form, obtain signatures, submit to OGS and obtain Graduate Dean's signature.
- If transfer credits are included in POS, be sure that official transcripts are officially submitted to the Registrar's office from the transferring university.
- As requested by the Major Professor, coordinate scheduling of POS Committee meeting.

POS Major Professor Procedures/Responsibilities

- Work with student in identification of members of POS Committee.
- Guide the selection of the courses for the POS with feedback from the POS Committee.
- Review appropriateness of any transferred courses and submit memos to the Registrar's Office and/or inclusion forms as needed.
- Oversee the coordination of the Candidacy Exam process (see Section on Candidacy examinations for details.)

POS Committee Member Procedures/Responsibilities

- Work with student and Major Professor in the selection of the courses for the POS with feedback from the POS Committee.
- Actively participate in the Candidacy Exam process (see section on Candidacy examinations for details.)

POS Office of Graduate Studies (OGS) Procedures/Responsibilities

- Receive and keep in student’s file POS Form and review for compliance with UGS/COE policies.
- Provide signed copies of POS to POS Committee members.

COE Doctoral Degree Requirements

Although the College recognizes the need for individualized programs of study, all students must meet the following requirements:

- Programs will require a minimum of 75 semester hours beyond the Bachelor’s degree.
- Programs must consist of a minimum of 30 semester hours of course work beyond transfer credits, excluding dissertation.
- All students must pass the written and oral portions of the Candidacy Examination.
- All students must complete a minimum of number of dissertation credit hours as designed by their specific program’s semester hours of dissertation credit.

Research and Statistics Core Requirements

Research courses are taken to acquaint doctoral students with formal research methods and practices and, in particular, to prepare students for the conduct of research including dissertation research. Research courses should be taken sufficiently early so as to influence the choice of methods available for inquiry experiences and dissertation work. Courses below are listed in the order in which they should be enrolled. Doctoral Programs must include an approved sequence of graduate level research courses. Programs in the college require a minimum of 12 credit hours of core course work in research methodology for Ed.D. programs and 15 credit hours for the Ph.D. Additional requirements or electives may be required for some programs. Students should check with Program Leaders concerning specific research requirements. See Table below.

Typical Ed.D. Doctoral Programs Research Courses	Ph.D. Doctoral Program Research Courses
<p><u>Ed.D. Required Research Courses</u></p> <ul style="list-style-type: none"> • EDF 5481: Analysis/Application of Educational Research* • EDF 6472: Introduction to Data Analysis in Educational Research • EDF 6486 : Advanced Data Analysis in Quantitative Educational Research 	<p><u>Ph.D. Required Research Courses</u></p> <ul style="list-style-type: none"> • EDF 5481: Analysis/Application of Educational Research* • EDF 6472: Introduction to Data Analysis in Educational Research • EDF 6481: Educational Research Methodology • EDF 6486: Advanced Data Analysis in Quantitative Educational Research • EDF 6475: Qualitative Foundations of Educational Research
<p><u>Ed.D. Electives (must take one of the following)</u></p> <ul style="list-style-type: none"> • EDF 6475: Qualitative Foundations of Educational Research 	<p><u>Ph.D. Electives (must take one of the following)</u></p> <ul style="list-style-type: none"> • EDF 7403: Data Analysis in Multivariate Educational Research

<ul style="list-style-type: none"> • EDF 7403: Data Analysis in Multivariate Educational Research <p><i>Optional Additional Electives</i></p> <ul style="list-style-type: none"> • EDP 7058: Behavioral Intervention Research and Evaluation in Education • EDF 6476: Advanced Qualitative Methods in Educational Research 	<ul style="list-style-type: none"> • EDF 6476: Advanced Qualitative Methods in Educational Research <p><i>Optional Additional Electives</i></p> <ul style="list-style-type: none"> • EDP 7058: Behavioral Intervention Research and Evaluation in Education • EDF 7442: Instrument Construction for Research and Evaluation • EDF 7483: Seminar in Mixed Methodology
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* This course or an equivalent is frequently transferred in from an educational master's degree program.

Foundations: Professional Studies Requirement

Students in most (but not all) doctoral programs are required to complete 6 semester hours (two courses) of course work comprising the Professional Studies core during the first 24 credits of doctoral study (consult the University bulletin for course descriptions). Students should see Major Professor to determine if these courses are required. These courses are:

- EDP 7057: Educational Psychology: Advanced Applications
- EDF 7937: Advanced Topics in Education

Cognate: Minor Area

Most programs require 15 to 18 credits of course work in a cognate/minor area. This area is comprised of course work complementing, closely related to and supportive of the student's area of specialization. This course work must be taken as part of a systematic plan agreed to by the student and the POS Committee.

Other Doctoral Program Requirements

All students have doctoral program requirements specific to their programs. This information can be found in the Catalog and/or from the Program Leaders. Each program area has specified courses in foundations, substantive core perspectives, or other areas outside the major and minor, which are required for breadth. This category may also include courses needed to meet the doctoral program requirement for credit hours outside of the minor program area.

Submission of the POS Form

The developed and completed *Program of Studies* form, approved by the Department Chair and POS Committee is to be submitted to the Office of Graduate Studies (OGS). The POS Committee and student are responsible parties for the submission of the form, which must be accomplished no later than the second semester of enrollment in the doctoral program subsequent to admission.

The POS is to be approved by the Associate Dean of Graduate Studies. It will have been deemed completed and accepted upon receipt with all required signatures including the Associate Dean's.

Part IV
Doctoral Candidacy Examination

Forms Required

- *Form A: Request to Take the Doctoral Candidacy Examination* (This is a COE-OGS form and is available on the OGS website, <http://education.fiu.edu/ogs/forms.html>)
- *Program of Study Form: See Individual Program Leaders*
- *Form D-1: Appointment of Dissertation Committee* (<http://gradschool.fiu.edu/student-forms.shtml>)
- *Form D-2: Program for Doctoral Degree and Application for Candidacy* (<http://gradschool.fiu.edu/student-forms.shtml>)

General Information

- Each College of Education (COE) Doctoral Program incorporates a form of candidacy examination to mark the semester of the completion of coursework and a readiness to take on the dissertation demands.
- Successful completion indicates that, in the judgment of the faculty, the doctoral student is deemed capable or “qualified” to complete the dissertation. As such, a student who passes his/her doctoral candidacy examination is designated as *doctoral candidate* with the opportunity to begin doctoral dissertation research.
- Doctoral students should work closely with their Program of Study (POS) Major Professor and Committee members to assure procedural fidelity.
- All courses on POS must be completed by the end of the semester when the doctoral student takes his/her exam.
- **UGS will process examination forms only when students are registered for courses. Subsequently, students should register for at least 1 credit during the semester of the candidacy examination.** If they do not, the forms will need to be processed immediately after they first register for dissertation credits. The D-2 will need to be approved or the student will need to drop the dissertation credits.
- Doctoral students will need to have a Taskstream account to upload their candidacy exam. The link to set up the account is <https://www.taskstream.com/pub/>.

College of Education Doctoral Candidacy Examination Development

- The doctoral student’s Major Professor is responsible for the coordination of the Doctoral Candidacy Examination procedures in collaboration with the Program of Study (POS) Committee.
- The Major Professor and the POS Committee develop the Doctoral Candidacy Examination, with regard for the doctoral student’s POS and procedures in accordance with the operational policies of the University, COE and Department. Student guidance for the preparation for the Doctoral Candidacy Examination varies based on faculty and student preference and the type of examination to be taken.

- Additionally, the POS Committee will be responsible for reading and evaluating the candidacy examination consistent with the operational policies of the University, the COE, and the Department in which the major field of study is located.
- **The Candidacy exam is part of the COE Doctoral Programs Assessment System, and as such, must be uploaded and evaluated in Taskstream, the COE electronic assessment system.**

Eligibility for Taking the Doctoral Candidacy Examination

To be eligible for the Doctoral Candidacy Examination, the following criteria must be met:

- The student has achieved full admission status.
- The student is in good academic standing (minimum GPA 3.0) as defined in UGS Graduate Policies and Procedures <http://gradschool.fiu.edu/policies-procedures.shtml>
- The student is currently enrolled in, and is completing all coursework, including incompletes.
- An approved Program of Studies is on file with the COE Office of Graduate Studies
- The POS Committee Chairperson certifies that the student is capable of completing all required course work for the degree by the end of the semester in which the Doctoral Candidacy Examination is administered.
- *Form A: Request to Take the Doctoral Candidacy Examination* must be submitted and approved.
- *Form D-1: Appointment of Dissertation Committee* must be submitted and approved by the end of the semester that the examination is taken.

Request for Doctoral Candidacy Examination

- The COE Candidacy Examinations will be scheduled three times annually, once in the Fall, Spring, and Summer semesters.
- Each year's examination dates (all 3 exams) are announced annually (late Summer or early Fall) by the OGS office via COE listserv and are placed on the OGS website http://education.fiu.edu/ogs/candidacy_exams.html . All eligibility requirements must be met to submit a request for the examination.
- The formal application for the Candidacy Examination begins with the student's Major Professor. *A Form A: Request to Take the Doctoral Candidacy Examination* must be submitted approximately 6 weeks prior to the date the Candidacy Examination is administered. Due date for submission of the Form A will be made available at the OGS office and the website http://education.fiu.edu/ogs/candidacy_exams.html.

Doctoral Candidacy Examinations Formats

The COE offers three options for doctoral qualifying examinations. Individual programs and Major Professors will determine which of the three options are available to a doctoral student. Options vary within COE doctoral programs.

The decision regarding the format of the candidacy examination format should be made early in the student's program, before completion of course work, as designated within the approved program of study. The election of this option should be made no later than the semester prior to the examination semester so that a student has sufficient time to prepare.

The three doctoral candidacy examination options (described in more detail later in this section) are:

- **Option 1: Two-day, On-site Doctoral Candidacy Examination with Oral Defense**
- **Option 2: Extended Time Off-site Examination Doctoral Candidacy Examination with Oral Defense**
- **Option 3: Critical Analysis of the Literature Examination Paper**

Doctoral Candidacy Examination: Orals

- The primary purpose of the oral examination is for the POS Committee to review the written qualifying examination, to request elaboration or clarification of any points made in the answers, and to further examine the student on related areas.
- The oral examination is to be administered **within one month** following the review and acceptance of the written examination by the POS Committee. The specific details and procedures to be followed for the oral examination may consist of any one or combination of the following: (a) an oral presentation of the paper by the student, (b) interactive student and Committee discussion of the topic, or (c) discussion of implications for improving practice, implementing change techniques, conducting research, or, bridging research and practice. The oral examination may be up to two hours in duration. Barring extenuating circumstances, all Committee members must be present and the student must successfully pass the oral examination to complete the assessment process. All oral examinations shall be held at the time and place designated by the POS Committee.

Option 1

Two-day, On-site Doctoral Candidacy Examination with Oral Defense

The on-site examination is taken on a computer and scheduled in Ziff Education Building. **This exam lasts two days, typically with one-or-two, 3-hour sessions each day, totaling 9 to 12 hours of examination time.** The examination typically consists of essay questions addressing critical program components. Individual doctoral programs have specific guidelines as to their candidacy examination coverage requirements. In addition, individual student examinations may differ based on POS and research interests. Subsequently, it is critical that the doctoral student work closely with his/her Major Professor. The student's Major Professor is responsible for guiding the student in the preparation for this exam.

On-site Doctoral Candidacy Examination: Orals

The primary purpose of this examination is for the POS Committee to review the written qualifying examination, to request elaboration or clarification of any points made in the answers, and to examine the student on related areas.

The oral examination is to be administered **within one month** following the review and acceptance of the written examination by the POS Committee. The specific details and procedures to be followed for the oral examination may consist of any one or combination of the following: (a) an oral presentation of the paper by the student, (b) interactive student and Committee discussion of the topic, or (c) discussion of implications for improving practice, implementing change techniques, conducting research, or bridging research and practice. The oral examination may be up to two hours in duration. Barring extenuating circumstances, all Committee members must be present and the student must successfully pass the oral examination to complete the assessment process. All oral examinations shall be held at the time and place designated by the POS Committee.

Form D-2: Program for Doctoral Degree and Application for Candidacy Application for candidacy filled out after successful Oral Defense

Responsibilities/Procedures for On-site Examination

On-Site Student Responsibilities/Procedures

- Submit *Form A: Request to Take the Doctoral Candidacy Examination* to OGS along with required documentation (unofficial transcripts, POS). Student must make certain that courses on the POS appear on transcripts and correspond with the catalog. If course substitutions occur, memos from Major Professor must be submitted along with *Form A: Request to Take the Doctoral Candidacy Examination*.
- Submit *Form D-1: Appointment of Dissertation Committee*. The Dissertation Committee must be identified prior to taking the examination. The Dissertation Committee may or may not be the same as the POS Committee.
- Prepare for Examination: With guidance from Major Professor, the doctoral student is responsible for preparing for examination.
- Follow Procedures on the examination days including the following:
 - The two-day, on-site examinations will be held in Ziff Education Building. The examination time blocks will be from 9:00 am-12:00 pm and 1:00 pm-4:00 pm. A lunch break will be from 12:00pm to 1:00pm. It is the student's responsibility to adhere to these times.
 - Paper copies of examination question(s) will be given to each student at the beginning of each time block as requested by the Major Professor.
 - The student is responsible for typing examination responses and electronically saving the document.
- Prepare *Form D-2: Program for Doctoral Degree and Application for Candidacy* and bring to oral defense for signatures.
- After oral defense, compile into one document, the examination questions and responses and upload to Taskstream, the COE Electronic Assessment System.

On-Site Major Professor Responsibilities/Procedures

- As needed, prepare course change memos to accompany Form A. Any courses in a student's POS that differ from those in the official catalog require a memo indicating the differences.

- Prepare examination questions with support from POS Committee.
- Guide student in examination preparation.
- Submit typed exam questions to OGS one week prior to examination. A paper and/or digital copy of the exam questions are to be submitted to OGS. If paper copies are submitted, the questions are to be in individual envelopes indicating day/time of that particular question in an envelope. For example, for a 9-hour exam (3, 3-hour time blocks), there should be three envelopes. Each envelope will have the question in it for a particular time period (e.g., Thursday June 9, 9 am-12 pm). The appropriate time period should be indicated on the envelope. If submitted electronically only, the Major Professor needs to clearly inform OGS staff of the day/time of each question.
- Evaluate the written examination and conduct oral defense. The evaluation must include an online evaluation using the 3-point rubric system on the COE's electronic Taskstream system.

On-Site POS Committee Member Responsibilities/Procedures

- Assist Major Professor in the preparation of examination questions.
- Guide student in examination preparation.
- If responsible for question development, digitally submit exam questions to Major Professor when requested, but minimally no less than one week prior to the requirement for Major Professor to submit the examination.
- Evaluate the written examination and participate in oral defense. The evaluation must include an online evaluation using the 3-point rubric system on the COE's electronic Taskstream system. As requested, serve as an online Taskstream panel reviewer.

On-Site OGS Responsibilities/Procedures

- Schedule the On-site Comprehensive Examination: Announce examination dates, times and reserve appropriate room(s) and equipment.
- Receive and Process *Form A: Request to Take the Doctoral Candidacy Examination* to OGS along with required documentation (unofficial transcripts, POS). Review of POS, transcripts and course catalog to determine if they are comparable. Submit to UGS.
- Receive and Process *Form D-1: Appointment of Dissertation Committee*. Submit to UGS.
- Proctor Examination: Distribute questions and proctor the examination.
- At the end of the examination, make copies of the student's responses along with the questions and give to Major Professor and POS Committee Members. This is to be done digitally. If Major Professor and/or faculty member(s) want a paper copy, this will be provided also.
- Work with Major Professor, POS Committee and student to schedule the oral defense.
- Submit signed *Form D-2: Program for Doctoral Degree and Application for Candidacy* to UGS.

Option 2

Extended Time Off-site Doctoral Candidacy Examination with Oral Defense

The extended time off-site examination will consist of a maximum of 2 weeks of writing. The extended time examination will be in essay format and will generally include one question with

sub-questions centered on one topic. Generally, the student, in interaction with Committee members, will be given some latitude in choosing the areas from which questions will be developed. The coursework taken as a part of the doctoral studies also will be used as a guide in choosing areas appropriate for the development of questions. The OGS will coordinate the arrangements for the extended time off-site examination. The completed off-site examination must be submitted to OGS by 4:00 pm of the last day that the on-site candidacy examination is scheduled. The dates/times will be posted.

Extended Time Off-site Doctoral Candidacy Examination: Orals

The primary purpose of this examination is for the POS Committee to review the written qualifying examination, to request elaboration or clarification of any points made in the answers, and to examine the student on related areas.

The oral examination is to be administered within one month following the review and acceptance of the written examination by the POS Committee. The specific details and procedures to be followed for the oral examination may consist of any one or combination of the following: (a) an oral presentation of the paper by the student, (b) interactive student and Committee discussion of the topic, or (c) discussion of implications for improving practice, implementing change techniques, conducting research, or bridging research and practice. The oral examination may be up to two hours in duration. Barring extenuating circumstances, all Committee members must be present and the student must successfully pass the oral examination to complete the assessment process. All oral examinations shall be held at the time and place designated by the POS Committee.

Form D-2: Program for Doctoral Degree and Application for Candidacy Application for candidacy filled out after successful oral defense

Responsibilities/Procedures for Extended Time Off-site Examination

Off-site Student Responsibilities/Procedures

- Submit *Form A: Request to Take the Doctoral Candidacy Examination* to OGS along with required documentation (unofficial transcripts, POS). Student should make certain that courses on POS appear on transcripts and correspond with catalog. If course substitutions occur, memos from Major Professor must be submitted along with Form A.
- Submit *Form D-1: Appointment of Dissertation Committee*. The Dissertation Committee must be identified prior to taking the examination. The Dissertation Committee may or may not be the same as the POS Committee.
- Prepare for Examination and Oral Defense: With guidance from the Major Professor, the doctoral student is responsible for preparing for the examination.
- Work on and complete examination off campus.
- Submit typed and digital copy of questions and responses to OGS by due date/time.
- Prepare *Form D-2: Program for Doctoral Degree and Application for Candidacy* and bring to oral defense for signatures. Submit to OGS.
- After oral defense, compile into a single document the examination questions and responses and upload to Taskstream, the COE Electronic Assessment System.

Off-site Major Professor Responsibilities/Procedures

- As needed, prepare course change memos to accompany Form A. Any courses in a student's POS that differ from those in the official catalog require a memo indicating the differences.
- Prepare examination questions with support from POS Committee.
- Guide student in examination preparation.
- Submit typed exam questions digitally and paper (paper is optional) to OGS one week prior to beginning of two-week examination period.
- Review of written examination and conduct oral defense. Evaluate the written examination and conduct oral defense. The evaluation must include an online evaluation using the 3-point rubric system on the COE's electronic Taskstream system.

Off-site POS Committee Member Responsibilities/Procedures

- Assist Major Professor in the preparation of examination questions.
- Guide student in examination preparation.
- If responsible for question development, digitally submit exam questions to Major Professor when requested, but minimally no more than one week prior to examination.
- Evaluate the written examination and conduct oral defense. The evaluation must include an online evaluation using the 3-point rubric system on the COE's electronic Taskstream system. As requested, serve as an online Taskstream panel reviewer.

Off-site OGS Responsibilities/Procedures

- Schedule and post the Off-site comprehensive examination dates: Announce dates and give examination questions to student.
- Receive and Process *Form A: Request to Take the Doctoral Candidacy Examination* to OGS along with required documentation (unofficial transcripts, POS). Review of POS, transcripts and course catalog for correspondence. Submit to UGS.
- Receive and Process *Form D-1: Appointment of Dissertation Committee*. Submit to UGS.
- Receive and copy examination questions and provide to student on due date.
- At the end of the two-week examination, collect the student's response and make copies along with the questions and give to Major Professor and POS Committee members or send only digitally if preferred by faculty member. If Major Professor and/or faculty member(s) want a paper copy, this will be provided also.
- Work with Major Professor, POS Committee and student to schedule the oral defense.
- Upon passing the examination, submit *Form D-2: Program for Doctoral Degree and Application for Candidacy* to UGS.

Option 3

Critical Analysis of the Literature Examination Paper

The Critical Analysis of the Literature Examination Paper typically consists of a literature review centered on an appropriate dissertation question. The paper would frame this question, provide a critical review of the relevant research literature, and provide a rationale for researching this topic. The goal at this stage of the process is for the student to demonstrate content expertise

(depth) in a researchable area. The precise topic of the paper is to be negotiated by the student and her/his POS Committee Chair following recommended procedures.

The Critical Analysis of the Literature Paper process should occur approximately over the first two-thirds of the examination semester. The Examination paper should be of high quality with its contents suitable for eventual publication. The Examination Paper should be approximately 30 pages in length, double-spaced, 12 point font. Development of the paper may be integrated within a “capstone” course in the final semester of coursework.

The paper should be thoroughly edited and its style must follow the latest edition of APA guidelines. The paper should demonstrate a student’s:

- a. In-depth understanding of one or more aspects of core concepts of the potential dissertation topic.
- b. The student’s ability to integrate his or her understanding of one or more aspects of the potential dissertation topic to a critical examination of his/her practice.
- c. Knowledge of the research implications of the student’s concept of the dissertation topic.
- d. In-depth understanding of the literature that addresses certain aspect(s) of the dissertation topic, knowledge of the broader area of study and practice in related to the dissertation topic. The paper should be written as a *critical* review of the literature, a position paper that goes beyond summarizing to critiquing the existing ideas and research in the field. Areas to be addressed might include context, the research problem, a method analysis, and application to the student’s area of research interest.
- e. Once an acceptable paper has been completed, the Dissertation Committee members create a set of questions that are oriented towards establishing the student’s mastery of the curriculum, such as relating the proposed topic to other areas in the major, research methodology, educational foundations, or the cognate (breadth). For example, a question might ask the student to contrast a qualitative design versus a quantitative design of the proposed study, place the study in some social or historical context, or point out where parallel questions have been asked in another discipline.



KEY POINT: Based on the Examination Paper, the Committee will develop 3-5 questions for the student to further refine and answer in one of the two formats approved by OGS (Two-day On-site Examination or Extended Time Off-site Examination). The format/administration of the examination will follow OGS requirements.

Oral Defense of Written Examination Questions (if deemed necessary) and Final Revision of Examination Paper (required). If the Committee considers it necessary, the student will provide an oral defense and the final revision of the paper to the Committee.

Responsibilities/Procedures for Critical Analysis of the Literature Examination Paper

Critical Analysis of the Literature Examination Student Responsibilities/Procedures

- Submit *Form A: Request to Take the Doctoral Candidacy Examination* to OGS along with required documentation (unofficial transcripts, POS). Student should make certain that courses on POS appear on transcripts and correspond with catalog. If course substitutions occur, memos from Major Professor must be submitted along with Form A.

- Submit *Form D-1: Appointment of Dissertation Committee*. The Dissertation Committee must be identified prior to taking the examination. The Dissertation Committee may or may not be the same as the POS Committee.
- Develop Critical Analysis Paper and prepare for oral defense (if required): With guidance from Major Professor, the doctoral student is responsible for preparing for examination.
- Prepare responses to Off-site questions or participate in on-site exam as required by Major Professor, following all procedures outlined for those types of exams.
- Submit typed and digital copy of paper to OGS by due date. Follow submission procedures for Off-site or On-site examination, depending on the type selected.
- Prepare *Form D-2: Program for Doctoral Degree and Application for Candidacy* and obtain signatures at oral defense of literature examination (if one is planned) or from POS member as directed by Major Professor. Submit to OGS.
- Upload Critical Analysis Paper to Taskstream either after oral defense (if held) or when deemed appropriate by Major Professor

Critical Analysis of the Literature Examination Major Professor Responsibilities/Procedures

- Preparation of course-change memo(s) to accompany Form A, if needed. Any courses in a student's POS that differ from those in the official catalog require a memo indicating the differences.
- Determine nature of Literature Review Paper, working with POS Committee.
- Guide student in preparation of Literature Examination Paper working with POS Committee.
- Evaluate submitted Literature Review Paper and provide feedback to student either through oral defense or other prescribed means. Evaluate the written examination and conduct oral defense as required. The evaluation must include an online evaluation using the 3-point rubric system on the COE's electronic Taskstream system.
- Follow Major Professor procedures for Extended Off-site Exam or On-site Exam, depending on the type of examination that will be included with the Critical Analysis Paper.

Critical Analysis of the Literature Examination POS Committee Member Responsibilities/Procedures

- Assist Major Professor in the guidance of student in development of the paper.
- Evaluate the paper and conduct oral defense, as required. The evaluation must include an online evaluation using the 3-point rubric system on the COE's electronic Taskstream system. As requested, serve as an online Taskstream panel reviewer.
- Assist Major Professor in determining whether or not an oral defense is required.
- Follow Committee Member procedures for Extended Off-site Exam or On-site Exam, depending on the type of examination that will be included with the Critical Analysis Paper.

Critical Analysis of the Literature Examination OGS Responsibilities/Procedures

- Schedule and post the Off-site Comprehensive Examination dates: Announce dates and give examination questions to student.

- Receive and Process *Form A: Request to Take the Doctoral Candidacy Examination* to OGS along with required documentation (unofficial transcripts, POS). Review of POS, transcripts and course catalog for correspondence. Submit to UGS.
- Receive and Process *Form D-1: Appointment of Dissertation Committee* Submit to UGS.
- Receive and copy on- or off-site examination questions and provide to student on due date.
- At the due date, collect the student's paper and make copies to give to Major Professor and POS Committee members. This is to be done digitally. If Major Professor and/or faculty member(s) want a paper copy this will be provided also.
- Work with Major Professor, POS Committee and student to schedule the oral defense (if required).
- Upon passing the examination, submit *Form D-2: Program for Doctoral Degree and Application for Candidacy* to UGS.



KEY POINT: If On-site Examination is selected for Critical Analysis Exam, OGS will follow those procedures.

Evaluation of Candidacy Examinations

Students will be informed by the Major Professor of the results of their performance on the written and oral examination prior to the end of the semester in which the examinations are taken. With on-and off-site examinations, this occurs at the oral defense. Performance will be judged as *pass*, *conditional pass*, or *fail*. With the Critical Analysis of Literature Review, if no oral-defense is held, the student is notified in a meeting with the Major Professor. A majority vote by the POS Committee determines the *pass*, *conditional pass*, or *fail* on the examination. Achievement of a grade of "pass" on the Candidacy Examination is a prerequisite condition for progression to Candidacy status.

In addition, as the Candidacy Examination is part of the COE Doctoral Programs Assessment System, it must be evaluated using the 3-part rubric in Taskstream, the COE electronic assessment system. A *failed* Candidacy Examination would score an "unacceptable" on the Taskstream rubric. A *pass* score could score either an *acceptable* or *target* pending the quality of the performance (see rubrics for specific criteria for each rating). The Candidacy Examination artifact and evaluation rubrics for all 3 types of exams can be found at the following page of the OGS website (http://education.fiu.edu/ogs/candidacy_exams.html).

If the student passes his/her comprehensive examination, the Form D-2 is signed and submitted to OGS. Achievement of a grade of "conditional pass" on the examination may require written revisions, rewriting of responses to selected questions, parts of the paper, and/or redoing parts of the oral defense. When the assigned conditions are met, the D-2 is signed and submitted to OGS.

In the event the student fails the written or oral defense she or he is allowed to retake the examination one more time according to UGS policy. UGS policy stipulates that if the student fails the candidacy examination the Committee, at its discretion, may provide for reexamination at a mutually satisfactory time, but no more than **one year** from the original date of the

examination. Passing the Candidacy Examination is requisite to continuing in the graduate program. Students who fail the Candidacy Examination twice will be dismissed from the graduate program.

Advancement to Candidacy Procedures

Candidacy Status

Candidacy status indicates that a doctoral student is ready to commence research leading to the writing of the dissertation. A student is admitted to candidacy upon successful completion of all required coursework and non-credit generating activities as designated on the POS, uploading of efolio artifacts (course and Candidacy Examination files), and passing the Candidacy Examination.

Permission to move to Candidacy status is reported by the Major Professor to the OGS, via *Form D-2: Program for Doctoral Degree and Application for Candidacy*.



KEY POINT: Be advised that if a Form D-2 has not been submitted and signed by the Dean of University Graduate School, students will not be permitted to register for dissertation credits. In addition, note that the student must be registered the semester in which UGS will review the Form D-2 (or any other forms.)

Forms Required (Note: These forms and corresponding documentation should have been submitted throughout the Candidacy Examination process. However, as they are required for advancement to candidacy, they are reviewed here):

1. *Program of Study Form: See Individual Program Leaders*
2. *Form D-2: Program for Doctoral Degree and Application for Candidacy*
(<http://gradschool.fiu.edu/student-forms.shtml>)

Advancement to Candidacy

The following criteria must be fulfilled in advancing doctoral students to "Candidacy for the Degree" status. Students are eligible for such advancement when they have:

- Filed the *Request to Take the Doctoral Candidacy Examination* form (Form A) with OGS.
- Filed an official *Program of Studies*, signed by all appropriate parties. Note that the courses on the POS must be on transcripts and correspond with catalog program description. If course substitutions occur, memos from Major Professor must be submitted along with the POS.
- Completed all courses on the official *Program of Studies* with the following record of performance: no grades of "D" or "F;" not more than two grades of "C" (no "C" grades in the major); and a minimum GPA of 3.00 on all course work.
- Successfully completed the candidacy examination in accordance with the requirements of the University, the College of Education, the department, and the specific program major.
- Examination is uploaded onto Taskstream and evaluated.

Part V

Dissertation Prospectus/Proposal and Defense Procedures

The College of Education (COE) requires students to submit a 3-chapter proposal consisting of Introduction, Literature Review, and Method sections or a 20 – 30 page prospectus for the alternative Collected Papers dissertation format. The prospectus contains a brief literature review, description of method, coherent statement of the overarching theme of the Collected Papers and a description of the intended publication outlets for two - four manuscripts. In addition, an abbreviated, 5-page proposal is required by the University Graduate School (UGS) along with a signed D-3 and additional Institutional Review Board (IRB) approval forms. An oral defense of the prospectus or 3-chapter proposal is required prior to submission of the 5-page proposal UGS approval. Finally, as the 5-page dissertation proposal is part of the COE Doctoral Program evaluation system, the 5-page dissertation proposal must be uploaded into Taskstream and evaluated using the 3-point scoring rubric. Doctoral students will need to have a Taskstream account to upload their 5-page proposal. The link to set up the account is <https://www.taskstream.com/pub/>

Forms Required

- **Form B: COE Authorization for Proposal Review:** (Form available in the OGS Office or online at <http://education.fiu.edu/ogs/forms.html>)
- **Form D-3: Doctoral Dissertation Proposal.** (Go to <http://gradschool.fiu.edu/student-forms.shtml>)
- **Online Paperless IRB Protocol Submission Process (Effective 01/02/13):** <http://research.fiu.edu/irb/index.html>

Steps to Submission of Dissertation Proposal or Prospectus and Defense

1. **Prospectus or Three Chapter Proposal Initial Preparation:** The student, Major Professor, and the Dissertation Research Committee work on the preparation of the three-chapter proposal or prospectus with assistance of the COE Office of Graduate Studies (OGS) Director(s), as the Major Professor deems appropriate. Procedures related to how this group works through the process vary based on preferences and needs of everyone involved. Ultimately, the Major Professor guides the process. Some Major Professors prefer Committee Members to work closely together throughout the entire proposal development process. Other Dissertation Chairpersons work closely with the student throughout much of the process, interspersing Committee Members feedback and support as needed and then including the Committee Members more extensively towards the end of the process.
2. **CITI (RCR) Training Modules and Certificate:** For the Graduate School and/or the University IRB, to conduct research, the student must participate in training to improve research safety. Students who conduct dissertation research must get certified in the CITI online training and Responsible Conduct of Research (RCR). The student is responsible for securing and keeping evidence of earning the necessary certification to be submitted with his

or her D-3 Form. This evidence is provided in the form of a completion certificate presented at the end of the modules. The student must print out the certificate.

Training: FIU provides the CITI Course in the Responsible Conduct of Research (RCR) designed to be used by institutions or organizations. The CITI Course RCR Training is required for all Doctoral students filing a D-3 form submission with the University Graduate School (UGS). Go to the IRB website at <http://research.fiu.edu/irb/index.html> and follow directions to secure this training. The direct link to this training is <http://www.citiprogram.org/>.

2. **Submission of Prospectus or Three-Chapter Proposal to OGS and Dissertation Committee:** The COE has a support and review process through OGS. Once the Major Professor and Committee deem the proposal/prospectus ready for OGS Director(s) review, the student submits the signed **Form B: Authorization for Proposal Review** and three chapters or full prospectus to OGS (ZEB 310) in paper and electronic form. The OGS Director puts the 3-chapter proposal or prospectus in queue for review which can be accessed from the OGS website. There is also a review of the proposal/prospectus by the Dissertation Committee Members. The Major Professor determines whether the Committee and OGS will conduct simultaneous reviews or if the Committee will review the proposal or prospectus prior to OGS or vice versa. Note: This decision is made on an individual student basis.
3. **OGS/Committee Initial Review/Feedback:** OGS Dissertation Coordinator will review the three chapters or prospectus and submit feedback digitally (in the form of a feedback memo) to the Major Professor and student. OGS may request a meeting with the student and Major Professor before submitting this written feedback. This written feedback will be submitted to the COE Associate Dean of Graduate Studies and put in the student's file. Further, the student and Major Professor will be provided feedback on the digital copy of the proposal submitted for review. At this time, the Major Professor will utilize the feedback as he/she deems appropriate.
4. **Three-Chapter Proposal/Prospectus Revision(s) OPTIONAL:** The Major Professor and the student will prepare a revised draft(s) with support of OGS and Committee Members, as he or she deems appropriate. This process may involve meetings and/or digital communications with OGS and several drafts. The Major Professor and Committee decide if and when the proposal is ready for defense. Feedback from the Dissertation Committee will also be incorporated in this decision. The Major Professor may determine that meeting(s) are required with Dissertation Committee.
5. **The Dissertation Proposal or Prospectus Defense Announcement:** Upon satisfactory completion of the proposal or prospectus as deemed by the Major Professor and the Committee, the dissertation proposal/prospectus defense is scheduled. The student prepares and submits to OGS digitally a one-page defense announcement. This is sent to OGS digitally. OGS reviews the announcement, provides feedback and changes are made as needed. Once approved, the Major Professor and student are contacted, and the defense is scheduled and may be held, after a minimum of 1-week publicity period. OGS coordinates the schedule of the defense and posts defense announcements on COE bulletin boards and online calendar. Additionally, OGS announces the defense in COE e-mail announcements.

6. **IRB Approval:** Once major components of proposal have been approved, the student and Major Professor (or Dissertation Committee member) apply for IRB approval online through the TOPAZ System. Additionally, necessary approval(s) from research site must be obtained. (Note: Necessary CITI (RCR) training modules are to be done earlier in the process. Also, IRB statements that will be part of the online submission should be completed as early as possible and should be completed prior to this step, if possible.) IRB guidelines, procedures and forms can be found at <http://research.fiu.edu/irb/index.html>. Current training requirements can be found directly at <http://research.fiu.edu/irb/pages/training-requirements.html>



KEY POINTS: It is important to note that the memo regarding the student's IRB approval is sent to the Major Professor or Committee Member who is the Principal Investigator. This individual will need to get a copy of the IRB approval to the student to submit with his/her D-3. The COE has IRB representatives who can help the student.

In addition, please note that effective January 2, 2013, IRB approval is obtained online through the TOPAZ System.

7. **The Dissertation Proposal/Prospectus Defense:** The student prepares a presentation for his/her dissertation proposal/Prospectus defense with the guidance of the Major Professor and defends the three chapters or prospectus at a public defense with the Committee and others from the public.
8. **Post-Defense Revision(s):** After the defense, the Major Professor and the student work to implement the suggestions of the Committee and/or others and prepare and submit four documents to OGS. *Document 1* is a final draft of the three-chapter proposal or prospectus. This draft should reflect any changes/adjustments to the pre-defense draft that are deemed necessary by the Major Professor and/or Committee members. *Document 2* is the IRB approval documentation with RCR certificate. *Document 3* is the signed D-3. *Document 4* is a five-page summary of the three-chapter proposal or prospectus to be reviewed by OGS before it is submitted to UGS.
9. **Five-Page Proposal Uploaded to Taskstream w/ Faculty Reviews Using Rubric:** The student uploads the OGS approved 5-page proposal to Taskstream. The Major Professor will use the COE Proposal Rubric to score the uploaded proposal. Moreover, one Committee Member will serve on the panel and score the proposal using the Proposal Rubric. The Proposal MUST be uploaded and scored prior to OGS signing and submitting the D-3 to UGS.
10. **Submission of D-3 w/ Documentation to OGS:** The student submits to OGS a signed D-3, the final three-chapter proposal or prospectus, and 5-page proposal summary to OGS along with IRB approval and certificate documentation. OGS will keep and file the three-chapter proposal or prospectus.

11. **OGS Submission of D-3, Five-Page Proposal with Documentation to UGS:** OGS submits the signed D-3, the five-page proposal summary, and the IRB approval memo with certification to UGS.
12. **UGS Approval/Data Collection Begins:** UGS provides final approval to begin the dissertation research to OGS. UGS notifies the student of final approval. Upon notification of UGS approval, data collection may now begin under guidance of Major Professor.

Dissertation Proposal and Prospectus Procedures/Responsibilities

Student Proposal and Prospectus Procedures/Responsibilities

- Under the supervision of the Dissertation Major Professor and Committee Members, develop and submit a 3-chapter proposal or prospectus, seek feedback, and implement the requested changes.
- Complete the CITI Responsible Conduct of Research (RCR) Training and earn the necessary certificate.
- Work with Major Professor to complete IRB approval or exemption forms for this dissertation research project. IRB approval information and forms can be found at <http://research.fiu.edu/irb/index.html>. Complete approval procedures for research site (e.g., MDCPS, BCPS, company) and begin process as appropriate. Note: In some cases you will need to have FIU IRB approval prior to getting research site approval.
- Submit proposal electronically and in paper form with Form B to Office of Graduate Studies (ZEB 310). Submit Form B and proposal at the same time.
- Upon notification of completion of OGS feedback memo, review electronic feedback with Major Professor and Committee Members, as needed. If Major Professor deems it appropriate, prepare a Response Memo and submit to OGS with revised proposal. This can be done as often as deemed necessary by the Major Professor.
- Upon Major Professor's approval to defend proposed project, prepare a one-page announcement of proposal defense and submit it electronically to OGS for review and approval at least one week before the defense date chosen by the Major Professor and Committee Members. Work with OGS to prepare final copy of the announcement.
- In addition, prepare a proposal presentation with copies of printed material and present in professional manner.
- After the defense, make any additional revisions as recommended by the Major Professor and Committee or by OGS (as deemed appropriate by the Major Professor) during the defense or OGS for the post-defense draft and resubmit the revised post-defense three-chapter proposal to OGS. Prepare a five-page summary of the proposal to be submitted to OGS for review and then to UGS along with signed D-3 form, IRB approval or exemption, and evidence of CITI (RCR) certification. Work with OGS to prepare final draft of the five-page proposal. Note: evidence of IRB approval and CITI (RCR) certifications must be submitted with Form D-3.
- Upload the OGS-approved, five-page proposal into Taskstream.

Major Professor Proposal and Prospectus Procedures/Responsibilities

- Provide feedback to student in a timely manner.

- Work with student on identifying the topic and development of a scholarly proposal.
- Work with student and Committee Members to develop the proposal either individually or as an entire Committee, as needed. Direct student to meet with Committee members as needed.
- Make student aware of forms, timelines, IRB requirements, and resource personnel.
- Provide approval through signature for student to submit the proposal by signing the Form B to OGS, and obtain feedback. Schedule meetings with student and OGS staff as needed.
- Work with student in revising the three chapters while seeking consulting help from Committee Members, as well as from OGS staff and other colleagues, if desired.
- Provide revised proposal to Committee Members for additional feedback prior to proposal defense and work with the student to implement Committee Members' suggestions.
- Work with student to develop a one-page proposal defense announcement to submit to OGS.
- Contact OGS to schedule a proposal defense session.
- Guide student through any required changes in the post-defense, three-chapter proposal.
- Guide student in the preparation of a five-page summary of the proposal to submit to OGS for review and then to University Graduate School.
- Work with the student to facilitate IRB approval.
- Notify student of IRB status when memo is received.
- Evaluate the five-page proposal in Taskstream.



KEY POINT: New IRB Principal Investigator Requirements (Effective 01/02/13)
Students will no longer be permitted to serve as Principal Investigators on IRB protocol submissions. For all new protocols and/or renewals, student researchers will need to be listed as Co-Investigators or Key Personnel. This includes dissertation research.

Committee Member Proposal and Prospectus Procedures/Responsibilities

- Individually and/or as a group, provide assistance to the Major Professor and the student during the entire process.
- Actively participate in developing or enhancing the overall quality of the proposal.
- Prior to the oral defense, provide feedback regarding the three chapters or prospectus and request changes, if needed. Follow-up prior to and/or at the defense to make sure the changes were implemented.
- Actively participate in the proposal defense.
- Based on the student's performance at the proposal/prospectus defense, make a decision as to whether the proposal/prospectus passes as is, passes with minor or major revisions, or does not pass.
- If changes are required at the defense, be available to help the Major Professor and the student implement requested proposal revisions. Review and provide feedback on post-defense three-chapter proposal or prospectus, as needed.
- Participate in the evaluation panel of the five-page proposal in Taskstream, as needed.

Office of Graduate Studies (OGS) Proposal and Prospectus Procedures/Responsibilities

- Provide assistance framing the research questions and preparing the proposal as requested by the Major Professor and/or the student.
- Disseminate information about forms, timelines, and resource people.
- Read and review the three-chapter proposal or prospectus when it is submitted and give integrated feedback to the Major Professor and student.
- Seek guidance from individuals with relevant expertise as appropriate to facilitate review.
- Be available for reciprocal clarification and consultation.
- When the Major Professor considers the proposal/prospectus ready (after a minimum of one OGS review), authorize the scheduling of the oral defense and post announcements electronically and on bulletin boards.
- Facilitate scheduling of meeting time and location for oral proposal defense, disseminate the oral defense proposal, and publicize the oral defense.
- Receive and review the five-page summary of the proposal that is to be submitted to UGS. Provide feedback to the student and Major Professor.
- Upon request of the Major Professor, review and provide feedback on the post-defense three-chapter proposal or prospectus.
- Submit the signed D-3, the IRB approval with evidence of RCR certification, and five-page summary of the proposal or prospectus to University Graduate School (UGS).

Part VI

Dissertation Procedures and Responsibilities

Typically, the COE requires doctoral students to submit a five-chapter dissertation consisting of Introduction, Literature Review, Method, Results/Findings, and Discussion sections. There are some differences in the number and titles of chapters. These differences are most often with qualitative research. In addition, the Collected Papers alternative format for dissertations calls for an introduction chapter, two – four manuscripts with a common theme, and a related conclusion chapter. The introduction chapter is the first part of the prospectus. One of the manuscripts must be an empirical study. One of the manuscripts must be submitted to a peer-review journal or considered for a chapter in a book prior to graduation. Although the Major Professor or a Committee Member may co-author any of the manuscripts, the doctoral candidate is the lead author on each manuscript.

In addition, a defense announcement is required and oral dissertation defense is required prior to final submission of the dissertation for approval to UGS. Finally, as the dissertation is part of the COE Doctoral Program evaluation system, the dissertation must be uploaded into Taskstream and evaluated using the 3-point scoring rubric. The Doctoral students will need to have a Taskstream account to upload their dissertation. The link to set up the account is <https://www.taskstream.com/pub/>.

Forms Required

UGS forms available at <http://gradschool.fiu.edu/student-forms.shtml>

- *Form D-5: Preliminary Approval of Dissertation and Request for Oral Defense*
- *Final Electronic Thesis or Dissertation (ETD) Approval Form*
- *Registration for Survey of Earned Doctorates (Ph.D. students only)*

College of Education form will be made available as appropriate

- *College of Education Doctoral Survey*

Steps to Conducting Dissertation Research, Writing and Revising the Dissertation, Initial Dissertation Draft Submission, Dissertation Oral Defense, and Final Submission of Dissertation

1. Conduct Dissertation Research: After dissertation proposal and all requests to conduct research are approved by UGS, the student conducts his/her dissertation research. Throughout the data collection, the Major Professor will likely conduct required meetings and/or other forms of communications. Committee members may be involved in the communications.

2. Writing and Revising the Dissertation: The Major Professor and the student will prepare a revised draft(s) with the support of OGS and Committee Members, as deemed appropriate. This process may involve meetings and/or digital communications with OGS and several drafts. The Major Professor, Committee, and OGS recommend to UGS that the dissertation is ready for defense.

3. Submitting Initial Dissertation Draft to OGS and Committee: When deemed appropriate by the Major Professor, paper and digital copies of the dissertation are submitted to OGS. In addition, paper and/or digital copies are submitted to the Committee for review, as requested by Committee members. The Major Professor can determine whether the OGS and Committee reviews occur simultaneously or at different times. Once the Committee approves the proposal, the signed D-5 form is submitted to OGS. A dissertation announcement is also developed and submitted during this time period. The UGS *Regulations for Electronic Dissertations and Theses Preparation Manual* is available at http://gradschool.fiu.edu/documents/Manual_Regulations.pdf

4. OGS Initial Review/Feedback:

- a. OGS will review the dissertation and contact the Major Professor and student when the dissertation review is completed via a Feedback Memo and comments tracked directly in the digital document.
- b. OGS will review the dissertation announcement and contact the Major Professor and student if any changes are needed.
- c. OGS will send a copy of the dissertation, announcement (digital), and the original D-5 to UGS for their approval.
- d. When the dissertation and announcement are approved for defense by UGS, the dissertation defense date/time/place is publicized by OGS.
 - i. OGS announces the defense on COE announcements.
 - ii. OGS puts announcements on bulletin boards throughout the college
 - iii. OGS announces the defense via FIU's Univmail system

5. The Dissertation Oral Defense: The student prepares a presentation for his/her dissertation proposal defense with the guidance of the Major Professor. He or she defends the dissertation at a public defense with Committee and others from the public.

6. Post Oral Defense Revision(s): After the dissertation oral defense, the Major Professor and the student work to make revisions as recommended by the Major Professor, the Committee and others as deemed appropriate. To the extent that the Major Professor requests, a follow-up review will be provided by OGS.

7. Submission of Final ETD Approval Form and supporting documents to OGS. With guidance and support from OGS, COE Doctoral students will submit their dissertations electronically to UGS. OGS staff will email detailed directions similar to those below. Briefly, the student submits the following:

- a. A Final ETD Approval Form signed by the Student, the Major Professor(s), Committee Members, Graduate Program Director or Department Chair, Dean of the

College: This certifies the dissertation is deemed ready for University Graduate School (UGS) review, approval, and electronic dissemination. This should be filed with UGS along with supporting documentation and dissertation by due date deadline. Form found at <http://gradschool.fiu.edu/student-forms.shtml>. Upon UGS approval, the form will be signed by the Dean of the University Graduate School.

The form includes a non-exclusive license giving FIU permission to archive and distribute the digital copy of the dissertation. It also includes a section that allows UGS to post the dissertation to ProQuest's ETD and subject databases (free service) and embargo options.

- b. A paper copy of a full version of your CV (this is different from the 2-page Vitae in the dissertation)
- c. A copyright release from publishers if any part of the dissertation has been published
- d. The completed digital copy of the dissertation.
- e. A completed signature page (page ii) with original signatures of the Committee Members is optional. This page will be included in the final published dissertation if printed copies are made. To see information about signature pages, go to http://gradschool.fiu.edu/documents/Manual_Regulations.pdf
- f. Survey of Earned Doctorates (for PhD students only) - This survey is completed as a UGS requirement upon submission of the dissertation and the Final ETD Approval Form. It is a questionnaire about the student's experiences in his/her doctoral programs. Form registration may be found at <https://sed.norc.org/doctorate/showRegister.do>
- g. COE Doctoral Graduate Survey- This survey is completed as an OGS requirement upon submission of the dissertation and the Final ETD Approval Form. It is a questionnaire about the student's experiences in his/her doctoral programs. The OGS Associate Dean will inform students as to when/how to find the survey.

8. OGS Submission of Final ETD Approval Form with Supporting Documentation to UGS: OGS submits the Final ETD Approval Form, and supporting documents (see #10) to UGS.

9. Uploading of Dissertation into Taskstream: The dissertation document is part of the COE Doctoral Assessment System. As such, it must be uploaded by the student and evaluated within this system using the 3-point rubric by the Major Professor and one member of the Committee who will serve as a panel reviewer.

10. UGS Approval: UGS reviews all dissertation materials. This is often done at the end of the semester even if they are submitted earlier in the semester. It is the student's responsibility to continue checking their FIU e-mail until they have received word that their dissertation needs additional changes or has been approved. It is the student's responsibility to make changes required by UGS following the submission of all of the materials by OGS.

Dissertation Procedures/Responsibilities

Student Dissertation Procedures/Responsibilities

- Under the supervision of the Dissertation Major Professor, conduct dissertation research.
- Under the supervision of the Dissertation Major Professor and Committee members, develop presentation as appropriate.
- Under the supervision of the Dissertation Major Professor and Committee members, develop and submit a complete dissertation, seek feedback, and implement the requested changes.
- Complete “IRB Project Completion Form”, closing out the data collection phase for this dissertation research project. IRB approval, management, and close out information can be found at <http://research.fiu.edu/irb/pages/managing-approval.html>. Complete study closure procedures for research site (e.g., MDCPS, BCPS).
- Submit dissertation and dissertation announcement electronically and in paper form to OGS along with D-5 to Office of Graduate Studies (ZEB 310).
- Upon notification of completion of initial review by OGS staff, receive electronic feedback. Also review feedback with Major Professor and Committee Members, as needed. Ongoing feedback may also be provided electronically and/or through further meetings. Make appropriate revisions.
- Upon UGS approval to defend dissertation, prepare a dissertation presentation with copies of printed material and present in professional manner. In general, the dissertation presentation should be no longer than 15-20 minutes, as directed by the Major Professor.
- After the defense, make any additional revisions as recommended by OGS or by the Committee during the defense for the post-defense draft and resubmit the dissertation. Bring to OGS the Final ETD Approval Form and supporting documents. Student will receive an email outlining all the documents that are needed.
- Upload dissertation document into Taskstream. This must be done prior to the end of the semester for evaluation. The Dean will sign the Final ETD Approval Form once the dissertation is uploaded and evaluated using the rubric by the Major Professor and a Committee Members who is serving on the evaluation panel.
- Upload final draft of dissertation to Digital Commons when directed to do so by UGS.

Major Professor Dissertation Procedures/Responsibilities

- Provide feedback to student in a timely manner.
- Work with student on the development of a scholarly dissertation.
- Work with student and Committee Members to develop the dissertation either individually or as an entire Committee, as needed. Direct student to meet with Committee Members as needed.
- Make student aware of forms, timelines, IRB requirements, and resource people.
- Provide approval through signature for student to submit the dissertation by signing the D-5 and Final ETD Approval Forms, as appropriate. Schedule meetings with student and OGS staff as needed.
- Work with student in revising the dissertation chapters while seeking consulting help from Committee Members and other colleagues, if desired.
- Provide revised dissertation to Committee Members’ for additional feedback prior to the

defense and work with the student to implement Committee Members' suggestions.

- Submit the revised dissertation with student and obtain authorization to schedule defense.
- Contact OGS to schedule a dissertation defense session.
- Guide student through any required changes in the post-defense dissertation.
- Work with the student to submit the "IRB Project Completion Form".
- Evaluate the uploaded dissertation and oral defense using the 3-point rubric in the Taskstream system.

Dissertation Committee Member Dissertation Procedures/Responsibilities

- Individually or as a group, provide assistance to the Major Professor and the student during the entire process.
- Actively participate in development or enhancement of the overall quality of the dissertation.
- Prior to the oral defense, provide feedback regarding the dissertation, and request changes, as needed. Follow-up prior to or at the defense to make sure the changes were implemented.
- Actively participate in the dissertation defense/exam.
- Based on the written dissertation and the student's performance at the defense, make a decision as to whether the dissertation passes as is, passes with minor or major revisions, or does not pass.
- If changes are required at the defense, be available to help the Major Professor and the student implement requested revisions. Review and provide feedback on post-defense dissertation, as needed.
- As requested, evaluate the uploaded dissertation and oral defense using the 3-point rubric in the Taskstream system.

Office of Graduate Studies (OGS) Dissertation Procedures/Responsibilities

- Provide assistance in preparing the dissertation as requested by the Major Professor and/or the student.
- Disseminate information about registration requirements, forms, timelines, and resource people.
- Read and review the dissertation and announcement when they are submitted and give feedback to the Major Professor and student.
- Seek guidance from individuals with relevant expertise as appropriate to facilitate review.
- Give integrated feedback to the Major Professor.
- Be available for reciprocal clarification and consultation.
- When the Major Professor and Committee consider the dissertation ready, submit the dissertation and announcement to UGS for approval of the oral defense.
- Facilitate scheduling of meeting time and location for oral defense.
- Submit the signed D-5, the dissertation announcement, and paper dissertation initial draft to University Graduate School (UGS).
- When UGS has approved the dissertation for oral defense, disseminate the oral defense proposal, and publicize the oral defense.
- Receive and review the documents that are to be submitted to UGS.
- Review and provide feedback on post-defense dissertation.

- Submit the signed D-5, the dissertation announcement, and paper dissertation initial draft to University Graduate School (UGS).
- Submit the Final ETD Approval Form and full version of CV, (and certificate of completion from Survey of Earned Doctorates from Ph.D. students only) to UGS
- Optional for students seeking to make bound paper copies of their dissertation, collect signature pages signed by the Major Professor and Committee Members for signatures of Deans of the University Graduate School and College of Education.

Awarding of Doctoral Degree

The University will confer the doctoral degree when the following minimum conditions have been met:

- Student has applied for graduation. There are strictly enforced deadlines to apply for graduation. These dates are posted in the academic calendar at <http://onestop.fiu.edu/current-students/index.html>. Students can begin to apply for graduation the semester prior to the planned graduation. Students submit graduation applications online. The graduation applications can be found on the self-service page of Panthersoft when students log in.
- Recommendation of the faculty of the degree program and college or school awarding the degree
- Certification by the academic dean that all requirements of the degree being sought have been completed
- Achievement of the grade requirements as indicated at OGS page <http://education.fiu.edu/ogs/faq.html#faq21>
- Achievement of the grade requirements established by the appropriate college or school for major and core courses
- Course sequences
- Conformance to program's residency requirement, if one exists, and time limits
- Satisfactory completion and defense of a doctoral dissertation
- Receipt by Digital Commons of an electronic copy of dissertation
- Uploading and evaluation of all required COE doctoral documents into Taskstream, the COE Electronic Assessment System (this is a COE requirement).

If for any reason the degree is not awarded, the candidate may reapply for graduation in a subsequent semester, which will require a minimum of 3-credits of enrollment. The Registrar must promptly notify the candidate and the college or school if graduation is not approved for any reason.