GRADUATE SCHOOL OF EDUCATION

Ph.D. Education:
Leadership in Education

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Ph.D. Education: Leadership in Education

**Overview**

The Leadership in Education Ph.D. at UMass Lowell provides students with an experience that is unique among Leadership Ph.D. programs offered by other universities in the region. At UMass Lowell, students will experience:

- Four specialization courses which provide the depth of understanding of the field of leadership, namely Leadership and School Reform, Transformative Leadership for Schools, Socio-cultural Contexts of Education, and Education Policy. Core research courses required of all doctoral students are enhanced in the Leadership Ph.D. option by additional seminars and research courses ensuring that their dissertation is of significance to the field.

- The benefits of a School of Education that is large enough to provide access to a diverse range of faculty expertise and small enough to ensure personalized attention. Students in the program meet with each other and all Leadership in Education faculty at regularly scheduled doctoral seminar meetings, ensuring the development of professional relationships with one another and with their professors. Most of our peer institutions are too large to facilitate such a collaborative network among faculty and students.

- Ready access to a wealth of regional resources for research and policy experiences. Lowell’s geographic location puts students within easy driving distance of urban, suburban, and rural communities of diverse makeup, as well as state government, and non-university research policy centers.

- Assessment at key stages of the student’s program that is performance-based, ensuring rigor, depth of understanding and relevance. En route to the dissertation, students must prepare and defend a portfolio that synthesizes their learning across several years of study and practice.

**Coursework**

All students enroll in a two part, foundation course for six credits. This year long course, Perspectives and Visions I (01.645) and Perspectives and Visions II (01.646), introduces students to educational history, philosophy, and psychology with a focus on original
research literature from seminal and contemporary scholars. All students also are required to enroll in four research methodology courses: Research Design (07.700), Quantitative Data Analysis (07.701), Qualitative Research Methods (07.704), and one additional research course.

Beyond the foundational course work, students specialize in twelve credits of core coursework in the field of leadership, six credits of electives, and twelve credits of advanced doctoral research course work. Passing a comprehensive and a qualifying examination and completing a dissertation are required before the Ph.D. is awarded.

**PROGRAM OUTCOMES**

Students who successfully complete the Ph.D. program in Leadership in Education will acquire a depth of knowledge of their field of specialization, research design, and a wide range of quantitative and qualitative methodologies. By engaging in ongoing research with faculty, students will develop the skills necessary to conduct rigorous original research. The learning outcomes are as follows.

**Knowledge Learning Outcomes – graduates will gain understanding of**
- the historical, philosophical, psychological and political influences on school reform;
- influence of contemporary federal policy on public education;
- key concepts in the field of Leadership;
- research design and methodology;
- ethical practices for research and evaluation.

**Skill Learning Outcomes – graduates will be able to**
- conduct well designed research projects to answer questions of relevance and importance to the field of leadership;
- employ appropriate quantitative and qualitative analyses;
- effectively communicate findings of original research to inform professional educators and policy-makers both orally and in writing;
- work collaboratively to arrive at comprehensive recommendations for the field of leadership.
ADMISSIONS

To qualify for admission to the Ph.D. all applicants must meet the following requirements:

- Admission statement which addresses the applicant’s purpose for embarking on advanced graduate study, research interests and aspirations for future employment.
- Earned master’s degree from an accredited institution. The most appropriate master's degree is the M.Ed.; however, other related master’s degrees will be considered if the candidate can demonstrate work experience or knowledge of public education policy and/or research. The master's degree must have been earned with a 3.0 GPA or better.
- Resume, which highlights the applicant’s education and experience relevant to the degree after completion of the bachelor's degree.
- Satisfactory GRE scores taken within the last five years.
- Satisfactory TOEFL scores taken within the last year for international applicants as appropriate.
- Three letters of recommendation which speak to the suitability of the applicant for advanced graduate work, work ethic and knowledge of the field of education and/or education research.
- Writing sample which demonstrates the applicant’s ability to present a cohesive, focused and persuasive response to an education issue of his or her choice.
- Interview on-campus or via a video-conferencing tool for those applicants seeking TA or RA-ships or for those whose application materials raise unanswered questions.

APPLICATION INFORMATION CAN BE FOUND AT HTTP://WWW.UML.EDU/GRAD

UNIVERSITY RULES AND PROCEDURES FOR DOCTORAL STUDY ARE FOUND IN THE GRADUATE CATALOG http://www.uml.edu/Catalog/Graduate
GUIDELINES FOR UML Ed.D. LEADERSHIP IN SCHOOLING STUDENTS WHO WISH TO TRANSITION TO THE PH.D. LEADERSHIP IN EDUCATION

Current students may complete their Ed.D. or may consider transitioning to the Ph.D. Those who seek to transition from the Ed.D. to the Ph.D., should do so after giving due consideration to the differences in the programs and their long-term goals.

- Students must have a cumulative GPA of 3.5 in their Ed.D. program
- Students must submit the COVER SHEET for admission found on the Graduate Admissions website (www.uml.edu/grad). They will not be charged a processing fee. In addition, they will upload a 2 page statement explaining their reasons for wishing to change program and outlining their research direction and long term goals. No other materials are required.
- The decision to allow the transition from the Ed.D. to the Ph.D. must be approved by the Dean and the Chair of the faculty, after consulting with program faculty.
- Students who transition to the Ph.D. must count the years spent in the Ed.D. as part of the eight year Ph.D. completion limit. Exceptions may be made on a case-by-case basis.

1) STUDENTS WHO HAVE NOT COMPLETED THEIR COURSE WORK AND WHO HAVE NOT COMPLETED THE PHASE I EVALUATION (PORTFOLIO) IN THE ED.D.

Students in this category will be required to complete all requirements for the Ph.D. program.

2) STUDENTS WHO HAVE PASSED THE PHASE I EVALUATION (PORTFOLIO) BUT HAVE NOT YET STARTED THE PHASE II QUALIFYING EXAMINATION IN THE ED.D.

The portfolio successfully completed for the Phase I Evaluation in the Ed.D. will also fulfill the Phase I Evaluation requirement for those admitted to the Ph.D. The student, however, must successfully complete the Ph.D. Phase II Evaluation – a Pilot Study, as well as additional Ph.D. coursework.

3) STUDENTS WHO HAVE TAKEN AND PASSED BOTH PHASE I AND PHASE II EVALUATIONS IN THE ED.D. AND HAVE ENTERED PHASE III - THE PROPOSAL

Students who are in the proposal phase are not advised to apply for transfer to the Ph.D. unless they are prepared to complete a pilot study, as well as required additional Ph.D. coursework.

PLEASE NOTE:
Students who are considering applying to Ph.D. Research and Evaluation in Education option, must seek the advice of faculty as the requirements for this degree differ considerably from the Leadership degree.
# Program of Study

## Ph.D. Education

60 credits beyond the Master’s Degree

Option: Leadership in Education

### FOUNDATIONS COURSES TAKEN BY ALL STUDENTS 6 Credits

<table>
<thead>
<tr>
<th>Course</th>
<th>Title</th>
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<tbody>
<tr>
<td>01.645</td>
<td>Perspectives and Visions I</td>
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<tr>
<td>01.646</td>
<td>Perspectives and Visions II</td>
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### RESEARCH COURSES 12 Credits

<table>
<thead>
<tr>
<th>Course</th>
<th>Title</th>
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<tbody>
<tr>
<td>07.700</td>
<td>Introduction to Research Design and Methods</td>
</tr>
<tr>
<td>07.701</td>
<td>Quantitative Data Analysis</td>
</tr>
<tr>
<td>07.704</td>
<td>Qualitative Research Methods</td>
</tr>
<tr>
<td>07.xxx</td>
<td>Additional research course in consultation with advisor</td>
</tr>
</tbody>
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### SPECIALIZATION COURSES 12 Credits

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<tr>
<th>Course</th>
<th>Title</th>
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<tbody>
<tr>
<td>05.650</td>
<td>Instructional leadership and School Reform</td>
</tr>
<tr>
<td>05.651</td>
<td>Transformative Leadership for Schools</td>
</tr>
<tr>
<td>01.636</td>
<td>Sociocultural Contexts of Education</td>
</tr>
<tr>
<td>05.653</td>
<td>Leadership and Education Policy</td>
</tr>
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### ELECTIVES 6 Credits

Six semester hours will be selected by the student with the advice and approval of the student’s faculty advisor to provide an appropriate specialization in a professional field.

### ADVANCED RESEARCH 12 Credits

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<tr>
<th>Course</th>
<th>Title</th>
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<tr>
<td>05.603</td>
<td>Advanced Research Phase I (3 cr)</td>
</tr>
<tr>
<td></td>
<td><strong>PHASE I EVALUATION - PORTFOLIO</strong></td>
</tr>
<tr>
<td>05.607</td>
<td>Advanced Research Phase II (3 cr)</td>
</tr>
<tr>
<td></td>
<td><strong>PHASE II EVALUATION - PILOT STUDY</strong></td>
</tr>
<tr>
<td>XX.XXX</td>
<td>Two additional research courses in consultation with advisor</td>
</tr>
</tbody>
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### DISSERTATION RESEARCH 12 Credits

- **PHASE III EVALUATION - PROPOSAL DEFENSE**
- **PHASE III EVALUATION – DISSERTATION DEFENSE**
TIME LIMIT TO COMPLETE THE PH.D.

Candidates for the Ph.D. degree have 8 years from the time of admission to complete the degree. A one year extension may be granted by the Dean upon receipt of an academic petition. Such an extension will only be allowed if the student has successfully defended his/her dissertation proposal. Further extension may only be granted by the university’s Graduate Policy and Academic Affairs Committee (GPAC).

EVALUATION PHASES

Evaluation of students’ progress, knowledge and skills occurs in three distinct phases.

Phase I – occurs after completion of the common foundation and research courses as well as the Leadership specialized core courses. Students prepare and orally defend a portfolio of work and reflective essays demonstrating their readiness for independent scholarship. Students must be registered in 05.603 Advanced Research Phase I

Phase II - students prepare, conduct, and defend a pilot study that anticipates a dissertation topic. Students must be registered in 05.703 Advanced Research Phase II. Successful completion of phase II admits the student to doctoral candidacy.

If a student fails either phase I or phase II, s/he may attempt the evaluation a second time. A second failure leads to automatic dismissal from the Ph.D. degree.

Upon completion of Phase II, the student is considered a Doctoral Candidate

Phase III, Dissertation Proposal - candidates prepare, conduct, and defend a dissertation proposal that builds on findings from the pilot study and represents original research of significance to the field of education leadership.

Phase III, Dissertation Defence - candidates prepare, conduct, and defend a dissertation.
**DISSERTATION RESEARCH**

Students are considered doctoral candidates once they have passed both phase I and phase II evaluations and have entered the dissertation research phase.

Doctoral candidates must:

- Complete a minimum of 12 dissertation credits.
- Select a dissertation chair person
- Identify an appropriate dissertation committee
- Complete appropriate forms in a timely manner
- Prepare a proposal and defend it orally
- Complete IRB requirements (as needed) after the proposal has been approved by all dissertation committee members at the proposal hearing.
- Complete a dissertation and defend it orally

**COMPOSITION OF THE COMMITTEE**

The chair should be from the candidate’s major field of specialization. A second committee member is also chosen from the candidate’s major program of study. A third member (faculty member at the GSE) may be selected from outside the major field of specialization. All Ph.D. committee faculty must be designated as Research Active, Productive or Intensive, or have equivalent research credentials.

In some instances, the student may wish to select a fourth member who offers particular expertise from another college at UMass Lowell or from another institution of higher education or research organization. That individual must hold appropriate research credentials as determined by the Dissertation Chair, the Faculty Chair, and the Dean of the Graduate School of Education.

If the student wishes to select a chair from the Graduate School of Education who has particular expertise in the main area under investigation, but is not aligned with the candidate’s field of specialization, approval must be obtained from the Faculty Chairperson of the Graduate School of Education in consultation with faculty in the area of specialization.
Once the student has obtained consent from the faculty members who will constitute the Dissertation Committee, the student should prepare and submit the "Dissertation Committee" form (available in the GSE Office). The student may not schedule a dissertation proposal hearing before the dissertation committee form has been submitted and approved by the department chair.

Changes in committee membership may only occur after the proposal hearing when the following steps are taken. First, the doctoral candidate meets with the committee members to discuss the desired change. If consensus cannot be obtained at that level, the student then meets with the Faculty Chairperson to discuss the desired change. If questions or issues are still unresolved, the Faculty Chair will appoint an ad hoc Dissertation Review Committee (DRC). The DRC is charged with approval or denial of the changes requested with explanation in writing from the doctoral candidate. The DRC may elect to require a personal meeting with the student and/or member of the original dissertation committee if further clarification is needed.

In some instances, it may be necessary for a faculty member to resign from a dissertation committee. In these cases, the faculty member must provide a written explanation to the candidate, the chair of the committee, the faculty chair and the dean. The candidate may then select another faculty member to replace that individual in accordance with the committee composition guidelines.

CONDUCTING RESEARCH (CONSULTANT POLICY)

The faculty assume that doctoral candidates are solely responsible for designing, researching and writing their own dissertations. Candidates must secure explicit and prior written approval of the nature and extend of any outside assistance they intend to receive, from their dissertation chair and the committee. This record is maintained in the candidates’ files until graduation.

Candidates writing dissertation should analyze their own data. They may engage someone to transcribe interviews or input data into a table, but they should run their own analyses and interpret the findings themselves. Consultants may code subsets of data for inter-rater
reliability, but data coding is the responsibility of the candidate. Copy editors may correct grammar and APA format, but write the test remains the responsibility of the candidate.

As part of the proposal, the candidate will submit a declaration describing what outside help will be used in the completion of the dissertation, including the role and tasks of consultants, and attesting to the fact that the dissertation represents the candidate’s own work.

**Plagiarism**

Plagiarism is defined as (i) direct quotation or word-for-word copying of all or part of the work of another without identification or acknowledgement of the quoted work; (ii) extensive use of acknowledged quotation from the work of others which is joined together by a few words or lines of one’s own text; and (iii) an unacknowledged abbreviated restatement of someone else’s analysis or conclusion, however skillfully paraphrased. All reported violations are handled in accordance with the University's established procedure described in the graduate catalog [http://www.uml.edu/Catalog/Graduate/Policies/Academic-Integrity.aspx](http://www.uml.edu/Catalog/Graduate/Policies/Academic-Integrity.aspx)

**Structure and Defense of the Proposal**

While the proposal does not necessarily have a fixed format, it must justify the intended study in terms of its value, validity, and feasibility. To that end, all proposals should:

- clearly state the main questions or themes that will guide the study
- link the guiding questions to a broader context of relevant theory and research
- describe and justify procedures that will be followed to address those questions
- present anticipated findings
- discuss the potential significance of the findings
- describe potential problems and steps that will be taken to complete the study successfully
- provide relevant appendices and references
STRUCTURE AND DEFENSE OF THE DISSERTATION

The dissertation builds from the proposal to include the data gathered, data analysis, findings, interpretation and recommendations for further study. The candidate must gain the approval of all committee members to move to the final oral defense of the dissertation. In accordance with university policy, the candidate may not receive more than one dissenting vote from members of the dissertation committee.

DISSERTATION REGISTRATION REQUIREMENTS

- Doctoral candidates must satisfactorily complete a minimum of 12 dissertation research credits.
- Doctoral candidates must be registered for 3* dissertation research credits in order to defend a proposal or dissertation. They may not defend either the proposal or dissertation while registered for Continued Matriculation.
- If the doctoral candidate requires the use of University resources to continue his or her dissertation, but has completed the required number of credits for dissertation research, he or she may sign up for 3, 6, or 9 credits of Continuing Graduate Research.
- Doctoral candidates who have completed all the requirements except the writing and defense of the dissertation and who do not need to use university resources (including faculty time) must register for Continued Matriculation (CM.601.201) and pay a fee each semester until they graduate.

*If the doctoral candidate has completed the required 12 credits of dissertation research, s/he may, with permission of the chair, register for 1 dissertation credit (course # 05.760) in order to defend the dissertation within the first two weeks of the semester. This 1 credit option is for candidates who will not continue to work with their dissertation chair or committee after the dissertation defense.

DISSERTATION PROGRESS

Doctoral candidates are expected to work closely with their dissertation chair and committee to develop a dissertation proposal. Students are expected to make progress during each semester in which they are registered for dissertation credit, and faculty are
required to assign a grade to indicate progress or unsatisfactory progress during a semester. Students who do not make progress on a regular basis are at jeopardy of not completing the dissertation within the eight year time limit. Any student who has not yet defended her or his proposal and who receives a grade of U for three consecutive semesters or receives 15 credits or more graded U shall be dismissed from the doctoral program.

**OTHER GRADUATION REQUIREMENTS**

- No doctoral student may graduate if his/her GPA is below 3.0
- No doctoral student may have more than two grades below B as part of the Ph.D. degree.

**DEGREE CLEARANCE REQUIREMENTS AND DISSERTATION BINDING**

1. During the semester in which the doctoral candidate intends to defend the dissertation, s/he must submit the INTENT TO GRADUATE FORM [http://www.uml.edu/docs/clearance_form_tcm18-3565.pdf](http://www.uml.edu/docs/clearance_form_tcm18-3565.pdf) by the required date specified on the graduate calendar. *This does not mean that the dissertation must be defended by the clearance date.* The defense can occur as late as two weeks before the end of the semester if it is anticipated that no major revisions will be required. The date of the final defense must be set with the agreement of the chair and the committee.

2. Upon successfully defending the dissertation, the doctoral candidate must submit one clean copy (NOT the original) of the signature page for the dissertation to the Registrar’s office (University Crossing) as proof that the dissertation is complete.
The signature page must be signed and dated by the dissertation chair and all assenting committee members.

3. **Unless the Registrar’s office receives the intent to graduate form, the completed signature page and is informed by the library that the dissertation has been submitted, the candidate will NOT be eligible to graduate.**

4. All doctoral candidates are asked to submit a completed "Survey of Earned Doctorates" obtained from the Registrar's office in University Crossing

5. The original dissertation with the original signature sheet (and any copies the candidate wishes to make) must be submitted to the Library for binding and microfilming prior to the end of the semester.

6. The binding of all dissertations is done through the Theses Office, located on the first floor of Lydon Library, UML North. Office hours are Monday through Friday, 9:00 AM – 3:00 PM. Please call (978) 934-5905 to arrange an appointment.

Please read the instructions carefully and hand-deliver the following materials to the library:

1. A completed and signed copy of the UMI Thesis/Dissertation Agreement Form. The form is available at the Registrar’s Office, University Crossing
2. The complete dissertation on regular printer paper with the original signature page.
3. Additional copies for personal use may be submitted at this time.

Processing charges include the following:

- Binding: $15, per copy
- Publishing fee: $65 for Doctoral Dissertations

Make one check for all bound copies and publisher fee payable to: UML Library Trust Fund.

Optional Copyright fee: $55 - Make check payable to: PROQUEST