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HISTORY AND MISSION OF CHAPMAN UNIVERSITY AND THE DONNA FORD ATTALLAH COLLEGE OF EDUCATIONAL STUDIES (ATTALLAH COLLEGE)

Chapman University is a 156-year-old independent institution of liberal arts and professional training whose mission is to "provide personalized education of distinction that leads to inquiring, ethical, and productive lives as global citizens." The mission of Chapman University is expressed through central commitments to personalized education, spiritual growth and moral education, and a liberal arts core curriculum, fostering independent and critical thinking, reflection on personal values and ethics, and a lifelong passion for learning in its students and graduates. Chapman's core values include caring for the whole person, instilling a sense of community, and upholding traditions of commitment to peace and social justice, as well as service and volunteerism, and ethical and responsible citizenship. These core values and traditions are linked to and integrated with commitments to graduate and professional education that provide a solid foundation of knowledge for fully educated persons in a modern society and global world. The university strives to develop in students the ability to think clearly, communicate effectively, explore issues from contrasting points of view, value human and cultural diversity, and to make informed ethical judgments in an increasingly complex world.

Nationally, Chapman is recognized for its selectivity and value among the top comprehensive universities in the Western United States. Chapman University has numerous nationally recognized and accredited academic programs and is well known for its unwavering commitment to academic excellence through personalized education and low student-to-faculty ratios.

Chapman University is built upon specific values that have come to define and distinguish the caliber of individuals the university continues to attract, as well as the caliber of education offered. Graduate study offers students the opportunity to pursue a broader and deeper knowledge of their disciplines as part of Chapman’s commitment to encouraging a lifelong passion for learning. Graduate students are invited to join faculty as co-learners in study and research that stimulate the individual and expand the boundaries of knowledge. Graduate students are expected to show persistence, maturity, the capacity for growth, and a commitment to the life of the mind. Chapman’s distinctive graduate studies programs are designed to facilitate a high quality education built on student access to faculty, resources, internships, and classes. Small classes guarantee accessibility and personal guidance of faculty members, who are well respected teachers, researchers, and
professionals in their fields of endeavor. By working side-by-side with faculty on research and other projects, student learning increases.

A culture of scholarship exists when members of the academic community have foremost on their minds a sense of discovering and reporting new knowledge. Scholarship is evidenced in numerous ways. For example, Attallah College faculty members allocate their time among various areas of scholarly activity such as:

- making research presentations to national and international audiences at professional research organizations (e.g., AERA, NASP, APA, AACTE, TASH);
- publishing research papers in prestigious journals (e.g., *Educational Researcher*, *ASHA Journal*, *Issues in Teacher Education*, *Contemporary School Psychology*, *Communication Disorders Quarterly*, *Disability and Society*, *International Journal of Inclusive Education*);
- serving on research organizations’ committees and boards;
- serving on editorial boards of peer-reviewed journals;
- teaching research courses (e.g., Research and Evaluation Methods, Teacher Research, Critical Inquiry, Survey Development, Grounded Theory);
- engaging in collaborative scholarship with colleagues (e.g., co-authoring books and journal articles);
- participating in research colloquium within the Attallah College and among the corporate faculty (e.g., Faculty Forums);
- serving on the Institutional Review Board (IRB) of Chapman University;
- engaging in productive sabbaticals; and
- serving as thesis and dissertation advisors, committee members, and chairs.

Doctoral students are expected to participate in these types of scholarly activities with faculty members, when appropriate.
INTRODUCTION TO THE PH.D. IN EDUCATION PROGRAM

The Chapman University Attallah College of Educational Studies (Attallah College) Ph.D. program is intended primarily for individuals seeking a career in higher education or in other research-oriented environments. The candidate will learn to conduct research collaboratively with his or her colleagues—including school psychologists, special and general educators, and school and community leaders—rather than in parallel as in many doctoral programs. Upon graduation, most students will seek employment as professors of education or school psychology, while others will assume leadership roles within school districts, local, state, or national agencies, non-profit organizations, and community agencies. The program is not designed merely for the application and transmission of existing knowledge; rather, it is focused on the formulation of new ways to think about issues and solve problems facing the nation and the field of education. The Attallah College Ph.D. program is characterized by four distinct yet interwoven components, to which the faculty members are deeply committed and which centrally inform the Ph.D. Program design:

1. The notion and practice of social justice;
2. Student collaboration;
3. Faculty-student mentorship; and

The Attallah College faculty have designed a semester-based doctoral program. This structure best serves doctoral students in completing a rigorous program of study. Consequently, course syllabi are based upon a semester model. The program is campus based (i.e., not a distance learning program) and traditional, yet “state of the practice” pedagogical strategies are employed. The program must be completed within seven years.

Doctoral students are admitted to one of four program emphasis areas: cultural and curricular studies, disability studies, leadership studies, or school psychology. Each of these emphasis areas are briefly described below.

Program Design: Cultural & Curricular Studies, Disability Studies, Leadership Studies

- 57 credits of doctoral study required
- Master’s degree required at program entry
- Generally program completion takes three to four years if enrolled full-time or four to five years if enrolled part-time, both with intense summer work
- Cohorts consisting of 10-14 students across all emphasis areas are admitted every year with program entry occurring only in the Fall semester
• Curriculum:
  o **Foundations Core** consisting of 6 units
  o **Inquiry Core** consisting of 18 units
  o **Emphasis Core** consisting of 21 units – specialized study electives
  o **Qualifying Exams** (Non-Course Equivalency [0 units])
  o **Dissertation Core** consisting of 12 units (10 units and two 1-unit research support seminars)

**Program Design: School Psychology**

- 48 credits of doctoral study required
- Master's or Educational Specialist degree required at program entry
- Generally program completion takes three to four years if enrolled full-time or four to five years if enrolled part-time, both with intense summer work
- Cohorts consisting of 10-14 students across all emphasis areas are admitted every year with program entry occurring only in the Fall semester
- Curriculum:
  o **Foundations Core** consisting of 6 units
  o **Inquiry Core** consisting of 15 units
  o **Emphasis Core** consisting of 15 units – specialized study electives
  o **Qualifying Exams** (Non-Course Equivalency [0 units])
  o **Dissertation Core** consisting of 12 units (10 units and two 1-unit research support seminars)

Optional Ph.D. Minor Area of Specialization
The Ph.D. in Education offers the option of selecting an additional 12 credit minor area of specialization. Students may choose a minor from those listed below or, with the approval of the Ph.D. in Education Program Director, configure their own 12 credit minor area of specialization to complement their degree. See the Chapman Graduate Catalog for more information.

- Minor in Cultural and Curricular Studies
- Minor in Disability Studies
- Minor in Leadership Studies
- Minor in School Psychology

**Cultural and Curricular Studies (CCS) Emphasis**
The Cultural and Curricular Studies emphasis is one of four emphases in the Ph.D. in Education program in the Attallah College of Educational Studies at Chapman University. This emphasis honors the histories, values, and practices of different and overlapping social and cultural groups. CCS prepares candidates to have a deep understanding of the complexity of social inequities, equipping students with the skills and knowledge to advance reform in diverse local and international communities. Within the CCS emphasis, students have the opportunity for critical analysis and astute reflection in a specific or
"specialized" area selected by the student in collaboration with faculty. Doctoral students are encouraged to consider the generous spectrum of topics and possibilities in addition to the faculty with whom they would like to work prior to the development and crafting of the research topic.

Disability Studies (DS) Emphasis
The Disability Studies emphasis is one of four emphases in the Ph.D. in Education program in the Attallah College of Educational Studies at Chapman University. This emphasis explores disability as a social construct and investigates new ways to think about, educate, and support people who learn differently. Consequently, this emphasis examines disability as a social, linguistic, physiological, cultural, economic, historical, and political phenomenon. Challenging past or even current paradigms requires a deep and rigorous understanding of the literature in disability, special education, general education, and related areas. Graduates will become faculty members in colleges or universities or take leadership positions in the field. They will think critically, act collaboratively, be effectual with various methods of inquiry, and be ethical and exemplary in their service of improving the lives of people with disabilities.

Leadership Studies (LS) Emphasis
The Leadership Studies emphasis is one of four emphases in the Ph.D. in Education program in the Attallah College of Educational Studies at Chapman University. This emphasis prepares students to seek careers in pre K-12, higher education, other research-oriented leadership positions, and positions of leadership applied to many different settings. The program focuses on new ways to think about leadership issues and how to find and solve problems locally, globally and virtually. Students within the Leadership Studies emphasis study ways to create, build and sustain responsible change within individuals, communities, networks and organizations. These students will see themselves as life-long learners, moral agents and engaged citizens who value self-awareness, inclusive and diverse communities, and who build and sustain broad-based leadership capacity. These students will utilize an interdisciplinary perspective and multiple research methodologies when studying topics in leadership and sustainable change.

School Psychology (SP) Emphasis
The School Psychology emphasis is one of four emphases in the Ph.D. in Education program in the Attallah College of Educational Studies at Chapman University. The SP emphasis prepares students to become teachers and researchers at college and universities and leaders in school psychology at state, national and international levels. The program is accredited through the International School Psychology Association (ISPA). Following guidelines recommended by the National Association of School Psychologists (NASP), the emphasis extends and expands specialist's or master's level education in school psychology through in-depth exploration of research, theories, and practices that lead to positive outcomes for all students. Doctoral preparation focuses on using data effectively to make decisions and evaluate outcomes, developing systems that meet the needs of all students, enhancing cognitive and academic skills, and enhancing
the development of wellness, mental health, and life competencies. In addition, the program requires a doctoral level supervised internship, which is typically completed in the 3rd year of the program. Students may choose from: (1) a clinical internship (necessary if you plan to pursue licensure as a psychologist), (2) a school-based internship, (3) a leadership and policy internship, or (4) a higher education teaching internship.

Changing Emphasis
When admitted to a doctoral program in the Attallah College, students identify with and are accepted into a specific program emphasis. However, after sampling a variety of courses, the student may wish to change his or her emphasis. Transfer into another emphasis is subject to the approval of both the doctoral faculty in the new emphasis area and the doctoral faculty of the emphasis area for which the student was originally accepted. To initiate this process the student must complete a Ph.D. General Petition form, with the Change in Emphasis Area option indicated. The petition can be found in Blackboard in the “Misc. Information & Forms” link. Once the doctoral faculty (in both the new and original emphasis areas) make a decision on the petition, the student will be notified and a copy of the petition will be placed in the student’s file. Changing the emphasis area may result in delay of completion of the doctorate. Approval of a change in emphasis area does not alter the seven-year requirement for the completion of all doctoral degree requirements.
COURSES

Program Learning Outcomes/Course Requirements/Doctoral Courses
The doctoral degree program of study at the Attallah College is designed by a student in close collaboration with his or her faculty advisor and Attallah College faculty members, as appropriate, and based on the student’s research needs and interests. The program of study is guided by the core requirements as established by the faculty, the Attallah College of Educational Studies, the university and the Program Learning Outcomes (PLOs). The PLOs for the Ph.D. program include the following:

- PLO 1: Students will demonstrate proficiency in scholarly writing.
- PLO 2: Students will demonstrate command of the literature (including debates, issues, and theories) in their emphasis area.
- PLO 3: Students will demonstrate the ability to communicate scholarship to multiple audiences using oral and visual strategies.
- PLO 4: Students will demonstrate knowledge and skills to design and conduct a research study that contributes new knowledge to their field of study.

The minimum course unit requirement for the Ph.D. in Education is 57 semester units beyond the master’s degree. Students in the School Psychology emphasis may waive up to nine (9) units based on previous graduate work. School Psychology faculty will review transcripts and decide which, if any, units may be waived. Thus, the total unit requirement for students in the School Psychology emphasis may be reduced to 48 units.

All doctoral students in the Ph.D. in Education program will take required Foundations Core courses (6 units), Inquiry Core courses (minimum 18 units), and Dissertation Core courses (12 units). Students will take a total of seven Emphasis Core and Elective courses (21 units). [Note: One of the Elective courses must be taken from an Emphasis Core other than the one the student is enrolled in.] Student needs and interests will be assessed and opportunities to develop new emphasis courses will be provided. Please consult the Chapman Graduate Catalog for specific program requirements.

Course Sequence
In developing the schedule of courses, particular attention was paid to ensuring that students benefit, to the greatest extent possible, from staying within a cohort group throughout their program. During the first year of the program, students will take the foundation core courses with their initial cohort. Part time students will also take an emphasis course for a total of two courses per term. Full-time students take three courses per term so they also may be in classes with students who are members of other cohorts.
**Enrollment Requirements**
It is expected that the completion of the doctoral degree will require a minimum of approximately three to four years of full-time study or four to five years of part-time study following enrollment in the program. However, each student’s pace will depend on his/her own style and pace of completion. Full-time students must enroll in a minimum of 18 credits per year (i.e., 9 credits in the fall semester and 9 credits in the spring semester). Part-time students must enroll in a minimum of 12 credits per year (i.e., 6 credits in the fall semester and 6 credits in the spring semester). Summer school is optional, but in order to keep on track most students elect to take one summer school course per year. Students are required to enroll in a minimum of 6 credits per semester (fall, spring) prior to candidacy. Continuous enrollment is required throughout the program. Students who have previously registered for 10 dissertation credits, but have not completed their dissertation must be enrolled for one credit of EDUC 799 continuously until all dissertation requirements are met. The maximum time allowed for completion of the Ph.D. is seven years per university policy.

**University Attendance Policy**
Class attendance policies are determined by each instructor and are included in the course syllabus/outline distributed at the beginning of each semester. The university recommends as a minimal policy that students who are absent 20% of the course should be failed. Students who do not attend the first class meeting of a course in which they are registered may be administratively dropped, unless they make arrangements with the instructor prior to the first day of class.

**Confirm Course Location**
Room assignments are subject to change. Students are strongly encouraged to check my.chapman.edu on the first day of the semester to confirm the location of courses.

**EDUC 789: Individual Study**
Individual Study and Research (EDUC 789) is offered in rare cases to students to study particular topics that not provided for by regular curricular offerings. The Individual Study and Research course enables a student to pursue a topic that is directly relevant to the major or minor. A minimum of 5 hours of instructor/student contact for each hour of credit is required. The student is required to spend a total of 40-50 hours in instruction and research for each credit of individual study. Individual Study and Research students are required to keep a record or journal with a listing of dates, hours spent, nature of activities, etc. The student is required to submit this record to the instructor at the completion of the Individual Study.

By policy, EDUC 789 should be used in lieu of a program requirement (e.g., substituting EDUC 789 for an elective, or advanced research methodology course). Following is the Graduate Catalog course description:
This course will be an independent research project conducted by a Ph.D. student under the supervision of an Attallah College faculty member. May be repeated for credit. (Offered as needed.) 1–3 credits.

If you are taking an individual study (EDUC 789) in lieu of a required course, you must complete the Ph.D. General Petition form (not a Graduate Petition). The petition can be found in Blackboard in the “Misc. Information & Forms” link. On the petition, you must indicate the specific course EDUC 789 is replacing or EDUC 789 will not be considered a required course in your program. Attach your program evaluation to the petition.

Individual Study forms can be obtained from the administrative assistant of the Ph.D. Program or at the Registrar Office website. To register for an EDUC 789 Individual Study course, fill out the Independent Study form and attach the course description, course learning outcomes of the proposed individual study, course reading list, and method of evaluation to this form. Once the form is signed by the Instructor, and the Director of the Ph.D. Program the Administrative Assistant of the Ph.D. Program will process the form with the Registrar’s office. It generally takes at least a week for the Registrar’s Office to process the form. All Individual Study forms must be submitted to the Administrative Assistant of the Ph.D. Program not later than the fourth week of the semester.

Credit Transfer

Students applying for admission to the doctoral program must have earned a master’s degree from an accredited university prior to being considered for admission. Generally, doctoral credits from other institutions of higher education are not accepted for transfer. However, if a unique situation is presented in which a candidate transfers from a highly reputable and accredited institution to Chapman’s program, Doctoral faculty in the student’s emphasis area and the Director of the Ph.D. Program will determine whether the candidate has the knowledge and skills to transfer any courses. If courses are transferred, the candidate will make up the credit units by taking additional Elective or Advanced Research Courses. The following outlines the credit transfer policy:

- A maximum of six (6) semester credits may be transferred.
- To be accepted for transfer, the courses must be no more than seven (7) years old at the time of completion of the Ph.D.
- The courses must be a graduate level that fulfills a requirement toward a Ph.D., Ed.D, or Ed.S. degree and taken as a graduate student at an accredited institution.
- Extension and correspondence courses will not be considered for transfer credit.
- Credit / No Credit coursework will not be accepted.
- A grade of B or higher must have been earned for coursework to be accepted for transfer.
- The Ph.D. General Petition form may be used for the purpose of requesting coursework to be accepted for transfer toward the completion of a Ph.D. The petition can be found in Blackboard in the “Misc. Information & Forms” link.
Students who are dissatisfied with the action taken on their petition have a maximum of thirty (30) days after receipt of notification to request reconsideration. Students wishing to submit an appeal must present a Ph.D. General Petition form. Additional documentation or new information will be required. Requests for additional information must be provided by the student to the Attallah College within thirty (30) days of receipt of the request; failure to provide such documentation will result in a denial of the appeal.

A Ph.D. General Petition form used for appealing purposes will receive a response no later than thirty (30) days after receipt by the Office of the Dean of the Attallah College of Educational Studies.
STUDENT CENTER (my.chapman.edu)

my.chapman.edu Student Center is a web interface that allows students to access information to Chapman University’s administrative database. Its function is to provide students direct web access to portions of their academic and financial records, as well as the ability to register through the internet. Information available to students includes their personal course schedule, unofficial transcripts, grades, financial aid award information, biographical data, and academic program evaluation information for purposes of graduation.

Students are issued a password into the my.chapman.edu system prior to the beginning of their first semester. Access to my.chapman.edu Student Center is provided through the Student Self Service link at my.chapman.edu. Enter your regular Chapman User ID and Password. Click on the Student Self Service Link. Continue to click on the Student Center link until your Student Center opens. In this site you will find training and resources specific to the Student Center within Self Services of my.chapman.edu. If a student encounters difficulty accessing my.chapman.edu, he or she may contact the Service Desk at (714) 997-6600 or by email at servicedesk@chapman.edu.

Program Evaluations
Students are encouraged to check the status of their Ph.D. degree program on the Program Evaluation screen in my.chapman.edu. The official record of student progress in the program is the Program Evaluation. The Program Evaluation serves as a reference for degree conferral only and students are encouraged to seek advisement from the Ph.D. Program Administrative Assistant for course sequence requirements. Students and their advisors can view their academic record at any time using my.chapman.edu. The Program Evaluation is the student’s agreement with the Attallah College and with the university.

To access the Program Evaluation, students may navigate to the my.chapman.edu Student Center. In the Academic section, select Program Evaluations from the “other academic…” drop down menu and click the double arrow “GO” button. Your Program Evaluation opens in the My Academic tab. Students should select “Program Evaluation” to access the “My Academic Requirements” page. Click on the “expand all” and “view report as pdf” buttons to obtain a report that is printer friendly.

Students should verify once a semester that the courses for which he or she has registered match the courses appearing in the program evaluation as “In Progress” coursework. In addition, students should verify that courses appearing in the program evaluation contain accurate information as to credits earned, including the area in which credits are awarded. In order to do this, students may need to cross-check their program evaluation with relevant course matrices, schedules, or transcripts. If a student notices a discrepancy, contact the Administrative Assistant for the Ph.D. Program.
Program Director will work with the Registrar's Office to make necessary changes and avoid delays in degree conferral. Please do not contact the Registrar's Office as this will only delay the correction process.
ADVISEMENT

*Faculty Advisement*
One of the major tenets of the doctoral program is to provide a highly student-centered learning and training environment. Consistent with the mission of Chapman University, doctoral students will receive a “personalized education of distinction.” To ensure this goal, a variety of student support services will be made available to all doctoral students.

Every faculty member at Chapman University is currently required to designate a minimum of six (6) hours a week during each academic semester for student advising, although most faculty members within the Attallah College of Educational Studies allocate nine (9) hours a week for student advising and mentoring due to their commitment to this critical responsibility. Developing meaningful mentoring and professional relationships between faculty and students takes a great deal of time. It is anticipated that faculty will interact regularly with students via email, on the doctoral program Blackboard website, formally and informally during programmatic and graduate assistant meetings, while preparing for joint professional conference presentations, in local public school settings, at Faculty Forums, and during brown bag colloquiums where Attallah College of Educational Studies faculty and student research is shared.

Based on similar interests identified in the application process, an initial Advisor will be assigned to each student upon acceptance into the Ph.D. in Education Program. The Advisor, with the support of the Administrative Assistant of the Ph.D. Program assists the student in planning an initial program of study to meet degree requirements. During the first year, a student’s research may diverge from the area of expertise of the Advisor or irreconcilable differences may occur between the student and the Advisor. In such cases, the student or the faculty member may request a change in assignment.

The process for changing advisors requires the submission of the [Ph.D. General Petition form](#) with the Change of Advisor option indicated. This form requires the signature of the new advisor and the Director of the Ph.D. in Education Program. Students typically select and initiate contact with a new advisor; in cases for which this is not possible, the Director of the Ph.D. in Education Program will assign a new advisor. The petition can be found in Blackboard in the “Misc. Information & Forms” link.

*Program Planning with Your Advisor*
Students should meet with their Advisor at least once a semester, if not more, and use the Program Evaluation for planning their course of study (i.e., electives, and advanced research courses). Early planning and development of the student’s program is very important. Courses are not always offered each year and early identification of courses makes it possible to plan the program to best serve specific research interests.
For the convenience of students and Advisors, program planning sheets are also available. Students should use the program planning sheet that correlates with their cohort year. The program planning sheets can be found in Blackboard in the “Student Resource Handbook” link. Program planning sheets are not official records of course completion. When developed in the first year, it is an estimation of what courses the student will take to best suit his or her research interests while fulfilling the Foundations Core, Inquiry Core, Emphasis Core, and Dissertation Core requirements. It is important to note that students are not eligible for financial aid unless they are enrolled in at least six credits per semester. Careful planning of summer courses (if attending the summer semester) is essential so students have at least six credits remaining in their last pre-dissertation semester if seeking financial aid during that semester.
ADVANCEMENT THROUGH THE PROGRAM

Minimal Progress
The academic progress requirements for students include a minimum cumulative GPA of 3.25 and timely completion of department and program requirements, such as coursework, successful completion of qualifying exams, advancement to candidacy, and adequate progress on dissertation. Student progress will be formally reviewed near the end of each academic year of his or her program.

Prior to the fall 2014 catalog year, no grade below a “C” was acceptable toward the degree. Students must retake any course in which a grade below “C” is earned. A student whose cumulative grade point average falls below a 3.0 will be placed on academic probation. A student on academic probation who does not achieve a semester grade point average of 3.0 or higher in the first semester after being placed on probation will be dismissed. A student who is placed on probation and does not achieve a cumulative grade point average of 3.0 within two semesters will be dismissed. For further information on academic probation and dismissal, please refer to the Academic Policies and Procedures section of the Graduate Catalog.

Beginning fall 2014, no grade below 3.0, or “B,” is acceptable toward the doctoral degree. Students must retake any course in which a grade below “B” is earned. A student whose cumulative grade point average falls below a 3.25 will be placed on academic probation. A student on academic probation who does not achieve a semester grade point average of 3.25 or higher in the first semester after being placed on probation will be dismissed. A student who is placed on probation and does not achieve a cumulative grade point average of 3.25 within two semesters will be dismissed. For further information on academic probation and dismissal, please refer to the Academic Policies and Procedures section of the Graduate Catalog.

First Year Review
During the end of the first year of study (and no later than the summer), students complete a review of their first year’s work. It is conducted to:

• assess their progress in conducting research;
• ensure that their doctoral program of study is developed and will enable them to attain adequate breadth and depth of knowledge in their field;
• identify additional needs; and,
• ensure that adequate progress is being made for all doctoral program requirements.

Students are strongly encouraged to meet with their advisor in advance of the review to discuss expectations and to develop their program of study.
The Review Committee, consisting of the Director of the Ph.D. program, the faculty advisor, and additional faculty members (as appropriate), may decide to advise a student against continuing in the program. If a student wishes to petition such a decision, the matter will be brought before the Ph.D. Design Committee. The Ph.D. Program Design Committee is comprised of faculty teaching in the Ph.D. Program. Further appeal can be made to the Dean of the Attallah College, who will make an independent review of the materials and inform the student and the respective faculty members of the recommendation.

Second Year Review
The purpose of the Second Year Review is to assess a student’s preparation for dissertation research and command of the research area, to identify remaining training needs, and to determine whether the student is well positioned to write their qualifying exams. Similar to the first year review, the Review Committee (see above) may decide to advise a student against continuing in the program or to seek the Education Specialist Degree (Ed.S.) in lieu of the Ph.D. in Education. If a student wishes to petition such a decision, the matter will be brought before the Ph.D. Design Committee. Further appeal can be made to the Dean of the Attallah College, who will make an independent review of the materials and inform the student and the respective faculty members of the recommendation.

Third or Fourth Year Review
Typically, during the third (full-time students) or fourth (part-time students) year of the program, after students have completed their Qualifying Exams and Advanced to Candidacy, they will begin their dissertation research. Prior to commencing dissertation research students must submit a proposal to and receive permission from Chapman’s Institutional Review Board (IRB). In some cases, dissertation research will be exempt and not require IRB approval. Students should work closely with their Dissertation Chair who will advise them on the IRB approval process. More information about IRB’s research regulations and deadlines can be found on the Institutional Review Board webpage.

Qualifying Examinations
Beginning the Spring, 2016 semester, qualifying exams must be completed prior to enrolling in the EDUC 764: Dissertation Research Planning class. In very rare cases, an exception may be made to this requirement. However, if a student has not passed at least one written comprehensive exam (i.e., either the literature review or the research methodology question) an exception will NOT be made.

The Qualifying Exam Committee is comprised of the student’s advisor or potential Dissertation Chair, and two other faculty members. While the Qualifying Exam Committee members do not have to be the student’s eventual Dissertation Committee, it is wise to carefully think about this when selecting Qualifying Exam Committee members. When choosing a Qualifying Exam Committee, please be sure to ask the faculty members whether or not they are available to work with you over the summer. This may impact your
progress to complete your dissertation, as not all faculty members are available to assist with qualifying exams, doctoral dissertation proposal defenses, reading drafts of your dissertation, or dissertation defenses over the summer. Confirmation of schedules and expectations in advance will aid in avoiding possible disappointments and delays. Therefore, prior to finalizing Qualifying Exam Committee Members, students should discuss their proposed timeline with everyone involved. With the approval of the student’s Advisor (or Dissertation Chair), the student can work on qualifying examinations at any time of the year. The qualifying exam policy can be found in Appendix B and in Blackboard in the following route: Student Resource Handbook – Dissertation Process (Forms) – Qualifying Examinations.

The Administrative Assistant to the Ph.D. Program in Education will assist the student in obtaining meeting space for the Qualifying Exam. All reservations’ requests need to be made through the Ph.D. Student’s room – Reservation Request Form.

Students must submit the Qualifying Exam Form to the Administrative Assistant of the Ph.D. Program immediately after passing the exam so the form can be signed by the Director of the Ph.D. Program in Education and then recorded. This form can be found in Blackboard in the following route: Student Resource Handbook – Dissertation Process (Forms) – Qualifying Examinations.

**Advancement to Candidacy**

When coursework is completed (with the exception of dissertation units EDUC 799, and the dissertation support class EDUC 793), typically at the end of the second year of study for full-time students or the third year for part-time students, the student will apply for Advancement to Candidacy. The advancement to candidacy for the doctoral degree is an acknowledgment of a student’s potential to successfully complete the dissertation requirements of the program. Eligibility for advancement to candidacy is based on the successful completion of the Qualifying Examinations and successful defense of the dissertation proposal (see below for additional information on the dissertation proposal) as described in the Ph.D. in Education folder of Blackboard. Candidacy is confirmed on the Application for Advancement to Candidacy (AAC). That is, the Application for Advancement to Candidacy signifies that the student has:

- a) completed all coursework (except for EDUC 799 and EDUC 793 dissertation units),
- b) successfully passed their qualifying exams,
- c) successfully passed their dissertation proposal defense, and
- d) is in good standing in the Program.

The Application for Advancement to Candidacy Form can be found in Blackboard in the following route: Student Resource Handbook – Dissertation Process (Forms) – Application for the Advancement to Candidacy (Form).

Extensions of candidacy are rarely granted. Therefore, students are encouraged to plan their research agendas very carefully so their degree can be completed within the seven-
To obtain an extension of candidacy, students must submit a Graduate Petition form to the Administrative Assistant to the Ph.D. in Education Program. This Petition should include a detailed work plan signed by the student and subject to approval by the student’s Dissertation Chair, the Director of the Ph.D. in Education Program, and the Dean. In addition, any petition requesting an extension of the seven-year period must be accompanied with a detailed description from the student, the Dissertation Chair, and the Director of the Ph.D. Program as to why the student’s program was not completed within the seven years. The Graduate Petition form is then submitted to the Graduate Studies Committee for their decision. Again, exceptions are rarely granted.

**Submitting the Application for Advancement to Candidacy**

1. The student’s program evaluation must not show any incomplete courses.
2. The student should attach a printout of his or her program evaluation.
3. The student should consult with his or her Dissertation Chair before completing sections pertaining to the dissertation proposal, appointment of Dissertation Committee, and oral exam (i.e., dissertation defense). All sections of the form must be completed.

After the student’s Dissertation Chair has signed the completed form, he or she should submit it to the Administrative Assistant for the Ph.D. in Education Program, who will obtain the final approval signature from the Director of the Ph.D. in Education Program and will submit it to the Registrar’s Office.

**Academic Program Revision**

Any changes to the student’s academic program must be discussed with and agreed upon by the faculty advisor and Director of the Ph.D. in Education Program. Any proposed change should be requested on a Ph.D. General Petition form (please indicate the Academic Program Revision option). The petition can be found in Blackboard in the “Misc. Information & Forms” link.

The Ph.D. General Petition form is used for multiple purposes:

1. to move electives into required courses;
2. to waive courses (rarely done);
3. to substitute courses (rarely done)
4. to make any changes to the student’s academic program (rarely done), and
5. to change advisors.
THE DISSERTATION

Doctoral Dissertation Committee
The first step toward the dissertation is to form a Dissertation Committee. The Dissertation Committee supports the doctoral candidate through the dissertation proposal and dissertation research phases (and frequently through the qualifying exams). As students progress through the program, their interests may change. There is no commitment on the part of the student’s Advisor to automatically serve as the Dissertation Chair. Based on the student’s interests and the dissertation proposal topic, students may approach other Attallah College faculty members to serve as the Dissertation Chair, as appropriate.

This Dissertation Committee should be formed immediately after the candidate passes qualifying exams. As previously mentioned, the Qualifying Exam Committee can serve as the Dissertation Committee if the student and Committee members agree to terms in the Dissertation Chair and Committee Responsibilities section of this document.

Negotiating and Planning Your Dissertation Committee
Prior to finalizing Dissertation Committee members (including the Dissertation Chair), students should discuss their proposed timeline for finishing, plans for graduation, communication format preferences, etc., with everyone involved. Committee members and students should agree on these things prior to solidifying the Dissertation Committee. Students should remember that faculty are not required to work during the summer or holidays, although many faculty choose to do so. Most often, students should plan on faculty availability during the regular academic semesters. Students should also realize that the Dissertation Committee requires a team effort and timelines to which everyone should agree. Many faculty members will require the student to present a prospectus of their dissertation before they agree to be a dissertation chair or committee member. The prospectus is an excellent way to begin to articulate the research a student will do for their dissertation.

When choosing a Dissertation Committee, the minimum number of committee members is three, composed of two inside (Attallah College) faculty members, and one outside committee member. Students can have more than three members, if they wish.

The rules governing the composition of the dissertation committee are as follows:
• The Dissertation Chair and at least one other member of the Doctoral Dissertation Committee must be from the Attallah College faculty.
• At least one Dissertation Committee member must include a professional working outside of the Attallah College. Attallah College Emeritus Faculty are considered outside members.
• All members must have a terminal degree, though exceptions can be made in cases where an individual without a terminal degree but whose expertise is required can be approved.
• Any member of the Committee who is not a full-time member of the Attallah College or a Faculty Associate of the Attallah College must be approved by the Dissertation Chair and the Director of the Ph.D. in Education Program.
• The Dissertation Committee is endorsed by the Director of the Ph.D. in Education Program on the Doctoral Dissertation Committee Form. Faculty members agree to serve on the Dissertation Committee by signing this form. The Doctoral Dissertation Committee Form can be found in Blackboard in the following route: Student Resource Handbook – Dissertation Process (Forms).
• A fourth and/or fifth member may be added to the Committee when deemed appropriate/necessary.
• All members of the approved Dissertation Committee are expected to sign the signature page of the completed dissertation.
• The Director of the Ph.D. in Education Program must approve any change in the composition of the Dissertation Committee before the final dissertation is defended and submitted.
• Under extenuating circumstances (e.g., member’s death or sudden leave), to be noted by the Director of the Ph.D. in Education Program in a letter to the Vice Chancellor for Graduate Education, an individual in the final stages of the dissertation may request to have fewer than three members on the Committee.

In a case where the composition of a student’s dissertation committee requires a change in one or more of his/her committee members, the student:
• Will request from the Administrative Assistant of the Ph.D. in Education Program the original Doctoral Dissertation Committee Form,
• Will add the required changes on “Revised Doctoral Dissertation Committee,”
• Will gather the correspondent signatures, and
• Will submit the form back to the Administrative Assistant to the Ph.D. in Education Program for the Director’s signature.

For additional suggestions in how to select a Dissertation Chair and Committee members please refer to a brief article written by Dr. Michael Hass and Dr. Whitney McIntyre Miller. This article can be found on Blackboard in the following route: Misc. Information & Forms.

Dissertation Chair and Committee Responsibilities
The Dissertation Chair responsibilities include the following:
• The student and the Dissertation Chair, insofar as it is possible, should arrive at an agreement on an approximate time schedule, including meetings of the Dissertation Committee, for the accomplishment of dissertation related work for each semester that the student is engaged in such work.
• The Dissertation Chair shall have primary responsibility for the supervision of the student’s work, setting deadlines, and guiding the student’s progress. Note it is NOT the responsibility for Dissertation Chairs and Committee Members to edit a student’s dissertation. There is a listing on Blackboard of editors and transcription services doctoral students have used in the past. This list is provided as information only – no endorsement of a particular editor or transcriber should be inferred. This information can be found on Blackboard in the following route: Misc. Information & Forms.

• The Dissertation Chair shall assume the role of “principal investigator” when the student’s research involves human or animal subjects, and shall ensure that the university policies in the area are carefully observed. The Dissertation Chair must “certify” the student’s IRB in the CAYUSE system in their role as principal investigator.

The responsibilities of the Dissertation Committee as a whole include the following:

• The initial responsibility of the Dissertation Committee is to meet and determine the feasibility of the topic and the dissertation proposal, and to permit a student to proceed only after such determination has been made. The Committee shall sign off on the student’s Dissertation Proposal Defense form and a copy should be kept in the student’s file (housed in the Ph.D. Programs Administrative Assistant’s office). Each member of the Dissertation Committee will also complete the Dissertation Proposal Rubric. The Dissertation Chair will be responsible for gathering the Rubrics and submitting the Rubrics to the Administrative Assistant to the Ph.D. Program in Education. The signing of these documents signifies that the student has permission to proceed with the study as outlined in the plan. Both forms can be found on Blackboard in the following route: Student Resource Handbook – Dissertation Process (Forms).

• The Dissertation Committee shall review and approve the methodology and any instrument or questionnaire used in data collection.

• The responsibility of the Dissertation Committee as a whole is to examine the student’s work and to meet and make a final determination of the acceptability of the dissertation, and to arrange for the oral defense of the dissertation in accordance with the department policies found in this Handbook.

• Each member of the Dissertation Committee with complete the Dissertation Proposal Defense Rubric and submit the rubric to the Dissertation Chair who will then submit the Rubrics to the Administrative Assistant to the Ph.D. Program in Education.

Once the dissertation chair and committee members have agreed to serve on the dissertation committee, the Doctoral Dissertation Committee form should be completed, signed by all members, and submitted to the Director of the Ph.D. Program. This form can be found on Blackboard in the following route: Student Resource Handbook – Dissertation Process (Forms).
Vacancies and Replacements

- If any Dissertation Committee member anticipates an extended but temporary absence during the time the student is working on the dissertation, he or she should arrange for means of communicating during this leave, or designate an appropriate temporary/permanent solution.
- The determination to make a change in the Dissertation Chair or in the Committee members must be approved by the Director of the Ph.D. Program. A change in the Dissertation Chair requires a letter of justification from either the current Dissertation Chair or the student. In addition, you will need to retrieve the original Dissertation Committee form and add the changes in the “Revised Doctoral Dissertation Committee (if amended)” part located at the end of the form. The form must be signed by all committee members and the Director of the Ph.D. Program.

Disputes

- In the event that a dispute or disagreement arises between a student and a member of the Dissertation Committee or between members of the Dissertation Committee, the Dissertation Chair shall call a meeting of the Dissertation Committee and the student for the purpose of resolving the problem.
- If the dispute cannot be resolved through this process, or if the proposed solution is unacceptable to the student or one of the Dissertation Committee members, the disagreeing party may request that the Director of the Ph.D. Program and/or the Attallah College Dean review the problem and recommend a solution.
- If the problem cannot be resolved by the Director of the Ph.D. Program and the Attallah College Dean, the dispute should be appealed to the Vice Chancellor for Graduate Education, which will be the final level of appeal.

Dissertation Proposal

Whereas students are urged to begin thinking about a dissertation topic early in their degree program, concentrated work on a dissertation proposal normally begins after successful completion of the second or third year review (which often includes either a pre-proposal, an extended literature review, a theoretical essay, and qualifying exams. The EDUC 764: Dissertation Research Planning class, will be instrumental in designing a draft dissertation proposal and a draft IRB proposal.

The dissertation proposal is meant to be a comprehensive statement on the extent and nature of the student’s dissertation research interests. Students are expected to submit a draft of their proposal to their Dissertation Chair when the student feels the proposal is strong enough to defend to his or her Dissertation Committee. The Dissertation Chair must have adequate time to read the Dissertation Proposal (generally at least two weeks, but this needs to be negotiated with the Dissertation Chair). The Dissertation Chair will then decide if the proposal is ready to be defended before the Dissertation Committee.
The Dissertation Proposal needs to be sent to the Dissertation Committee members at least two weeks prior (the timeframe needs to be negotiated with the Committee) to the defense date to ensure Committee members have adequate time to read the Proposal. Once the student has written permission from their Dissertation Chair to defend their Proposal, the student will then contact the Administrative Assistant to the Ph.D. Program in Education who will assist the student in locating space for the Dissertation Proposal Defense.

The Dissertation Proposal needs to be approved by the Dissertation Committee members. The Director of the Ph.D. Program must sign the Dissertation Approval Form before a student can enroll in dissertation units EDUC 799, and the dissertation support class EDUC 793. To accomplish this, it is recommended to defend at least two weeks before instruction begins.

The major components of the dissertation proposal are as follows:

1. Chapter 1: A detailed statement of the problem that is to be studied and the context within which it is to be seen. This should include a justification of the importance of the problem on both theoretical and educational grounds.

2. Chapter 2: A thorough review of the literature, which is pertinent to the research problem. This review should provide evidence that the relevant literature in the field has been thoroughly researched. Good research is cumulative; it builds on the thoughts and findings (and mistakes) of others. This section of the proposal should be taken very seriously.

3. Chapter 3: A statement on the overall design of the proposed study, which includes: (a) its general explanatory interest; (b) the overall theoretical framework within which this interest is to be pursued; (c) the model or hypotheses to be tested or the research questions to be answered; (d) a discussion of the conceptual and operational properties of the variables; (e) an overview of strategies for collecting appropriate evidence (sampling, instrumentation, data collection, data reduction, data analysis); and (f) a discussion of how the evidence is to be interpreted (this aspect of the proposal will be somewhat different in fields such as history and philosophy of education).

4. Once the Dissertation Proposal has successfully been defended students doing research with human subjects must complete a request for approval of research with human subjects, using Chapman’s Institutional Review Board (IRB) form. The university requires the approval of the IRB before any data can be collected from human subjects. The approval process may take several weeks; students will need to plan accordingly.

It is suggested that students refer to the Dissertation and Thesis Guidelines provided by Leatherby Libraries. These Guidelines provide a template and sample pages for the final dissertation format. By using this template from the beginning of the dissertation writing process, students can save an enormous amount of time. The final dissertation will need
to follow these guidelines or the library personnel will not sign off on the dissertation, which is one of the final requirements for degree conferral.

**The Dissertation Proposal Defense**

The student and the Dissertation Chair are responsible for scheduling a formal meeting on the Proposal, consisting of the student and the Dissertation Committee. All Dissertation Committee members must be present at the meeting either in person or via conference phone call or Skype. The Administrative Assistant to the Ph.D. Program in Education will assist the student in obtaining meeting space for the Proposal Defense. All reservations’ requests need to be made through the Ph.D. Student’s room – Reservation Request Form.

At the end of this meeting, the Dissertation Committee members should sign the *Doctoral Dissertation Proposal Approval form* and indicate their approval/disapproval of the proposal document. Each Dissertation Committee member must also complete a *Dissertation Proposal Rubric* and submit these Rubrics to the Dissertation Chair who then will submit the Rubrics to the Administrative Assistant to the Ph.D. in Education who then obtain the final signature from the Director of the Ph.D. Program. Both forms can be found on Blackboard in the following route: Student Resource Handbook – Dissertation Process (Forms).

If the student is required to make revisions, an *Addendum form* is required with the written approval of each member of the Dissertation Committee, stating that the proposal has been revised to their satisfaction. This addendum is then submitted to the Administrative Assistant to the Ph.D. Program in Education. This form can be found on Blackboard in the following route: Student Resource Handbook – Dissertation Process (Forms).

**EDUC 797: Preparing for the Dissertation**

There are two situations in which a student must register for 0 credits of EDUC 797: Preparing for the Dissertation: (1) a student has not yet completed their qualifying exams so they are ineligible to take their final predissertation class (i.e., EDUC 764), and (2) a student has completed all course work (including EDUC 764) but their dissertation proposal has not yet been successfully defended. Registering for the 0 unit class (cost $150.00) will allow the student access to library resources. See the course description below:

- Prerequisite, completion of Ph.D. program classes. Taken by students who have finished classes but are not ready to begin dissertation research. EDUC 797 can be taken up to two consecutive semesters, after which EDUC 799 is required. Fee: $150. (Offered every semester.) 0 credit.

**The Dissertation**

A dissertation makes an original contribution to knowledge, as defined in a discipline or an interdisciplinary domain and addresses a significant researchable problem. Not all problems are researchable, nor are they necessarily significant. Problems that can be
solved by a mere descriptive exercise are not appropriate for the dissertation. Acceptable problems are those that: (a) pose a puzzle to the field at a theoretical, methodological, or policy level; (b) make analytical demands for solution, rather than mere cataloging or descriptive demands; (c) will likely add new knowledge to the field of study; and (d) can yield to a reasonable research methodology. The format for the dissertation follows the guidelines presented in APA style (the publication manual for the American Psychological Association).

Throughout the dissertation writing process, it is wise for students to stay in close touch with their Dissertation Chair and Dissertation Committee members. If questions arise, students should check with their Chair or the Committee member having the most expertise on the topic of the question. A good working relationship with the Dissertation Committee produces a better quality dissertation. The student must also discuss with Dissertation Committee members at what points Committee members want to see drafts of dissertation chapters, as well as, how many weeks in advance of the dissertation defense the Dissertation Committee members want to receive the final draft of the complete dissertation. It is suggested that this working information be captured in a written plan that all Dissertation Committee members and the student agree upon.

**Dissertation Defense Oral Exam**

The purpose of the Dissertation Defense Oral Examination is required (also called the Dissertation Defense) is to assess the candidate’s command of the field of study and to confirm readiness for scholarly pursuits. This means that all text sections are drafted, all planned data analyses are executed and represented in an appropriate format, references are complete, and all appendices are in place. The draft should be as close to final as possible and follow the [Dissertation Guidelines](#) provided by the Leatherby Library. This examination is scheduled only after the Dissertation Chair has indicated the draft dissertation is complete and ready for final review by the full Dissertation Committee. Once permission to defend is obtained by the Dissertation Chair, the student and the chair will survey the Dissertation Committee to identify a Dissertation Defense date and time. Once the date and time have been agreed upon the student then completes the form titled the [Dissertation Defense Announcement form](#) and delivers the form Ph.D. Administrative Assistant who then will inform the Attallah College community of the date, time, and location of the dissertation defense. This form should be completed at least one month prior to the proposed defense date.

All reservations’ requests need to be made through the [Ph.D. Student’s room – Reservation Request Form](#).

If one or more of Committee members decide the final dissertation draft is not complete after reviewing it, the member will contact the Dissertation Chair and express their concerns to the Chair. The Dissertation Chair (in consultation with the full Dissertation Committee) will then determine if the defense will take place on the scheduled date or if it will be postponed.
Dissertation Defense Oral Examinations are typically conducted during the fall or early spring semesters. Scheduling of examinations during the summer session is impractical, simply because most faculty members are off-duty or absent from campus during that period.

Please note, it is not uncommon for the Dissertation Committee to make suggested revisions during the Dissertation Defense. All Dissertation Committee members must approve the final revisions. Students must be registered and the candidacy must be valid during the semester in which the oral examination is held.

**Dissertations must be successfully defended (with no revisions or only very minor revisions) by April, 1st in order to be eligible to walk in the May commencement ceremony.**

The Dissertation Defense Oral Exam generally is a two-hour process. The actual Oral Defense of the dissertation usually occurs in the first 30 – 40 minutes of the exam. This portion is open to the Chapman/Attallah College community. Community members are allowed to ask questions or ask for further clarification on any aspect of the presented material. At the conclusion of the public seminar any persons present outside of the Dissertation Committee will be asked to leave. This includes visiting faculty members who are not part of the Dissertation Committee. The Dissertation Committee then will ask the student additional questions, ask for clarifications, or ask for further explanations of their work. Once the Dissertation Committee has finished this process, the student will be asked to leave the room. Once the student has left the room each Dissertation Committee member will complete the Dissertation Defense Rubric and the Committee will determine if the student passes the defense (with minimal or no revisions), passes the defense with minor revisions, or does not pass the defense. The Dissertation Chair will collect all Rubrics and submit the Rubrics to the Administrative Assistant to the Ph.D. Program in Education at the conclusion of the Defense meeting. The Dissertation Committee will determine what, if any, revisions will need to be made to the Dissertation. If the decision is made that the student will not pass the Dissertation Defense, the Dissertation Committee will determine what will need to be done prior to another Defense. The student is then called back into the meeting room and the Committee’s decision to pass, pass with revisions, or not pass is told to the student. The Committee then outlines for the students the revisions that will need to be made, if any, and then signs the Dissertation Defense form. If the student does not pass, the student should be provided with a listing of the required changes/additions that will need to be made before the Dissertation can be defended again.

Once all Dissertation Committee members agree that the dissertation is essentially complete, the date and time for the dissertation defense is set. At least one month prior to the event, submit the Dissertation Defense Announcement form to the Administrative Assistant of the Ph.D. Program. The defense will be announced to the Attallah College community to the defense date.
Upon defense of the dissertation, the *Doctoral Dissertation Defense* form must be completed thoroughly, signed by all committee members, and submitted to the Administrative Assistant to the Ph.D. in Education Program.

All reservations’ requests need to be made through the [Ph.D. Student’s room – Reservation Request Form](#).

**Submitting the Dissertation**

As previously stated the dissertation must follow the formatting guidelines set forth in the most current edition of the American Psychological Association publication manual. Prior to submitting the final copies of the dissertation to the library students are required to complete a [Library Checklist](#) that address the requirements of the format of the dissertation. Once the checklist is completed and signed by the Dissertation Chair and the student, an appointment with the librarian in charge of approving the dissertation format should be made. Once the format has been approved by the librarian students submit to the Administrative Assistant of the Ph.D. in Education Program documentation that the dissertation has been approved.

The next step is for the student to deliver to the library two copies of the final library approved dissertation for binding. One of these copies is for the Leatherby Libraries collection and the other one is for the Attallah College of Educational Studies collection. Students frequently will make additional copies so they can keep a copy for themselves, and they may wish to give copies to their Dissertation Chair and Committee members (this is not required however). Some Committee members may not want a bound copy of the dissertation so this is something to discuss with the Dissertation Chair and Committee members. The dissertation must be printed on 8.5”x11” 100% cotton or 24-pound bond. All copies are submitted to the Leatherby Library for binding. Chapman University will pay for the cost of binding of the copy for the Leatherby Libraries collection, and the student will be required to pay for any additional required copies. The student will pay a binding fee of approximately $20.00 (check with the library for binding fees for the exact cost as fee schedules change) for each additional copy. In addition, the dissertation must be submitted for publication. Procedures for publishing the dissertation are available on the [Leatherby Libraries webpage](#). Once the copies have been submitted to the library the student will provide documentation from the library that the copies have been submitted to the Administrative Assistant of the Ph.D. in Education Program.

**Completing Exit Survey – the Last Step before Degree Conferral**

The final step before the degree can be conferred is the student will complete an on-line exit survey. Once the library documentation has been received the Administrative Assistant to the Ph.D. in Education Program will provide the student with an electronic link to the exit survey. At the end of the survey the student will be provided with documentation that have completed the survey. This
documentation needs to be submitted to the Administrative Assistant to the Ph.D. in Education Program. Once this is submitted the Director of the Ph.D. Program in Education will submit the *Demonstration of Mastery* to the Registrar’s Office which will then allow for the student’s degree to be conferred. Degrees are conferred three times during the academic year (i.e., May 31st, August 31st, and January 31st).

**Participation in May Commencement**

In order to walk in the commencement ceremony in May, each student must successfully defend their dissertation by April 1st. If the defense is a "conditional pass," the remaining revisions must be *minor* revisions only. The students’ doctoral Dissertation Committee must be willing to sign a form stating they are confident that the minor revisions will be completed no later than August 15th of the same calendar year.
ALTERNATIVE EXIT OPTION

In rare cases a student might request a conversion from the Ph.D. in Education to an Education Specialist degree (Ed. S.) in Education with an emphasis in one of the following: Cultural and Curricular Studies, Disability Studies, School Psychology, or Leadership Studies.

Policy and Procedure

In the event that a student is unable to complete the Ph.D. program and wants to be granted an Education Specialist (Ed. S.) degree in the area of their Ph.D. emphasis, the following criteria must be met prior to application:

The proposal to convert from the Ph.D. program to the Education Specialist degree must originate from the student and be supported by the Director of the Ph.D. Program. The Director will ensure that this action is sponsored by at least two faculty members (one of which should be the student’s Advisor and/or Chair of the qualifying exam committee, as appropriate) with whom the student has taken a class or worked on a qualifying exam to insure the request to convert is educationally founded. Prior to application, the following criteria must be met:

- The student has completed a capstone activity that consists of passing a minimum of one qualifying exam with a minimum score of three;
- The student has completed all required coursework, with exception of EDUC 764, 793, and 799;
- The student has a minimum GPA of 3.25;
- The student is otherwise in good standing with the program and the university.

There are two forms that need to be completed. The first is the Graduate Change of Program Form, available from the Office of the Registrar. The second is the Intent to Convert from the Ph.D. Program to the Education Specialist Degree form, which must be completed and signed by two faculty members and the Director of the Ph.D. program. The Director then brings the form to the Attallah College Dean for approval. If approved, the degree will be processed like any other earned degree with the Registrar’s Office and subject to all of the requirements of the university in general and this degree specifically. The Intent to Convert from the Ph.D. Program to the Education Specialist Degree form can be found on Blackboard in the following route: Misc. Information & Forms.

Financial Aid and Enrollment Verification

Please note that courses will not qualify for financial aid or program credit if they are not program requirements. Per federal policy, only required courses are eligible for financial
aid. That is, doctoral students may not add courses to their program in order to be eligible for financial aid.

Verification of program enrollment will ensure that students are on track for degree conferral. The Office of the Registrar processes enrollment verifications for lenders, employers, and insurance companies. Enrollment can be verified one semester at a time. Students who require verification of enrollment for their lenders should be aware that new deferment forms will be required each semester. Enrollment verifications are kept on file for at least one semester. A student should not hesitate to contact the Office of the Registrar if the deferment needs to be resubmitted or faxed. There is no charge to fax deferment forms.
GRADES AND GRADING

“In Good Academic Standing” Policy
To continue enrolling in the Ph.D. program a student must be “in good academic standing.” A student is considered “in good academic standing” when the grade point average is 3.25 or above and the student has no more than 1 incomplete in a semester.

Grades
Grades are due approximately 20 days after the date of the last final examination, and are recorded on the permanent record as soon as they receive approval by the Associate Dean for Academic Affairs. Grades are posted on my.chapman.edu under “Grades” within the “Academic Profile” menu.

Grades Lower than a B
Any grade lower than a B requires an immediate meeting with the student’s Advisor and the Director of the Ph.D. in Education Program. A review of the student’s progress to date will be part of this meeting. A remediation plan will be developed.

Incomplete Grades
Students who have more than one incomplete course when it is time to register for classes cannot register for classes. More than one incomplete course means the student is not in good standing.

The grade of Incomplete may be assigned by an instructor if a student, through circumstances beyond his or her control, has not completed a small portion of a course by the conclusion of the term. The student must request in writing the grade of Incomplete and must propose a date acceptable to the faculty member by which the missing work will be completed. A grade of Incomplete may not be assigned in order to give a student a chance to do more work to improve a grade. A grade of Incomplete may also be assigned by an instructor if academic integrity is in question at the time grades are due and the instructor requires more time to resolve the issue.

The deadline for removal of an Incomplete is one year from the first day of the term in which the Incomplete was recorded, unless a shorter period of time is specified by the instructor. In certain circumstances where the student must attend the class to fulfill the remaining requirements, and when the course is not offered every semester, at the instructor's discretion the deadline for removal of the Incomplete will be one year from the end of the term in which the Incomplete was recorded. The deadline determined by the faculty member must be specified at the time of original submission of the incomplete grade. When issuing an Incomplete grade, instructors may issue the grade the student would have earned by assessing scores on all graded requirements. This grade is determined by including all zero points for all missing assignments in the calculation of the
final grade. If the agreed upon remaining coursework is not completed in the period allotted, the assessed grade will become the final grade.

**Disagreements and Conflicts between Ph.D. Student(s) and Faculty**

Disagreements or conflicts over grades, course assignments, class procedures, and other aspects of the Ph.D. Program should be addressed to the faculty member and then to the Director of the Ph.D. Program. All students are encouraged to be familiar with the university policies on the procedures for lodging complaints. Information can be found at the [Student Ask page](#)!
ACADEMIC AND CAMPUS RESOURCES

**Blackboard**
Blackboard serves as an online course component and virtual portal for program information. Students receive log-in data upon admission to the university. For log-on assistance, please call the Service Desk at (714) 997-6600. Every student in the Ph.D. in Education Program has access to the [Ph.D. Program Blackboard site](#). On this site students will find policies, forms, guidelines, procedures, and other kinds of useful information. This site should be the first place students look for programmatic information.

**Bookstore**
The [Chapman University Bookstore](#), located in the Bhathal Student Services Center located at 150 West Sycamore Street between the Barrera parking structure (Lemon St. and Sycamore Ave.) and the Kennedy Law School, is the main source for textbooks. The bookstore may be reached by phone at (714) 997-6809 and you can also order books online.

**Business Office**
[Student Business Services](#) for Orange campus students are provided by the Business Office, located at 150 West Sycamore Street in the Bhathal Student Services Center between the Barrera parking structure (Lemon St. and Sycamore Ave.) and the Kennedy Law School. A schedule of late night hours is available to accommodate the needs of working professionals. Please refer to the Business Office hours of operation [website](#) for more information or call (714) 997-6617.

**Career Placement Services**
Because doctoral students require a different level of career placement support than do undergraduate or master level students, this function will be shared by the Attallah College of Educational Studies and [Chapman’s Career and Professional Development](#). The Director of the Ph.D. in Education Program will have the primary responsibility for supporting students as they prepare for new careers. Doctoral faculty members also will play a key role through advising and mentoring. In addition, students will be supported during their dissertation year with two 1-credit seminars (i.e., EDUC 793) that will discuss topics such as vita development, applying for jobs in higher education (including where and when jobs are announced), preparing letters of introduction and philosophy statements, obtaining letters of support and recommendation, interviewing strategies, negotiating an academic contract, higher education politics, and developing diverse professional networks. The Career and Professional Development Center will also conduct a variety of workshops and professional development activities for doctoral students to help them prepare for entering higher education career paths.
**Tutoring, Learning, and Testing Center (TLT)**
Chapman University is committed to making its educational opportunities accessible to qualified individuals with disabilities in accordance with applicable state and federal laws. To meet this goal, the university maintains the Tutoring, Learning, and Testing Center to support students with disabilities. Students and faculty are provided with physical access and support toward creating an inclusive campus. The Graduate Catalog sets forth information about services for students with disabilities. Additionally, visit the [Tutoring, Learning, and Testing Center online](#) or call the center directly at (714) 997-6828.

**Computer Services**
At the Chapman University Orange campus there are a variety of computer classrooms and computer labs, all of which are available to students. See the [Computer Labs website](#) for schedules, equipment configurations, and software.

**Disability Services**
Chapman University is committed to providing support services to achieve equal access to the education experience. [Disability Services](#) (DS) approves and coordinates accommodations and services for students with disabilities at Chapman to help students acquire skills essential to achieve academic and personal success.

**Email**
All students are provided a Chapman email address, which should be checked regularly. If students prefer, they may forward their Chapman email to a personal address. To do this, students must visit the Chapman homepage, click on “Email” in the Quick Links dropdown, then click on “Forward Your Email” and follow the directions. For assistance, students may contact the Service Desk at (714) 997-6600 or visit the [Information Systems and Technology webpage](#). However, all official correspondence must be sent and received from the student's Chapman's email account.

**Financial Aid Office**
Since 1861, the university has been making it possible for students from all walks of life to enjoy the benefits of a Chapman University education. The Financial Aid Office is located at 150 West Sycamore Street in the Bhathal Student Services Center between the Barrera parking structure (Lemon St. and Sycamore Ave.) and the Kennedy Law School. Walk-in appointments are available. For general information, call (714) 628-2730, or visit the [Financial Aid Office webpage](#).

**Fitness Center and Pool**
The Chapman University fitness center and pool are open to all Chapman students and employees. A valid Chapman I.D. is necessary for entrance to the center. Fitness center users must adhere to the dress code. For hours and other information, please visit the [Fitness & Wellness webpage](#) or call (714) 997-6691.
**Student Health Services**
Chapman University Student Health (CUSH) is staffed with professionally licensed nurses, nurse practitioners, and physicians. We feel your health plays a vital role in how successfully you achieve your academic, social, and personal goals during your college years. Good health promotes favorable results; poor health can be a liability.

The Chapman Student Health Center is located at 402 N. Glassell Street (corner of Glassell and Sycamore), Orange, CA 92866. The phone number for the Health Center is (714) 997-6851. The center is available to students throughout weekdays on a walk-in basis. Please visit the [CUHS website](https://www.chapman.edu) for more information.

**Homepage**
The [Chapman University homepage](https://www.chapman.edu) makes available a variety of online resources and tools. Through the website, students can visit the [Attallah College of Educational Studies](https://www.chapman.edu/attallah-college) departmental homepage or the [Ph.D. in Education](https://www.chapman.edu/education) homepage.

**International Student Services**
The university’s Center for Global Education provides resources for international students. The Center for Global Education is located at 576 N. Glassell. The phone number is (714) 997-6830 and the Center’s email address is: globaled@chapman.edu. International students should become familiar with the information included in the [International Graduate Student Handbook](https://www.chapman.edu/). Please visit the [ISS webpage](https://www.chapman.edu/international-student-services) for more information on International Student Services.

**Library Services**
The Leatherby Libraries offer a full range of services and resources to students and faculty of Chapman University. Features include a study commons and cafe, a 60-station computer lab, 15 group study rooms, multi-media preview rooms, more than 600 seats, capacity for over 300,000 books and bound volumes, over 30,000 full text electronic journals, over 8,000 electronic books, 2,200 journal titles as well as DVDs, videos, CDs and other media, as well as access to a multitude of online resources. Knowledgeable librarians and staff are always willing to answer questions and provide personalized service to meet the needs of the Chapman community. The library’s website is the starting point for accessing the book holdings and journal indexes, including full text databases and extensive online reference sources. Students may also renew books online via the library website. An effective interlibrary loan program enhances the hard-copy and electronic holdings, enabling the library staff to support the research needs of students and faculty. The Leatherby Libraries facility contains group study rooms, user workstations, and exemplary library service for the Chapman community. For more information, please visit the [Leatherby Library webpage](https://www.chapman.edu/libraries).
Maps & Directions
Visit the Maps & Directions webpage to view a detailed map of the Orange Campus. This section of the university homepage also contains driving directions and parking information for visitors.

Parking
Students planning to bring a car, motorcycle, or bicycle to campus, need to register with the Department of Public Safety (714) 997-6763. Parking permits are mandatory and can be obtained from Public Safety. Please visit the Parking Services webpage for further information.

Psychological Counseling Services
Confidential psychological counseling (714) 997-6778 is provided to students on an as-available basis, and may include individual or group counseling. The Psychological Counseling Services Center is located at 410 N. Glassell St. (House between Public Safety & Student Health). Referral for psychiatric evaluation or to other appropriate outside agencies is available for students with additional therapy needs. Graduate students must opt to pay a Health and Counseling fee at the time of registration. Please visit the Student Psychological Counseling Services webpage for more information.

Public Safety
The primary role of the Public Safety office is to provide a safe working and learning environment for students, faculty and staff. The department operates 24-hours a day, seven days a week, and provides a variety of services: safety and emergency preparedness consultation, programs and classes in rape awareness defense, lost and found services, operation safe ride (an escort service provided to all community members who want an escort for their safety), property identification, vehicle registration, and bicycle registration. The Public Safety Department requires that all vehicles and bicycles on campus be registered. For more information, please stop by the office (located at 418 North Glassell), call (714) 997-6763, or visit the Public Safety website.

Restaurant Services
Chapman University Restaurant Services consist of a multitude of interrelated service programs all designed to meet the needs of students as well as the entire campus. Restaurant Services is committed to providing flexibility, quality, and variety to all of their customers.

Restaurant Services embraces personalized services and seeks to accommodate diets that are health related as well as preference related (e.g., accommodations are made for physician prescribed diets as well as vegan and vegetarian lifestyles). Commuter students may purchase meal plans associated with the residential restaurant and are encouraged to do so. For more information, please visit the Restaurant Services webpage. (Please note that meal plans are not available to doctoral students.)
University and Attallah College Events
To see the University events calendars please visit the Calendars page. Visit the Attallah College calendar page for events specific to the Attallah College.

Ticket Office
Tickets for cultural events including plays, concerts, and lectures may be purchased in the Central Ticket Office located at 327 N. Lemon Street, Orange, CA. 92866. Many of the events are free or discounted to students and employees of the university. Please call the office at (714) 997-6812 for additional information or visit the University Ticket Office.
REGISTRATION

Academic Calendar
Chapman's academic year is based upon a traditional calendar. Fall classes generally begin in late August and conclude mid December. An interterm session is held in January for the university, although no doctoral courses are offered during interterm. The spring semester begins in late January or early February and concludes in May. Summer sessions are scheduled from the end of May through mid-August. On the Academic Calendar website students can find general registration timelines.

Registration Process
Instructions for how and when register for classes can be found at the Registration website. At various times, the Administrative Assistant for the Ph.D. in Education Program and/or the Director of the Ph.D. in Education Program will be involved in assisting students with the registration process. Some classes (e.g., EDUC 764) will require permit to register numbers, which can be obtained from the Administrative Assistant to the Ph.D. in Education Program. It is the student’s responsibility to see that each step in the registration process is completed and that all appropriate parties have taken the necessary actions.

Also, the Registrar’s Office webpage can answer many registration questions.

Registration Status
Full-time status at the graduate level is defined as nine (9) or more credits per semester. Part-time status is defined as six (6) credits per semester. Enrollment in less than six (6) credits may negatively affect visa status and financial aid. Full-time student status is also required for the deferment of many student loans. If a student has deferred loan payments from a prior degree, the student is to contact the appropriate lending institutions for more information about the implications of becoming a part-time student. If there are further questions, students may contact the Director of the Ph.D. in Education Program.

Program Status: Active, Inactive, Holds
A student’s graduate degree program is considered active as long as the student fulfills the requirement of continuous registration, meaning consecutive registration for at least six (6) units during the fall and spring semesters, or files an official leave of absence by the established deadlines.

If the student fails to fulfill these requirements in any way, either by neglecting to register every semester, by not returning from a leave of absence when scheduled to do so, or by failing to pay university fees whereby registration is annulled, the student’s program will become inactive and the student will be required to file for reinstatement. Reinstatement is not guaranteed.
Holds that block a student from registering can be placed for various reasons, including overdue fees. Academic holds will be placed on a student’s registration by the Attallah College of Educational Studies if a student does not maintain minimal progress - meaning that the student registers for less than six (6) units in fall and spring semesters without prior approval - or the student does not make satisfactory progress toward the doctoral degree. If a student receives a hold, he or she should immediately consult with the Director of the Ph.D. in Education Program to determine what action is necessary to remove the hold. If the situation is not corrected and the hold is not cleared, the student’s program will become inactive.

**Termination of Student Status**
Each student is admitted to the doctoral program in the Attallah College of Educational Studies with the expectation that he or she will achieve the doctoral degree. The faculty has the right and obligation to terminate the student status of anyone whose academic performance or progress is deemed unsatisfactory, based on annual reviews. The Director of the Ph.D. in Education Program in consultation with a student’s Advisor, and the Attallah College Dean may dismiss any student who is clearly not making satisfactory academic progress, exhibits unethical professional conduct, or violates the student code of conduct. Please visit the [Academics at Chapman website](http://www.chapman.edu) for academic integrity policies and procedures. (Please note the Academic Integrity Policy is included in this handbook for your reference – see Appendix D.) However, before considering dismissal, the Director of the Ph.D. in Education Program (and if appropriate, the student’s Advisor) will meet with the student to discuss his or her academic performance and how to correct deficiencies. The [Student Code of Conduct](http://www.chapman.edu) applies to all students, including doctoral students.

In a review for Advancement to Candidacy, if the reviewers vote not to recommend the student for Advancement to Candidacy, the vote will result in the dismissal of the student from the program. The Director of the Ph.D. in Education Program or the student’s Advisor will communicate the decision to the student in writing and orally. The student may submit a written request for reconsideration. The Attallah College Dean will respond in writing to the appeal.

Once a student has been Advanced to Candidacy, a faculty decision to terminate student status may be made as a result of inadequate academic progress or unethical professional conduct. The Dissertation Chair, the Director of the Ph.D. in Education Program, and other faculty (as appropriate) will meet with the student before considering termination. A written summary of these discussions will be sent to the student and added to the student’s academic file. The summary will specify the academic deficiencies, the steps necessary to correct them, and the probationary period that is allowed for correction (normally a minimum of one academic semester). At the end of the warning period, the student’s progress will be reviewed and the student will be notified of the proposed action. If the student has made satisfactory progress, he or she will be notified in writing that the probation has been lifted.
If at the end of the probationary period the student has not made satisfactory progress, the Dissertation Chair, the Director of the Ph.D. in Education Program, and other faculty (as appropriate) may initiate proceedings for dismissal. The student will be notified, in writing, that the case of dismissal will be considered at a meeting with the Attallah College Dean. The student has the right to attend the meeting and to present his or her own case; a student may also make this case to the Attallah College Dean in writing.

After full discussion at the meeting, the Attallah College Dean, Dissertation Chair, and the Director of the Ph.D. in Education Program, without the student present, reviews the case and votes on the issue of dismissal. A minimum of three faculty members must be present. The student is sent a written summary of the discussion, including the recommendation and reasons for the recommendation. The student may submit a written request for reconsideration. The committee’s response to the request for reconsideration will be made in writing. Appeals will be sent to the Vice Chancellor for Graduation Education who will make the final decision.

**Graduate Re-Enrollment**

Graduate students who have broken enrollment for a period of more than one semester without receiving an approved Leave of Absence are required to request re-enrollment through the Attallah College (interterm and summer sessions do not constitute a semester). All students are held to the degree requirements in effect at the time of their return unless approved for their original catalog year requirements by the Director of the Ph.D in Education Program.

Contact the Administrative Assistant for the Ph.D. Program for the Graduate Re-Enrollment form or it can be found at the Registrar Office website. Submit the completed Graduate Re-Enrollment Form to the Administrative Assistant of the Ph.D. in Education Program who will assist in processing the form.

Some students who undergo the reinstatement process also will have lapsed candidacy and must petition to have their candidacy extended. See section “Advancement to Candidacy.” As stated earlier in this Handbook, rarely will an extension beyond the seven year rule be granted.

**Leave of Absence**

The Registrar portion of the Chapman University homepage sets forth Leave of Absence Policies and Procedures. Continuous enrollment is required unless a student has requested a leave of absence following the procedures of the Registrar. Students who are not enrolled for a year or more might be allowed to reenter the program but would do so under the program requirements at the time of reentry. Approval of a leave does not alter the seven year period for completion of all doctoral degree requirements.
GRADUATION

Degree Requirements
To earn a Ph.D. at Chapman University, doctoral students must complete the following requirements:

• Follow a planned course of study which results in successful completion of all required coursework (minimum of 57 units, with a GPA of at least 3.25) (See note below regarding students in the School Psychology emphasis area);
• Pass annual reviews of progress;
• Pass each of the three qualifying exams;
• Advance to Candidacy;
• Complete a dissertation that meets all program and institutional requirements;
• Actively participate in and contribute to the culture of scholarship (research environment) at Chapman;
• Submit two copies of the final dissertation to the Leatherby Libraries;
• Complete an electronic Exit Survey; and
• Complete the program within seven (7) years.

Students in the School Psychology emphasis may waive up to nine (9) units based on previous work, in consultation with School Psychology faculty to review transcripts and decide which units may be waived. Thus, their total unit requirement may be reduced to 48 units.

Degree Conferral
Chapman University confers degrees three times a year: August, January, and May. Degrees are not posted and diplomas are not released until the Registrar certifies that all degree requirements have been completed and all financial obligations to Chapman University have been paid. Degree certification includes verification of a complete student file (no missing transcripts or test scores); final grades in all courses (no incompletes; please note that doctoral students are not permitted to participate in commencement exercises until they have completed all coursework and passed all examinations including the dissertation defense); and, a have a cumulative grade point average of 3.25 or higher.

Graduation, or conferral of the degree, is not automatic - students must file the Intent to Graduate form (also referred to as Application for Degree Conferral or ADC) online to be considered for graduation. For details, please visit the Application for Degree Conferral webpage to learn about the steps for submitting this application. Students can apply for degree conferral via my.chapman.edu by clicking on “Application for Degree Conferral” under the “Academic Profile” index. Application deadlines for degree conferral start in the final year of coursework, please regularly check you Chapman email for information about degree conferral deadlines and Commencement requirements.
The current graduation fee is subject to periodic increase due to escalating costs. The fee does not cover caps, gowns, hoods, announcements or invitations. Information about purchasing or renting these items will become available to students via the Chapman Commencement webpage on the Chapman University website.
FINANCIAL AID POLICIES

Financial Aid
Accurate information about financing a doctoral program is of utmost importance to doctoral students. Therefore, the Director of the Ph.D. in Education program works closely with a designated resource specialist from the Financial Aid office to ensure that students are provided with accurate information. In addition, the Director of the Ph.D. in Education Program will provide students with resources that may offer avenues for funding the candidate’s program.

The Attallah College awards Ph.D. Fellowships annually on a competitive basis. Awards are given to students “in good standing” who have the greatest financial need based on the FAFSA. Merit is also taken into account when making the Ph.D. Fellowship awards. The Attallah College Fellowships are credited toward tuition only. In other words, the Fellowships are tuition discounts.

Other sources of funding such as loans and scholarships are administered by the university’s central Financial Aid office. Students are encouraged to apply for possible external sources of funding as well.

Graduate Assistantships
Graduate Assistantships are graduate students who provide assistance to faculty and staff in research and teaching. To the extent possible, Graduate Assistantships are also designed to further the graduate student’s own graduate career and development as a researcher, scholar, teacher, and professional. Graduate Assistantships are limited and competitive. Generally, there are two types of Graduate Assistantships awarded at Chapman University:

- Graduate Research Assistants assist University faculty members with funded research.
- Graduate Teaching Assistants assist University faculty members with various levels of teaching.

For additional information, please see the University's Student Employment Handbook.

Tuition
The tuition portion of a teaching fellowship and assistantship will appear as a credit on a student’s university bill.

Stipend/Salary/Teaching Fellowship
If a student has a teaching fellowship, the student will receive his or her salary through paychecks. Salary is taxable and will be withheld as the student requests on the W-4 Tax Data form.
Chapman Employees Admitted to the Program
The Ph.D. Program has been designated an impacted program, that is, limited in size rendering students ineligible for the granting of full tuition discounts. As a result, Chapman employees admitted to the Ph.D. Program will be eligible for limited tuition remission.

Registration
All students receiving financial aid must be registered in classes. Full-time students must be registered for a minimum of nine (9) units each semester. Part-time students must be registered for a minimum of six (6) units each semester.
RELEVANT CHAPMAN UNIVERSITY POLICIES

Academic Integrity Policy
Please see the full description of Chapman University’s policy on Academic Integrity. Due to the importance of this policy, a copy of this policy is also included in Appendix D of this handbook.

Doctoral Student Print Credits
Doctoral students are allowed 500 print credits per term (including interterm). To use print credits, students must use duplex printing (printing on front and back side). The printing policy can be found at: http://www.chapman.edu/campus-services/information-systems/printing/printing-policy.aspx.

Nondiscrimination Policy
Chapman University does not discriminate on the basis of race, gender, sexual orientation, color, age, disability, national origin, or ethnicity in any of its policies or practices, including, but not limited to: admissions, academic requirements, financial aid, employment, housing, athletics, or any other school-administered program or service. Information about discrimination policies can be found at Chapman University Discrimination Policies webpage.

Grievance Procedures
Students who have complaints or concerns about campus academic policies, procedures, other polices, treatment by faculty or other campus employees, or concerns about college operations are encouraged to bring those concerns or complaints to the Vice Provost for Graduate Education.

For academic matters, the process normally begins with the faculty member involved. Appeals typically go to the Director of the Ph.D. Program, the Attallah College Dean, the Graduate Academic Council, and then the Vice Provost for Graduate Education (who will act on the matter or refer it to the Provost). For non-academic matters (issues related to departments such as Facilities Management, Business Office, etc.), students should first discuss the matter with the head of the appropriate department with appeals to the appropriate supervisor. Students wishing to discuss or report concerns about harassment should contact the Vice President for Student Affairs.

Student Life Policies and Student Conduct Code
Chapman University expects all students to adhere to the policies that govern student behavior outlined in the Student Conduct Code. The University is specifically concerned when individual student conduct and organizational behavior directly interfere with the
University’s primary educational objectives and functions or the rights and safety of other members of the University community. Chapman believes that the conduct process has a role in developing a sense of responsibility and accountability in students, while being life preparatory. To that end, the University uses and counseling, in addition to formal conduct proceedings to bring about these outcomes. Every Chapman student is presumed to have sufficient maturity, intelligence, and concern for the rights of others and the rights of the institution to help maintain established standards of the academic community. When a student or organization’s behavior demonstrates otherwise, the University will consider such conduct proceedings hearings as are deemed necessary. For details regarding institutional policies governing student conduct or the disciplinary process, see the Chapman University Student Conduct Code or visit the Dean of Students website to find the code, required notifications, and other relevant policies.

**Alcohol and Drugs**
Chapman University students and their guests are expected to abide by all federal, state, and local laws, as well as Chapman policies governing use of alcohol and drugs. This requires that students and their guest not only have knowledge of these various laws and policies, but also are responsible and mature decision makers. Chapman University seeks to impart this knowledge and these values first and foremost through educational means relying heavily on positive staff and faculty role modeling, the formation and use of a peer education network, and curriculum infusion whenever possible. Factual information and knowledge regarding alcohol and drugs, skills and strategies for achieving and maintaining healthy behaviors, creation of a cooperative and consistent campus peer environment, and compliance with all local and federal regulations are components of this educational agenda. Illegal and abusive use of alcohol and other drugs by any member of the campus community constitutes an untenable threat to the community and signals a need for intervention on the part of the University. For further details, refer to the Chapman University Alcohol and Substance Abuse Policy or visit the Vice President for Student Affairs and Dean of Students website.

**Firearms and Fireworks**
The possession or use of firearms, fireworks, or other explosives is prohibited on campus and may be grounds for immediate dismissal.

**Freedom of Speech and Expression**
Because Chapman University (the “University”) is committed to free and open inquiry in all matters, it guarantees all members of the University community the broadest possible latitude to speak, write, listen, challenge, and learn. The University fully respects and supports the freedom of all members of the University community to engage in robust, uninhibited discussion and deliberation on any and all topics.

Of course, the ideas of different members of the University community will often not coincide and may quite naturally conflict. It is not the proper role of the University, however,
to attempt to shield individuals from ideas and opinions they find unwelcome, disagreeable, or even deeply offensive. Although the University greatly values civility, and although all members of the University community share in the responsibility for maintaining a climate of mutual respect, concerns about civility and mutual respect can never be used as a justification for closing off discussion of ideas, however offensive or disagreeable those ideas may be to some members of our community.

The freedom to debate and discuss the merits of competing ideas does not, of course, mean that individuals may say whatever they wish, wherever they wish. The University may restrict expression, for example, that violates the law, that constitutes a genuine threat or harassment against a specific individual that unjustifiably invades substantial privacy or confidentiality interests or that is otherwise directly incompatible with the functioning of the University. In addition, the University may reasonably regulate the time, place, and manner of expression to ensure that it does not disrupt the essential activities of the University. But these are narrow exceptions to the general principle of freedom of expression, and it is vitally important that these exceptions never be used in a manner that is inconsistent with the University's commitment to a completely free and open discussion of ideas.

In a word, the University's fundamental commitment is to the principle that debate or deliberation may not be suppressed because the ideas put forth are thought by some or even by most members of the University community to be offensive, unwise, immoral, or wrong-headed. It is for the individual members of the University community, not for the University as an institution, to make those judgments for themselves, and to act on those judgments not by seeking to suppress speech, but by openly and vigorously contesting the ideas that they oppose. Indeed, fostering the ability of members of the University community to engage in thoughtful debate and deliberation in an effective and responsible manner is an essential part of the University’s educational mission.

As a corollary to the University's vibrant commitment to protect and promote free expression, members of the University community must also act in conformity with the principle of free expression. While members of the University community are free to criticize and contest the views expressed on campus, and to criticize and contest speakers who are invited to express their views on campus, they may not obstruct, intimidate, or otherwise interfere with the freedom of others to express views they reject or even loathe in a manner which renders them substantially unable to express their views. To this end, the University has a solemn responsibility not only to promote a lively and fearless freedom of debate and deliberation, but also to protect that freedom when others may attempt to restrict it.

This policy can be found at the Chapman University Statement on Free Speech webpage.
Harassment and Discrimination
Chapman University is committed to providing an environment which is free from any form of harassment, and discrimination based upon one’s race, color, religion, ancestry, national origin, gender, marital status, sexual orientation, age, disability, status, any other classification protected by law, so that all members of the community are treated at all times with dignity and respect. It is the University’s policy, therefore, to prohibit all forms of harassment or discrimination among University faculty, students, staff, and administration. Please see Chapman University’s Harassment and Discrimination Policy for more information.

Hazing and Disorderly Conduct
Hazing, indecent or disorderly conduct or failure to comply with the directions of Chapman officials acting in the regular performance of their duties are not compatible with the university's function as an educational institution. Any such behavior will result in conduct proceedings and appropriate consequences.

Lactation Stations
Chapman University recognizes the importance of helping nursing parents feel welcome on campus and wants to ensure they have the resources they need to balance work, family, and education. The Lactation Stations provide a secure, private or semi-private, restful and sanitary environment for breastfeeding or pumping. All Lactation Stations on campus are equipped with a comfortable chair, table, electrical outlet, and refrigerator. These Lactation Stations are located as follows:
- 625 W. Palm Ave, Room 133. This is a single occupancy room, which requires keycard access.
- Fowler School of Law, Kennedy Hall, Room 167. This room requires keycard access and has seating for three.
- Wilkinson Hall on the lower level on the northwest corner of the building. This is a single occupancy room, which is located in a separate private space within the Women’s restroom area. This room does not require keycard access, but has a lock for privacy that indicates when it is occupied.
- Rinker Health Science Campus, Irvine - 9401 Jeronimo, Room 183. This is a single occupancy room, which does not require keycard access but can be locked from the inside for privacy.

Please note that reservations are not required for use of the room. You can obtain key card access to the Palm and Law School Lactation Stations by contacting the Chapman Service Desk at (714)997-6600 or email servicedesk@chapman.edu.

Local, State, and Federal Laws
Students attending Chapman are subject to local, state, and federal laws. Chapman reserves the right to impose institutional sanctions for violations of public laws, even when such violations occur off university property. Students may also be subject to civil and/or criminal charges for offenses on Chapman property, if such offenses are in violation of
local, state, or federal laws.

**Protecting Minors Policy**
The University is not set up to accommodate children in the classroom or other University spaces except when a program has been established to accommodate minors. Generally the university is not a childproof location that is set up to safely accommodate small children and it can be distracting and disruptive to others in the workplace and classrooms. Students, faculty or staff who have child care emergencies are advised to stay home or make alternative arrangements rather than trying to bring children to campus; faculty and supervisors should exercise leniency in excusing absences resulting from such emergencies. In addition, the University is not in a position to provide emergency childcare, and no university space is to be used as an alternative to child care, including but not limited to libraries, classrooms, laboratories, residence halls, lounges, restaurants or any other public space. Please visit the Protecting Minors Policy for more information.

**Residency Requirements**
The doctoral program policy is that credits will not be awarded for prior learning except in very rare circumstances (see Credit Transfer above). It should be noted, however, that a master’s degree is required for admission to the program. Students must complete their entire program at Chapman University; thus, the residency requirement is 57 semester units.

The exception to this policy is in the School Psychology emphasis. Students in this emphasis who enter the program with a master’s degree or Ed.S. degree of equivalency may waive up to nine (9) units; thus their total unit requirement may be reduced to 48 units.

**Rights and Privacy Act**
Chapman’s policy regarding confidentiality is in keeping with the Family Educational Rights and Privacy Act (FERPA), which affords students certain rights with respect to their education records, a summary of which follows:

- The right to inspect and review the student’s own education records within 45 days of the day Chapman University receives a request for access.
- The right to request the amendment of the student’s educational records that the student believes are inaccurate.
- The right to consent to disclosures of personally identifiable information contained in the student’s education records.
- The right to file a complaint with the U.S. Department of Education concerning alleged failure by Chapman University to comply with the requirements of FERPA.

One exception that permits disclosure without consent is disclosure to school officials with legitimate educational interests. School officials are individuals or entities working for or on the behalf of Chapman University. A school official has a legitimate educational interest if
the official needs to review an educational record in order to fulfill his or her professional responsibility.

As allowed within FERPA guidelines, Chapman University may disclose education records without consent to officials of another school, upon request, in which a student seeks or intends to enroll.

At its discretion, Chapman University may provide directory information in accordance with the provisions of the Family Educational Rights and Privacy Act. Directory information is defined as information that would not generally be considered harmful or an invasion of privacy if disclosed. Student may withhold directory information by notifying the University Registrar in writing.

A complete text of Chapman’s annual notification to students of their rights under FERPA is contained on the website of the Office of the University Registrar.

**Student Conduct Code**
All students, including those in Ph.D. programs, are required to follow the Chapman University conduct code found at the Student Conduct webpage. Adherence to the student code of conduct allows students to remain in good standing within the Ph.D. program.

**Teach-out Provisions**
If for some unforeseen reason Chapman University determines that the doctoral program is not viable once it has begun, no new students will be admitted, and all current students will be notified. However, if the program closes, the university will honor its commitment to students and a teach-out plan will be implemented. It is anticipated that a teach-out would take a minimum of four years to complete due to the length of the program. Therefore, the minimum amount of time from the program’s beginning to program closure would be four years. If students elect to transfer to another doctoral program, every effort will made to support students to enable a smooth transition. The teach-out plan will include: (a) identifying all current students in the program, (b) sending an explanatory letter to all students enrolled in the program, (c) sending an explanatory letter to all faculty teaching in the program, (d) meeting individually with each student to develop an individualized plan of completion, (e) developing and publishing a master schedule of course offerings to teach-out the program, and (f) sending an explanation letter to all students admitted to the program but not yet enrolled.

**Violence**
Any form of violence is forbidden and may result in immediate suspension from the campus, and upon appropriate determination, expulsion from Chapman University.
ADDITIONAL REFERENCES

Attallah College of Educational Studies Homepage
  • https://www.chapman.edu/education/

Attallah College of Educational Studies Scholarships and Graduate Travel Grants
  • https://www.chapman.edu/education/scholarships/index.aspx

Chapman University Graduate Catalog
  • http://www.chapman.edu/catalog/oc/current/gr/

Chapman University homepage
  • www.chapman.edu/

Chapman University Faculty Manual
  • http://www.chapman.edu/faculty-staff/faculty/_files/faculty-manual.pdf

Chapman University Student Conduct Code
  • http://www.chapman.edu/students/policies-forms/student-conduct/index.aspx

Grad Power
  • https://blackboard.chapman.edu/webapps/blackboard/execute/announcement?method=search&context=mybb&searchSelect=_17646_1

Institutional Policies
  • https://mywindow.chapman.edu/depts/hr/Pages/InstitutionalPolicies.aspx

Institutional Review Board (IRB)
  • https://www.chapman.edu/research-and-institutions/sponsored-programs/compliance/irb/

Leatherby Libraries Homepage
  • http://www.chapman.edu/library/
APPENDIX A: GENERAL PETITION

<table>
<thead>
<tr>
<th>CHAPMAN UNIVERSITY</th>
<th>Attallah College of Educational Studies</th>
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<tbody>
<tr>
<td>GENERAL PETITION</td>
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<tr>
<td>Please Indicate Petition Category:</td>
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<tr>
<td>☐ Academic Program Revision</td>
<td>☐ Change in Emphasis Area</td>
</tr>
<tr>
<td>☐ Change of Advisor</td>
<td>☐ Waiver or Transfer of Coursework†</td>
</tr>
<tr>
<td>☐ Other (specify):</td>
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Procedures:
1. State your request briefly, but completely.
2. Obtain the recommendation of your Advisor.
3. Present your petition to the Director of the Ph.D. Program, the Director of the Ph.D. Program will make a recommendation and submit the petition to the Associate Dean for action (the petitioner will be informed of action taken as soon as possible).

* This form is not for the use of obtaining Doctoral Dissertation Proposal Committee approval, Doctoral Dissertation Committee approval, Non-Doctoral Committee Member to serve on the Doctoral Committee approval, nor Amend Doctoral Dissertation Committee approval.
† Please attach relevant transcripts and course descriptions.

<table>
<thead>
<tr>
<th>Name</th>
<th>I.D.</th>
<th>Emphasis</th>
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<thead>
<tr>
<th>Email</th>
<th>Phone</th>
<th>Advisor’s Name</th>
<th>Extension</th>
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To the Attallah College of Educational Studies:

Specify Request Here:

Reason for request:

(Attach an extra page if additional space is needed.)

Date | Student’s Signature |
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New Faculty Advisor’s Approval (if applicable):

Date | Signature |
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Recommendation of Faculty Advisor:

I recommend this petition be: Approved | Denied

Reasons for the above recommendation:

Date | Signature |
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Recommendation of the Director of the Ph.D. Program:

I recommend this petition be: Approved | Denied

Reasons for the above recommendation:

Date | Signature |
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One University Drive • Orange, California 92866 • www.chapman.edu
APPENDIX B: QUALIFYING EXAM PROCEDURE

The Ph.D. Program in Education requires doctoral students to pass three qualifying exams prior to taking the EDUC 764: Dissertation Planning course. The qualifying examination policy involves two types of activities: (1) scholarly engagement, that help to build a student’s curriculum vita, and (2) completion of capstone written exams. A student may elect to meet the qualifying exam requirement by either completing the scholarly engagement and two written qualifying exams, or by completing three written qualifying exams. These are described below.

Scholarly Engagement

Scholarly engagement is defined broadly as an activity that contributes to the growth of new knowledge or the dissemination of knowledge. While reading and contemplation or reflection are forms of scholarly engagement, in this portion of the qualifying exam the emphasis is placed on scholarly engagement as the dissemination of knowledge. The student will provide evidence of scholarly engagement with artifacts that represent different forms of engagement. The experiences in this part of the qualifying exams have been designed to help prepare graduates for academia. Students must complete 6 different types of scholarly engagement and may do more if they so choose. It is possible that the qualification exam committee will be consulted in this case. Scholarly engagements may be done collaboratively with a faculty member and/or another student(s). A single experience (e.g., participating in a faculty member’s research) could provide opportunities for completing one or more types of scholarly engagement. Examples follow but may vary pending approval by the student’s Advisor and the Qualifying Exam Committee.

Artifacts will be submitted to the student’s Advisor (using the Qualifying Examination Form) who reviews and documents completion. The Advisor may consult with the Qualification Exam Committee when reviewing the artifacts. Scholarly engagement activities may be submitted any time after the first semester in the program and should be completed by the time the student has completed 42 semester units and the student has no outstanding incompletes. Following are some of the options for scholarly engagement:

1. Submit a conference proposal.
2. Present at a conference.
3. Submit an article for publication.
4. Submit a grant proposal.
5. In collaboration with a faculty member(s), review a series of articles and/or reports that have been submitted for publication. The number of articles/reports will be mutually agreed upon by the student and faculty member.
6. Participate as a research apprentice with a faculty member and/or other students and produce a report (e.g., a literature review or white paper, article for publication and/or conference proposal).

7. Create a syllabus for a university course and teach or co-teach the course.

Capstone Qualifying Exam
The qualifying exam questions are a step in the growth and original contribution/expression of students as scholars/stewards of the discipline. This experience is designed to allow the student to demonstrate preparation for independent dissertation research in content of the emphasis area (breadth), content of the proposed dissertation topic (depth), and research methodology. This exam will consist of two or three substantial questions, each to be completed in two weeks. Whether all questions are addressed at once or one at a time is the decision the student in consultation with the students Qualifying Exam Committee Chair, but in any case, each question should be given a two-week time frame. The decision to require two or three questions will be made by the Qualifying Exam Committee, and will, in part, depend on the number and quality of the scholarly engagements completed.

1. Identify a Qualifying Exam Committee Chair. This person must be an Attallah College full time faculty member. In most cases, this faculty member will become the Dissertation Chair once the Qualifying Exams have been completed.

2. Identify a Qualifying Exam Committee composed of two additional faculty members to assist you in preparing the qualifying exam questions. It is wise to discuss committee composition with your Chair. These faculty members may or may not also be part of your later dissertation committee. You should select people based on their interest and expertise in methodology and/or content that is relevant to your work.

3. Meet with the Qualifying Exam Committee Chair to discuss expectations for the qualifying exam questions. The expectation is that the student and faculty committee will develop the questions collaboratively. This will help to guide your preparation.

4. Select a 2-week period when you will answer the question. If answering all 3 questions at the same time, select a 6-week time frame. This is not a collaborative task and you are expected to write independently. You will submit responses to your Qualifying Exam Committee at the end of the writing period. You should respond to the questions in conventional text, they should be word-processed, follow APA format, spelling and grammar checked, and include references. The maximum length for written responses to each question is 20 pages double-spaced, not including references. Please work with your Qualifying Exam Committee to consider all options for submitting your responses.

5. After reviewing your responses, your Qualifying Exam Committee will invite you to a meeting to discuss your response and report their scoring. Note: Students will be given two tries to successfully complete the exam questions. If a third attempt is
needed, the Committee and the Director of the Ph.D. Program will discuss the
Education Specialist option with the student. If the student elects to continue to
pursue the Ph.D. new questions will be co-constructed by the student and the
Qualifying Exam Committee. If the three set of questions are not passed the
student will be dismissed from the program.

6. Results should be recorded on the **Qualifying Examination Form**. This form can be
found on Blackboard in the following route: Student Resource Handbook –
Dissertation Process (Forms) – Qualifying Examinations and submitted to the
Administrative Assistant to the Ph.D. in Education Program who will obtain the
signature of the Director of the Ph.D. in Education Program. Students should be
sure to make a copy of the form for their personal files.
# APPENDIX C: TIMELINE FOR COMPLETION OF DISSERTATION

<table>
<thead>
<tr>
<th>Benchmark</th>
<th>Timing</th>
<th>Anticipated Completion Date</th>
<th>Ph.D. in Education Program Handbook 2018-2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Choose your dissertation chair</td>
<td>Prior to initiating qualifying exams</td>
<td>Student</td>
<td>Dean &amp; Chair</td>
</tr>
<tr>
<td>Select tentative dissertation topic</td>
<td>Prior to initiating qualifying exams</td>
<td>Dean &amp; Chair</td>
<td>Dean &amp; Chair</td>
</tr>
<tr>
<td>Select dissertation committee</td>
<td>Once qualifying exams are passed</td>
<td>Dean &amp; Chair</td>
<td>Dean &amp; Chair</td>
</tr>
<tr>
<td>Present your dissertation proposal to the dissertation committee</td>
<td>Not less than 2 weeks before final defense</td>
<td>Dean &amp; Chair</td>
<td>Dean &amp; Chair</td>
</tr>
<tr>
<td>Select a dissertation proposal defense date</td>
<td>Not less than 2 weeks before final defense</td>
<td>Dean &amp; Chair</td>
<td>Dean &amp; Chair</td>
</tr>
<tr>
<td>Collect all required application forms and submit them to the Graduate College</td>
<td>Approximately 12 months prior to anticipated graduation</td>
<td>Dean &amp; Chair</td>
<td>Dean &amp; Chair</td>
</tr>
<tr>
<td>Submit revised dissertation proposal</td>
<td>As approved by dissertation committee</td>
<td>Dean &amp; Chair</td>
<td>Dean &amp; Chair</td>
</tr>
<tr>
<td>Submit revision to the Graduate College</td>
<td>As approved by dissertation committee</td>
<td>Dean &amp; Chair</td>
<td>Dean &amp; Chair</td>
</tr>
<tr>
<td>Final defense</td>
<td>As scheduled</td>
<td>Dean &amp; Chair</td>
<td>Dean &amp; Chair</td>
</tr>
<tr>
<td>Dissertation defense announcement sent to All Hallows College faculty and Ph.D. students</td>
<td>30 days prior to the scheduled defense</td>
<td>Dean &amp; Chair</td>
<td>Dean &amp; Chair</td>
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</table>

**PhD Degree**
<table>
<thead>
<tr>
<th>Benchmark</th>
<th>Timing</th>
<th>Anticipated Date</th>
<th>Completed Date</th>
<th>Person(s) Responsible</th>
<th>Forms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Defend Dissertation: Use the Doctoral Dissertation Defense Form to defend your dissertation. It must be signed at the defense.</td>
<td>On agreed upon date</td>
<td></td>
<td></td>
<td>Student &amp; Committee</td>
<td>Doctoral Dissertation Defense Form</td>
</tr>
<tr>
<td>If dissertation is not approved or is conditionally approved, follow committee directions for revision</td>
<td>TBD</td>
<td></td>
<td></td>
<td>Student revises according to Committee directions</td>
<td></td>
</tr>
<tr>
<td>Complete the dissertation Checklist with your Dissertation Chair. Submit final dissertation to Leatherby Libraries for formatting check. Once you receive the formatting approval from the library submit at least one copy (required - you may submit more if you wish) of your dissertation for binding to the library and complete the UMI forms.</td>
<td></td>
<td></td>
<td></td>
<td>Student, Chair, and library staff</td>
<td>Dissertation/Thesis Checklist</td>
</tr>
<tr>
<td>When dissertation is approved by your committee and submitted to Leatherby Libraries, submit Doctoral Dissertation Defense Form to the office of the Director of the Ph.D program.</td>
<td>By May 1 for May 31 conferral, By Aug. 1 for Aug. 30 conferral, By Jan. 1 for Jan. 31 conferral.</td>
<td></td>
<td></td>
<td>Student, Chair, and Committee</td>
<td></td>
</tr>
<tr>
<td>Exit interview and submission of all remaining required forms for degree conferral.</td>
<td>Schedule following submission of Doctoral Dissertation Defense Form</td>
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<td>Student &amp; Director</td>
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APPENDIX D: ACADEMIC INTEGRITY POLICY

Academic Integrity Policy
2018-2019
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PRINCIPLE

Chapman University is a community of scholars that emphasizes the mutual responsibility of all members to seek knowledge honestly and in good faith. Students are responsible for doing their own work, and academic dishonesty of any kind will be subject to sanction by the instructor/administrator and referral to the University’s Academic Integrity Committee, which may impose additional sanctions up to and including expulsion. This document represents the Academic Integrity Policy of Chapman University as it pertains to students and to the responsibility of faculty in handling cases of alleged academic dishonesty, including research integrity.

AUTHORITY

The Academic Integrity Committee (AIC) is charged by the Faculty Senate under the Faculty Constitution and bylaws to be responsible for defining academic integrity and establishing policies and procedures for investigating, hearing and sanctioning alleged violations of academic integrity. The Committee shall also make investigations and determinations of alleged violations of academic integrity policies and invoke the appropriate sanction as stipulated by Chapman University’s policies on academic integrity. The Committee includes:

1. Faculty membership: The committee shall include at least three faculty members from diverse disciplines, one of whom must teach in graduate programs, plus the chair (at least four faculty total). All faculty members serve two–year, staggered terms.

2. Chair: The chair shall be elected from among the second year/returning faculty members.

3. Ex–officio members: The Dean of Students or his/her/their designee shall serve as an ex–officio, non–voting member.

4. Student members: One undergraduate student appointed by the Student Government Association and one graduate student appointed by the Graduate Student Council, shall serve on the committee.

5. Voting privileges: Faculty and student members serve as voting members of the committee.

ACADEMIC INTEGRITY VIOLATIONS

Academic dishonesty can take a number of forms including, but not limited to the following:

- **Cheating:** Using or attempting to use unauthorized assistance, information or study aids in any academic exercise.
  - Copying answers from or looking at another student's exam.
  - Accessing or possessing any material not expressly permitted during an exam, such as crib sheets, notes, books.
• Using electronic devices such as cell phones, digital cameras, PDA’s, data storage devices, computers, internet or other electronic devices unless expressly permitted by the instructor for the required coursework.
• Continuing to write after a timed exam has ended.
• Taking the exam from the room and later claiming the instructor lost it.
• Fraudulent possession of a test prior to exam date.
• Submission of the same term paper or other work to more than one instructor, where no prior approval has been given.
• Submission of purchased term papers or projects done by others.

- **Fabrication:** The falsification or invention of any information or citation in an academic exercise.
  • Changing answers after an exam has been returned.
  • Falsifying/omitting data and/or sources, otherwise violating the ethical principles of research.

- **Facilitating Academic Dishonesty:** Knowingly helping or attempting to help another to violate any provision of this policy.
  • Allowing another student to copy one’s work.
  • Having another person take an exam or complete an assignment for oneself.
  • Taking an exam or completing an assignment for another student.

- **Plagiarism:** Representing the words, research findings or ideas of another person as your own in any academic exercise. [At their discretion, faculty may submit student work to plagiarism-detection software, such as Turnitin for review without prior notice to students.]
  • Copying word for word without proper attribution.
  • Paraphrasing without proper attribution.
  • Using phrases from another source embedded into original material without proper attribution.
  • Copying of intellectual property without proper attribution.

- **Misrepresentation of Academic Records:** Misrepresenting, tampering with or attempting to tamper with any university academic document, either before or after coming to Chapman University.
  • Creating or altering a Chapman University transcript, diploma, verification of enrollment or any other official university document (In this case the student(s) may also face prosecution for violation of Federal and State statutes).
  • Submitting false records or other documents such as transcripts from another institution.
  • Failure to report all previous academic work at the time of admission.
- Failure to report all academic work attempted at other institutions after admission to the university.
- Forgery, alteration or misuse of official academic documents (e.g., petition forms, advising forms, internship forms, etc.).

- Other Violations:
  - Violating professional ethics rules referenced or outlined in the honor codes or student handbooks of graduate or professional programs or colleges.
  - Violating applicable health, safety or ethical requirements in lab(s) or experiential clinical assignments.
  - Failing to observe rules of academic integrity established by a faculty member for a particular course.

ACADEMIC INTEGRITY IN RESEARCH

Chapman University students are expected to adhere to standards of ethics and integrity in research and scholarship. Misconduct in research includes fabrication, falsification, plagiarism or other practices that deviate significantly from those that are commonly accepted within the scholarly, creative and scientific community for proposing, conducting or reviewing research or in reporting research results. Key examples of such misconduct are listed below:

- Plagiarism:
  - Taking credit for someone else’s work and ideas, stealing others’ results or methods, copying the writing of others without acknowledgment or otherwise taking credit falsely.
  - Taking or releasing the data of others which were given in the expectation of confidentiality, e.g., appropriating ideas from submitted grant or contract proposals, or manuscripts for publication when one is a reviewer for granting agencies or journals.

- Falsification of Data:
  - Dishonesty in reporting results, ranging from fabrication of data, improper recording of data, negligence in collecting or analyzing data, to selective reporting or omission of conflicting data.

- Dishonesty in Presentation and Publication:
  - Knowingly presenting material or publishing articles that will mislead listeners or readers, e.g., misrepresenting data (particularly its originality).
  - Adding the names of other authors without permission or authors who have not earned the credit.
  - Citing unpublished papers without permission or including inadequate footnote or endnote attributions so that readers cannot tell who produced which data.
  - Publishing the same material more than once without identification of prior publication.
- Serving as a coauthor of a research paper or article without reviewing the material to be published.

Violation of Regulations:
- Failure to adhere to safe research practices or to receive the approval required for work under research regulations of federal, state, local or university agencies.
- Failure to adhere to Chapman University Institutional Review Board research procedures.
- Misuse of research funds.

Unethical Research Practices:
- Failing to report episodes of misconduct or breaches of research ethics as set forth in this policy.

Legal Violations:
- Stealing or destroying the property of others (research, research papers, supplies, equipment or products).
- Misuse of research funds.

ACADEMIC INTEGRITY SANCTIONS
Sanctions are determined by the instructor and/or the AIC. While sanctions may begin with a less severe action and then progress to more severe actions, the instructor and/or the AIC may initiate sanctions in any order, if in its opinion the circumstances so warrant. Nothing in the policy shall be construed to limit the right of the AIC to impose any form of discipline a student without a prior violation including suspension or expulsion. Generally, the order of recommended sanctions are as follows:

First violation: Instructor imposed sanction and a letter from the AIC. If the recommended sanction by the instructor (or the sanction imposed by the AIC which may be a warning, a recommendation for suspension or a recommendation for expulsion from the university) is an F grade for the course, the student cannot drop the course and the F grade cannot be eliminated by retaking the course.

Second (and subsequent) violations: Instructor imposed sanction, AIC sanction appropriate to the nature of the violation and a letter from the AIC. The AIC sanction may be a warning, a recommendation for suspension or a recommendation for expulsion from the University.

Possible Sanctions
The sanction given to a student is entirely up to the instructor/administrator based on the severity of the violation. The following are only examples of possible sanctions.
- Disciplinary warning.
- A make-up assignment that may be more difficult than the original assignment.
- No credit for the original assignment/exam.
- A failing grade on the assignment/exam.
- A reduced final grade for the course.
• A failing grade for the course.
• Denial of access to internships or research programs.

Additional Information on Sanctions
• The Tutoring, Learning and Testing Center may issue violations of the Academic Integrity Policy in the same manner as a member of the faculty.
• A student cannot withdraw from a course before receiving the violation notification from the AIC. If a student withdraws prior to notification, the AIC may reinstate the student to the course. After notification, a student may only withdraw from the class with explicit written consent of the instructor on record.
• A grade of F received as a result of an academic integrity violation cannot be removed from the calculation of the GPA should the course in question be repeated.
• Any grade received as a result of a second academic integrity violation cannot be removed from the calculation of the GPA should the course in question be repeated.
• For students taking a course P/NP, the letter grade of an “F” can be given as the sanction for an academic integrity violation.
• The AIC sanction letter will be placed in the student’s file in the Office of the Provost along with the instructor’s report.
• A copy of the letter will also be sent to the Vice President for Student Affairs and Dean of Students and the University Registrar.
• False statements made during the course of the process may result in additional sanction(s) and a referral to the Vice President for Student Affairs/Dean of Students for a Student Conduct Code violation.

Interim Action
• The Provost or his/her/their designee involved may suspend the student from one or more classes, experiential clinics or labs for an interim period prior to resolution of the academic integrity proceeding if the Provost or his/her/their designee believes that the information supporting the allegations of academic misconduct is reliable and determines that the continued presence of the student in classes or experiential assignments poses a significant threat to any person or property.
• The Provost or his/her/their designee must provide a written notice of the interim suspension to the student, with a copy to the Provost and the Dean of Students Office. The interim suspension will become effective immediately on the date of the written notice.
• A student who is suspended for an interim period may request a meeting with the Provost or his/her/their designee to review the Provost or his/her/their designee’s decision and to respond to the allegations that he/she/they poses a threat, by making a written request to the Provost for a meeting. The Provost or his/her/their designee will schedule the meeting no later than five (5) days following receipt of the written request and decide whether the reasons for imposing the interim suspension are supported by the evidence.
The interim suspension will remain in effect until a final decision has been made on the pending academic misconduct charges or until the Provost or his/her/their designee, determines that the reasons for imposing the interim suspension no longer exist or are not supported by the available evidence.

INFORMATION FOR FACULTY

Important Guidelines for Faculty

1. Course outlines should include the academic integrity principle statement and refer students to the catalog for more information.

2. To encourage compliance with academic integrity standards, instructors shall make an effort to explain to students at the outset of a course or the start of an examination the behavior expected of them when taking examinations or when preparing and submitting other course work. Further, faculty should actively monitor examinations. Additionally, at the faculty’s discretion, the faculty may submit work to plagiarism detection software, such as Turnitin for review without prior notice to students.

3. In all cases of alleged violations of academic integrity, faculty members must maintain confidentiality and not disclose information beyond those individuals who had a need to know.

4. Faculty must collect accurate records of an academic integrity violation and submit those records to the AIC chair at the Office of the Provost.

5. Faculty should encourage students who have been accused of an academic integrity violation to contact the Vice President for Student Affairs/Dean of Students or designee, who can serve as a resource.

Procedure for Faculty Charging a Student with a Violation

When a faculty member or member of the Tutoring, Learning and Testing Center staff has evidence of an alleged violation of the Academic Integrity Policy, the steps listed below should be followed:

1. Notify the student, and if Tutoring, Learning and Testing Center staff notify the student and course instructor, by Chapman e-mail and/or personal communication of the allegation within 10 calendar days.

2. Arrange a meeting with the student and course faculty member to be held as soon as possible, but at least within three (3) business days’ notice to the student. Any discussion of sanctions should be reserved for the meeting.

   - If the student fails to attend a scheduled initial meeting with the faculty without a compelling excuse, the student will lose his/her/their opportunity to appeal the violation report and/or sanction to the AIC.

   - An exception to meeting with the student may occur at the end of a semester when a student is no longer accessible for a meeting with the faculty member. In these cases, the faculty member should make every reasonable effort to contact the student by Chapman e-mail to discuss the matter. If reasonable attempts to
contact the student fail, the instructor may resolve the issue by submitting an academic integrity violation report form, which the student has the right to later appeal to the AIC.

- Both faculty and student may invite witnesses with first-hand information to the meeting who can knowledgeably provide relevant information about the alleged infraction.

3. Request that a faculty designee of the AIC be present as an observer of the meeting at least 48 hours before the scheduled meeting time. Complete the online request form available on the academic integrity website. The AIC designee will:
   - Ensure that the student knows where to find the Academic Integrity Policy and direct the student to the catalog.
   - Inform the student that he/she/they have the right to appeal the violation report and/or sanction to the AIC based on the guidelines provided in the catalog for appealing a violation report and/or sanction to the AIC.
   - Advise the instructor to submit the report of academic integrity violation, no later than 14 calendar days after the meeting.
   - Observe, but not participate in deciding whether a violation has occurred or which sanction should be imposed.

4. Be familiar with the guidelines for sanctions to determine an appropriate sanction for the type of violation.
   - A list of common instructor-imposed sanctions for various violations of academic integrity can be found in the academic integrity sanctions area.
   - Instructors are encouraged to use these guidelines to ensure consistency and fairness in assessing student sanctions.

5. In the meeting, present the student with the allegation and all evidence in support of the charge against the student. The student should be given the opportunity to respond and, if he/she/they wishes, and to submit evidence refuting the allegation.

6. At the conclusion of the meeting, the faculty member determines if it is more likely than not that the student has violated the Academic Integrity Policy, and if so, the faculty member charges the student with a violation of the Academic Integrity Policy.
   - If the student is found responsible, impose a suitable grade punishment. Examples of violations and common sanctions can be found above in this policy. Inform the student that they will receive a sanction letter from the AIC.
   - If the faculty member needs more time to decide on the case, give the student a reasonable timeframe for a response. A grade of Incomplete may also be assigned by the instructor if academic integrity is in question at the time grades are due and the instructor or AIC require more time to resolve the issue. (See Academic Policies and Procedures in the catalog for more details on “Incomplete Grades.”)

7. After notifying the student of the sanction in writing by University e-mail, complete the academic integrity violation report form which can be found on the academic integrity website.
8. The completed academic integrity violation report form and other pertinent documents must be submitted as soon as possible, but not later than 14 calendar days after the meeting unless there are exceptional circumstances and an extension has been granted by the AIC chair.

9. The report/documents can be sent by the instructor to the AIC chair in the Office of the Provost. The form and documents may also be sent by e-mail to aic@chapman.edu. In most cases, submission of this form and documents will complete the academic integrity violation process for the faculty member.

10. The student will receive a letter of sanction from the AIC chair along with information for appealing the violation report and/or sanctions.

INFORMATION FOR STUDENTS

Important Guidelines for Students

1. Students should strictly avoid any appearance of academic dishonesty. This includes, but is not limited to: joking to others about cheating, permitting others to cheat off them, talking during examinations, plagiarizing, fabrication or falsification of information or forging documents. Students should keep their eyes on their own exams during examinations and protect their exams from the view of others.

2. Students should be aware and adhere to instructor guidelines for projects, papers and exam situations including use of appropriate citations. This includes the extent of independent and collaborative work allowed for an assignment. All electronic devices (cellular phones, tablets and computers) should be turned off and placed completely out of site during test situations, unless otherwise directed by the instructor.

3. Academic dishonesty can take a number of forms. Please see the academic integrity violations area for a number of examples.

4. Students who discover an apparent violation of this policy should report the matter to the instructor of record or if the instructor is not known or unavailable, to the Vice President of Student Affairs/Dean of Students.

Appealing a Violation Report and/or Sanction to the Academic Integrity Committee

If the student accepts responsibility for the charge and the imposed sanction, then the matter is immediately resolved. If the allegation or founded violation represents a second violation of the Academic Integrity Policy, the AIC will review the case regardless of whether the student decides to appeal the violation report and/or sanction.

1. Any student who has received an AIC sanction letter is encouraged to schedule a meeting with the Vice President for Student Affairs/Dean of Students or designee to discuss the situation prior to appealing the case.

2. If the student disagrees with the violation report and/or the sanction of the instructor/administrator, the student can appeal the violation report and/or sanction
to the AIC by writing an appeal letter addressed to the AIC chair. The appeal letter and any supporting documents can be sent via e-mail to aic@chapman.edu.

- Appeals must be made within 10 Chapman University business days from the date of the sanction letter.
- In exceptional circumstances, a student may request additional time to appeal the violation report and/or sanction by e-mailing aic@chapman.edu, addressed to the AIC chair and extensions are granted at the sole non–appealable discretion of the AIC chair.
- Requests for extensions must be made within ten (10) Chapman University business days of the date of the sanction letter.

3. Appeals are not granted automatically as they must be thoughtful, well–reasoned and substantive and must demonstrate that at least one of the following criteria exists:

- New evidence not available at the time of the meeting with the faculty member/administrator has become available and is potentially sufficient to alter the faculty member/administrator decision.
- There was a substantive procedural error made in charging the student.
- The sanction(s) imposed was not appropriate for the violation of Academic Integrity that occurred.
- The facts in the case were insufficient to establish that a violation of the Policy occurred.

Appeals must also include pertinent evidence supporting one of the above criteria and names of witnesses the student requests be called who have first–hand information about the matter. New evidence will not be accepted at the hearing unless it can be demonstrated that it could not have been known or available to the student at the time of the appeal. Evidence submitted will be reviewed by the AIC chair and may be denied if cumulative or not probative of the disputed facts or to the determination of the case.

4. The AIC chair will notify the student via Chapman e-mail whether or not the AIC has determined that there are grounds to conduct a hearing. Should the AIC determine there are grounds to conduct a hearing, the AIC will notify the student of the hearing and where it will be held at least five (5) Chapman University business days in advance of the scheduled hearing date.

5. If the AIC has decide to hear the student’s case, the following individuals will be invited to participate:

- The AIC chair and the AIC faculty members.
- The student representatives on the AIC.
- The Vice President for Student Affairs/Dean of Students or his/her/their designee (ex–officio, non–voting).
- The student.
• Any other persons called by the AIC chair, including material witnesses (such as
the faculty member) whom the student or the AIC members deem relevant to the
case.
• The student may also invite one person to provide support (e.g., friend or family
member). This support person may not speak for the student and this individual
may not be an (practicing or non–practicing) attorney. A quorum is necessary for
all AIC business. A quorum is defined as three (3) voting members of the AIC.

6. Should the student fail to appear at the hearing before the AIC, the AIC shall have
full authority to proceed in the student’s absence. Any student that misses the
scheduled hearing with the AIC forfeits the right to appeal the AIC’s decision to the
Office of the Provost.
• If for any reason, the student needs to reschedule the hearing with the AIC, the
committee needs to receive a 24 hours’ notice. Hearings will be rescheduled
only for exceptional circumstances at the sole non–appealable discretion of the
AIC chair.

7. At the start of the hearing, the student is invited to present his/her/their case. The
student has the right to present relevant evidence supporting his/her/their claims that
has been previously provided to the AIC in his/her/their appeal. The student should
be brief, concise, and organized in presenting his/her/their case.
• The AIC chair may conclude the hearing at any time should the committee feel
that the student is straying from the relevant facts of the case or reasons for the
violation report and/or sanction to be vacated.
• Although the committee may ask the student to review briefly the events of the
case, the student comments should focus primarily on specific reasons the
violation report and/or sanction meet one of the above specified grounds for
appeal.
• AIC members may ask the student questions about the case for clarification.
• The student and witnesses are expected to maintain proper decorum during the
proceeding or risk being excused. If a student is excused, the hearing will
continue in his/her/their absence.

8. After the student has presented the case and all questions have been addressed,
the student and faculty member will be excused and the AIC will deliberate.
Deliberation may result in the following:
• A decision to uphold, modify or overturn the initial sanction. The AIC reserves
the right to modify or overturn the instructor’s sanction.
• A determination that additional information is needed. In this case, the decision
is suspended until all necessary information has been obtained. In this case, the
student will be notified as soon as possible, but within a few days, after the
meeting.

9. After the AIC makes its decision, the chair will notify the student in writing and via
Chapman e-mail. Decisions of the AIC are based on the standard of proof whether it
is more likely than not that the student violated the Academic Integrity Policy of Chapman University.

**Appeal of the Academic Integrity Committee Decision to the Provost**

If unsatisfied with the outcome of the AIC hearing to contest the violation report and/or sanction, the student may appeal the decision of the AIC to the Provost by e-mailing aic@chapman.edu within five (5) Chapman University business days of receiving the AIC decision letter. This period is known as “the appeal period.” A review will be conducted by the Provost or the Provost designee.

In exceptional circumstances, a student may file a request to the Provost for an extension to the appeal period by e-mailing aic@chapman.edu. Requests for extensions must be made within the appeal period.

Appeals are not granted automatically as they must be thoughtful, well-reasoned and substantive and must demonstrate that at least one of the following criteria exists:

- New evidence not available at the time of the hearing has become available and is potentially sufficient to alter a decision.
- There was a substantive procedural error that may have prohibited the hearing from being conducted fairly in light of the violation report and/or sanction.
- The sanction(s) imposed was not appropriate for the violation of Academic Integrity that occurred.
- The facts in the case were insufficient to establish that a violation of the Policy occurred.

Upon appeal, the Provost or his/her/their designee shall review the faculty member’s decision, sanctions and supporting evidence, and any evidence provided by the student, and may confer with the faculty member and the student. The Provost or his/her/their designee shall have the authority to uphold, modify, or overturn the AIC’s decision and sanctions.

The Provost or his/her/their designee shall notify the student, the faculty member and the Dean of Students in writing of his/her/their decision. The Provost or Provost designee’s decision is final on all Academic Integrity Policy violation cases. No further review or consideration will be granted following this decision.