

**Agenda**  
**Department of Educational Psychology**  
**Friday, February 3, 2012**  
**Gentry 142**  
**9:30 – 11:30 a.m.**

1. Welcome (Return of Jane Rogers and Rachelle Perusse from Sabbatical)
2. Changes to the Minutes (Siegle – see attachment)
3. Announcements
  - 3a. Recent Grants/Awards (Siegle—see attachment)
  - 3b. Graduate Admissions Process Update (Siegle– see attachment)
  - 3c. Annual Compliance Training (Siegle– see attachment)
  - 3d. President’s Research Award applications due Feb. 10 (Siegle—see attachment)
  - 3e. President’s Cluster Hire Initiative (Siegle)
  - 3f. Ideas for Available Funds from Dean’s Office (Siegle)
  - 3g. Jonathan Plucker colloquium on Feb. 13 at 10:30 a.m. (Siegle)
  - 3h. Latent Class Analysis colloquium with Jay Magidson on April 20 (Chafouleas/McCoach—see attachment)
  - 3i. Multilevel Structural Equation Modeling colloquium with Laura M. Stapleton on April 27 (Chafouleas /McCoach—see attachment)
  - 3j. Value-Added modeling Workshop with Daniel McCaffrey on Mary 14 and 15 (McCoach—see attachment)
  - 3k. Other
4. Committee Issues
  - 4a. **ACTION ITEM:** Dissertation Guidelines Committee Final Report (Siegle– see attachment)
  - 4b. Merit Committee Feedback (Brown)
  - 4c. Special Education Search Update (Simonsen)
  - 4d. Director of Online Learning Search Update (Brown)
  - 4e. Measurement, Evaluation, and Assessment Search Update (Swaminathan)
  - 4f. Teacher Education C&I/EPsy Search Update (Siegle)
  - 4g. Other
5. Other Business
  - 5a. NSOE Assessment Plan (Yakimowski)
  - 5b. Other
6. Adjournment



Chili Cook Off in the Atrium at Noon

**EDUCATIONAL PSYCHOLOGY DEPARTMENT  
FACULTY MEETING MINUTES  
December 2, 2011**

**Attendees: M. Bray, S. Brown, S. Chafouleas, R. Colbert, M. Coyne, M. Faggella-Luby, K. Gavin, J. Gubbins, O. Karan, T. Kehle, C. Little, B. McCoach, N. Olinghouse, J. O'Neil, L. Sanetti, D. Siegle, J. Stephens, G. Sugai, H. Swaminathan, M. Welsh, M. Yakimowski, M. Young, P. Britner, C. Rhoads, J. Van Heest, S. Everett, J. Goldstein**

**1. Welcome**

The meeting commenced at 9:30 am. Jessica Goldstein was welcomed to the meeting.

**2. Changes to the Minutes**

There were no changes to the October meeting minutes.

**3. Announcements**

**3a. Matt Ross attended our meeting in order to demonstrate the “New Graduate Admissions System. There were a few questions answered. There will be some future changes made to the system in order to fine tune it.**

**3b. The department head has provided new GRE score to the faculty. The tables were included in the packet emailed to everyone.**

**3c. President Herbst has been invited to attend the school-wide meeting today at 1:00 pm.**

**3d. Del and Betsy will be hosting an “End-of-the Semester” party at their new home on December 15<sup>th</sup>. Instructions have been included in the packet.**

**3e. CILT and Special Education Updates were not discussed at this meeting.**

**3f. In order to have more control over the copier, it has been necessary to install a “copy code.” All faculty, staff and graduate assistants will be provided with the code.**

**3g. The departmental website is currently being updated. The school psychology program is almost completed. Each program will be capable of making any necessary changes to their program information.**

Special Education was inquiring about funds to create a brochure for their program. The department head suggested that we create a “generic” brochure for each program. The department head would like each program to work with Shawn Kornegay, our marketing and communication director. Natalie Olinghouse suggested that we review Vanderbilt’s website in order to get some ideas about promoting our programs. Del will be busy taking photographs in the classroom and other events for inserts in the brochure.

3h. Del has included instructions for use of the “Dropbox.”

3i. As of January 15, 2012, we will no longer be receiving our FRS reports. Joanne will be required to use “control D” to access a printed copy of the reports.

3j. May 14 and 15, 2012 there will be a workshop presented by the MEA program. Daniel McCaffrey will be the presenter. There has been a cap set at 24 attendees. Faculty will be required to pay \$250; however, students will pay \$150.

#### 4. Committee Issues

4a. The PTR document was created by H. Swaminathan and M. Doyle over the summer. They reviewed other university’s protocols as an example for their document. S. Chafouleas encouraged everyone to review the document and is welcoming any feedback in order to complete this document. There are no specific deadlines; however, they do hope that the guidelines will be in place for next fall. K. Gavin had some concerns which she shared with the faculty. Del tried to explain the differences in certain titles which are actually not correct. However, he also explained the problem in trying to change some of the titles.

Scott Brown thanked the committee for their hard work. He also suggested that there be a systematic evaluation by the faculty for the pre-tenured professor. He also asked for clarification on several points.

Jason Stephens shared his experience with his PTR and mentioned that it would have been helpful if he had been pre-evaluated by some senior faculty members.

Tom Kehle mentioned that he felt there was a lot of pressure on a new professor just coming into the university setting.

C. Little feels that the process should be a little more informative along the way so that it would not be so stressful.

The document will go forward to the school-wide meeting once all of the edits have been made for approval or not.

**4b. The dissertation guidelines are almost ready for the final draft. It has been decided to add three doctoral students to the committee.**

**There is a question about whether or not to have readers. If there are readers, they need to have a Ph.D. B. McCoach also felt that the person should have a research background. The reader's role should be to informative to the student....should not be to advise them.**

**There were several other viewpoint which were expressed.**

**Rievew of literature – (get powerpoint)**

**4c. The special education search is going well. There has already been some interest shown in the position. Del has approved the job description at the department level and it is moving through the appropriate university offices for approval.**

**4d. M. Young inquired as to whether or not the Director of Online Learning will be a tenure-track position. S. Brown also inquired as to whether this person should be a part of CILT or not. S. Brown is accepting any comments from the faculty. The committee is still working on the job description.**

**4e. The MEA committee is also still working on the job description. Also, this person will be the director of the MEA Center which does not exist just yet.**

**4f. B. McCoach presented a new course to the faculty. The course is “Structural Equation Modeling” – EPSY 6613. The course was taught in the psychology department. However, Dave Kenny is retired and so this course is no longer taught there. The Department of Psychology has strongly suggested that we teach the course. The content would be similar.**

**J. Gubbins seconded the motion. The course was approved unanimously.**

#### **5. Other Business**

**5a. Tech Tips – the faculty was encouraged to share information concerning iPad/iPod/iPhone applications.**

#### **6. Adjournment**

**M. Faggella\_Luby motioned for adjournment. M. Welsh seconded the motion. The meeting adjourned at 11:55 am.**

## Recent EPSY Grants Awarded

Megan Welsh – \$22,084 – UCRF – Validation of Student Learning Objectives as a Teacher Evaluation Tool

Michael Faggella-Luby - \$24,898 – UCRF – Project VISIBLE: Validating Implementation of Secondary Instructional Behaviors in Literacy & English

Joe Renzulli - \$750,000 – Jack Kent Cooke Foundation – Renzulli Academy Summer Enrichment Program: Explorations and Investigations

Robert Colbert – \$368,000 – Balfour Foundation – Effects of Implementing an Equity-Based College Readiness Curriculum in Two Urban Schools

Michael Coyne - \$163,917 – Providence School District – Development of the K-12 English language Arts Curriculum Framework (ELA Providence III)

## 2012 Process for Reviewing Graduate Applicants

1. Students apply electronically through Hobson
2. Graduate School transfers applicant's Hobson information to PeopleSoft within 24 hours.
3. NSOE transfer applicant's information from PeopleSoft to SIS.
4. Cheryl Lowe identifies new application in SIS and copies recommendation letters and transcripts from Hobson to SIS (these documents do not automatically transfer).
5. Cheryl Lowe prepares a paper file of the applicant's material.
6. Cheryl Lowe sends an email to the Program Chair with the applicant's name.
7. Program Committee reviews applicants' files either electronically through SIS or via paper folders prepared by Cheryl Lowe.
8. Program Committee indicates applicant's acceptance or rejection either within SIS or on paper folder (Program Committee should use one or the other). If paper is used, folder is returned to Cheryl Lowe. She enters acceptance or rejection into SIS system.

**MA and 6<sup>th</sup> Year:** Department Chair checks applicant's status in SIS and enters Program Committee's decision into Hobson for Masters and Sixth Year applications. Grad School process applications and notifies student of decision.

**Ph.D.:** Cheryl Lowe prepares a spreadsheet for the Dean's office of the Program Committee's decision for all Ph.D. applicants. The spreadsheet contains names, program, GRE Scores, GPA, and decision. Department Head reviews the spreadsheet and sends it to Dean's office. Dean reviews the spreadsheet, gives final approval of Program Committee's decision, and returns spreadsheet to the Department Head. Department Head enters final decision into Hobson, and Graduate School processes application and notifies student of decision.

## New GRE Scores and Doctoral Program Admissions

As you may know, the GRE Exam and scoring system changed on August 1, 2011.

“When developing the GRE revised General Test, significant changes were made to the Verbal Reasoning and Quantitative Reasoning measures. As such, professional standards required us to change the score scales for those measures. Verbal Reasoning and Quantitative Reasoning scores are reported on new 130 – 170 score scales, in one-point increments, and are designed to provide more simplicity in distinguishing performance differences between applicants. The Analytical Writing score is reported on a 0 – 6 score scale, in half-point increments.” (retrieved 11/22/11 <http://www.ets.org/gre/institutions/scores> )

Here is a link to the information page on the new test - <http://www.ets.org/gre/institutions> . If you are interested, ETS offers a webinar on the new tests and new scoring system. You can link to the webinar registration from the information page.

The transition from the ‘old’ GRE scoring system to the new system has implications for graduate admissions procedures this year. I have attached the ETS Concordance tables so you can compare “new” GRE scores with the more familiar “old” GRE scores. From the ETS website: “Concordance tables may be appropriately used for translating an institution’s historical guidelines for GRE scores on the prior score scales to the new score scales. Using the tables in this way should result in the selection of approximately the same proportion of students.” The GRE website goes on to say that you can use the concordance tables to translate “old scores” into “new scores”, but you can not translate new scores into old ones.

***In past years, doctoral candidates who are offered admission have been expected to score 1200 or higher on their GRE verbal and quantitative reasoning combined scores. The target combined score for applicants who have taken the “new” GRE is 311.***

This year, and for a few years to come, you will be receiving both “old” scores and “new” scores from applicants. *As you prepare scores for the Dean’s review, we ask that you submit both “old” scores and converted scores for candidates who have completed the older form of the GRE. For those who have taken the new test, you need only submit actual scores.*

### **New procedures for Dean’s approval on doctoral program admissions**

The new web-based Grad School application allows for only one administrative approval signature and has eliminated the need for the manila folders and cover sheets. Dean DeFranco wants to continue to review and approve each applicant’s GRE scores prior to approval for admission by the department head.

Therefore, prior to department head approval/denial of a candidate's application in the Hobson's ApplyYourself system, please provide the following information on candidates being considered for admission to the Associate Dean, for Dean's review:

- Name
- PS ID
- Gender
- Race/ethnicity
- Prior institutions and degrees
- Program to which candidate has applied
- GPA
- GRE scores (verbal reasoning, quantitative reasoning, writing)
- Recommended action
- Department head's signature

If the candidate has provided 'old' GRE scores, please provide both the 'old' scores and the 'new' scores calculated from the conversion table. If the candidate has taken the 'new' test, there is no need to convert the new scores to old scores.

If possible, please provide information on a group of candidates rather than one applicant at a time. A sample table, seen below, has been attached for your department's use.



Uname	Fname	PS#	Gender	Race/Ethnicity	Institution / Degree	Program to which candidate applied	Cum GPA	GRE (V/O/W) ("Old")**	GRE (V/O/W) ("New")**	Recommended Action	Dept. Head Signature	Dean Signature
Sample	Candidate	1231234	F	W	Unmass/BA Psych	PhD Ed Psych	3.2	590/620/3.5	159/149/3.5	Accept		
Another	Sample	3214321	M	H	UConn/MA Special Ed	PhD Ed Psych	3.5	NA	160/158/4.0	Accept		

\* Write NA if applicant took new test.  
\*\* Convert "old" scores to "new" scores.

# UConn Daily Digest

*Tuesday, January 31, 2012*

## Annual Compliance Training Begins 2/6/12

Annual Compliance Training Announcement

### In-Person Training

In-person sessions of the Annual Compliance Training are scheduled to begin on MONDAY, February 6, 2012. This year, faculty and staff will be able to attend any session, as the material is the same for all audiences. Because seating is limited, employees are required to register online for the in-person sessions.

Storrs Campus in-person training will be held at the Dodd Center in the Konover Auditorium. Regional Campus employees may attend sessions at their campuses. To view the complete listing of all sessions and to register, visit the Office of Audit, Compliance and Ethics (OACE) website at <http://www.audit.uconn.edu/training.htm>. You will need your NetID to register for in-person sessions. (Contact UITS at 486-HELP if you do not know your NetID.) Liz Vitullo, at (860) 486-4526, is available to assist with registration for employees who do not have computer access.

### New Trainer Introduction

This year, in-person sessions will be conducted by Meredith Trimble, former Director of Education for the Connecticut Office of State Ethics. Meredith comes to the OACE team with higher education experience: she developed the state's Ethics Code curriculum and trained state employees annually, including the faculty and staff in the Connecticut State University System, Connecticut Community Colleges and the Department of Higher Education.

### Online Training

An online version of the training is scheduled to be available by the end of February. Please stay tuned for future announcements regarding the online training.

### Additional Assistance

Please email our office at [compliance.training@uconn.edu](mailto:compliance.training@uconn.edu) if you will need Sign Language Interpreter Services or Accessibility considerations. OACE should be notified at least two weeks prior to the session in order to confirm availability.

Please also feel free to contact the OACE at (860) 486-4526 or the email address above with any additional questions. We look forward to the informative and engaging sessions ahead!

Compliance Training must be completed by May 18, 2012.

LIZ VITULLO University of Connecticut OFFICE OF AUDIT, COMPLIANCE AND ETHICS 9 Walters Avenue, Unit 5084 Storrs, CT 06268 Phone: 860-486-2530 Fax: 860-486-4527  
[Elizabeth.Vitullo@uconn.edu](mailto:Elizabeth.Vitullo@uconn.edu)

## Siegle, Del

---

**From:** UConn School of Education Faculty [UCEDUC-L@LISTSERV.UCONN.EDU] on behalf of Pichette, Valerie [valerie.pichette@UCONN.EDU]  
**Sent:** Monday, January 30, 2012 11:49 AM  
**To:** UCEDUC-L@LISTSERV.UCONN.EDU  
**Subject:** FW: President's Research Award Information  
**Attachments:** President'sResearchAwardNotification

**Importance:** High

Sent on behalf of Dean Thomas C. DeFranco

Dear Faculty,

The President's Research Award is designed to enhance faculty research in all disciplines. The University will support two outstanding faculty research projects that have the potential to improve the quality of life for people in the state and nation. Each award will be worth \$50,000. The awards will be granted through the Office of the Vice President of Research and proposed guidelines state,

"Each school/college may submit one nomination. The College of Liberal Arts and Sciences may submit two nominations. *The proposals must be routed through the office of the dean of the school/college.* Collaborative interdisciplinary proposals are encouraged".

According to the Proposal Guidelines,

Proposals should not exceed four pages in length (excluding cover page). Proposals should be single-spaced, prepared on standard (8.5x11") paper, with one-inch margins and font no smaller than 12 point. The proposals must be paginated as a single document and should be submitted electronically as an attachment (.pdf format) to [Larisa.zagorski@uconn.edu](mailto:Larisa.zagorski@uconn.edu). The proposals should include:

1. **Cover Page**

Include title of project, listing of PI/Co-PIs and total budget requested.

2. **Project Description**

The project description should be written so as to be understood by non-experts. Avoid jargon and hyperbole. The following must be included in the project description:

- Project Justification.
- Objectives. List specific, measurable objectives to be accomplished.
- Time Lines. Provide a timetable for the project including milestones for major project functions.
- Outcomes. Clearly explain what outcomes will be achieved. Discuss how these funds will be leveraged (including obtaining external funding, if applicable).

2. **Key Personnel**

List the key personnel involved in the project. For each, briefly describe their roles and responsibilities.

3. **Budget**

Provide a budget including graduate assistant(s) and student labor salaries and fringe benefits, equipment, supplies, and travel needed to conduct the project. Justify the budget proposed in terms of the objectives. There is no requirement for matching funds.

If you would like to submit a proposal for this competition please send to the Dean's office your proposal no later than February 10, 2012. The Department Chairs and the Associate Dean will review all proposals and a determination will be made as to which proposal will be forwarded to the Office of the Vice President of Research. I've attached the notification and all the information regarding this opportunity.

Sincerely,  
Tom

--

**Thomas C. DeFranco**  
Dean, Neag School of Education  
Professor, Dept of Mathematics  
University of Connecticut

[tom.defranco@uconn.edu](mailto:tom.defranco@uconn.edu)  
(860) 486-3815

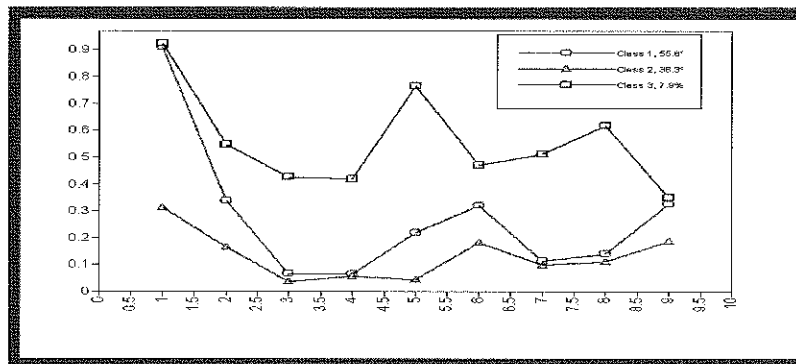
# Latent Class Analysis

Dr. Jay Magidson, President of Statistical Innovations Inc.

**Friday April 20<sup>th</sup>**  
**9am-3pm**

This colloquium session will address research questions that can be answered with the use of Latent Class Analysis (LCA) and introduce analysis tools for conducting LCA analyses; the Latent GOLD® software will be featured, using empirical datasets.

Latent Class Analysis is a statistical method that helps researchers identify unmeasured class membership among subjects using categorical and/or continuous observed variables. This method allows researchers to pose questions about how to categorize people, or models to predict why people fall into certain membership categories as well as the consequences of people's different memberships. The colloquium will consider a range of applications of this method.



Dr. Magidson is founder and president of Statistical Innovations Inc. He taught statistics at Tufts and Boston University and is widely published on the theory and applications of multivariate statistical methods. Additionally, Dr. Magidson designed SPSS CHAID and GOLDMineR®, and is the co-developer (with Jeroen Vermunt) of the Latent GOLD® and Latent GOLD® Choice programs.

**Location: Gentry 142 from 9am-12pm and Gentry 325 from 1-3pm**

**Spaces are limited so please RSVP**

**<https://docs.google.com/a/mail.harvard.edu/spreadsheet/viewform?formkey=dHN0ZnNIXzc0d2IDTkW5MG01MTh4eEE6MQ>**

# Multilevel Structural Equation Modeling

Dr. Laura M. Stapleton, University of Maryland

Friday April 27<sup>th</sup>

9am-3pm

This colloquium session will address research questions that can be answered with the use of multilevel structural equation modeling (MSEM) and introduce analysis tools for conducting MSEM analyses; the Mplus software will be featured, using empirical data from national large-scale datasets.

The use of multilevel structural equation models allows researchers to pose questions about the plausibility, and strength, of relations between latent and/or manifest variables at various levels of nesting, e.g., responses within individuals and individuals within groups. The

colloquium will consider a range of applications, including multilevel confirmatory factor analysis and multilevel mediation models. Given that clustered data are often the result of complex, multi-stage sampling designs, considerations of other aspects of the sampling design (such as disproportionate selection and stratification) will be discussed.

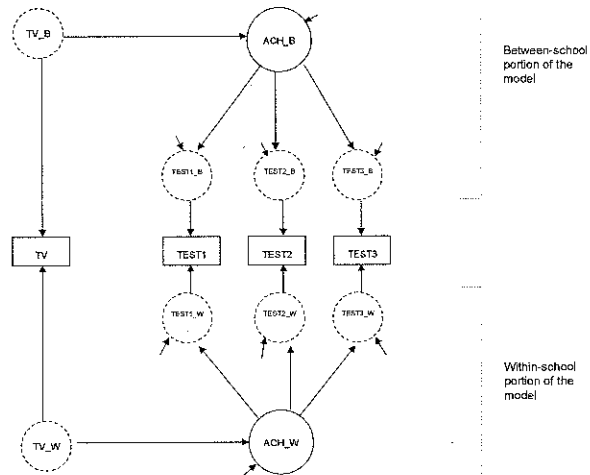
Dr. Stapleton is an Associate Professor in the Measurement, Statistics and Evaluation program within the Human Development and Quantitative Methodology department at the University of Maryland. She specializes in the analysis of survey data obtained under complex sampling designs and multilevel latent variable models, including tests of mediation within a multilevel framework.

Location: Gentry 142 from 9am-12pm and Gentry 325 from 1-3pm

**Spaces are limited so please RSVP at**

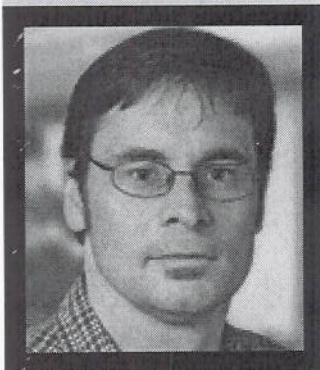
**<https://docs.google.com/a/mail.harvard.edu/spreadsheet/viewform?formkey=dGlzdFk1dkFILXgwMnRTRXphOXNOSnc>**

**6MQ**





The University of Connecticut's  
*Measurement, Evaluation, and Assessment*  
Program presents:



**DANIEL F.  
MCCAFFREY, PH.D.**

PNC Chair in Policy Analysis; Senior Statistician  
Rand Corporation

**VALUE-ADDED MODELING WORKSHOP**

**May 14 & 15, 2012**

The current culture of assessment places considerable emphasis on evaluating educators based upon student performance. Value-added measures of teacher effectiveness estimated from student achievement test scores are key components of many teacher evaluation systems. This two-day short course offers an introduction into the value-added modeling (VAM). Day 1 will provide a conceptual and statistical overview of VAMs. Day 2 will explore these areas in greater depth, include demonstrations of available software for fitting the models, and provide time for conducting analyses. Participants will develop an understanding of how various value added models compare with each other and will gain insight into practical issues that the complexities of student instruction and the limitations models pose for estimating value-added.

Registration opens:  
**Monday, January 2, 2012**

Admission:  
UCONN students: \$150  
General: \$250

Space is limited, so **register early** to reserve your seat for this event!!!



### **More information on this workshop:**

Interest among policy makers, educators, and researchers in measuring teacher performance and improving teacher evaluations as a means of improving the teacher workforce is at an all-time high. It is the center piece of the US Department of Education Race to the Top grants, a large initiative funded by the Bill and Melinda Gates Foundation, and state and school district policies. Value-added measures of teacher effectiveness estimated from student achievement test scores are key components of the proposed performance measures. This two-day short course offers an introduction into the value-added modeling of teacher effectiveness. The course will cover:

Data requirements for value-added modeling including issues of test scaling

Structural models and causal effects

Statistical models for longitudinal achievement data with teacher effects including: (a) hierarchical linear models, (b) the layered model of the Tennessee Value-Added Assessment, and (c) the variable and general persistence models of Lockwood, McCaffrey and colleagues

Econometric models including the education production function model of Harris and Sass, or Todd and Wolpin, or Boardman and Murnane

Student growth percentiles

Ad hoc methods and growth models

Empirical findings, including results on stability-reliability, persistence, and confounding of estimates

Implications of errors in value-added estimates

Practical considerations

The first day of the course will provide an overview of these topics. Day two will explore these areas in greater depth and include demonstrations of available software for fitting the models. It will also provide time for conducting analyses. The primary goals of the course are for participants to develop an understanding of how various models compare with each other and to provide insight into practical issues that complexities of student instruction and models' limitations pose for estimation. Prerequisites for this workshop include a good working knowledge of multiple regression and familiarity with at least one statistical software package.

### **Biography:**

Dan McCaffrey, Ph.D., is a senior statistician and the PNC Chair in Policy Analysis at RAND. Dr. McCaffrey is a fellow of the American Statistical Association and is nationally recognized for his research on value-added modeling (VAM) for the estimation of teacher effects. He was the lead author on the widely cited 2003 RAND report discussing the potential values and concerns with using VAM to evaluate teachers. He has numerous publications in this area of education research, including several that develop new models for VAM and theoretical results on random effects estimation. Dr. McCaffrey has presented his research to numerous audiences including the Pennsylvania State Education Association, the National Education Association, the American Federation of Teachers, the Ohio State Department Education Task Force on Value-Added Modeling, the National Conference on Value-Added Modeling, the National Conference on Performance Incentives, the Eastern Education Research Association, and numerous invited presentations and technical advisory committees. He is currently leading RAND's efforts on three studies comparing value-added measures to other measures of teaching including classroom observations and a major partner in the National Center on Performance Incentives which is conducting two random control experiments to test the effects of using value-added to reward teacher bonuses. He is also the Co-PI on an IES-funded study to develop new methods for VAM (PI: J.R. Lockwood). Dr. McCaffrey has received funding from the Carnegie Corporation of New York, the Kauffman Foundation, and the National Education Association for value-added research. Dr. McCaffrey has also conducted extensive methodological research on causal effects estimation and methods for estimating standard errors and testing hypotheses for complex clustered design.



**Dissertation Proposal Guidelines  
Department of Educational Psychology**

**EPSY Dissertation Proposal Revision Committee**

**Natalie Olinghouse, Chair  
Melissa Bray  
E. Jean Gubbins  
Orv Karan  
Catherine Little  
Megan Welsh  
Michael Young**

**Graduate Student Advisory Committee**

**Donald Briere  
Cindy Massicotte  
Kelly O'Shea**

**DRAFT FEBRUARY 2012**

## **Dissertation Proposal Guidelines**

### **Department of Educational Psychology**

The Dissertation Proposal Guidelines document provides the following information and documents:

- Overview of Proposal Guidelines
  - Purpose of the Dissertation Proposal
  - Proposal Preparation, Approvals, and Timelines
  - Dissertation Proposal Format
  - Guidelines for the Review of Literature
  - Dissertation Advisory Committee Composition
  - Readers for the Dissertation Proposal
  - Oral Defense
  - Required Forms and Procedures
- Doctoral Dissertation Proposal Process
- Appendix A: Criteria for Assessment of Dissertation Proposals
- Appendix B: Format of the Dissertation Proposal
- Appendix C: Dissertation Proposal Reader Review Form
- Appendix D: Dissertation Proposal Advisory Committee Review Form
- Appendix E: Dissertation Proposal Flowchart

### **Purpose of the Dissertation Proposal**

The purpose of the Dissertation Proposal is to ensure that the student has a strong understanding of the literature and methods relevant to the intended study, and that the student has used this understanding to develop a high-quality plan for the dissertation. Specifically, the Dissertation Proposal should highlight the theoretical framework and the rationale for the study and incorporate established research methodology to address the research questions.

For the doctoral student, the Dissertation Proposal represents an opportunity to move from structured academic and research experiences to more independent, original research.

The Graduate School's Standards and Degree Requirements provide the following guidelines for review of Dissertation Proposals:

Dissertation Proposals are reviewed with the following questions in mind: (1) Is the proposal well written, well organized, and well argued? (2) Does the proposal describe a project of appropriate scope? (3) Does the student demonstrate a knowledge of the subject and an understanding of the proposed method of investigation? (4) Does the student show awareness of the relevant research by others? and (5) Does the student consider how the proposed investigation, if successful, will contribute to knowledge?

(<http://catalog.grad.uconn.edu/sadr/sadr-page12.html>)

A helpful resource for graduate students who are preparing their Dissertation Proposals is the Criteria for Assessment of Dissertation Proposals (Appendix A) (<http://www.gifted.uconn.edu/dpg/assessdp.html>), which suggests questions for reflection for each section of the proposal.

### **Proposal Preparation, Approvals, and Timelines**

Please see the Doctoral Dissertation Proposal Process table for details on the specific steps involved in the process of preparing and acquiring approval for the Dissertation Proposal. A summary of key components of the process follows below. Additionally, Appendix E contains a flowchart to guide Advisors and students through the Dissertation Proposal Process.

- Initial Preparation of Problem, Questions, and Design as informed by the literature (Steps 1, 2, 4)
- Identification and Invitation of Advisory Committee and Readers (Step 3)
- Complete Comprehensive Literature Review (Step 4)
- Development of full Dissertation Proposal (Step 5)
  - Proposal must be ready for Initial Advisory Committee review **at least 6 months prior to intended graduation date.**
- Initial Advisory Committee review – Advisory Committee reviews and provides feedback (Step 6).
  - **Allow minimum of 2 weeks for review.**
  - Major Advisor tracks the proposed timeline.
- Scheduling and Preparation for Oral Defense – upon completion of revisions in response to Initial Advisory Committee review (Steps 7-8)
  - Oral defense scheduled
  - Revised proposal provided to Advisory Committee and Readers
  - **Allow 2 weeks between sharing this version of the proposal and the Oral Defense**
- Oral Defense with resulting Advisory Committee decision (Step 9)
- Completion of revisions and follow-up approvals (Steps 10-14)

### **Dissertation Proposal Format**

The Dissertation Proposal typically will consist of a 12-25 page document that includes the components identified in the Format of the Dissertation Proposal (Appendix B). The Dissertation Proposal must have adequate detail to fully convey the design of the study such that the Advisory Committee and Readers may judge the quality and merit of the proposed study. The Advisory Committee will make the determination regarding final format based on the specific needs of the student and the study being proposed.

## **Guidelines for the Review of Literature**

### **Preliminary Review of Literature**

The Review of Literature (step 1) is an important part of the Dissertation Proposal. A thorough Review of Literature identifies the strengths and gaps in the existing literature, thereby providing justification for the study. Additionally, the Review of Literature targets the research questions and informs the dissertation study methodology, including the study design, the measures, and the data analyses, among other aspects of the study. The Major Advisor should ensure the student has completed a review of the existing literature *prior to* the development of the Dissertation Proposal.

### **Comprehensive Literature Review**

The Comprehensive Literature Review (step 4) is written based on the Review of Literature (step 1) and overseen by the Major Advisor. It is suggested that the Comprehensive Literature take one of the formats below. The Comprehensive Literature Review should be available upon request to any member of the Advisory Committee or a Reader.

1. Review of Literature written as part of the comprehensive exam;
2. Review of Literature written for a course and strongly tied to the dissertation topic and methods;
3. Chapters 1 and 2 of the traditional dissertation format;
4. Review of Literature that is part of a pilot study or related published/presented works; and,
5. Other products under the discretion of the Major Advisor.

### **Dissertation Proposal Literature Review**

The Dissertation Proposal Literature Review (step 5) included in the Dissertation Proposal should be a *succinct* summary of key points from the Comprehensive Literature Review (step 4). This proposal section should provide the context for the study and display sufficient evidence of the student's depth of understanding of the literature.

### **Dissertation Advisory Committee Composition**

The student's Dissertation Advisory Committee is composed of a Chair (the Major Advisor) and at least two Associate Advisors. The Chair must hold Graduate Faculty status in the student's Area of Concentration (AOC). If there is no AOC, the Field of Study (FOS) takes precedence. At least one of the Associate Advisors must hold University of Connecticut Graduate Faculty status, and at least one must be from the student's AOC or FOS. If an external Associate Advisor is desired, the guidelines for securing this appointment (found in the Graduate Catalog <http://catalog.grad.uconn.edu/advisory.html>) must be followed.

Committee decisions regarding the approval of the Dissertation Proposal as well as the Comprehensive Examination, the written dissertation, and oral defense of the dissertation must be unanimous.

### **Readers for the Dissertation Proposal**

Upon preliminary approval of the written draft by the student's Advisory Committee and approval to schedule an Oral Defense, the Major Advisor (acting on behalf of the Head of the Department or Program to which the student was admitted), in collaboration with the student, will select two Readers from outside the Advisory Committee to review the proposal. Readers should have a doctoral degree, and should have expertise relevant to the dissertation topic and/or methods. Readers may be within the Neag School of Education, the broader University of Connecticut faculty, or outside of the University. The role of the Readers is to serve as external reviewers of the quality and merit of the proposed dissertation. It is strongly suggested that EPSY faculty who serve as Readers and have Graduate Faculty status should be added as Associate Advisors for the dissertation.

When conducting the review of the proposal, the Readers shall use the Dissertation Proposal Reader Review Form (Appendix C) to guide their comments. Written comments, including a decision to approve or revise and resubmit, must be provided by each Reader to the student and the Advisory Committee prior to or at the time of the Oral Defense.

### **Oral Defense**

After the Advisory Committee's review and initial approval of the proposal, the student may schedule the Oral Defense. The student sends the Dissertation Proposal, which has been revised based on committee feedback, to the Advisory Committee and Readers and allows for 2 weeks for the review process.

After approval to schedule the Oral Defense, the student contacts the EPSY Administrative Assistant to (a) reserve a room for the date and time agreed upon by the Advisory Committee, and (b) provide the information necessary for notification to the broader EPSY community of the student's Dissertation Proposal Oral Defense. This information includes the student's name, program, Dissertation Proposal title, and the date, time, and location of the Dissertation Proposal Oral Defense. This must be completed two weeks in advance of the Oral Defense date.

The Administrative Assistant will notify the EPSY faculty and Ph.D. students of upcoming Dissertation Proposal Oral Defenses (providing the student's name, program, title of Dissertation Proposal, date, time, and location) scheduled for the current week and the following week through email and/or the EPSY website home page.

## Required Forms and Procedures

There are several forms that are part of the Dissertation Proposal process:

1. Appendix C: Dissertation Proposal Reader Review Form
2. Appendix D: Dissertation Proposal Advisory Committee Review Form
3. Dissertation Proposal for the Doctoral Degree (the cover sheet must be filed with the graduate school once a proposal is approved).  
[http://grad.uconn.edu/documents/newdoc/dissertation\\_proposal.pdf](http://grad.uconn.edu/documents/newdoc/dissertation_proposal.pdf)
4. Institutional Review Board Forms  
<http://irb.uconn.edu/forms.html>

**Department of Educational Psychology**  
 Doctoral Dissertation Proposal Process

Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details
1. Conduct Preliminary Review of Literature	Major Advisor (S)	<ul style="list-style-type: none"> <li>• General overview of relevant literature</li> </ul>	<ul style="list-style-type: none"> <li>• Purpose: To inform and identify potential Research Questions, a preliminary Statement of the Problem, and a preliminary Research Design to answer the Research Questions. Students may have already begun and/or completed this process through course activities or comprehensive exams.</li> </ul>
2. Prepare preliminary Statement of the Problem/Research Question(s)/Research Design	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Preliminary Statement of the Problem</li> <li>• Preliminary Research Question(s)</li> <li>• Preliminary Research Design</li> </ul>	<ul style="list-style-type: none"> <li>• All are preliminary and may be revised based on Comprehensive Literature Review outlined in Step 4.</li> <li>• Format is at the major advisor's discretion.</li> </ul>
3. Identify committee and potential Readers	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Formation of Advisory Committee</li> <li>• Identification of potential Readers</li> </ul>	<ul style="list-style-type: none"> <li>• Committee is composed of the Chair (Major Advisor) and at least two Associate Advisors</li> <li>• In addition to the Advisory Committee, two additional persons will be selected as outside Readers for the Dissertation Proposal. The student and Major Advisor should work together to identify potential Readers. Readers should have a doctoral degree, and should have expertise relevant to the dissertation topic and/or methods.               <ul style="list-style-type: none"> <li>○ Readers may be within the Neag School of Education, the broader University of Connecticut faculty, or outside of the University.</li> <li>○ The Readers are intended to serve as external reviewers of the quality and merit of the proposed dissertation and to provide feedback on the proposal at the point of the oral defense.</li> <li>○ It is strongly suggested that EPSY faculty who serve as Readers and have Graduate faculty status should be added as Associate Advisors for the dissertation.</li> </ul> </li> </ul>

Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details
4. Complete Comprehensive Literature Review	Major Advisor (S) <i>Advisory Committee (discretion)</i>	<ul style="list-style-type: none"> <li>• Comprehensive Literature Review (e.g., concepts, existing research, dependent/independent variables, methods, analysis)</li> <li>• Statement of Research Question(s)</li> </ul>	<ul style="list-style-type: none"> <li>• A recursive process with Step 2</li> <li>• Completion of a comprehensive Review of Literature specific to the proposed dissertation study (i.e., focused on the preliminary Statement of the Problem, Research Questions, and Methods).</li> <li>• The Review of Literature serves as a resource for what will be included in the dissertation.</li> <li>• Options for format of the Comprehensive Literature Review include the following, at Advisor/Committee discretion: <ul style="list-style-type: none"> <li>○ As part of the comprehensive exam</li> <li>○ A Review of Literature written for a course</li> <li>○ Chapters 1 and 2 of the traditional dissertation</li> <li>○ Reviews as part of pilot studies or related published/presented works</li> </ul> </li> </ul>
5. Prepare full Dissertation Proposal	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Title page</li> <li>• Abstract</li> <li>• Introduction</li> <li>• Statement of the Problem</li> <li>• Literature Review</li> <li>• Research Questions and/or Hypotheses</li> <li>• Methods</li> <li>• Limitations</li> <li>• References (cited in proposal)</li> <li>• Appendices (if necessary)</li> </ul>	<ul style="list-style-type: none"> <li>• Developed with input from other Advisory Committee members, as appropriate.</li> <li>• The Dissertation Proposal should have adequate detail to fully convey the design of the study (for the Advisory Committee members/Readers to judge the merit of the proposed study).</li> <li>• Points that are at the Advisor/Committee discretion <ul style="list-style-type: none"> <li>○ 12-25 pages (in most cases, approximately 20-25% of the proposal should be dedicated to the literature review.)</li> <li>○ Dissertation Proposal Literature Review should be a concise synthesis of the salient points related to the proposed study.</li> </ul> </li> </ul>
6. Receive approval to send Dissertation Proposal to Advisory Committee	Major Advisor (A)	<ul style="list-style-type: none"> <li>• Dissertation Proposal ready for Advisory Committee feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Proposal should be ready for committee review at least 6 months before expected date of graduation.</li> <li>• Allow a minimum of 2 weeks for feedback from Advisory Committee members. Major Advisor tracks the proposed timeline.</li> </ul>
7. Revise Dissertation Proposal and receive approval to schedule Oral Defense	Advisory Committee (A)	<ul style="list-style-type: none"> <li>• Revisions made to Dissertation Proposal based on Advisory Committee feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Student revises proposal based on feedback from Advisory Committee members.</li> <li>• All Advisory Committee members must approve before student may proceed to Step 8.</li> </ul>



Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details
8. Schedule Oral Defense and submit proposal to Advisory Committee and Readers	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Revised document and committee approval</li> <li>• Public notification of Oral Defense for EPSY faculty and Ph.D. students</li> </ul>	<ul style="list-style-type: none"> <li>• Student schedules Oral Defense date with Advisory Committee and Readers.</li> <li>• Student sends (revised) proposal to Advisory Committee and Readers.</li> <li>• Allow a minimum of 2 weeks for review.</li> <li>• The Readers are not required to attend Dissertation Proposal defense, but must provide written feedback (if not attending) prior to the Oral Defense. The written feedback is provided to the advisor, the Advisory Committee members, and the student.</li> <li>• Public notification of Oral Defense for EPSY faculty and Ph.D. students</li> </ul>
9. Complete Oral Defense	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Oral Defense presentation and discussion</li> </ul>	<ul style="list-style-type: none"> <li>• Major Advisor convenes and conducts Oral Defense.</li> <li>• Major Advisor conveys the protocol and procedures for the Oral Defense to those in attendance.</li> <li>• The Advisory Committee members must attend, and Readers may attend.</li> <li>• Additional guests (those outside EPSY faculty/Ph.D. students) may attend at the Advisory Committee's discretion.</li> <li>• University <u>faculty</u> may ask questions or provide suggestions after the Advisory Committee members/Readers have completed their questioning or suggestions. Other guests may ask questions or provide suggestions at the committee's discretion.</li> <li>• During the discussion of approval to proceed to the next step, only the Major Advisor, Advisory Committee members, and Readers remain in the room.</li> </ul>

Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details
10. Receive approval to proceed to next step	Advisory Committee (A)	<ul style="list-style-type: none"> <li>• Dissertation Proposal</li> <li>• Oral Defense</li> </ul>	<ul style="list-style-type: none"> <li>• The Advisory Committee determines the result of the Oral Defense based on the following options: <ul style="list-style-type: none"> <li>○ Pass: Approval to proceed (no revisions needed);</li> <li>○ Pass: Approval to proceed (minor revisions— Advisor withholds signature);</li> <li>○ Pass: Approval to proceed (major revisions— Advisor withholds signature; relevant committee members may withhold signatures);</li> <li>○ Revise and resubmit: All Advisory Committee members withhold signatures (Advisory Committee could decide that the student should return to Step 1). This decision requires another Oral Defense. Students are allowed no more than 2 Oral Defenses of the Dissertation Proposal after an initial Resubmit decision.</li> </ul> </li> <li>• All Advisory Committee members must reach consensus. When there is lack of agreement among the committee, the Department Head will serve as the mediator. If the Department Head is a member of the Advisory Committee, then the Major Advisor will designate a mediator.</li> </ul>
11. Submit to IRB (as applicable)	Major Advisor (A)	<ul style="list-style-type: none"> <li>• IRB-1 protocol or IRB-5 exemption form and other required documents as appropriate to the study</li> </ul>	<ul style="list-style-type: none"> <li>• If the proposed study does not involve human subjects or is based on secondary analyses of de-identified data, IRB review may not be required (e.g., meta-analysis, simulation studies).</li> </ul>
12. Secure IRB approval (as applicable)	IRB (A)	<ul style="list-style-type: none"> <li>• IRB-1 protocol or IRB-5 exemption form</li> </ul>	<ul style="list-style-type: none"> <li>• IRB may request changes in the protocol, which requires adjusting the timeline for the subsequent steps.</li> </ul>
13. Submit to Department Head/Dean/ Graduate School	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Dissertation Proposal Graduate School forms</li> </ul>	
14. Initiate dissertation study	Major Advisor (S)		<ul style="list-style-type: none"> <li>• Data collection related to the proposal cannot be conducted until IRB approval (or exemption) is obtained, if IRB review is appropriate.</li> </ul>

**Appendix A**  
**Department of Educational Psychology**  
**Criteria for Assessment of Dissertation Proposals**

**1. Introduction and Statement of the Problem:**

- Does the introduction provide a general overview of the issues surrounding the study?
- Is the problem under investigation clearly stated?
- Is evidence used to demonstrate the significance of the problem?
- Are important terms defined?
- Are assumptions clearly stated?
- Are major assertions that lay groundwork for the study articulated?

**2. Review of the Literature:**

- Is the study grounded in a larger body of research?
- Is the review current and representative of work in the area?
- Are related studies examined critically and gaps identified?
- Does the review provide a clear rationale of the study?
- Is the review well organized, using subsections where appropriate?

**3. Research Questions and/or Hypotheses:**

- Do the research questions and/or hypotheses develop a specific focus for the study?
- Do the research questions and/or hypotheses support the problem statement and background sections?
- Are the research questions worded so as to imply responses more complex than "Yes/No"?

**4. Methods and Limitations:**

- Is the research design described clearly and appropriate for the study?
- Are the sample and participants fully described?
- Is the sampling plan appropriate for the study?
- Are data gathering procedures fully explicated and appropriate for the study?
- Are analytical procedures fully explicated and appropriate for the study?
- Is the technical merit of instruments described clearly?
- Are issues related to limitations and/or trustworthiness satisfactorily identified and addressed?
- Do the sampling, data collection, and analytical procedures appropriately match the problem statement and research questions?
- Are the instruments or interview guides acceptable and appropriate for the study?

**5. Other Concerns:**

- Does the proposal demonstrate a high quality of written expression?
- Is the proposal cohesive and coherent?
- Does a consistent conceptual framework or paradigm unite the problem statement, research questions, and methods section?
- Is the tone of the proposal impartial, unbiased, and scientific?
- Are applicable support documents (appendices) included and satisfactory?
- Is an appropriate style (e.g., APA style) used correctly and consistently?
- Does the proposed study adhere to relevant ethical codes?
- Does the abstract summarize the contents of the proposal clearly and accurately?

**Appendix B**  
**Department of Educational Psychology**  
**Format of the Dissertation Proposal**

The Graduate School lists the following required elements of the Dissertation Proposal:

1. The completed and signed Dissertation Proposal Approval form (with a copy attached of current IRB approval for human subjects and/or IACUC approval for animal subjects to be used in the research)
2. An accurate title
3. A concise statement, which includes (a) the purpose, importance, and novelty of the study; (b) methods and techniques to be used; (c) availability and location of research facilities; and (d) a statement concerning the use of any human or animal subjects that are involved in the research
4. A selected bibliography

Although the Advisory Committee will make the final decisions related to format and length of proposal, the following format is strongly suggested:

**Format**

1. Title Page
2. Abstract
3. Introduction
4. Statement of the Problem
5. Review of Literature
6. Research Questions and/or Hypotheses
7. Methods
8. Limitations
9. References (Limited to those cited in the proposal)
10. Appendices (if necessary)

**Page Considerations**

1. The Title Page is not numbered.
2. The Abstract is not numbered.
3. The Introduction starts on a separate page, and is numbered page 1.
4. The length of the Dissertation Proposal is 12-25 pages. In most cases, approximately 20-25% of the proposal should be dedicated to the literature review.
5. This page range estimate does not include the Title Page, Abstract, References, or Appendices. The format of the proposal shall follow APA guidelines, such as double spacing, minimum of 12-point font, and 1-inch margins, as well as APA style for headings, references, and other elements.
6. *Please note:* Due to the requirements of the Graduate School, in cases where a student completes the first three chapters of the traditional dissertation format for the proposal, the student should prepare a short literature review synthesis (2-3 pages) to attach to Chapter 3 (Methods) for submission to the Graduate School.

Students should consider the use of Appendices to present such items as instruments, consent forms, tables, figures, and lengthy descriptions that do not need to be in the body of the proposal. If any of these documents are lengthy, they may be abridged.

<b>Appendix C</b> <b>Department of Educational Psychology</b> <b>Dissertation Proposal Reader Review Form</b>
---

**Instructions to the Major Advisor:** *Complete the top portion of this form, attach it to the proposal, and share with the Reader.*

**Date:** \_\_\_\_\_

**Name of Candidate:** \_\_\_\_\_

**Major Advisor:** \_\_\_\_\_

**Reader:** \_\_\_\_\_

**Title of Dissertation:** \_\_\_\_\_

**Instructions to Reader:** *Please rate the proposal on each of the following criteria. Please return the form to the Major Advisor on or before the Oral Defense date.*

	Acceptable	Unacceptable
1. Contribution of proposed project to knowledge within the field.		
2. Demonstration of knowledge of the content area and awareness of relevant research by others.		
3. Appropriateness of the methodology to answer the research questions.		
4. Demonstration of adequate understanding of proposed methodology.		
5. Clarity and organization of writing.		
	<b>Approve</b>	<b>Revise/Resubmit</b>
<b>Overall Recommendation</b>		

**Signature of Reader:** \_\_\_\_\_ **Date:** \_\_\_\_\_

<b>Appendix D</b> <b>Department of Educational Psychology</b> <b>Dissertation Proposal Advisory Committee Review Form</b>
---

**Instructions to the Major Advisor:** *Complete this form at the Dissertation Oral Defense, give a copy to the student, and submit one copy to the EPSY office to be placed in the student's file.*

**Date of Dissertation Proposal Oral Defense:** \_\_\_\_\_

**Name of Candidate:** \_\_\_\_\_

**Major Advisor:** \_\_\_\_\_

**Associate Advisors:** \_\_\_\_\_  
 \_\_\_\_\_

**Title of Dissertation:** \_\_\_\_\_

<b>Status</b>	<b>Result of Dissertation Proposal Defense</b>
	<b>Pass:</b> Approval to proceed (no revisions needed)
	<b>Pass:</b> Approval to proceed (minor revisions—Advisor withholds signature)
	<b>Pass:</b> Approval to proceed (major revisions—Advisor withholds signature; relevant Advisory Committee members may withhold signatures)
	<b>Resubmit: Revise and resubmit</b> —all Advisory Committee members withhold signatures. This decision requires another Oral Defense. Students are allowed no more than 2 Oral Defenses of the Dissertation Proposal after an initial Resubmit decision.

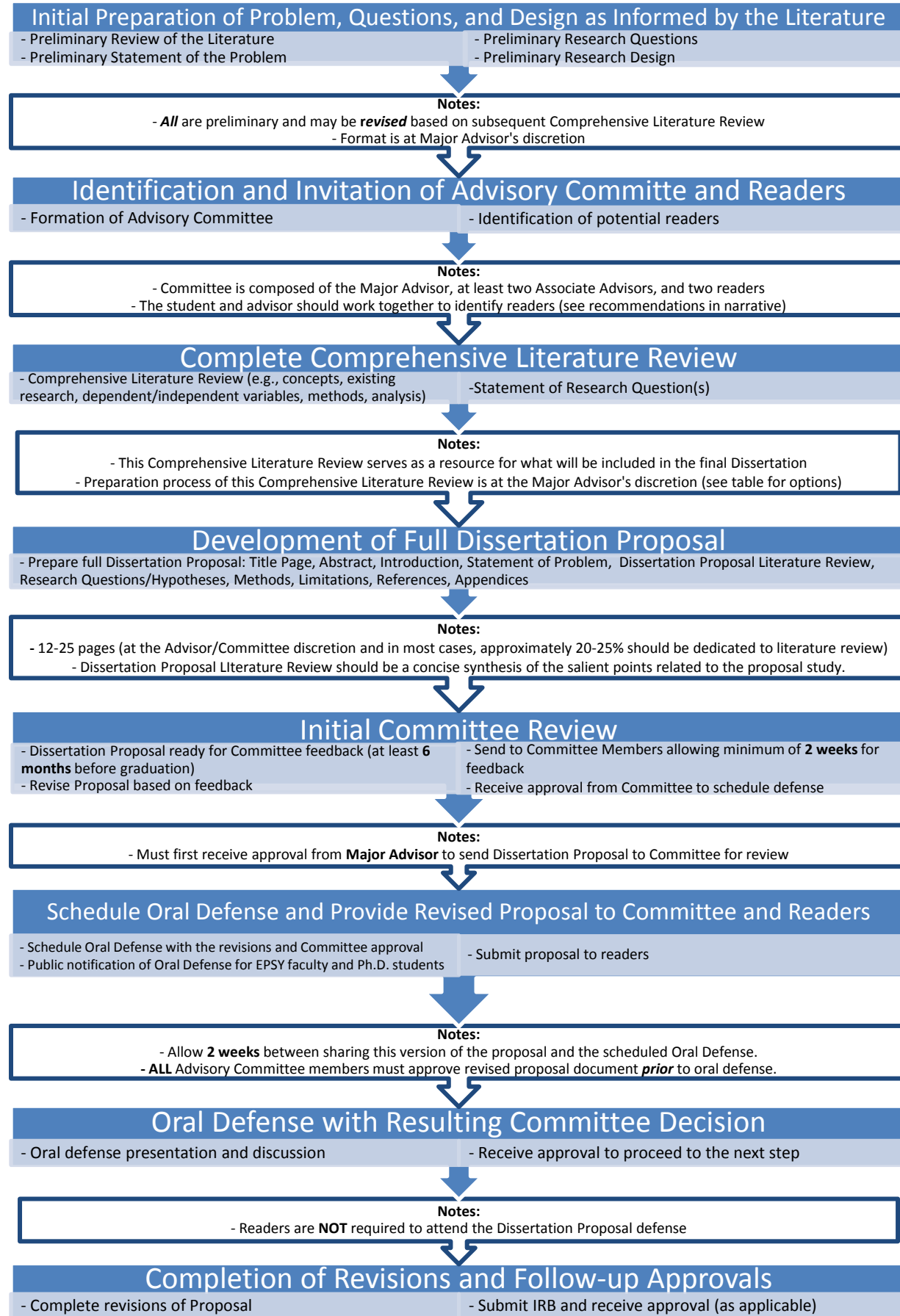
**Major Advisor signature:** \_\_\_\_\_

**Student signature (receipt):** \_\_\_\_\_

**Appendix E**  
**Department of Educational Psychology**  
**Dissertation Proposal Flowchart**



# EPSY Dissertation Proposal Flowchart



**After all steps are complete, initiate the dissertation study!**