Agenda
EPSY Department Meeting
September 7, 2012
Gentry 142

1. Welcome
   1a. Introduction of New Faculty (Shamim Patwa, Allison Lombardi, Tutita Casa, and Jae-Eun Joo)
   1b. Introduction of Susan Rosman
2. Corrections to the May Minutes (see attachment)
3. Announcements
   3a. Sabbaticals (Jason Stephens on Leave of Absence, Catherine Little, Swaminathan, and Joe Madaus on Sabbatical, Michael Coyne Returns from Sabbatical, Melissa Bray and James O'Neil granted Spring Sabbatical)
   3b. Share Department Head Evaluation (see attachment)
   3c. HuskyDM: Friend or Foe? (TIPS: Enter dates, own advisee and first author info with associate information) (see attachment)
   4d. Faculty Effort Report (see attachment)
   4e. Consulting Reconciliation (see attachment)
   4f. Assessment Issue (Mary Yakimowski)
   4g. Other
5. Committee Issues
   5a. Review Committee Assignments (see attachment)
   5b. Sunshine Committee Donations ($40)
   5c. MEA Search Update
   5d. New Dissertation Proposal Guidelines (see attachment)
   5e. PTR (Jim O'Neil is now on Dean's PTR – Need replacement for Scott Brown)
   5f. Other
6. Other
   6a. Share Merit Results (see attachment)
   6b. Discussion of Merit
      • Are the three categories of research, teaching, and service equal or should they be weighted?
      • Within each category, should it be cumulative or separate (can you earn top merit in research with 7 pubs and no grants –a million dollar grant and no pubs?
      • Does teaching overload include buyout?
      • Does teaching overload include classes for which you were compensated (summer, winter)?
      • Do reprints and translations count as current pubs? An article reprinted as a chapter?
   6c. Discussion of Dean's White Paper (see attachment)
7. Adjourn

EDUCATIONAL PSYCHOLOGY DEPARTMENT
FACULTY MEETING MINUTES
May 4, 2012

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

1.   **<u>Welcome</u>**
        The meeting commenced at 9:30 am.

2.   **<u>Changes to the Minutes</u>**
        There were no changes to the March meeting minutes.

3.   **<u>Announcements</u>**
        1. The following individuals received tenure or promotion:
        T. Casa (promotion to associate professor-in-residence), M. Faggella-Luby (granted tenure and promotion to associate professor) and J. Gubbins. (promotion to full-professor in-residence)
        Congratulations to all!

        2. The following individuals have recently received the following honors:
        C. Rhoads – large faculty grant
        C. Little – University Teaching Fellow
        T. Kehle –Legend in School Psychology
        L. Sanetti – Early Career Award from NSOE
        K. Gavin – Early Distinguished Award from NSOE
        A. Depalma – President's Research Award
        B. Kaniskan (graduate student) – AERA Division H Award
        G. Davenport (graduate student) – College Board Fellowship

        3. The Annual Report is due on June 15th. There will be a new method of entering information this year – digital measures (huskydm). It is not as easy as last year because individuals must fill out all fields.

        4. Dean DeFranco will be holding a reception today at 3:00 in room 319. It is a celebration for everyone who has received a promotion.

5. Fall 2012 will have three individuals who will be taking their sabbaticals.   They are C. Little, H. Swaminathan and J. Madaus.

6. For academic year 2012/2013, we will be receiving six (6) graduate Assistantships through the Dean. Each area of concentration will receive one and there will be a half-time given to each area from the department. D. Siegle explained to the faculty how the "split" would be implemented.

7. The Provost's office is creating a "Brag Sheet", so it is requesting at least two paragraphs from each department to be inserted. Faculty were asked to send Del items that might be included. These are due to Del by May 25th.

8. Consulting Reconciliations are due as soon as possible.

9. If faculty are requesting summer salary, they will need to fill out a summer salary form. The information will then be entered into the SPAR system. Faculty may not begin work until they are approved by HR.

10. S. Brown thanked the Sunshine Committee for acknowledging the birth of his two (2) grandsons – Owen and Jack.

11. N. Olinghouse informed the faculty about a IB/M student who was in a coma and critical condition from an automobile accident. Unfortunately, the student's boyfriend who was driving the vehicle passed away from his injuries. Cards and money will be collected by J. Roberge. The money will purchase gas cards for the parents who will be driving a distance to visit their daughter in the hospital.

12. School psychology and counseling has implemented a policy in order for the students to obtain financial aid.

The policy is as follows:
The policy applies to all students in school counseling who enroll in EPSY 5319, i.e., *Internship for school counselors* and to all students in school psychology who enroll in EPSY 5491 – *Internship in school psychology* or EPSY 6401 *Doctoral Internship in School Psychology*.   Both internships may be taken for 3 to 6 credits.

If the student elects to register for more than 3 credits, to insure that he or she meets The requirements of full-time status, that student must engage in efforts above and beyond the typical 3 credit requirements by planning and implementing an evidence- based project or intervention with the approval of the course instructor.

4.   Committee Reports

1 The search for the "Online Director" is still in progress. The job description has changed. The previous description was limiting. The candidate pool is a very strong one. The interview process with begin in 6 weeks.

2 The MEA search is completed. The top candidate was chosen from a pool of 15 candidates. Dean DeFranco has made the offer.

3 The special education area has made an offer and Alison Lombardi has accepted the position. She will start work in August 2012.

4 EPSY/C&I search has 8 candidates. They had a meeting yesterday, May 3. They have been approved to interview and will do so beginning next week.

5 Several individuals have been selected to serve on the departmental committee. A new chart is forthcoming.

6 S. Brown discussed the merit measures at great length. The faculty approved including a merit committee in the proposal the merit committee is developing.

7. D. Siegle will be going to an administrative council meeting and inquiring if other departments are following the NSoE Merit guidelines.

5.   **Other Business**
The faculty completed an evaluation of the Department Head. The evaluation was created by the Department Head with consultation of the program coordinators.
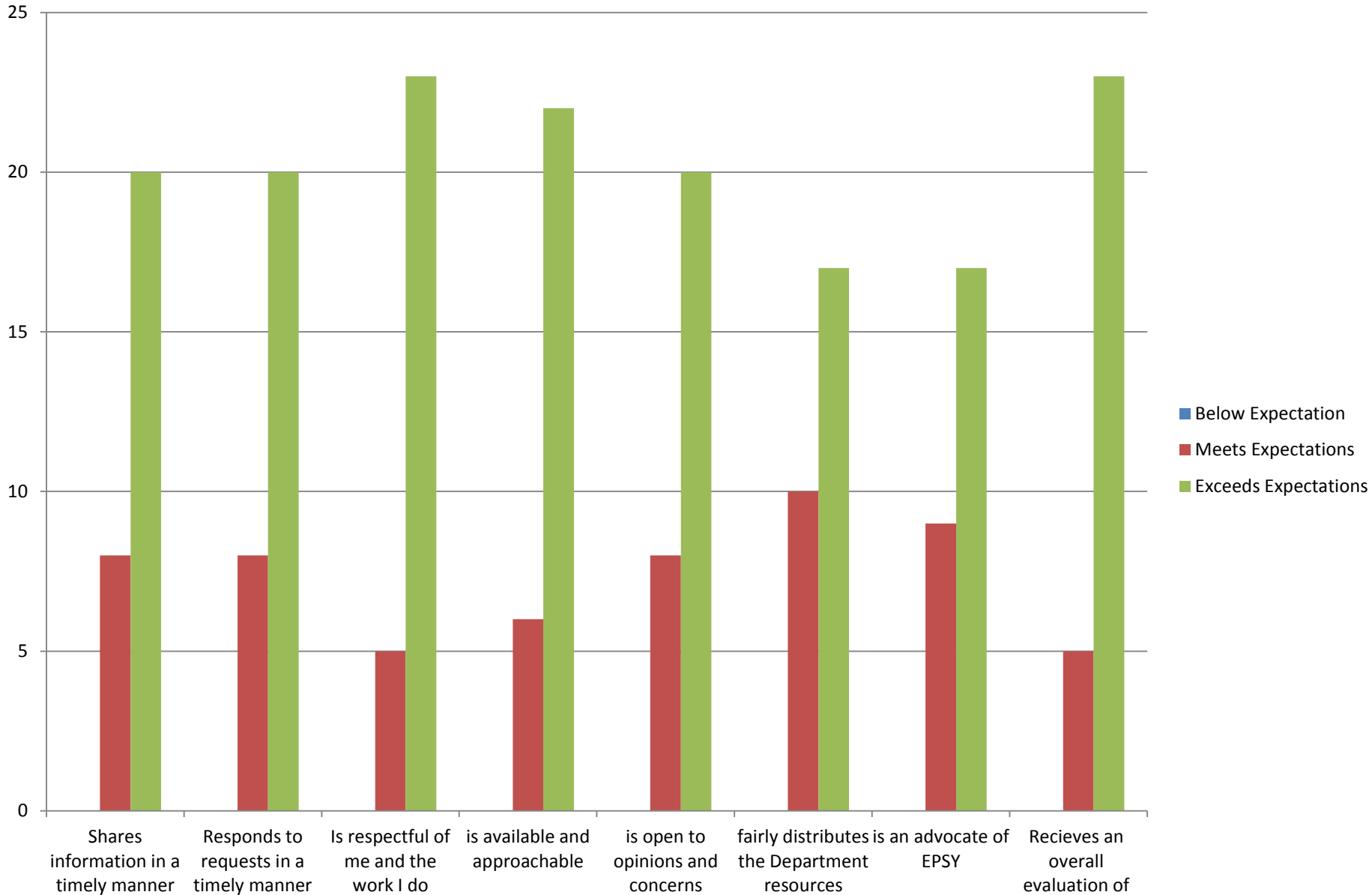
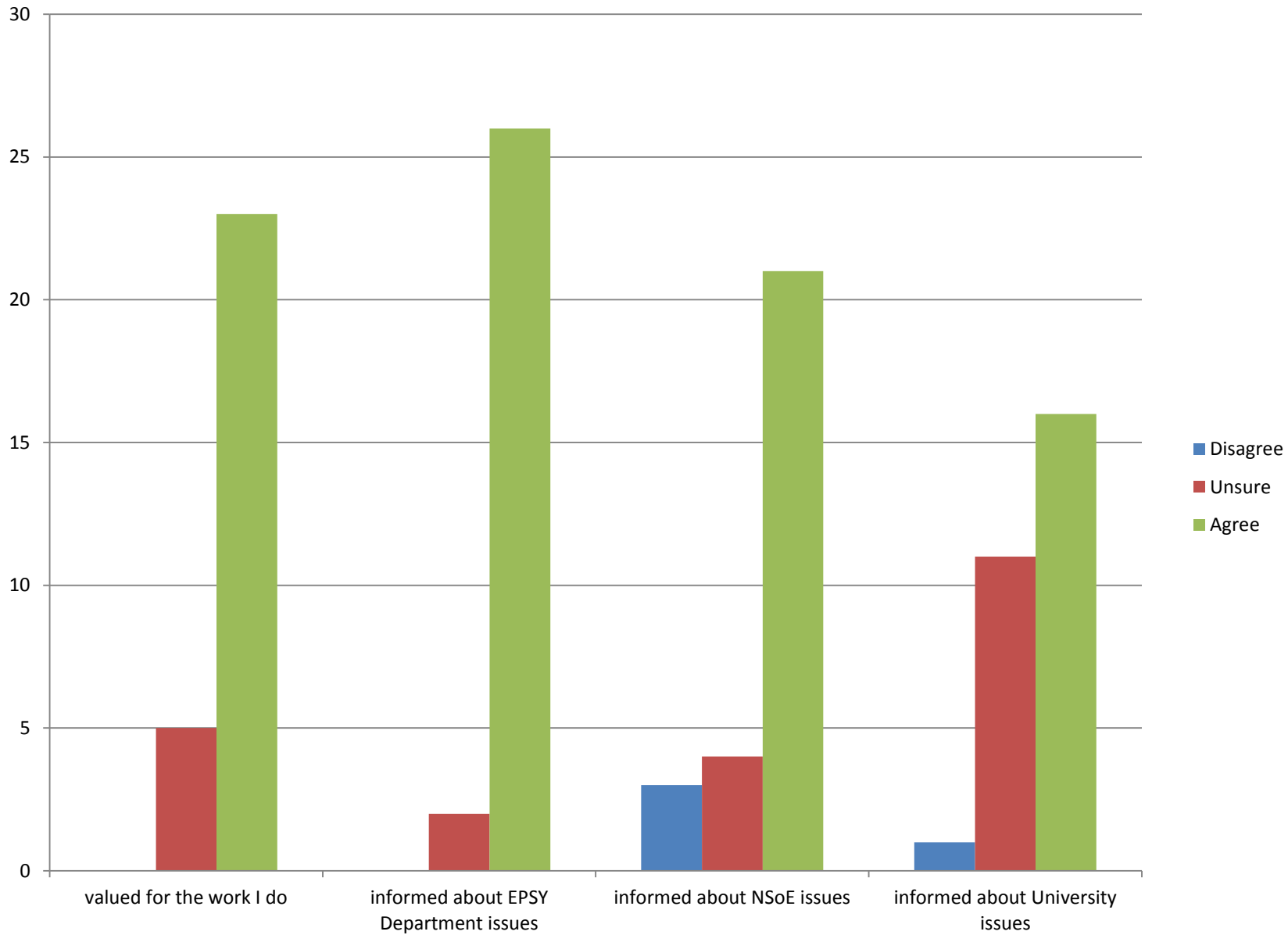Committee elections were conducted by secret ballot.

There was a lunch celebration in Gentry 140 at 11:30 hosted by Del and Betsy.

6.   **Adjournment**
H. Swaminathan motioned for adjournment. B. McCoach seconded the motion.The meeting adjourned at 10:50 am.

Faculty Evaluation of EPSY Department Head – May 2012

Department Chair's areas of strength:

- Incredibly approachable and supportive. Feels like he's "on our side"
- Very dedicated and attentive to EPSY needs, advocate for our department
- Communication, responds to requests in timely manner, supports productivity
- Very organized, facilitates meeting very well
- Clarifying rules and procedures, providing info in a timely manner, communicating support and recognition. Keep up the good work
- Timely, clear and efficient communication- including responsibilities over email, meeting facilitation, etc. Well done.
- Excellent work ethic, availability, enthusiastic position, completeness in covering responsibilities
- Talking openly about issues
- Organization
- Prepared, organized, strong advocate. Thanks.
- Accessible, admirable, hard worker, organized
- Openness, friendly, reliable, credible and conscientious
- Great faculty meetings, preparation and implementation, good energy and attitude about everything
- Del's organized and a good communicator
- Availability
- Communication and people skills, energy and authenticity, organization and honesty
- Smart, fair, very convenient
- Openness, communication, fairness, accessibility
- Very competent and nice too! Rare combination. Joanne Roberge very helpful too

How can the Department Chair improve his job performance:

- Possibly have faculty present very brief overviews of their work
- Consider using technology for communication (e.g. blog, website) Balance discussion (time) with getting to decisions (dept meetings) Good efforts to stay on top of budget but set clear rules for appropriate use of salary savings
- Clarify conversations with Dean's office, future directions-where are we going and how are we getting there
- I've been very happy. I have no suggestions at this time
- Shorter meetings!
- No improvement needed. Great job!
- Remain the same
- Advocate for EPSY with Dean

Faculty can view how the data they input are being displayed with the Custom Report function within HuskyDM.

Log onto *huskydm.uconn.edu* with your NetID and Password.

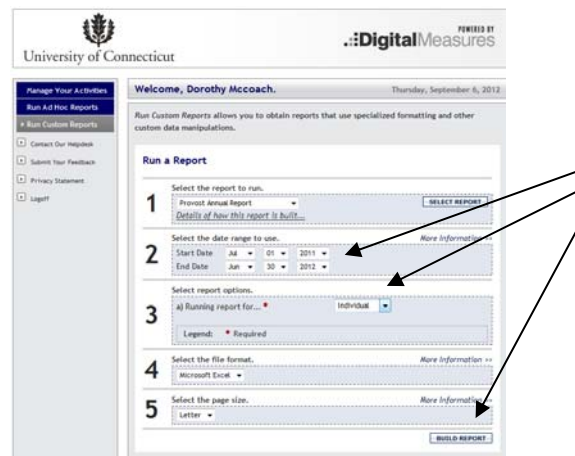Select **Run Custom Report** from the left menu.

You can create two types of reports. One type is the Provost Annual Report that produces a spreadsheet with numeric counts for each category in the Faculty Report. Select **Provost Annual Report** from the pulldown menu in Section 1 and click **Select Report**.
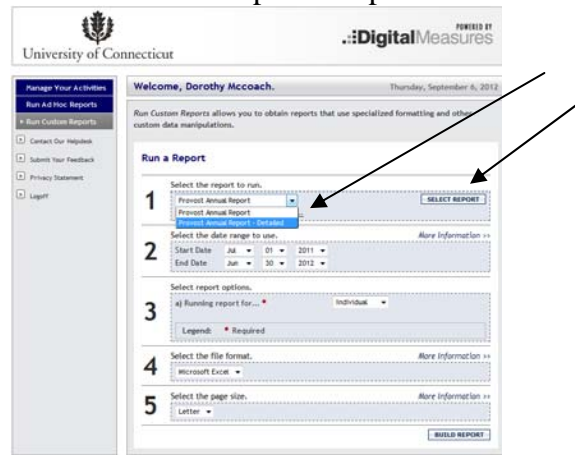
The date range in Section 2 should be set for the last academic year. You can change the range if you wish.

Select **Individual** from the pulldown menu in Section 3 and click on **Build Report** (at the bottom of the screen).

An Excel document will appear for you to view.

You can also produce a more expanded report.

Select **Provost Annual Report-Detailed** from the pulldown menu in Section 1 and click **Select Report**.

As with the other report, you can change the dates in Section 2 if you wish. Once the date is correct, click on **Build Report** (at the bottom of the screen). The system will produce a Word document that resembles the traditional annual report faculty have completed in the past. This report also includes courses taught information that does not appear on the spreadsheet.

Item	Description	Department Total
	Please record a 0 (zero) where there are no faculty entries for an item that is applicable to your unit. *Where an item is not applicable mark N/A.* *The section below deals with faculty teaching and advising of students and with student characteristics.*	**Note: This column only contains unique records and may be different than the total sum of the row.**

Undergraduate: The following items refer only to undergraduate education. Graduate education is dealt with in the next section.

Item	Description	Department Total
*1a	Courses taught (6 applied music students = 1 course); include fraction if team-taught	-
*1b	Credits of Courses taught from line 1a; include fraction if team-taught	-
*2	University Scholars supervised	2
*3	Honors students advised	73
*4a	Independent Study students supervised	-
*4b	Credits of Independent Study students supervised from line 4a	-
5a	Undergraduate Intern Students Supervised - credit (number of students taking a supervised internship for credit)	124
5b	Number of credits given to the students taking a supervised internship for credit from line 5a	-
5c	Interns Supervised - non-credit (number of students taking a supervised internship for no credit)	9
*6	Advisees	57
7	Presentations in special seminar or minicourses offered through the Honors Program	
*8	Minority advisees (Minorities include citizens or permanent residents who are African American, Asian American, Hispanic American or Native American.)	
9	Other minority program advisees (these represent departmental or faculty initiatives)	
10	National or University-wide teaching awards	1
11	Official advisor to student organizations	1
12	Teaching innovations (Includes development of a new course, incorporating computers into the curriculum, enhancing cultural diversity in the curriculum, etc.)	9

Graduate: The following items refer only to graduate education. Do not duplicate entries made in the previous section.

Item	Description	Department Total
*13a	Courses taught; include fraction if team-taught	-

*13b	Credits of Courses taught from line 13a; include fraction if team-taught	-
*14a	Independent study students supervised	-
*14b	Credits of Independent study students supervised from line 14a	-
*15a	Major advisees graduated - Ph.D.	**18**
*15b	Major advisees graduated - Masters	**63**
*16a	Current major advisees - Ph.D.	**90**
*16b	Current major advisees - Masters	**106**
17a	Associate advisory committee memberships - Ph.D.	**111**
17b	Associate advisory committee memberships - Masters	**147**
*18a	Minority student major advisees - Ph.D.	**3**
*18b	Minority student major advisees - Masters	**9**
19a	Interns Supervised (Ph.D.) - credit (number of students taking a supervised internship for credit)	**1**
19b	Number of credits given to the students taking a supervised internship for credit from 19a	-
19c	Interns Supervised (Masters) - credit (number of students taking a supervised internship for credit)	**20**
19d	Number of credits given to the students taking a supervised internship for credit from 19c	-
20	Predoctoral major advisees with extramural support awarded in national competition (NSF, Javits, Danforth, Rockefeller, Ford, etc.)	
21	Postdoctoral fellows working with your faculty	**12**
22	National or university-wide teaching awards	**1**
23	Official advisors to student organizations	**2**
	Scholarship: Publications & Conferences (All published works for which the faculty member is the sole or co-author. Count authors (and co-authors), not works.)	74
24	Scholarly books or monographs (Textbooks, books of fiction, poetry or essays should be included in items 27 or 52)	**4**
25	Scholarly books edited (List here edited books to which the faculty member has made a substantive original contribution, otherwise use item 26)	**2**
26	Scholarly books assembled (List here edited collections with little or no original contribution)	**1**
27	Textbooks (Include both new and revised editions)	**2**
28	Manuals (Laboratory, computer, student guides)	**2**
29a	Software packages - Long	
29b	Software packages - Short	
30	Book chapters	**15**
31	Full-length articles in refereed journals (Includes review articles. Other reviews should be listed in items 33 or 38. Article size is field-specific: for example, a three-page Science article describing an experiment is considered full-length.)	**48**
32	Short refereed journal articles (Short papers include notes, comments, etc.)	

33 Non-refereed journal articles (Same as for full-length refereed articles above, only not refereed. Include long reviews of books, drama, music, art; long pieces for professional journals and general magazines, encyclopedias, newspapers, radio and television) **2**

34 Published conference proceedings (full paper) (Full-length papers presented at learned society meetings, not abstracts (which are listed in item 35). Invited presentations at conferences (keynote address, invited symposia) should be listed here and also under items (69) or (71).) **72**

35 Conference proceedings and presentation (short paper, abstract or poster) (Do not include abstracts listed in item 34. Include here animal, plant and landscape shows and exhibitions.) **151**

36 Technical reports and published working papers (include research laboratory reports to extramural agencies) **86**

37 Patents

38 Reviews (book, drama, music or art)

39a Extension bulletins - Major

39b Extension bulletins - Minor

40 Miscellaneous other publications (Include newspaper op-ed pieces, unedited pamphlets, popular magazine articles) **2**

Scholarship: Other Creative Products This section is primarily concerned with artistic productivity. Performances refer to those not part of an academic assignment. Usually these will be off-campus, but may include special events held on campus not connected to school curriculum. Repeat performances are counted as one.

41a Performances as conductor/director - Major (Includes musical conductor, theatre director, choreographer)

41b Performances as conductor/director - Minor (Includes musical conductor, theatre director, choreographer)

42 Performances in recording

43 Audio or visual recordings as producer

44a Performances in recital/concerts - Solo

44b Performances in recital/concerts - Ensemble

45a Actor/Performer in - Major Role

45b Actor/Performer in - Minor Role

46a Technical Designs or productions - Major (Include lighting, scene, costume design)

46b Technical Designs or productions - Minor (Include lighting, scene, costume design)

47 One person exhibitions

48 Group invitational shows

49 Group or juried shows

50 Curated exhibitions

51a Musical compositions: - Large form (A musical piece composed by a faculty member and performed off-campus. Large form includes symphonies, operas, concertos or major chamber works.)

51b Musical Compositions: - Short form (A musical piece composed by a faculty member and performed off-campus. Short form includes incidental music or similar works.)

52a Published creative writing - Large form (Creative writing published or a play produced professionally. Large form includes novels; full-length plays; books of poetry, essays or short stories.)

52b Published creative writing - Short form (Creative writing published or a play produced professionally. Short form includes short stories, poems, essays or one-act plays.)

53 Original exhibition catalog notes or program notes for concerts or plays

54 Musical arrangements or editions

55 Transcriptions or translations

Scholarship: Scholarly Reputation

56 Editorships of major journals (The number of major journals varies widely according to discipline. Those journals that are generally accepted as major in your field are referred to here. Major journals may include mass-circulation newspapers and magazines. Editor and Associate Editor (item (57)) are formal titles for these journals. Editorial board memberships, short term, guest and special editorships should be listed under item (58).)   **4**

57 Associate editorships of major journals or organizer of major conferences (major conferences include national/international meetings)   **20**

58 Other editorial positions or organizer of other conferences (Member of editorial boards or journals, news media; editors of conference proceedings; editorships or associate editorships of non-major journals, general editorships of book series or collections, consulting editor, guest or short term editor, etc. Other conferences are small, regional meetings.)   **31**

59 Major officers of large national/international learned societies (Some disciplines have one or two large societies representing the entire profession. It is these to which this item refers. For disciplines with several smaller societies, see item (60). By major offices we mean President, Vice President, Secretary or Treasurer.)   **6**

60 Other officers of large national/international learned societies (Include significant committee membership, conference session chair, etc.)   **3**

61 Major officers of small or non-national learned societies (If a discipline has several small national societies representing it, officers should be included here as should officers of state and regional societies.)   **2**

62	Member of federal peer review committees (DOD, DOE, NEA, NEH, NIH, NSF,USDA, etc)	**1**
63	Member of other national/international peer review committees	**1**
64	Member of state or regional peer review committees	
65	Ad hoc reviews for granting agencies, journals, publishers or other universities (Ad hoc reviews do not include University of Connecticut reviews (e.g. UConn Research Foundation). Include manuscript reviewing activities here as well as dissertation and PTR reviews for other universities.)	**68**
66	National/international awards, prizes or honorary degrees (Include NSF career awards, Pulitzer or Nobel prizes, appointments to national academies. Count continuing awards annually. These are non-teaching awards.)	**7**
67	Appointed Fellows of national/international learned societies (Include appointments to state societies like the Connecticut Academy of Science and Engineering.)	**1**
68	Other awards or prizes (non-teaching)	**3**
69	Keynote/plenary lectures at national/international conferences	**8**
70	Invited Visiting Professorships	
71	Invited Scholarly colloquia, presentations or symposia (These include off-campus invitations (keynote addresses should be in item 69 and session chairs in item 60.)	**50**
72	Artistic performances by invitation (major orchestras, theatres, major gallery or institutions).	
73	National consultancies, clinics and workshops (Consultancies for which a form is filed with the Chancellor's Office (or comparable ones during the summer for which no form is filed) that result from the faculty members reputation in the field. Other consultancies can be listed in the appropriate item under "Service.")	**12**
74	Access gained to national research facilities (for example, supercomputers.)	
75	Commissioned work of arts, architectural and graphic designs, music or drama (Work should be included also in the appropriate category of "Other Creative Products" in the year completed.)	
76	Other sales of major works of art, music or drama	
	Scholarship: External Funding	
***77**	Active or approved grants	**19**
***78**	Total amount of annual grant funds (direct costs) (If grants include more than one Principle Investigator, fractions are reported by the faculty.)	**2016435**
***79**	Grant proposals submitted	**13**
80	Endowed Chairs	

Service and Outreach: This section is for extra-professional service that is not due to scholarly reputation and hence not listed in the scholarly reputation/production sections above.

81	Presentations in student recruitment programs (Formal full- or half-day programs)	**2**
82	Presentations in minority student recruitment activities (Formal full- or half-day programs)	
83	Departmental or non-departmentalized school committee memberships (Count only committee memberships that are active for this reporting period.)	**35**
84a	University committee member	**31**
84b	College or departmentalized School committee member	**29**
84c	Regional Campus committee member	
85a	Departmental or non-departmentalized school Committee Chair	**13**
85b	University Committee Chair	**2**
85c	College or Departmentalized School Committee Chair	**8**
85d	Regional Campus Committee Chair	
86	Non-departmental administration (Include President, Chancellor, Associate Chancellor, Dean, Associate Dean, Director of Regional Campus, Museum and other directorships involving official release from teachings duties. Report percent of appointment.	**2**
87	Clinical, extension or other "expert" services (note types of and frequency of services performed. Include radio, television, newspaper interviews, specimen identification, extension service presentations.)	**11**
88	Formal outreach programs (including artistic programs) for schools or businesses	**6**
89	State committee member (not related to scholarship) (Do not include peer review committees listed in item 64)	**2**
90	Consultancies for state/local government agencies	**1**
91	Consultanices to state/regional businesses and institutions (Refers to businesses and schools operating primarily in the state. Those national and international organizations with offices in the state should be included in item 96.)	**21**
92	Member of voluntary service organizations	**15**
93	Services for or presentations to community groups	**4**
94	Members of federal government committees (not related to scholarship) (Refers to work unrelated to oversight of scholarly efforts)	
95	Consultancies of federal governmental agencies (not related to scholarship)	
96	Consultanicies to national/international institutions (businesses, schools, etc)	**1**
97	Memberships on professional society committees.	**97**

Additional information related to instruction to be provided by instructional unit (school or department) when available. Items 98-104 are for faculty member information only - not for individual faculty member to complete.

98 Percent of undergraduate majors placed in career-related positions, or graduate or professional school   -

99 Percent of undergraduate majors who have gone on to full-time graduate or professional school   -

*100 Number of applicants to graduate program   -

*101 Number offered admission to graduate program   -

*102 Number of offers of admission accepted to graduate program   -

103 Percent of Ph.D. graduates with first postdoctoral position in academic or research position   -

104 Percent of Ph.D. graduates with first position in academic, research, clinical, industrial or business non-research positions   -

To: Dan Stolzenberg
            Educational Psychology

From: Doreen Posage
            Effort Reporting Coordinator
            Office for Sponsored Programs (OSP)

Date: August 22, 2012

Re: Effort Reports for Spring 2012

Effort reports for departmental faculty and graduate students who have paid or committed cost-shared effort on sponsored projects are enclosed for distribution and review. Please have the Principal Investigator, employee, or other responsible person review the effort report in accordance with the enclosed instructions. The instructions can also be found at http://osp.uconn.edu/effort_reporting.php

Please return the completed and signed reports to OSP by October 3, 2012.

The reports can be returned by fax (860.486.1334), campus mail (Unit 1133), or by scanning and attaching them to an email.

If you have any questions about the department listed on the report, please contact Martha Davis at 860.486.3823. General questions about the process can be directed to me at 860.486.1695.

Thank you in advance for your assistance.

cc: Del Siegle (Memo Only)

From: Official Announcements - All UConn Faculty <UCONN_FACULTY-L@LISTSERV.UCONN.EDU> on behalf of Kirk, Michael <michael.kirk@UCONN.EDU>
Sent: Wednesday, August 22, 2012 10:41 AM
To: UCONN_FACULTY-L@LISTSERV.UCONN.EDU
Subject: [UCONN_FACULTY-L] Consulting Reconciliation

Sent on behalf of Vice Provost Sally Reis

Dear Colleagues,

Welcome back to the start of a new semester. I write to update you about your consulting activities and to remind you that any faculty member who had an approved consulting activity in FY 12 (July 1, 2011 – June 30, 2012), must file an annual reconciliation report by September 15, 2012. On August 21 or soon after, if you have any approved consulting forms filed, you should receive an automated email indicating whether you have any reconciliation reports to file.

For those who submitted their consulting requests using the on-line faculty consulting approval system (OFCAS), the system already has a command button in its main menu allowing you to reconcile your activities.

For those who submitted their consulting requests using the paper form, we write to tell you that we have uploaded your information into OFCAS and you should use that system to reconcile your consulting requests. We have uploaded only the minimal amount of information required for your reconciliation, so you may see some unusual text in the fields of data (ex. "X") and we ask you to ignore these.

If you need help in doing this reconciliation, please contact Brandon Murray at (860-486-1868).

We wish you a productive and enjoyable academic year and thank you for your help with this important task.

Sally M. Reis
Interim Vice Provost for Academic Affairs

NAME	PHONE	ROOM	E-MAIL ADDRESS
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Joo, Jae-Eun			
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Patwa, Shamim	6-5329	CBG 015C	shamim.patwa@uconn.edu
Perusse, Rachelle	6-0266	CBG 315B	rachelle.perusse@uconn.edu
Reis, Sally	6-0618/6-4037	TASKER 35/Gulley	sally.reis@uconn.edu
Renzulli, Joseph	6-5279	TASKER 36	joseph.renzulli@uconn.edu
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Rogers, H. Jane	6-1244	CBG 338	helen.rogers@uconn.edu
Sanetti, Lisa	6-2747	CBG 015A	lisa.sanetti@uconn.edu
Siegle, Del	6-0616	CBG 119C	del.siegle@uconn.edu
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COMMITTEE	MEMBERS	TERM EXPIRES
C & C	Natalie Olinghouse	Spring 2014
	Robert Colbert - Chair	Spring 2013
Scholarship	**Michael Faggella-Luby - Chair**	Spring 2013
	Lisa Sanetti	Spring 2014
	Megan Welsh	Spring 2014
Honors	Natalie Olinghouse	Spring 2013
	Joe Madaus	Spring 2014
	E. Jean Gubbins	Spring 2014
	Catherine Little - **Chair**	Spring 2014
PTR	Scott Brown	Spring 2014
	Jane Rogers (replacement)	Spring 2013 (replacement)
	Tom Kehle	Spring 2014
	Melissa Bray - Chair	Spring 2013
	Catherine Little (Sabbatical)	Spring 2014 (Sabbatical 2012)
Sunshine	**Rachelle Perusse - Chair**	Spring 2013
	Melissa Bray	Spring 2014
	Tutita Casa	Spring 2014
PTR Dean's	Jim O'Neil	Spring 2014
Graduate Faculty Council (Elected for Ed. Psy.)	Scott Brown	Spring 2014
Alternate	Tom Kehle	Spring 2014
(Elected for Special Education)	Orv Karan	Spring 2012 ?
Alternate	Brandi Simonsen	Spring 2012 ?

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

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
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)	• General overview of relevant literature	• 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.
2. Prepare preliminary Statement of the Problem/Research Question(s)/Research Design	Major Advisor (S)	• Preliminary Statement of the Problem • Preliminary Research Question(s) • Preliminary Research Design	• All are preliminary and may be revised based on Comprehensive Literature Review outlined in Step 4. • Format is at the major advisor's discretion.

3. Identify committee and potential Readers	Major Advisor (S)	• Formation of Advisory Committee
		• Identification of potential Readers
			• Committee is composed of the Chair (Major Advisor) and at least two Associate Advisors
			• 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.
			  o Readers may be within the Neag School of Education, the broader University of Connecticut faculty, or outside of the University.
			  o 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.
			  o 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.

Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details

4. Complete Comprehensive Literature Review	Major Advisor (S) *Advisory Committee (discretion)*	• Comprehensive Literature Review (e.g., concepts, existing research, dependent/independent variables, methods, analysis)
		• Statement of Research Question(s)
			• A recursive process with Step 2
			• 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).
			• The Review of Literature serves as a resource for what will be included in the dissertation.
			• Options for format of the Comprehensive Literature Review include the following, at Advisor/Committee discretion:
			  o As part of the comprehensive exam
			  o A Review of Literature written for a course
			  o Chapters 1 and 2 of the traditional dissertation
			  o Reviews as part of pilot studies or related published/presented works

5. Prepare full Dissertation Proposal	Major Advisor (S)	• Title page
		• Abstract
		• Introduction
		• Statement of the Problem
		• Literature Review
		• Research Questions and/or Hypotheses
		• Methods
		• Limitations
		• References (cited in proposal)
		• Appendices (if necessary)
			• Developed with input from other Advisory Committee members, as appropriate.
			• 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).
			• Points that are at the Advisor/Committee discretion
			  o 12-25 pages (in most cases, approximately 20-25% of the proposal should be dedicated to the literature review.)
			  o Dissertation Proposal Literature Review should be a concise synthesis of the salient points related to the proposed study.

6. Receive approval to send Dissertation Proposal to Advisory Committee	Major Advisor (A)	• Dissertation Proposal ready for Advisory Committee feedback	• Proposal should be ready for committee review at least 6 months before expected date of graduation. • Allow a minimum of 2 weeks for feedback from Advisory Committee members. Major Advisor tracks the proposed timeline.
7. Revise Dissertation Proposal and receive approval to schedule Oral Defense	Advisory Committee (A)	• Revisions made to Dissertation Proposal based on Advisory Committee feedback	• Student revises proposal based on feedback from Advisory Committee members. • All Advisory Committee members must approve before student may proceed to Step 8.

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)	• Revised document and committee approval • Public notification of Oral Defense for EPSY faculty and Ph.D. students	• Student schedules Oral Defense date with Advisory Committee and Readers. • Student sends (revised) proposal to Advisory Committee and Readers. • Allow a minimum of 2 weeks for review. • 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. • Public notification of Oral Defense for EPSY faculty and Ph.D. students
9. Complete Oral Defense	Major Advisor (S)	• Oral Defense presentation and discussion	• Major Advisor convenes and conducts Oral Defense. • Major Advisor conveys the protocol and procedures for the Oral Defense to those in attendance. • The Advisory Committee members must attend, and Readers may attend. • Additional guests (those outside EPSY faculty/Ph.D. students) may attend at the Advisory Committee's discretion. • University faculty 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. • During the discussion of approval to proceed to the next step, only the Major Advisor, Advisory Committee members, and Readers remain in the room.

Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details

10. Receive approval to proceed to next step	Advisory Committee (A)	• Dissertation Proposal
		• Oral Defense
			• The Advisory Committee determines the result of the Oral Defense based on the following options:
			  o Pass: Approval to proceed (no revisions needed);
			  o Pass: Approval to proceed (minor revisions—Advisor withholds signature);
			  o Pass: Approval to proceed (major revisions—Advisor withholds signature; relevant committee members may withhold signatures);
			  o 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.
			• 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.

11. Submit to IRB (as applicable)	Major Advisor (A)	• IRB-1 protocol or IRB-5 exemption form and other required documents as appropriate to the study	• 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).
12. Secure IRB approval (as applicable)	IRB (A)	• IRB-1 protocol or IRB-5 exemption form	• IRB may request changes in the protocol, which requires adjusting the timeline for the subsequent steps.
13. Submit to Department Head/Dean/ Graduate School	Major Advisor (S)	• Dissertation Proposal Graduate School forms	
14. Initiate dissertation study	Major Advisor (S)		• Data collection related to the proposal cannot be conducted until IRB approval (or exemption) is obtained, if IRB review is appropriate.

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?

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.

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.		
	Approve	**Revise/Resubmit**
Overall Recommendation		

Signature of Reader: _____**Date:** _____

Appendix D
Department of Educational Psychology
Dissertation Proposal Advisory Committee Review Form

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:_____

Status	Result of Dissertation Proposal Defense
	Pass: Approval to proceed (no revisions needed)
	Pass: Approval to proceed (minor revisions—Advisor withholds signature)
	Pass: Approval to proceed (major revisions—Advisor withholds signature; relevant Advisory Committee members may withhold signatures)
	Resubmit: Revise and resubmit—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

Initial Preparation of Problem, Questions, and Design as Informed by the Literature

- Preliminary Review of the Literature
- Preliminary Statement of the Problem
- Preliminary Research Questions
- Preliminary Research Design

Notes:
- ***All*** are preliminary and may be ***revised*** based on subsequent Comprehensive Literature Review
- Format is at Major Advisor's discretion

Identification and Invitation of Advisory Committe and Readers

- Formation of Advisory Committee
- Identification of potential readers

Notes:
- Committee is composed of the Major Advisor, at least two Associate Advisors, and two readers
- The student and advisor should work together to identify readers (see recommendations in narrative)

Complete Comprehensive Literature Review

- Comprehensive Literature Review (e.g., concepts, existing research, dependent/independent variables, methods, analysis)
- Statement of Research Question(s)

Notes:
- This Comprehensive Literature Review serves as a resource for what will be included in the final Dissertation
- Preparation process of this Comprehensive Literature Review is at the Major Advisor's discretion (see table for options)

Development of Full Dissertation Proposal

- Prepare full Dissertation Proposal: Title Page, Abstract, Introduction, Statement of Problem, Dissertation Proposal Literature Review, Research Questions/Hypotheses, Methods, Limitations, References, Appendices

Notes:
- 12-25 pages (at the Advisor/Committee discretion and in most cases, approximately 20-25% should be dedicated to literature review)
- Dissertation Proposal LIterature Review should be a concise synthesis of the salient points related to the proposal study.

Initial Committee Review

- Dissertation Proposal ready for Committee feedback (at least **6 months** before graduation)
- Revise Proposal based on feedback
- Send to Committee Members allowing minimum of **2 weeks** for feedback
- Receive approval from Committee to schedule defense

Notes:
- Must first receive approval from **Major Advisor** to send Dissertation Proposal to Committee for review

Schedule Oral Defense and Provide Revised Proposal to Committee and Readers

- Schedule Oral Defense with the revisions and Committee approval
- Public notification of Oral Defense for EPSY faculty and Ph.D. students
- Submit proposal to readers

Notes:
- Allow **2 weeks** between sharing this version of the proposal and the scheduled Oral Defense.
- **ALL** Advisory Committee members must approve revised proposal document ***prior*** to oral defense.

Oral Defense with Resulting Committee Decision

- Oral defense presentation and discussion
- Receive approval to proceed to the next step

Notes:
- Readers are **NOT** required to attend the Dissertation Proposal defense

Completion of Revisions and Follow-up Approvals

- Complete revisions of Proposal
- Submit IRB and receive approval (as applicable)

After all steps are complete, initiate the dissertation study!

| ALL SCHOOLS/COLLEGE (EXCEPT CLAS) 2012/2013 DEADLINES FOR COMPLETION OF PTR PROCEDURES	
Week of August 27	The faculty member shall return the completed form to the Department Head, after signing it to indicate approval. If the faculty member wishes not to be considered for promotion this year, he or she will so request it in writing. Withdrawal from consideration may also be requested in writing by the faculty member at any later stage in these procedures.
Week of September 17	The Department PTR Committee shall report its recommendations and appraisals with supporting evidence in writing to the Department Head. If in any case the Committee's recommendation is not unanimous, its report shall include the dissenting opinions with supporting data.
Week of October 8	The Department Head shall transmit to the Dean of the School or College his or her recommendations for promotion, tenure and reappointment, together with those of the Departmental PTR Advisory Committee, the supporting data, and dissenting opinions. When neither the Committee nor the Head recommends a promotion that has been considered, no recommendation need be transmitted to the Dean unless specifically requested by the faculty member or the Dean.
November 12 - November 23	The Dean shall inform the Department Head and the faculty member of the recommendations to be made by the Advisory Council and the Dean regarding the faculty member. In case of a negative recommendation, the notification shall be in writing with reasons, if either the faculty member or the Dean so wishes.
November 26-December 7	The Dean shall transmit to the Provost his or her recommendations and those of the Advisory Council, the Department Head and the Department Advisory Committee, together with supporting data and any dissenting opinions. When recommendations differ, it is important to include a statement of the reasons for the Dean's recommendations.
December 17 to January 11	Provost's PTR Committee individually reviews dossiers.
January 14	Provost's PTR Committee meets and selects cases for discussion with the Deans.
Weeks of January 14 and January 21	Deans and Department Heads meet individually with the Provost's PTR Review Committee to provide input and discuss dossiers within their specific school/college.
January 31	The Provost's PTR Committee meets with the Deans as a group to engage in general discussion and provide input to the Provost.
Week of February 4	Provost meets with individual faculty members being referred to the FRB and meets separately with the Faculty Review Board to discuss negative recommendations and asks for review and advice.
March 27	The Provost submits recommendations to the Board of Trustees for approval at their April meeting.
April 24, 2013	Following Board of Trustees approval, the Provost sends confirmation letters to individual faculty members, Deans and Department Heads.

Number of Publications per Faculty Member (journal articles, books, chapters)
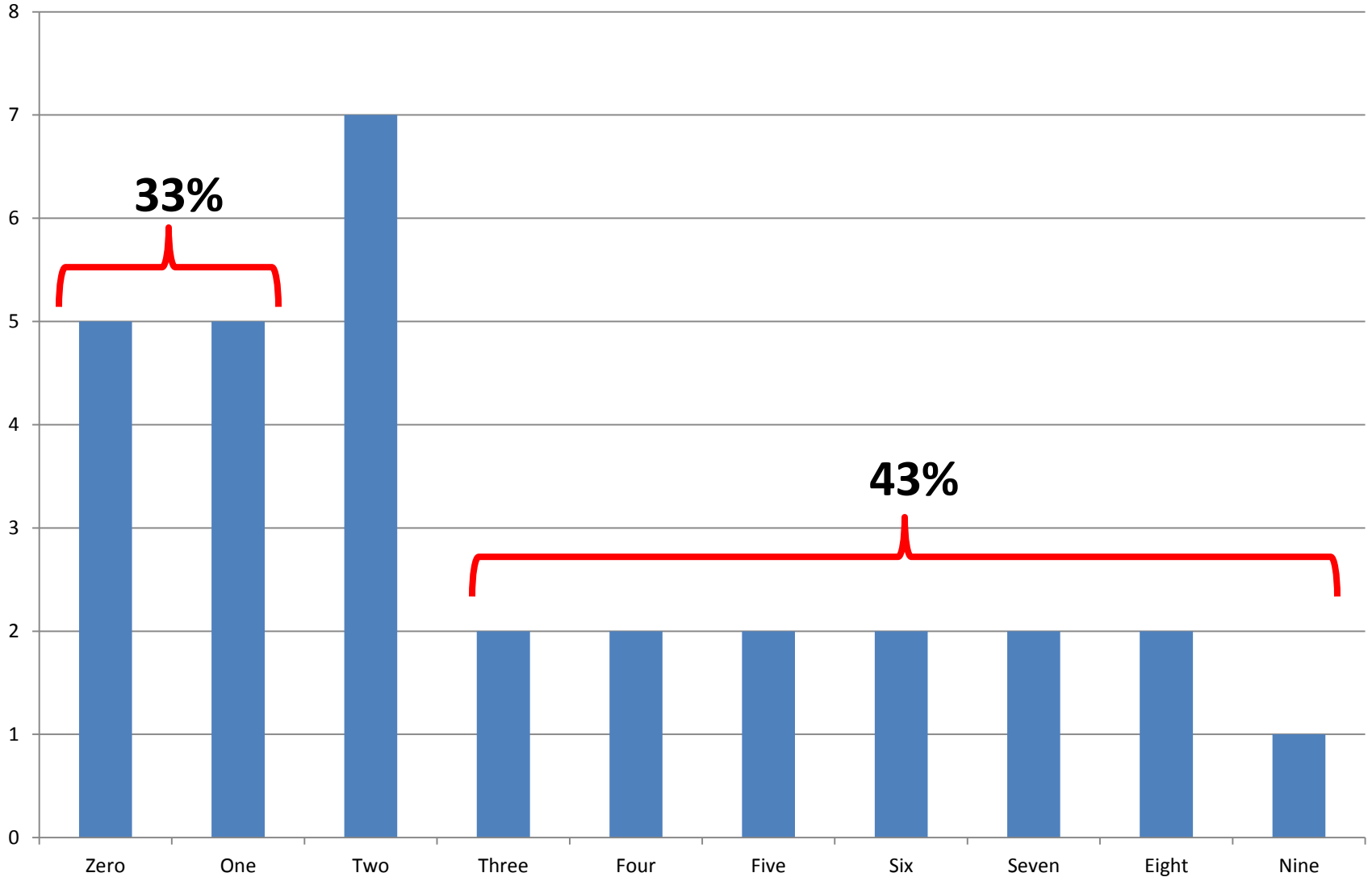
# Advising Data for Tenure Track Faculty Only
(taken from HuskyDM and organized by professor from least to most advisees)

	EPSY Total	Minimum	Maximum	Mean	Median	Mode
Major advisees graduated - Ph.D.	18	0	3	0.708	0	0
Major advisees graduated - Masters	63	0	23	2.583	0	0
Current major advisees - Ph.D.	90	0	14	3.625	3	3
Current major advisees - Masters	106	0	42	4.416	1	0
Associate advisory committee - Ph.D.	111	0	26	5.125	3.5	0
Associate advisory committee - Masters	147	0	56	5.791	0	0

- ■ Major advisees graduated - Ph.D.
- ■ Major advisees graduated - Masters
- ■ Current major advisees - Ph.D.
- ■ Current major advisees - Masters
- ■ Associate advisory committee memberships - Ph.D.
- ■ Associate advisory committee memberships - Masters
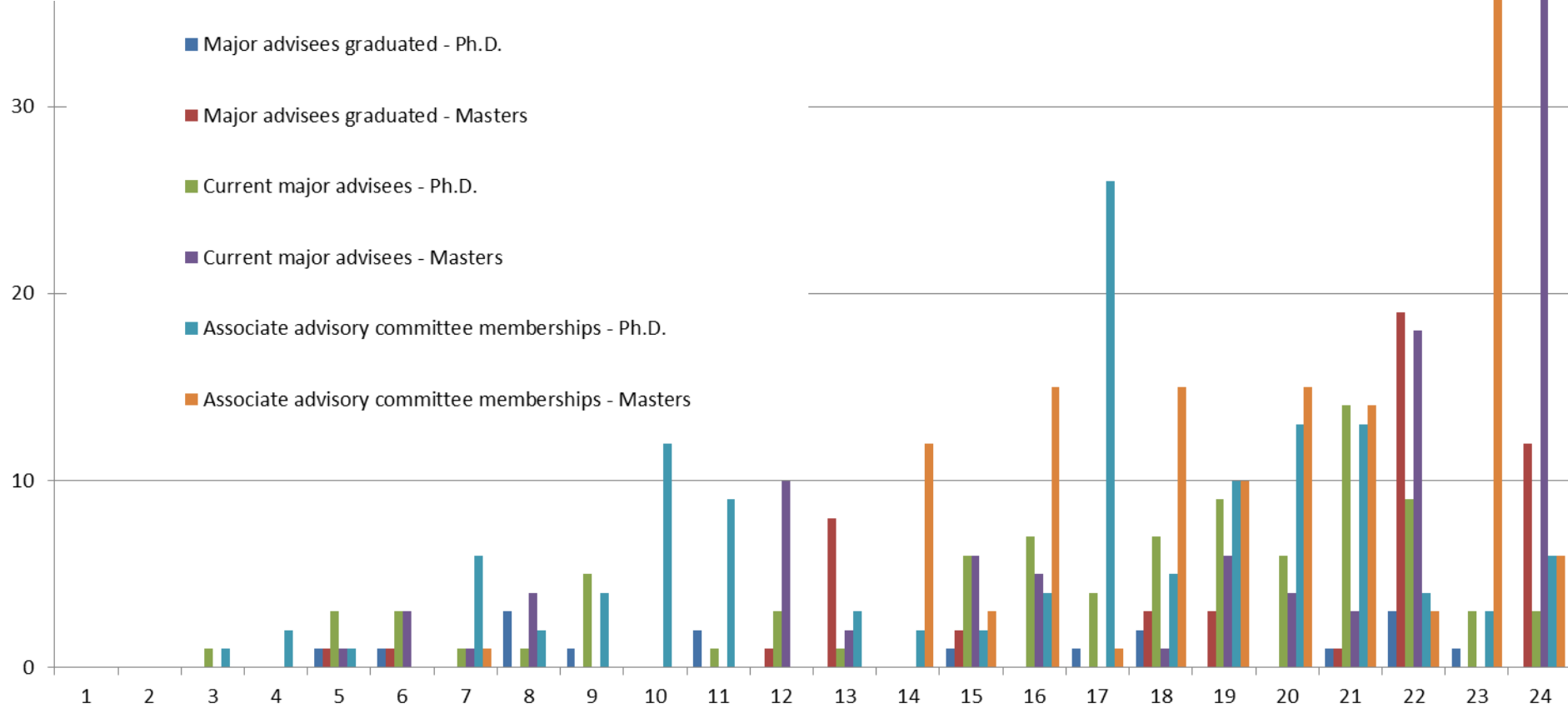
2011-2012 Merit Recommendations (tenure track faculty)

	Min.	Max.	Mean	Median	Mode	Standard Deviation
Scholarship	0	3	2.04	3	3	1.37
Teaching	0	3	1.87	2.5	3	1.27
Service	0	3	2.33	3	3	1.11
Overall	**0**	**3**	**2.09**	**2.42**	**3**	**1.05**
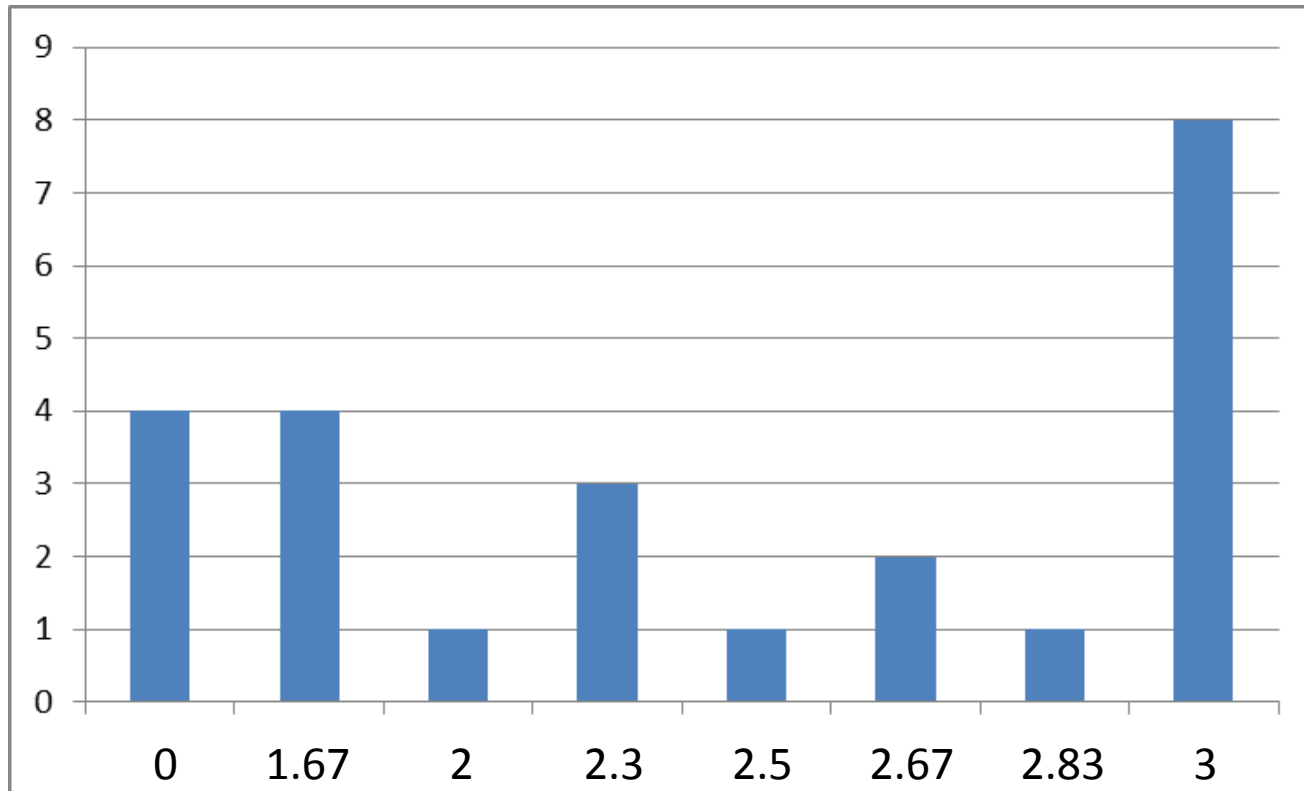
A New Vision for the Neag School of Education

Introduction

In Fall 2011, President Herbst announced that the University of Connecticut would have the opportunity to hire 270-300 new faculty over the next few years. She asked each dean to propose a hiring plan for the 2012-2013 academic year that would involve "clusters" of faculty who would have a significant impact on research, scholarship, and funding within and across schools and colleges at UConn. The Neag School of Education submitted two proposals – one on *Closing the Achievement Gap in Connecticut* and a one involving an *Evaluation and Educational Policy Center* within the Neag School. The proposals were developed through a collaborative effort of the Dean, Department Heads, and Dr. George Sugai and were submitted to the President in January 2012. In April, the proposals were returned for revision, and in May 2012 we were informed that both clusters were approved. A description and a rationale for each cluster is provided next.

Closing the Achievement Gap in Connecticut

The Connecticut public education system consists of approximately 567,000 students and 48,000 teachers spread across 166 local school districts with 1179 schools including 18 charter and 17 technical schools. Approximately 36% of Connecticut's public schools students are children of color, with 11.3% from families below the poverty line and 32.3% eligible for free or reduced-priced school lunches. Approximately 5.3% qualify as Limited English Proficient and 12.2% require special accommodations as Special Education students. More than 90% of funding for public schools comes from state and local sources with most key educational policies determined at the state and local levels; however, the federal government plays a limited but influential role in K-12 education through requirements that are attached to federal funds.

Given this context, how well are Connecticut students achieving? Simply stated the results are mixed. The most recent report of the National Assessment of Educational Progress [NAEP], commonly referred to as the nation's report card, found that when comparing data from 2009 to 2011 generally there was no significant change or progress in student achievement in both reading and mathematics in grades 4 and 8. While the NAEP scores of students in Connecticut paint a "slightly better than average" picture, the average scores of demographic subgroups in Connecticut remain bleak. For example, average scores in both mathematics and reading at the 4th and 8th grade levels of African-American and Hispanic students are significantly lower (i.e., 28-35 points) as compared to White students. In addition, White and Asian students in Connecticut graduate from high school in 4 years at a much higher rate than African-American, Hispanic, and low-income students—89% for White and Asian students as compared to 69% for African-American students, 64% for Hispanic students, and 63% for low-income students.

The gap in scores between white students and students of color as well as between low-income and non-low-income students in Connecticut is unacceptable. Recently, Governor Malloy declared 2012 the "Year for Education Reform" and introduced legislation that has the potential to reshape the educational landscape in Connecticut. Closing the gap will take a sustained and comprehensive effort from educational stakeholders including unions, parents, policy makers, schools of education, and leaders from the business community across the state. Currently, the Neag School does not have the capacity to support large-scale reform through research, professional development, consultation, and demonstration; therefore, in order to address the achievement gap crisis in Connecticut the Neag School will hire a cluster of faculty dedicated to providing schools, school leaders, and teachers with research and evaluation, professional development and technical assistance, and consultation to close the achievement gap effectively. The proposed cluster will form the foundation of the Institute for School and Student Achievement and will consist of eight faculty across

four departments—Public Policy (Joint hire with CLAS), Curriculum and Instruction, Educational Psychology, and Educational Leadership, with expertise in school success and student achievement.

Evaluation and Educational Policy Center

Over the past decade large-scale assessment and evaluation procedures have become embedded into the day-to-day practices of schools. Education policy makers in Connecticut and across the U.S. are advocating for and legislating extensive measurement of student achievement as well as teacher evaluation, administrator evaluation, and linkages among the three. As evidenced by national projects such as the *IES What Works Clearinghouse*, educators at all levels are focused on evidence-based practice and data that show the effectiveness of instruction and interventions. Schools of education are uniquely positioned to offer both program evaluation, policy analysis, and policy guidance to local, state, and national entities.

Over the past few years the Neag School has made a number of strategic hires in the area of measurement, evaluation, and assessment to work on the issue of teacher and administrator effectiveness as well as serving as a resource to evaluation projects impacting K-12 schools on a state and national level. In addition, the Neag School is home to the University of Connecticut's Center for Educational Policy Analysis (CEPA). CEPA is housed within the Department of Educational Leadership and its mission is to inform educational leaders and policymakers on issues related to the development, implementation and consequences of education policies. In addition, CEPA provides assistance to districts, schools, agencies, and organizations through policy research and evaluation.

Bringing synergy to both groups through scholarship and grants is critical to the long-term growth of the Neag School. Therefore, the Neag School will hire 4-6 faculty with expertise in evaluation and educational policy. In particular, this group will seek

contracts and grants, conduct evaluations and analysis on educational issues impacting K-12 schools, prepare policy briefs for state and national legislators on educational issues, and provide support to faculty groups seeking funding to conduct evaluations.

Summary

To implement these new initiatives, twelve to fourteen new faculty (8 faculty involved in the *Achievement Gap* cluster and 4-6 faculty in the *Evaluation and Educational Policy* cluster) will join the Neag School beginning in Fall 2013. This group of new faculty, in addition to the 7 faculty hired for Fall 2012 will bring a unique and exciting opportunity to the Neag School and one that will have significant impact for years to come. *Integrating new faculty with existing faculty requires a strategic and thoughtful plan so that in the end the "sum is better than the parts"—that is, collectively, all faculty within the Neag School have an opportunity to work collaboratively on important and meaningful research questions that will have positive impact on K-12 schools and provide evidenced-based educational policy recommendations to state and federal policy makers.* To begin this integrative process we will implement a new structure within the Neag School.

A New Structure

Currently, the academic life of tenured and untenured faculty is governed by departmental structures and university guidelines with respect to research, teaching, and service that lead to tenure. For years this cultural milieu has been embedded into the day-to-day practices of faculty with an eye toward tenure and promotion. However, I believe this process tends to be restrictive and isolates faculty with respect to innovation in teaching or efforts on large-scale research initiatives. To change this outcome a new infrastructure will be defined and operationalized, one that will incentivize and encourage faculty to work collaboratively on important research agendas as well as carry out the day-to-day activities of teaching, advising, and service within a department. To do so will require a new vision for the Neag School, that is, a

rethinking and a restructuring of how we are organized to accomplish our day-to-day work. Such a vision involves changes to our *academic operations*, a more robust *political advocacy* on behalf of the Neag School, an aggressive *fundraising campaign* to fund our new initiatives, a revision to our current *staffing and space utilization*, and a new and focused *marketing and communication* plan. Each area is described next.

A New Vision

Academic Operations

Generally, academic departments serve a number of important functions within the Neag School. Continuing the current 4-department structure the primary function of each department will center around teaching assignments, oversight of licensure and credentialing, committee work such as PTR and Merit, and the day-to-day operations of the department. The influx of new faculty may allow for a redesign of teaching assignments to allow faculty more flexibility in their teaching loads and their research opportunities. For example, differentiated teaching loads (e.g., 2-2, 3-1; 4-0) should be explored with the idea that over an extended period of time (e.g., 3-5 years) all faculty within a particular discipline will teach equal loads. This system will allow faculty opportunities to develop new and innovative courses or to conduct research.

Research and scholarship is the lifeblood of the faculty within the Neag School. It is the most highly valued faculty activity within the university and it is what motivates faculty in their profession. Faculty within the Neag School are passionate about their research with a focus on improving the lives of children and adults across the nation. Therefore, with respect to research a new paradigm is envisioned—one that will allow faculty more flexibility to work collaboratively within the Neag School and across the university. In this new paradigm, research will coalesce around large research themes—for example, a) the Institute for School and Student Achievement, b) Teacher Preparation, c) Leadership, Policy and Advocacy, d) Health and Wellness, e) International Education, g) Talent Development, h) e-Learning and h) Public Engagement.

A research team or an implementation team associated with each theme will be formed and will be headed up by a faculty member. I will appoint faculty to serve as heads of some teams while other teams will have a process by which faculty can apply serve as team leader.

Research Teams

Each research team will pose and study 2 or 3 large research questions—questions that have national impact in education or the workplace. Each research team will be required to secure grant funds and publish scholarly papers based on their research. Every 3-5 years new research questions will be defined and / or new research themes will be developed. Research teams may begin their work as early as Fall 2013 or may be phased in over the next few years depending on the nature of the research and the organization of the research team. Each research team will receive start-up funds from the Dean's Office to begin their work; however, I expect that over time those funds will be returned to the Dean's Office through grant funding secured by the research team. These funds will be reinvested in other research teams to conduct their research. Faculty can participate in one or more than one research team or choose not to participate on any team. Finally, undergraduate and graduate students within our programs will also have the opportunity to participate on research teams. As one example, students within our honor's program can choose to work with research teams as part of their honor's thesis.

Implementation Teams

Implementation teams will provide leadership and support in organizing information, developing implementation plans, building faculty participation, and launching efforts within the school. Implementation teams will also be led by a faculty designated by the Dean and will receive start-up funds from the Dean's office appropriate for the work being conducted. As with the research teams, new ideas for implementation teams will be considered every few years.

A brief synopsis of the proposed themes is presented next. [It should be noted that there will be an opportunity for faculty to propose other themes.]

a) *Institute of School and Student Achievement (ISSA)*

In order to address the achievement gap crisis in Connecticut the Neag School has been given a unique opportunity to hire a cluster of faculty dedicated to solving this problem. The new faculty will bring various backgrounds and expertise to bear on school success and student achievement and will be part of a research team, headed up by Dr. George Sugai, committed to collecting, analyzing and disseminating information on the turn-around process for low-performing schools. In particular, this team will develop a research agenda to examine school turn-around strategies and build an evidence base for success. The team will offer professional development to teachers, principals, and superintendents in low-performing schools in Connecticut to help the academic leaders of those schools improve student performance. Over time an Institute for School and Student Achievement (ISSA) will be established at the Neag School and will become a regional and national clearinghouse on strategies for low-performing schools to effectively improve school success and student achievement.

b) *Teacher Preparation*

Currently, there are two pathways to K-12 certification in the Neag School- the traditional (5-year) Integrated/Bachelor's Master's (IB/M) Teacher preparation program and the one-year Teacher Certification Program for College Graduates (TCPCG). Currently, the teacher preparation programs in the Neag School are nationally recognized programs (Elementary Education #14; Secondary Education #17—*USN & WR*) and aspects of the program are exemplars of effective teacher preparation.   An Endowed Professor in

Teacher Education with a focus in Urban Education will be hired to head up the research team and galvanize a research agenda in partnership with the Director of Teacher Education, developed by faculty, around important topics in the preparation and career success of K-12 teachers.

c) *Leadership, Policy, and Advocacy*

The Department of Educational Leadership (EDLR) within the Neag School is home to the University of Connecticut's Administrator Preparation Program (UCAPP) and the Executive Leadership Program—two nationally recognized administrator programs that prepare individuals to become principals and superintendents. In addition, EDLR houses the University of Connecticut's Center for Educational Policy Analysis (CEPA) whose purpose is to inform educational leaders and policymakers on issues related to education. It is anticipated that the Evaluation and Educational Policy Center (EEPC) cluster hires will work closely with faculty in EDLR to enhance the work of CEPA and our administrator preparation programs through scholarship and grant opportunities. A research team consisting of faculty within EECP and EDLR and headed up by the Director of the EECP and a faculty member from EDLR will work collaboratively to seek contracts and grants, conduct evaluations and analysis on educational issues impacting K-12 schools and administrator preparation, and prepare policy briefs for state and national legislators to help inform legislative policy on education issues.

d) *Health and Wellness*

The trend in health, wellness, and prevention for all individuals is toward an individualized approach to medicine in the areas of genetics, exercise, and nutrition. The research team in this area will be headed up by a faculty member in the Department of Kinesiology and will consist of faculty from the Department of Kinesiology, UConn Health Center, and departments from

across campus interested in conducting research in this field. The focus of this team will be to conduct research to help improve the health and wellness of people of all ages, including those in the workplace as well as K-12 students. In particular, Dr. Frank Torti, Vice President for Health Affairs at the UConn Health Center and the Dean of the UConn School of Medicine, is interested in collaborating with faculty in the Neag School in developing a research agenda and outreach services to children and adults in improving the problem of obesity in Connecticut.

e) *International Education*

Over the next 2-3 years the Neag School is interested in bringing a much more *global perspective* to its programs, faculty, and students. In order to do so we need to advance two main areas—1) international partnership agreements and 2) research on P-20 international education. An implementation team and a research team will be created to facilitate these activities. Drs. Peter Nicholls and Yuhang Rong will head the international partnership agreement team while Dr. David Moss will lead the team conducting research in P-20 international education. It is anticipated that a newly developed research journal in international education will be housed within the Neag School with Dr. Moss and members of the research team serving as the editorial team of the journal. In addition, it is envisioned that the research team will develop a certificate program on global competencies for teachers interested in teaching in American International schools. It is important that both teams work in close collaboration to maximize the Neag School's growth and potential in this exciting educational arena.

f) *Talent Development*

The Department of Educational Psychology is home to the University of Connecticut's National Research Center on the Gifted and Talented and the Neag Center for Gifted Education and Talent Development. The Centers are headed up by Drs. Renzulli and Reis, internationally recognized scholars in the field, who through their research, teaching, and service have developed and shaped the entire field of gifted and talented development on a national and international level. Given his expertise and international status in the field, Dr. Renzulli will lead the research team on talent development. The research conducted by this team will enhance the teaching strategies of preservice and inservice K-12 teachers and advocate for talent development policies and programs.

g) *e-Learning*

Over the years the Neag School has had a proven track record of excellence in online learning in programs such as the Three Summers in Gifted Education program, Two Summers Program in Educational Technology, and the graduate certificate in post-secondary disabilities services. As the university sets challenging goals for expanding UCONN's online presence and given Neag's expertise in this area, the Neag School must develop a more rich and robust approach to *e-Learning.* The Director of Online Learning, Dr. Jae-Eun Joo, will head up the research and implementation teams in this area. Under the director's leadership and direction the teams will create and address a research agenda around P-20 *e-*learning as well as develop and implement plans and services to support online programs/courses offered through the Neag School.

h) *Public Engagement*

Outreach, community service, and public engagement have always been a hallmark of the Neag School. Efforts such as Husky Sport, the PT migrant worker clinic, after school programs, professional development, and student internships have long exemplified our commitment to public engagement. Yet, many both inside the school and in the larger UCONN community know little about our strong public engagement efforts; our efforts are not connected with one another and we are not learning as much as we can from our work. An implementation team will be created to promote greater awareness, coordination, and communication across and about our efforts. A research team will form to generate and study research questions concerning public engagement in higher education. Both teams work in close collaboration to maximize our growth and potential with respect to public engagement.

I anticipate that we will work with other schools and colleges in the next few years to assemble university-wide clusters around three main areas: 1) Neuroscience Research, 2) Innovations in Teaching Through Technology, and 3) Autism. Research teams will be formed around themes emanating from these new cluster hires and their work will be phased in at the appropriate time.

Political Advocacy

Developing a strong relationship with officials of the Connecticut State Department of Education as well as state and federal legislators is important to the success of the Neag School. Currently, Neag School faculty and administrators are leading statewide education projects and are involved in national agenda-setting activities. The new Evaluation and Educational Policy Center will play a central role in providing policy briefs to state and federal legislators, policymakers, and educational stakeholders on important issues in education. We will, in addition, expand our efforts to advocate for

and shape appropriate and effective legislation and policies at all levels, backed up by research.

Fundraising Opportunities

If the research teams are to be successful they will need funding to carry out their research agendas. The dean will work with the Neag Advanced Planning Team (i.e., Development Officer, Communication Director, and Alumni Liaison) to raise both corporate and private funds so that the research teams can be successful in carrying out their work. In addition, research teams will receive assistance in preparing large grants and contracts?

Staffing and Space Utilization

The addition of 16-20 new faculty over the next two years will create space issues within the Gentry Building as well as place extra demands on the staff. The Dean's Office is working on a plan to recapture some space within the Gentry Building; however, this is a difficult issue and will require faculty, staff, and graduate students to be flexible in order to accommodate our new faculty.

In addition, the Neag School has been asked to pilot a new Business Center Model that will centralize some of our day-to-day operations and leave other operations within the purview of each department. This will require a reconceptualization of the workflow of our operations as well as a realignment of the assigned responsibilities of many of the current staff. A plan to implement our new Business Center Model is in place and the Neag School will transition into this plan over the 2012-2013 academic year.

Marketing and Communication

The hiring of so many new faculty to the university over the next few years is unprecedented. With that in mind University Communications is developing a marketing and communication strategy to announce and celebrate this event on a national level.

The Director of Communications within the Neag School will work closely with University Communications on this initiative and develop a marketing and communication plan specific to the Neag School. The purpose of this plan will be to help in fundraising efforts, help attract the very best new faculty to our school, and to share our new vision of the school via national educational publications, radio, television and social media outlets.

Conclusion

The task before us is difficult and complex, yet very exciting. What lies ahead of us is a unique opportunity and will require a bold new vision. It will require all within the Neag School to think and act differently. It will require us to take a leap forward. It will require us to work collaboratively on important research questions. It will require us to rethink our own cultural beliefs about what it means to be a professor as well as our notions of research, scholarship and teaching. As I look across this nation I am convinced we have a great school of education. Our faculty are among the very best researchers and scholars in their respective fields across the nation. As a school faculty and staff have always worked together to accomplish our goals. The addition of new faculty will only strengthen our ability to conduct research and impact important educational issues on a national level. In order to do so we need a bold new vision and a willingness to carry out that new vision.