



HIGH POINT UNIVERSITY

Stout School of Education

Stout School of Education
Ed.D. Program in Educational Leadership

Dissertation in Professional Practice (DiPP) Handbook
2019-2020

Table of Contents

School of Education Faculty and Contacts _____	2
Introduction _____	3
Chapter 1 _____	6
Chapter 2 _____	8
Chapter 3 _____	12
Chapter 4 _____	12
Dissertation Defense _____	13
Problem Finding _____	15
University Doctoral Committee _____	18
District Strategic Planning Team _____	21
Awards and Distinctions _____	23
Grading Guidelines for EDU 7300, 8300, 8400 _____	24
Graduation Requirements _____	27
Glossary of Terms _____	29
Appendix A: Required Elements of the Culminating Project _____	30
Appendix B: University Doctoral Committee _____	36
Appendix C: Dissertation Defense _____	37
Appendix D: Dissertation Defense Evaluation _____	38
Appendix E: Key Evidence #4 _____	39
Appendix F: Key Evidence #5 _____	48

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SECTION I.
High Point University's Ed.D. Program Dissertation-in-Professional Practice

Introduction

The purpose of this *Dissertation-in-Professional Practice Handbook* is to: (1) provide an overview of the Dissertation-in-Professional Practice; (2) provide a guide to the Dissertation-in-Professional Practice (DiPP) policies and procedures from the formation of the problem statement and briefing paper to committee formation to completion of the four sections required in the final DiPP; and, (3) situate the DiPP within the larger program design. It is to be used as a supplement to Norcross Graduate School's *Thesis, Capstone Project, & Dissertation Guide*, effective March 25, 2015 (see Appendix). After a brief overview of the Dissertation-in-Professional Practice process, we provide a thorough working definition of the Dissertation-in-Professional Practice, which serves as one of High Point University's (HPU) culminating products for the Ed.D. degree in Educational Leadership.

Students may choose a Dissertation-in-Professional Practice as a culmination to their Ed.D. program. The DiPP will be developed during the third year and completed during the fourth year as the candidate moves from cohort coursework to independent work with his/her UDC Committee. High Point University believes that the DiPP allows candidates to apply analytic abilities, professional understanding and experiences, contextual knowledge, leadership, and teamwork skills that have been accrued through years one and two of the Ed.D. Program. Candidates for the degree demonstrate these capacities through development of a Dissertation-in-Professional Practice, which is essentially "a manuscript that includes: 1) a thorough description of a high leverage problem in practice; 2) a review of the literature related to the problem and strategies used to address it in other organizations; 3) a focused strategic plan undertaken in real work in real time in a real educational (or similar) setting designed to lead the organization to improvement related to the problem; and, 4) a description of the impact of implementing components part(s) of the strategic plan, with recommendations for deeper learning concerning the problem in practice."

This Dissertation-in-Professional Practice guide and developmental framework of the required product serve to advise the Ed.D. candidate about Ed.D. Program expectations of the Dissertation-in-Professional Practice process. The *Dissertation-in-Professional Practice Handbook* also contains a glossary of terms to define essential concepts and describe critical components of the Dissertation-in-Professional Practice. A suggested timeline and grading criteria for EDU 7300; EDU 8300/8400 may also be found near the end of this *Handbook* with an Appendix of documents (or links to documents) that are considered complementary to the Dissertation-in-Professional Practice process. Candidates may also find the evaluation criteria used for Electronic Evidences #4 (Strategic Plan) and #5 (DiPP Manuscript and Executive Summary) for those seeking the N.C. School Superintendent's license.

Dissertation-in-Professional Practice Rationale

The Dissertation-in-Professional Practice process is a formal demonstration of the doctoral candidate's knowledge, skills, behaviors, scholarship, and dispositions of educational leadership. It is a "*Dissertation-in-Professional Practice*," intended to serve as a demonstration that the doctoral candidate is capable and prepared to provide extraordinary leadership. The Dissertation-in-Professional Practice is described briefly as the implementation of "a strategic plan to solve a problem of practice," which involves working with a college-level, district-level, or educational organizational leader to work on a problem of practice, or an opportunity, that is of mutual concern to them. For community college and university candidates, the client is a senior-level leader in the educational organization. The Dissertation-

in-Professional Practice serves to provide major evidence of leadership performance, leadership capacity, and leadership thinking. Improvement science is at the heart of this type of study. The candidate aims to make his/her organization better, and in partnership with the organization, HPU is committed to change, innovation, and improvement.

With these guidelines in mind, the candidate identifies a high leverage educational problem IN PRACTICE, conducts research relevant to the problem, and practices collaborative experiences to design a strategic plan that addresses the problem. During the internship experience (EDU 7300), the candidate assembles a district or educational strategic planning team comprised of members who will work with the candidate collaboratively in examining existing data, identifying the nature of the high leverage problem, executing a strategic plan and prioritizing the steps needed for an action plan. The candidate is expected to follow a tradition of scholarly research by grounding the problem not only in context of where it exists in the educational organization, but also how it is presented in literature. It is also expected that knowledge and leader behaviors will influence the DiPP process, especially in the candidate's leadership of the strategic planning team (SPT). The candidate will subsequently be expected to implement one or more initiatives identified in the action plan and evaluate the findings from this preliminary implementation under the direct supervision of his/her UDC Chair.

To accomplish the rigor of the aforementioned, the candidate needs to be aware that the DiPP must be a practical application of the candidate's: (1) strategic planning skills; (2) use of qualitative or quantitative data to impact teaching and learning; (3) ability to build and use relationships toward the same end; and, (4) the ability to apply theory to practice. These four cornerstones emanate from the framework of four key strands of High Point University's Ed.D. Program in Educational Leadership: *Strategic Leadership; Data and Learning; Building Collaborative Relationships; and Theory, Application and Practice*. The assessment of the DiPP is guided by a series of rubrics to evaluate the candidate's knowledge, skill, leadership behaviors, and dispositions as he/she applies them to strategic planning, using data, evaluating data, building and nurturing relationships, and understanding how theory guides his/her practice. The distinction of HPU's DiPP is that the candidate must engage others in the process and demonstrate collaboration, which is critical to effective leadership in 21st century educational organizations.

While all courses offered through the Ed.D. Program in Educational Leadership address these four strands and related practices, the DiPP brings together the doctoral candidate's knowledge, skills, behaviors, scholarship, and dispositions in order to apply them to a practical educational problem in an educational setting. The DiPP is the result of considerable thought and pre-planning, and doctoral candidates are encouraged to prepare for engagement in the process through developmental stages provided throughout their study, work, experiences, and performances in doctoral-level courses.

In grounding expectations that the HPU DiPP is a demonstration of significant learning situated in relation to the conditions of preparation and scholarship, we turned to the research of others who describe scholarly standards. Glassick, Huber, and Maeroff (1997) identified six standards against which all scholarly work should be evaluated. Scholarly work should have (1) clear goals, (2) adequate preparation, (3) appropriate methods, (4) significant results, (5) effective presentation, and, (6) reflective critique. According to Shulman (2004), work that qualifies as "scholarship" meets several conditions, two of which are that learning is shared in a form that is subject to critical review and learning is shared in a form that allows others in the field to build on what has been learned and shared. For these reasons and for High Point University's purpose in developing educational leaders who are significant, effective, and "extraordinary," Ed.D. faculty have developed guidelines, expectations, and requirements that steer candidates to complete the DiPP as a work of scholarship, a product reflective of organization and

reflective critique, and a product that influences others to practice what has been learned and shared for continuous growth of leadership in education. The guide that follows delineates requirements and expectations of doctoral candidates who are engaged in the process.

Brief Description of Dissertation-in-Professional Practice Structure

The Dissertation-in-Professional Practice will ultimately be a manuscript with four sections, including a comprehensive Appendix. The presentation format of the required manuscript may vary slightly; however, all Dissertation-in-Professional Practice manuscripts must follow guidelines for submitting a written project to Norcross Graduate School (see Appendices). Each DiPP must also include content aligned to the four sections listed here and explained in more detail in this *Handbook*. The manuscript requires application of formatting as described in Norcross Graduate School's *Thesis, Capstone, Dissertation Guide* and the APA Style Manual, 7th edition.

Chapter I (Introduction) of the DiPP describes the problem (opportunity) to be addressed in the Dissertation-in-Professional Practice and provides the context and rationale for its selection. Existing educational or district level data being used to support the identification of the problem can be presented in Chapter I in narrative and/or table format. A review of the literature, which is a well-written, scholarly synthesis of key findings in professional literature related to the problem and accompanying presentation materials to present the literature review to partnering educational organizations should also be included.

In Chapter II (Strategic Plan) of the DiPP, the candidate should include a brief description of the members of the strategic planning team, highlighting the individual who will serve as the site-based internship coach and non-voting, fourth member of the UDC Committee. The accompanying reflections and minutes of the strategic planning meetings (this can be done in table format) should also be included. Chapter II also includes the strategic plan which must have at a minimum the following sections: A) a shared vision statement; B) priorities or major initiatives, accompanied by goals and/or objectives of the strategic plan; C) key strategies that will lead to goal accomplishment; D) a proposed action plan or plans to implement a minimum of one key strategy in the plan. Chapter II will also contain a description of the methods to evaluate the strategies in the proposed action plan. Chapters I and II of the manuscript will become the candidate's DiPP proposal and, under the supervision of the UDC Chair, these two chapters will be formally presented to the UDC committee for approval at the conclusion of EDU 8300. Once approved, Chapters I and II of the DiPP, along with the required evaluations of the candidate leading the strategic planning team by the internship coach will be uploaded to Foliotek. These uploaded documents are used to verify the completion of Electronic Evidence #4 for candidates who are seeking the N.C. School Superintendent's license.

Chapter III (Implementation of Action Plan) of the DiPP requires the candidate's description of the implementation of the action research plan with key findings from the implementation. In this section the candidate will describe the nature of the research questions which were addressed, the design and method of the implementation process and the participants involved. Candidates must include data collection and quantitative or qualitative analyses relevant to the study along with pertinent tables and/or figures showcasing the research data.

Chapter IV (Impact and Implications) requires three sections including the **Executive Summary** describing the results of the overall study of the problem and development of the strategic plan. The written communication plan should be a key section in the Executive Summary, the **Impact, Implications, and Significance of the Study** which includes the candidate's description of the impact of the study on the

organization, and response to “so what?” and the **Advice to Future Scholar Practitioners** which includes addresses considerations for future practice, flaws/limitations, reflections and recommendations.

In addition to the four chapters, the candidate will provide comprehensive appendices, to include evidence of artifacts described in Key Evidences #4 and #5 as well as any other tools/surveys/IRB approval forms used. In the spirit of improvement science and deep development of feedback loops for researchers and future scholar practitioners, the candidate needs to include significant documents and auxiliary analyses, tables, etc. The Appendices section should end with copies and/or links to both the PROPOSAL PRESENTATION and FINAL DiPP PRESENTATION.

Chapter I: Introduction:

The Problem:

Chapter I should begin with an overview of the candidate’s description of the problem of professional practice in context of an educational organization. Chapter I will include contextual variables that inform the reader about the background and impact of the problem on and within the organization. The purpose of this description is to demonstrate that the candidate knows the problem and is able to pitch the problem as a high leverage problem that needs to be addressed. In preparing Chapter I the candidate needs to consider responses to the following queries:

1. How will I define the problem? Have I clearly stated the problem in a problem statement paragraph?
2. Have I placed the problem in context, using contextual variables of the district or educational organization where the problem exists? Have I provided a description of the cultural, political, economic, legal, and/or academic contexts in which this problem resides in the district or organization?
3. What are causes of problem? Why does problem exist? Contributing factors?
4. What existing educational or district level data can be used to support the identification of the problem?
5. Does it have implications to social justice leadership? If so, how?
6. What does the literature inform the candidate about the problem? Use facts/stats/synthesis of what is known from research. Show in graph, pictures, etc. to compare/contrast problem in organization to problem statewide or nationally.
7. Where does problem reside in organization? Is it a leadership problem? Reflecting on NC Superintendent Standards, is it a human resources problem? A curriculum/instructional problem? A managerial problem? A parent/community problem? Micro-political problem?
8. Is it a current problem or an innovation that needs to be introduced into organization? If a current problem, is it found in process or procedural processes? Or, does it show up in outcomes and outputs that indicate the educational organization is not as effective as it could be? Show clear evidence that the problem exists in the organization.
9. Describe the impact of the problem in facts. What is the impact of problem on current school/teaching & learning & leadership?
10. If the problem persists, what will happen to the organizational effectiveness/vision/mission?
11. If solved, what will the future of organization be? What is the vision statement if the problem is solved?

12. If the problem is addressed, what will the impact be politically, economically, socially, environmentally, legally, AND in practice of/for leadership? Thinking as a social scientist, the candidate should be prepared to show the significance of addressing the problem on behaviors of the people in the organization.
13. How committed is the current leadership to your work on this problem? What barriers does he/she predict? What boundary spanning will be necessary, if the candidate is to proceed?

Literature Review

After a thorough description of the problem of professional practice, the candidate will then provide an in-depth overview of the literature, as it both informs the problem and potential solutions, especially in context of organizations similar to the candidate's organization. The candidate will conduct a thorough review of literature. More specifically, the literature review in **Chapter I** requires the candidate to present a synthesis of relevant professional literature and research pertaining to the problem of practice, **as well as district (or educational organization) evidences that help to provide a clear picture of the problem *in situ***. From a thorough review of literature, the candidate will discern how the problem has been approached in other educational organizations and successes and pitfalls of strategies applied to it. The candidate's goals are to present a thorough analysis of the scholarly, as well as district/organization literature, and to demonstrate outstanding ability to discuss major aspects of the problem of practice from a well-informed perspective. Three guiding questions: What evidence in the literature concerning issues related to the problem and potential solutions did you find? What justification of both failed and effective strategies have been applied to the problem of practice, if any? What variability did you discern across the problem as experienced in other settings and best practices in addressing it?

In order to achieve some consistency in the scholarship of HPU's Dissertation-in-Professional Practice proposals, we suggest the following sections to guide the presentation of the review of literature and district evidences in **Chapter I** of the Dissertation-in-Professional Practice:

- 1-Background of Problem (include analysis of how your problem is situated in the literature; include discussion of major studies AND researchers that reveal context, methods, and both convergence and divergence of findings related to problem) (identify seminal literature and major experts)
- 2-Context of the Problem in the District/College/Organization (include a discussion of data, survey data, and evidences, not limited to authentic artifacts that are relevant to the school district or related educational work setting, i.e., student performance data, N.C. Teacher Work Conditions Survey, School Improvement Plans, District Strategic Plans, District or Organizational Budgets, etc., in this section)
- 3-Background of Problem Strategies (how problem has been studied, related to different settings, problem solutions/ strategies, etc.)
- 4-Review of Literature (also include a discussion of how this review will inform your approach to solving the problem and perhaps the selection of the members of the Strategic Planning Team)

In scholarly tradition, the synthesis of the literature will be written in manuscript format following the standards of writing outlined in APA (American Psychological Association) Style Manual, 7th. Ed.

Chapter II: The Strategic Plan

The second chapter of the DiPP is the candidate's **Strategic Plan** and includes several sections addressing the actual strategic planning process facilitated by the candidate, summaries of meetings, problem-solving strategies and the final strategic plan which includes a set of recommendations for implementation (the action plan). The product of the strategic planning process takes place during enrollment in EDU 7300. The candidate will select one member of his/her strategic planning team who will serve as the site-based internship coach and this individual will be responsible for completing the evaluations of the candidate's strategic leadership skills when engaged in strategic planning with the team. These evaluations also are required for completion of **Electronic Evidence #4** for candidates seeking the NCDPI Superintendent's license. The strategic plan itself includes plans for implementation of at least one major initiative or strategy identified in the plan.

The Strategic Team

The candidate should provide an explanation for the selection of his/her strategic team members as it relates to the problem of practice to be studied. A more complete bio of the individual serving as the candidate's internship coach would be helpful.

Strategic Planning Meetings

The candidate should provide documentation of the strategic planning meetings. A table outlining the dates, summary and "next steps needed" would be appropriate. This table is a requirement for completion of Electronic Evidence #4 for candidates seeking the N.C. Superintendent's license.

Strategic Plan

The candidate's major requirement in EDU 7300 is to write the strategic plan, which will include the outcomes of several key processes, including:

- Sharing the problem with a strategic planning team (SPT) in the educational organization, studying existing data as it exists within the district and/or educational setting.
- Conducting thorough analysis of problem and causes with SPT.
- Identifying metrics and procedures for how progress of implementation of the strategic plan would be benchmarked to determine where "tweaks" would need to be made along the way and the extent of successful implementation at end.
- Evaluating the strategic planning process itself, with "findings" from the strategic planning process, as well as lessons learned and pitfalls to avoid in future strategic planning leadership.
- Conducting many queries and engaging in considerable dialogue with SPT members and key stakeholders to identify:
 - if the strategic planning process worked as designed;
 - if a planned process did not work, document "what" and "why" as rationale for deviation in strategic planning process;
 - modifications that were used and why;
 - problems with personnel during the planning phase and how they impacted process;
 - Generally, difficulties, boundaries, and barriers that were encountered in developing the strategic plan, as well as processes that worked well.
- Designing "early" targets (short-term goals) and later targets (long-term impact) aimed at problem solving.
- Developing the action plan for implementation for high priority "short-term goals" that the candidate intends to implement during EDU 8400.

Defining elements of actionable strategic plans. The complexity of district, or community college, or university leadership requires certain elements of a holistic model of a strategic plan, such as vision, goals, priorities, action steps, etc., but it is difficult to provide a template of a strategic plan for an organization. As we know from studying various models of strategic plans, there is no one “correct” way to design a strategic plan. Rather than this being a problem in itself, we see it as an “opportunity” for each candidate to customize the organization’s strategic plan to fit the context and problem of practice.

Additionally, many school districts, or educational settings, are in an iterative strategic planning process. It is commonly believed that each time a new leader joins the organization means a new format or a new approach to strategic planning. Therefore, the strategic planning process and the strategic plan format itself must be viewed in terms of historical traditions and formats. Doctoral candidates are expected to have sensitivity to historical tradition, as well as the 21st century paradigm of efficiency and effectiveness. Therefore, the strategic planning process and strategic plan itself may vary, but each candidate must include a common content with specific core elements.

Strategic plan content. Customization is essential to develop a strategic plan that will be most effective as a framework to identify and address the particular “problem” facing an educational organizational culture. It is critical, however, to think of your customization as a process that cannot replace the fundamental content of a strategic plan. Although planning processes may vary and the actual format of the strategic plan may vary, High Point University’s Dissertation-in-Professional Practice requires a product—the strategic plan, which requires, at a minimum, the following strategic plan content:

- a **vision statement** that paints a word picture of a desired future state,
- a **mission statement** that identifies purpose and is congruent with the vision statement,
- a statement of **core values and beliefs** that articulate what motivates the educational community and leaders in district and how they behave one with another,
- **identification of THE PROBLEM** that the strategic plan addresses,
- a set of **goals, or priorities**, that operationalize mission and close the gap between the institution’s current state (concerning the problem) and future vision (if problem is addressed),
- **specific strategies** that the SPT has identified with potential to work toward achieving each goal, action plans or initiatives that advance each strategy, including who will be involved, resources needed, timeline, and how monitoring will take place;
- **Specific plan for implementation** of short-term goals and the **procedures and data** that will be utilized to benchmark progress. Include the anticipated outcomes or indicators of success.

Although the strategic plan format may vary, the UDC will evaluate the candidate’s strategic plan during the candidate’s proposal presentation, using the **Key Evidence #4: Strategic Leadership Plan (Dissertation in Practice Proposal)**. All resources referenced in the Key Evidence #4 must be included as part of the Comprehensive Appendices, including a description of the strategic plan team members and selection process.

Dissertation-in-Professional Practice Proposal Defense

The candidate will be required to make a formal presentation of his/her DiPP proposal when he/she has completed Chapters I and II as described in this *Handbook*, he/she will meet with his/her UDC Chair to review the work. Chapters I and II must be formatted according to Norcross Graduate School's **Thesis, Capstone, Dissertation Guide**.

Near the end of enrollment in EDU 7300/8300, the candidate will work with his/her UDC Chair to prepare for the proposal presentation. First, the candidate will share with his/her Chair Chapters I and II for a final review. Once the candidate has approval from his/her Chair, a proposal presentation to the candidate's full UDC may be scheduled.

At least two weeks in advance of the Prospectus Presentation, the candidate will provide all UDC members a copy of his/her proposal manuscript (Chapters I and II).

Proposal approval by the UDC is a formal process, which involves the responsibility of the UDC members to review the candidate's work both from scholarly and practitioner perspectives. Scheduling the location, time, invited guests, and format of the proposal presentation is the responsibility of the candidate, with Chair advising in process (see Norcross *Guide*). The candidate's UDC will review and evaluate the proposal presentation, using the Ed.D. "Key Evidence Rubric #4- *Strategic Leadership Plan*" (see Appendix). The candidate is basically seeking approval of Chapters I and II as written, as well as permission to implement his/her action plan. Approval of the DiPP proposal (a grade of CR for EDU 8300) is required before a candidate can register for EDU 8400.

The highlight of the PROPOSAL PRESENTATION will be the candidate's strategic plan and request to implement his/her action plan. The action plan will be presented as part of Chapter II, and it shall include details that allow UDC members to know exactly what candidate is proposing to implement in his/her educational organization, along with resources needed, a timeline, persons responsible, and budget required to implement the actions as proposed.

The candidate should schedule the DiPP proposal presentation on the campus of High Point University. Scheduling a room requires coordination with the administrative assistant in the School of Education. All members of the candidates UDC should plan on attending the proposal presentation. The proposal presentation is a formal, oral presentation, which the candidate leads. The candidate should not rely heavily on the presentation software, but more on his/her command of the work and presentation skill to engage the audience to be interested in his or her work. The presentation may take 30-45 minutes, and once the oral presentation ends, the candidate will leave the room to permit the UDC to adjudicate the proposal, using the rubric in Key Evidence #4. Once the UDC completes the deliberations, they will provide feedback to the candidate as to next steps.

High Point University's Institutional Review Board (IRB) Approval

Since the expectation is that the candidate will conduct some form of research to implement his or her action plan, he/she will be expected to complete a High Point University Human Participants Institutional Review Board (IRB) protocol to gain final approval to proceed with the implementation portion of the DiPP immediately following approval of Chapters I and II. Doctoral candidates must submit requests to IRB for approval to conduct any needs assessments and/or to implement the action plan in the Dissertation-in-Professional Practice, as the candidate will be working with human subjects and may seek to publish his/her experiences in the future. Specific compliance guidelines and forms may be found on the website. <http://www.highpoint.edu/irb/>.

Some educational research is considered "exempt from review;" however, this designation must be confirmed by the IRB. Most likely, the study may qualify for "expedited review." The completed IRB form must be reviewed and signed by the candidate's UDC Chair prior to submission. If the Dissertation-in-Professional Practice is certified exempt by the IRB, the candidate need not resubmit the project for continuing IRB review as long as there are no modifications in the exempted procedures. The letter from the IRB giving approval to complete the Dissertation-in-Professional Practice must be included as an item in the Appendix of the final Dissertation-in-Professional Practice. Prior to graduation, the candidate is also expected to submit a closure report with High Point University's IRB.

IRB Guidelines

- Student IRB certificates from CITI are only good for one year. The CITI certification must be submitted with your IRB protocol.
- Be sure to read the HPU student researcher's guide to the IRB (HPU website).
- Very few projects will meet the exempt status – expedited is the most likely selection. The expedited process will take about 2 weeks.
- You must attach all surveys/tests/and/or interview questions that will be used in your research.
- Rarely is there "no risk." If employees are supervised/evaluated by the researcher, then they could fear some sort of retribution if they did not participate or respond in a particular way.
- Permission can be granted by participants completing an on-line survey by including the permission description on a page that includes a box at the bottom of the page where the participant can select "I agree" or "Next." Clicking this selection will take them to the survey. On the IRB protocol, the waiver of written, signed consent form section should be completed.
- Signed consent forms must be kept for 3 years on HPU property – a secure location in the School of Education must be identified.
- Any paper surveys must have a signed consent form.
- Even though you have authority to review confidential records in your role as an administrator in your school district, you must still seek IRB approval if you are using this information in your dissertation in professional practice.
- Include approval from any district IRB process (WS/FCS appears to be the only district that requires one in our area). At a minimum, a letter from the district approving the study must be included with your IRB application.

Chapter III: Implementation of Action Plan

After successful performance and upon approval of Chapters I and II by the UDC, and also armed with IRB approval, the candidate will be permitted to enroll in EDU 8400 and implement the action plan as described in Chapter II. The candidate is required to implement a minimum of one of the initiatives or strategic actions as delineated in the action plan that was approved following the Proposal Presentation.

Action Plan Introduction

Chapter III begins with an introduction that describes the relationship of the action plan to the organization's overall, strategic plan. Then, the candidate will describe the action plan implementation, including a detailed description of the tactical action, including who was responsible, impact of implementation, and timeframe.

Action Plan Implementation

In this section the candidate will describe the nature of the research questions which were addressed, the design and method of the implementation and the data which was gathered. Specifically, the following questions should be addressed:

- a) What goal(s) that was/were to be accomplished by implementing the tactical actions?
- b) How does each goal contribute to the organization's overall strategic priorities to solve the problem?
- c) What data collection and quantitative or qualitative analyses relevant to the study addresses the benchmarks and/or intended outcomes of the action plan? (Include pertinent tables and/or figures showcasing the research data).
- d) What specific results (or objectives) were accomplished that will help achieve the overarching problem solution (comprehensive strategic plan)?
- e) How did persons in the organization respond to the implementation of the action plan?
- f) Were there any unintended consequences of implementing the action plan?

Chapter IV: Impact and Implications

Chapter IV is the culminating chapter of the study. It is a compilation of three sections. It is a good idea to write each section as a stand-alone manuscript for consideration of publishing.

- A. **Impact, Implications, and Significance of the Study.** The second manuscript is the candidate's description of the impact of the study on the organization, implications about implementing change as it relates to this problem of practice and future actions, implications about what it will take for continued improvement, and implications related to leadership of solving the problem, as well as a response to the questions, "so what?" Now that the candidate has worked diligently to make change happen by approaching the problem, what is next? How did creating this DiPP impact the candidate? His/her leadership knowledge, skills, and behaviors? How does this DiPP impact the educational organization and educational practice, in general (beyond the district or educational organization)? Will he/she publish? Where? Present? Continue to use this experience and research findings in his/her practice?

- B. **Advice to Future Scholar Practitioners.** This manuscript addresses the DiPP process and considerations for future practice. What about the problem and strategic plan will need further investigation? In approaching the problem and working towards making the educational organization better, what does the candidate now know that he/she can contribute to future practitioners working on the same problem?
- C. **Executive Summary of the Problem and Planning.** The Executive Summary includes a summary of the overall process. It includes a discussion of key considerations in the development of the strategic plan, as well as results and impact of the overall approach to the problem of professional practice. What were limitations of the study? How will problem and outcomes of strategic planning to solve problem be communicated to the organization's key stakeholders? The summary should also include a "strategic communication plan," which provides information suitable for sharing the results of the overall DiPP with key stakeholders (principals, parents, faculty/staff, school board, community leaders, county commissioners, etc.). The written communication plan should be a key section in the Executive Summary.

Final DiPP Defense

Once the candidate has completed Chapters I-IV and his/her Comprehensive Appendices, and References, the candidate will make a final, public defense of his/her work to his/her University Doctoral Committee for final approval. The final defense will be evaluated using the rubric found in "Key Electronic Evidence #5- *Leading with Influence*." (see Appendix) This key evidence places the candidate in a leadership role to implement a series of short-term "next-step" interventions which have been identified previously during the strategic planning process as well as to evaluate each one's overall effectiveness and potential for expansion. Along with other pertinent discussions, the candidate will also present a final strategic communication plan at the conclusion of the DiPP, which is designed to provide a compelling argument for continuing with certain interventions based on short-term data analyses and findings. The "strategic communication plan" should present information suitable for sharing the results of the DiPP with key stakeholders (principals, parents, faculty/staff, school board, community leaders, county commissioners, etc.). A description of the communication plan should be included in the brief, Executive Summary brief.

The final DiPP defense must be presented, according to both the Stout School of Education and the Norcross Graduate School's guidelines (see below). The Norcross Graduate School *Thesis, Capstone Project, & Dissertation Guide*, can be found on their website. Each candidate should pay particular attention to the Graduate School deadlines and guidelines of formatting, developing, and submitting the culminating DiPP. When scheduling the Final DiPP defense, the candidate will do so with his/her Chair. Related to the Final DiPP presentation, two forms are located in the *Thesis, Capstone Project, & Dissertation Guide* that need to be submitted, one to schedule the "Dissertation Defense," which the Ed.D. Program refers to as "Final DiPP Defense," and one form for the Chair to submit the grade of the candidate's final UDC evaluation, which is an evaluation as either "Credit (CR)" or "No Credit (NC)."

The DiPP final defense is a very formal presentation to UDC with other invited members including the HPU community, members from the candidate's educational organization, and other candidates from the Ed.D. cohorts. The candidate should send a copy of the DiPP manuscript at least two weeks in advance of the scheduled defense to members of the UDC. For the purpose of establishing consistency and a culture of doctoral presentations at High Point University, Program faculty suggest the following guidelines:

1. A final DIPP defense can be scheduled by the UDC chair after the Dean and Chair of the Department of Leadership Studies have approved moving forward. In some cases, it may be advisable for the UDC chair to consult with these individuals in advance if there are any questions about the candidate's DIPP to avoid potential conflicts and/or delays in the final defense.
2. The scheduling of the final DIPP defense is the responsibility of the UDC Chair. The typical process to follow involves securing the date and time, reserving an appropriate room suitable for a defense and notifying the university community and other invited guests. The Dean will send the final information to the Office of the Provost for official notification and the candidate will be expected to file the *Scheduling of the Thesis/Capstone/Dissertation Project Defense* with the Norcross Graduate School.
3. A final DIPP defense should be scheduled in a classroom suitable for the committee, the candidate and a potential audience of colleagues/invited guests from across the university community and the educational setting in which the candidate is employed. The expected timeframe for reserving the room should be approximately two hours in that the candidate should plan on a 30 to 45-minute presentation followed by another 30 to 45 minutes of committee discussions, questions. The committee is expected to dismiss the candidate and engage in deliberations followed by a period of discussion with the candidate about revisions to the manuscript.
4. At the start of the defense, the Chair welcomes the audience and introduces the candidate, the title of his/her work, and Dissertation-in-Professional Practice committee members.
5. The candidate's presentation should be logically and systematically presented. The content and format of the presentation is left to the candidate's discretion, with appropriate technology and handouts as needed.
6. The role of the Chair is to conduct and supervise the proceedings, ensuring fair treatment of the candidate by members of the Committee and audience. He or she may intervene after assessing the pertinence of questions and comments concerning the Dissertation-in-Professional Practice.
7. At the close of the discussion, the Chair will thank the audience for attending.
8. After the formal presentation, it is the responsibility of the Chair to convene the UDC to decide whether or not the candidate's defense and work is of acceptable quality. If the Committee votes "yes," the Chair will notify the candidate and inform her/him of the vote and oversee that all required signatures are affixed to the final documents. If the vote is "no," the Chair will ask the UDC to create a list of all expectations that will need to be met for final approval of the DIPP. Then, the Chair invites the candidate to the meeting to inform her/him of the vote and what options are open. It may occur that the UDC elects to suspend their vote in order to develop a specific set of recommendations for corrective action and a time-line for their completion before they convene for the formal vote.
9. The Chair will debrief the candidate at the close of the meeting and in concert with the candidate, will provide appropriate University officials with all signed documentation required for official acceptance of the doctoral Dissertation-in-Professional Practice.

SECTION II. Considerations in Selecting and Organizing the Dissertation-in-Professional Practice Problem and Strategic Planning

Problem Finding

There are several items that the doctoral candidate should consider when selecting a DiPP “problem,” or opportunity. Ideally, the candidate needs to ask himself/herself at the most basic level, “Does the problem pose an opportunity for change and/or innovation which will lead to measurable improvement in the educational organization?”

Presented here are six guidelines which candidates must consider in “problem finding.”

1. The Dissertation-in-Professional Practice problem must be a contemporary educational issue and have an educational leadership component in its analysis. Find the “problem” through talking with others in the organization, in the data of the organization, and in the practices of the organization. In thinking as a social scientist and design thinker, what system is the problem in as it relates to the structural frame of the organization, the human resources frame, the political frame, and/or the symbolic (cultural) frame?
2. The Dissertation-in-Professional Practice problem must be high leverage, which means the problem must be sustainable. It must sustain the interest, creativity, and imagination of the candidate as a practitioner and researcher. It cannot be solved easily. It is rather complex, with multiple solutions possible. If it is addressed, it will make the organization better.
3. The Dissertation-in-Professional Practice problem must be manageable in size and complexity. The scope of the problem implies that, working diligently, the doctoral candidate can lead a team to know the problem and work on a plan to ameliorate it over a period of six-twelve months. In the concept of improvement science, we are always improving—not really solving problems of practice. Therefore, we will use the term *ameliorate*, which in context of problem solving means to “*make (something bad or unsatisfactory) better.*”
4. The Dissertation-in-Professional Practice problem must be within the practitioner’s range of competence. In other words, the candidate must be grounded in knowledge and practice as it relates to the “problem.”
5. The educational organization must desire a “solution” to the existing problem. Also, the problem solution must hold potential for contributing to improvement in Educational Leadership practice. The problem “solution” must be situated in the mode of improvement science so that implementation can be monitored and tweaked as necessary.
6. The Dissertation-in-Professional Practice problem must provide the doctoral practitioner with the opportunity to demonstrate mastery of both strategic planning methodology and the content/context of the topic.

Being able to define and clearly articulate the problem of practice as a problem worthy of organizational leadership is perhaps the most critical stage of the Dissertation-in-Professional Practice process. Peterson (1986) related a leader’s ability to “problem find” as important as his or her ability to “problem solve.” In writing about the ability to problem find, he stated:

Problem-finding will be influenced by the degree to which the manager has a clear and strongly held idea of where the organization ought to go and what strategic factors are moving the organization forward. In contrast, principals whose vision is not clear and crystallized are more likely to engage in problematic firefighting rather than problem-finding and problem solving.

Therefore, the candidate will need to provide rationale that strategic leadership is needed to address the problem by situating the problem in CONTEXT clearly, emphasizing vision and goals of the district/college/educational organization.

A key distinction that has evolved from the work of the Carnegie Project on the Education Doctorate (CPED) focuses on *defining problems of practice*. The distinction in HPU's Educational Leadership Program is that the problem is a real problem of professional practice that needs to be understood from both a theoretical perspective and a practitioner experience. A candidate must be able to respond to the following questions about proposed problems:

1. Can you define the problem clearly *in situ*?
2. Can you present the problem as a high leverage problem that is likely to produce major educational improvement? Are you able to address what would happen if problem is left unsolved?
3. Can you take the problem through a process of systematic intentional inquiry both in literature and the organizational/district/college setting?
4. Have you framed the problem from perspectives that span the boundaries of school, social justice, human resources, economics, politics, society, and the macro- and micro-communities as appropriate?

The Role of the Educational Organization's Leader in the DiPP Process

One of the major considerations in "finding a problem of practice" is that current leadership in the candidate's organization has been consulted in the process. The candidate's problem of professional practice should fall within the educational setting most appropriate to the current work and career interest of the candidate. As the topic of the DiPP is situated in the organization and experienced by the organization, the leader of the organization becomes a critical advisor in the doctoral candidate's DiPP experience.

In preparing a briefing paper that describes the problem *in situ*, the candidate should meet with her/his district superintendent (or designee) or college-level leader or educational organization's leader to confirm approval to work on the problem/issue that is of mutual concern to them. Transparency in leadership begins with problem finding and naming, and, to include others in the process is critical. In seeking endorsement from the educational organization's leaders, the candidate will also discuss the problem with other appropriate personnel.

The candidate will consider key personnel (those both IN THE ORGANIZATION and EXTERNAL STAKEHOLDERS BEYOND THE ORGANIZATION) who deal directly with the problem in context of leadership. For example, if the problem of practice is situated within the human resources function of the superintendency, then the candidate may seek the superintendent's (or designee) approval to invite the human resources director to serve as a member of the candidate's strategic planning team. The candidate may also talk with human resources consultants at the state department level who have been

insight into district-level human resources functions across the state. Listening to others who have insight into the specific problem is a critical step in the process.

Final Tasks Checklist

After a successful presentation of the Dissertation-in-Professional Practice, there are final tasks that must be completed by the candidate, in consultation with his/her Chair. If the Project is to be submitted to CPED, then that process will be guided by expectations located at the CPED website. The candidate will also need to submit a termination form to High Point University IRB. The Chair, in consultation with UDC, will complete a Disposition Rubric and share outcomes with candidate. Exit surveys will need to be completed as required by the Ed.D. Program. The final Dissertation-in-Professional Practice Product, after all revisions and final approval, must be submitted to Smith Library repository of doctoral work.

Candidates seeking N.C. School Superintendent's licensure should confirm with Mrs. Slocum that all required evidences and rubrics have been uploaded to Foliotek including the required evaluations completed by the internship coach who served as the site-based internship coach in EDU 7300. The N.C. State Department of Public Instruction now uses an online licensure system which requires the candidate to create an account (materials may only be stored in this account for 30 days).

SECTION III: High Point University Doctoral Committee

University Doctoral Committee Chairs

In the explanation of the four-chapter format of the traditional dissertation, many references were made to the doctoral candidate's "Chair." The University Doctoral Committee (UDC) Chair plays a key role in the dissertation process. The doctoral candidate develops, with the guidance of Chair, a proposal and final manuscript which must be defended at two stages. It is the Chair who makes the decision as to the doctoral candidate's readiness for proposal defense and final defense. The doctoral candidate shall discuss research plans and progress with his or her Chair. Failure to communicate and respond to Chair requests may result in major delays of Ed.D. Program completion.

In the School of Education, a list of faculty and administrators who have been granted "Graduate Faculty Status" by the university appears below. Only these faculty are able to serve as UDC Chairs and with each cohort, a "meet and greet" event will be held so doctoral candidates can learn more about faculty, their backgrounds, research agendas and availability. A doctoral candidate will want to select a SOE faculty member to serve as UDC chair who has interest and knowledge in his or her problem topic. A likely outcome of the dissertation process is the opportunity for doctoral candidate and Chair to author a manuscript to be considered for publication or professional presentation. Also, the UDC Chair should be consulted about forming the UDC. The doctoral candidate should be prepared to discuss selection of other faculty to serve on the UDC with his or her Chair before approaching other faculty.

**2019-2020
Approved Graduate Faculty**

Faculty	Department	Email
Dr. Mariann Tillery <i>Dean Professor of Education</i>	Stout School of Education	mtillery@highpoint.edu
Dr. Thomas Albritton <i>Associate Professor of Education</i>	Stout School of Education	talbritt@highpoint.edu
Dr. Tawannah Allen <i>Associate Professor of Education</i>	Leadership Studies	tallen@highpoint.edu
Dr. Steve Bingham <i>Professor of Education</i>	Leadership Studies	cbingham@highpoint.edu
Dr. Allison Blosser <i>Assistant Professor of Education</i>	Leadership Studies	ablosser@highpoint.edu
Dr. Leslie Cavendish <i>Department Chair Associate Professor of Education</i>	Elementary & Middle Grades Education	lcavendi@highpoint.edu
Dr. Kristy Davis <i>Assistant Professor of Education</i>	Elementary & Middle Grades Education	kdavis@highpoint.edu
Dr. Shirley Disseler <i>Associate Professor of Education</i>	Elementary & Middle Grades Education	sdissele@highpoint.edu
Dr. Amy Holcombe <i>Department Chair Associate Professor of Education</i>	Leadership Studies	aholcomb@highpoint.edu
Dr. Dustin Johnson <i>Associate Professor of Education</i>	Leadership Studies	djohnson@highpoint.edu
Dr. Claire Lambert <i>Assistant Professor of Education</i>	Elementary & Middle Grades Education	clambert@highpoint.edu
Dr. Anne Leak <i>Assistant Professor of Education</i>	Elementary & Middle Grades Education	aleak@highpoint.edu
Dr. Heidi Summey <i>Assistant Professor of Education</i>	Specialized Curriculum	hsummey@highpoint.edu
Dr. Sarah Vess <i>Associate Dean Associate Professor of Education</i>	Specialized Curriculum	svess@highpoint.edu
Dr. Barbara Zwadyk <i>Associate Professor of Education</i>	Leadership Studies	bzwadyk@highpoint.edu

University Doctoral Committee (UDC) Membership

Once a Chair has been secured, it is essential to form the full UDC. The recommended size of the University Doctoral Committee (UDC) is three members; however, the committee may include up to four members. The Chair must be a faculty member in the SOE with graduate faculty status, while other UDC members may be selected from High Point University graduate faculty at-large. While doctoral candidates seek a Chair who has both interest in and knowledge of his or her research topic, it is with

expertise in mind that other committee members are also selected. For example, if the doctoral candidate is considering a qualitative study and the Chair is a quantitative researcher, a selection of a second member may be one with expertise in qualitative study. With the assistance of the Chair, the doctoral candidate selects second and third UDC members from High Point University graduate faculty. A fourth committee member may be selected from the candidate's organization but may not serve as a voting member. All voting UDC members must have applied and been appointed as members of the Graduate Faculty of Norcross Graduate School.

While the candidate should look to his or her Chair to guide the defense process and should ultimately follow recommendations of his or her Chair, input from all UDC members is critical. It is extremely important for a dissertation proposal and final defense to be scheduled only when all committee members may be present. Therefore, it may be helpful to have a tentative timeline of the candidate's plan to complete the dissertation available when seeking UDC members.

Duties of UDC Members

The UDC Chair has the primary responsibility for guiding the candidate's Dissertation-in-Professional Practice. This person is the candidate's main point of contact. At times, the Chair may direct the candidate to consult with other UDC members to draw upon their expertise in relevant areas. The UDC's function is to assist with and approve the research and practice endeavors of the candidate and to conduct all doctoral presentation sessions, including the prospectus and final presentations of the DiPP. Committee members are expected to read the DiPP manuscripts, attend the prospectus presentation, and attend the final presentation. The UDC is charged with approving the written manuscripts and DiPP presentations. The Committee will advise the candidate of the skills and levels of understanding required for satisfactory completion of all degree requirements related to the DiPP. The UDC will also encourage dissemination of the DiPP, and particularly publication of the candidate's work.

Changes in UDC Membership

Any changes that occur during the DiPP process must be approved by UDC Chair, and many processes require that forms be filed in Norcross Graduate School. In the case of UDC membership, a formal process must be followed in order for any committee member to be added, removed from, and/or replaced. Adding and removing a committee member should only occur with good cause. Committee members should not be replaced based solely on his/her challenge of the candidate's work. If a doctoral candidate wishes to add or remove or replace a committee member, the candidate should first meet with his or her Chair, and then meet with the committee member out of professional courtesy. Sometimes, a committee member may choose to resign from his or her position on the UDC. Illness and job changes are major reasons a committee member may choose to resign, and the candidate needs to be prepared to make changes in committee membership with consultation from his or her Chair. It is unlikely that a candidate will ask to remove a committee member, but in the case that a committee member is impeding the DiPP process, or declares his or her inability to meet often and frequently, it may be that the doctoral candidate wishes to change committee membership. It may also occur that the candidate wishes to add a UDC member after initial approval of the committee. (See Appendix, Item VIII, for link to form to "Change in Composition of UDC Form.")

District/Organizational Strategic Planning Team

While enrolled in EDU 7300, the candidate will formally form his/her field-based strategic planning team (SPT). The candidate will invite key persons from the designated district (or relevant educational organization) to serve as members of the SPT, whose major objective is to develop a strategic plan designed to ameliorate the problem of practice. Qualifications for onsite SPT membership include the person's knowledge and interest in the problem of practice, the person's skill in school/district planning, and the person's professional desire to assist in strategic leadership of the organization.

The candidate will also identify his/her internship coach, who will advise the candidate through the strategic planning process. With the internship supervisor, the candidate will assemble the SPT to include the superintendent, or his/her designee, and a minimum of three other credentialed district (or educational organization) school leaders, whose background and expertise match the problem area or "need" selected by the candidate. The candidate will work with the SPT during the internship course **EDU 7300** to design and write the strategic plan to solve a problem of practice and to engage in effective practices of district level collaborative planning and distributed leadership. The SPT, therefore, should be able to make a significant commitment, and the candidate must plan to reward accomplishments by noting the work and acknowledging the contributions of each SPT member in his/her final presentation of the Dissertation-in-Professional Practice.

The SPT member must agree to assist the doctoral candidate in the development of the Dissertation-in-Professional Practice by participating in a team approach to decision-making related to the problem of practice and development of the strategic plan that has potential for implementation in the district (or related educational setting). The role of the SPT member is not to do the work of the doctoral candidate, rather to collaborate with the candidate in a planning capacity.

Planning to Lead a Strategic Planning Team

In leading the SPT to develop the strategic plan, the following list, although not exhaustive, provides queries for dialogue and considerations that will generate ongoing points of discussion between the candidate and UDC Chair. How will the candidate:

- Build consensus around problem that the strategic plan will address.
- Discuss the relevant literature to support the problem.
- Decide what additional data are needed and how the data will be collected and analyzed.
- Create a set of assumptions that define strategic planning parameters.
- Identify strategic drivers (macro and direct impact), i.e. critical issues that involve any internal or external force or factor that significantly impacts on the school (for example: socio-economic; geo-demographic; public perception of public/independent schools in general, and the institution (or district) in particular; changing emphases of public/independent schools; changing issues of public/independent school families; increased reliance on information technology; academic programs; facilities and physical plant; and funding.)

- Identify elements of strategic vision. Ground the vision in the mission of the institution/NC Public Schools, etc., as currently defined.
- Identify a shared vision and core values and beliefs by which the team will work.
- Refine and obtain consensus along the way for components, such as vision statement, mission statement, statement of core values and over-arching goals.
- Look to the future and describe what the community thinks the institution can be and what capabilities and attributes (capacity) the institution possesses to solve the problem.
- Define the list of potential short- and long-term projects (initiatives) needed to bridge the gaps between the current school environment and its future vision as it relates to solving the problem of practice.
- Develop budgetary consideration.

Methods to Consider in Working with SPT

In working with his or her SPT, the candidate will need to keep copious notes and perhaps a journal of reflective practice, as the final Dissertation-in-Professional Practice Presentation will require practitioner reflection and minutes from meetings. Consider lines of query, social justice issues, equity, engagement, and how to work from a broad-based constituency, while leading a team to solve a problem. Reflections need to demonstrate that the candidate has considered these topics in his/her leadership approach. Additional details may be found in the *Ed.D. Program Internship Handbook*.

SECTION IV: Awards and Distinctions

ENTREPRENEURIAL ACCELERATOR GRANT (Applications available in SOE Office)

Candidates in the Ed.D. program in Educational Leadership are invited to apply for an Entrepreneurial Accelerator Grant (EAG) during their third year of study at High Point University. The School of Education seeks to recognize and support innovative initiatives that are designed to solve critical educational problems of practice in the areas of leadership, district reform, improvements P-21 student learning, teacher quality and community engagement.

General Guidelines:

1. Up to THREE EAGs will be awarded annually based on a total number of points for the criteria listed below. Evidence of collaboration, co-design, or the implementation of innovative methodologies will be given first priority.
2. Only candidates who are enrolled in the third year of study and who have successfully defended their Dissertation in Professional Practice (DIPP) Prospectus are eligible to apply for an EAG
3. Applicants are expected to adhere to the EAG submission deadline of August 19, 2016. No exceptions will be made.
4. EAGs which do not conform to the criteria below will not be considered.
5. EAGs should be typed and edited for content, style, grammar, and punctuation.
6. The total budget requested for an EAG cannot exceed the limit of \$750.00.
7. Recipients of EAGs must submit the required Program Evaluation
8. Recipients of EAGs will be expected to participate in SOE Educational Leadership seminar or provide evidence of intention to present the project findings at a professional conference, publication, blog or other venue.
9. The candidate's UDC (University Doctoral Committee Chair) must provide a written letter of recommendation on the candidate's behalf indicating support for EAG funding.
10. Travel requests and or registration for professional conferences or meetings are not eligible for funding requests.

EAGs will be evaluated on the following criteria:

1. The relevance of the Problem of Practice to current educational reform in N.C. or nationally
2. The scope and breadth of the project and its potential to impact key stakeholders
3. Evidence that the project supports one of the following areas: leadership, district reform, improvements in P-21 student learning, teacher quality, and teacher preparation recruitment and retention
4. The rigor and specificity of the evaluation plan
5. References included indicate there is a strong research base to the project's rationale and anticipated outcome
6. Budget requested does not exceed the limit of \$750.00
7. Support for the project from the DIPP Strategic Planning Committee and/or District Strategic Liaison (a copy of the signed district MOU must be submitted with this application).
8. Potential for growth and expansion (the current project can seed additional research and funding opportunities).

Selection Process:

1. Qualified doctoral candidates in the third year of study will develop the Dissertation in Professional Practice (DIPP) Prospectus which identifies a significant district-level problem of practice.
2. Through the district level strategic planning committee, the doctoral candidate will write a strategic plan to describe the nature of the problem, the data supporting the need for intervention and potential recommendations for problem solution. These recommendations should be prioritized as first steps, second steps, etc. with a timeline for implementation.
3. The doctoral prospectus (#1 and #2 above) must be presented and approved by the University Doctoral Committee during the summer of the candidate's third year of study.
4. Candidates seeking grant funding through EAG must provide the DIPP presentation video along with the EAG application, District MOU and letter of support from the UDC Chair.
5. Reviewers will select a maximum of EAG applications for final screening to Dr. MJ Hall (or Dr. Hall could be a part of this process).
6. Dr. M.J. Hall makes the final determination of the two top candidates for EAG awards annually.
7. The university showcases these candidates and their projects as a means of marketing the EAG and as an opportunity to seek further funding.
8. Award recipients present their project findings through presentation at the Educational Leadership Studio, professional conference, publication or other appropriate venue.

SECTION V: Grading Guidelines for EDU 7300; EDU 8300/8400

Suggested Timeline for Dissertation Completion

In the third year of the doctoral program candidates should register for EDU 8300 in the spring semester along with EDU 7300 (DIPP only). Depending on course scheduling it is possible that a third course may also be included during this semester. Candidates should work with their UDC chairs in the spring to develop the DiPP Proposal. The proposal must be successfully presented by the end of the spring grading period in order for the doctoral candidate to earn a grade of CR in EDU 8300. With guidance from the chair, a doctoral candidate may elect to continue working on dissertation proposal during the summer. In this case, the candidate would receive an IN (Incomplete) in EDU 8300 and would register for EDU 8300a during the summer. This option is only available if the UDC chair is agreeable to this arrangement and it is strongly recommended that the doctoral candidate discuss the timeline for completion with his/her chair during the spring semester. Doctoral candidates have until the end of the Drop/Add week of the next immediate semester to successfully present their dissertation proposals. If a candidate is able to present the proposal by the end of Drop/Add in the first week of the next immediate semester, he/she will be permitted to enroll in EDU 8400. If a doctoral candidate is unable to meet the deadline for presenting the dissertation proposal by the end of Drop/Add, he/she will be required to register again for EDU 8300-a. There are no exceptions to this policy.

Once the candidate is enrolled in EDU 8400, it is expected that data collection will begin. Under no circumstances can a doctoral student begin data collection until IRB approval has been received. Candidates are reminded that many districts have their own IRB process and it is likely that additional approvals for conducting research may be required.

If the candidate is enrolled in EDU 8400 during the fall semester (typically in the fourth year of study), he/she is required to successfully defend the dissertation and submit the final manuscript to the Norcross Graduate School by November 15 in order to be a December degree recipient. If the candidate is unable to meet this deadline, he/she will enroll in EDU 8400a during the spring semester of the fourth year. (Special Note: Candidates who have successfully completed their dissertation defense after the December 1 deadline and are able to submit their final manuscript to the Graduate School by the end of the Drop/Add period in the spring semester (usually the end of the first week of classes), will NOT be required to register for EDU 8400a. These candidates will be designated as May graduates (NOT DECEMBER) but will not need to register for additional coursework in the spring semester.) Candidates are required to successfully defend the dissertation and submit the final manuscript to the Norcross Graduate School by April 15 in order to be May degree recipients. If the doctoral candidate is unable to meet this deadline, he/she will continue to register for EDU 8400a until the dissertation defense and manuscript has been submitted.

Grading Guidelines for EDU 8300/8400

EDU 8300: CR or IN or NC

1. Candidates must complete chapters 1 and 2 (the dissertation proposal) during the course of their enrollment in EDU 8300. UDC chairs will distribute the candidate's written draft of these chapters to committee members at least two weeks prior to the scheduling of the proposal presentation. If the committee feels the paper is acceptable, the candidate will be permitted to move ahead and schedule the proposal presentation. If the candidate holds a successful proposal presentation of Chapters 1 & 2 and the performance of the candidate during the presentation is deemed "proficient" by the UDC Committee, the candidate is awarded a grade of "CR" (CREDIT) for EDU 8300. The candidate is eligible then to register for EDU 8400 for the following semester. Candidates have until the last day of the official HPU Drop-Add period of the next immediate semester to complete the proposal requirements and therefore be permitted to register for EDU 8400.
2. If the candidate has presented a draft of Chapters 1 and 2 to his or her UDC Chair and the chair or entire committee feels the draft is insufficient and requires substantive revisions, the dissertation proposal presentation will not be scheduled and the candidate will be awarded a final grade of "IN" (INCOMPLETE). The candidate will be expected to register for the continuation course EDU 8300a. The candidate is NOT eligible to register for EDU 8400 for the next semester, as enrollment in EDU 8300a and EDU 8400 cannot be concurrent.
3. If the candidate has completed little work towards completion of the proposal (less than 50% of expectations have been met), the candidate will be awarded a grade of "NC" (NO CREDIT), and

the candidate will be required to register for EDU 8300 (repeats the course) for the following semester. As an example, the candidate who has only produced a rough draft of Chapters 1 and 2), will be required to repeat the course.

4. Candidates cannot be approved for graduation until a course with a grade of NC is retaken and earns a grade of CR.

For EDU 8400: CR or IN or NC

Once a candidate satisfactorily completes EDU 8300, he or she may register for EDU 8400. The candidate will be expected to follow all Norcross Graduate School Guidelines found in THESIS, CAPSTONE PROJECT, & DISSERTATION GUIDE <http://www.highpoint.edu/graduate/files/2015/07/Thesis-Capstone-Dissertation-Guide.pdf>

1. During enrollment in EDU 8400, the candidate has to meet the following conditions to receive "CR" (Credit) for EDU 8400:

First, the candidate must be enrolled in EDU 8400 and in good academic standing to continue work on his/her dissertation. In order to schedule the final oral defense of the dissertation the candidate must meet the following guidelines:

- All program requirements have been met to date. No grade of "Incomplete" in any previous coursework is noted.
- The UDC Chair approves the scheduling of the final defense only after reviewing the final manuscript along with other committee members. All committee members must receive the final paper no less than two weeks prior to the final oral defense and agree that the final defense can be scheduled.
- The Chair of the Department and Dean of the School of Education must approve the scheduling of the final dissertation defense. It is the candidate's responsibility with his/her UDC Chair to get all required signatures and paperwork filed in the Norcross Graduate School prior to publicizing the event to the HPU campus community and other public settings.
- Once approved, the UDC Chair should publicly notify the campus community and send invitations, at the candidate's request to educational colleagues and peers as appropriate.
- The UDC Chair is responsible for scheduling the final defense. The oral defense should be scheduled for approximately 2 hours with the expectation that the presentation from the candidate should last approximately 30 to 40-minutes followed by questions and discussion with the UDC Committee for approximately 30 to 40-minutes. Deliberations by the UDC should follow with the candidate not present.
- On the date of the final dissertation defense or the first business day after the final defense, the UDC Chair must submit the "Defense Evaluation" form to the Graduate School.
- The candidate, with approval of the UDC Chair, must submit (electronically a PDF copy or a flash drive delivery to Norcross) the revised and completed post-presentation copy of the final manuscript with the signed Checklist for acceptance to the Graduate School before the deadline. Email submission address graduate@highpoint.edu
- Once the final manuscript is approved by the Norcross Graduate School, the candidate will be notified via email. It is the candidate's responsibility to submit a PDF copy of the final manuscript

to the Graduate School. The candidate may hand deliver the document to the Graduate School on a flash drive or may send it via e-mail to graduate@highpoint.edu.

- Along with the electronic copy of the manuscript, the candidate must also submit a signed copy of the Signature Page. This page must be printed on the bonded paper provided by the Graduate School. All materials should be submitted to the Graduate School office prior to the final graduation date for the semester.

2. If any one of the following conditions exist, the UDC Chair should recommend that the candidate delay scheduling the final dissertation defense and candidates will be recommended to register for EDU 8400a for the following semester. A grade of IN (INCOMPLETE) will be awarded:

- The candidate simply cannot meet the deadline of mid-April to complete the dissertation defense and/or final submission of the dissertation manuscript.
- The candidate has presented a draft of Chapters 1 - 4 and the UDC Chair or the committee feels substantial changes are still needed. To be made, the candidate will be asked to continue work and delay the final defense. The candidate will be expected to register for EDU 8400a the following semester.
- If the final submitted manuscript does not fully meet the standards of the Graduate School, it will be returned to the candidate. If required revisions cannot be made by the deadline imposed at the end of the semester the candidate will be awarded a final grade of "IN" (INCOMPLETE) and will be expected to register for EDU 8400a the following semester.

3. If the candidate has completed little work towards completion of Chapters 3 and 4 of the dissertation, then the candidate will be awarded a grade of "NC" (No Credit), and the candidate will be required to register for EDU 8400 (repeat the course) for the following semester. For clarification, the candidate who has completed less than 50% (only has produced a rough draft of Chapter 3, for example) will be required to repeat the course. Candidates cannot be approved for graduation until a course with a grade of NC is retaken and earns a grade of CR.

Graduation Requirements:

Candidate must have submitted the application for graduation one semester prior to, or a minimum of one month after, the start of the semester in which the candidate expects to complete his or her degree requirements.

Dissemination of Work

All doctoral candidates are expected to complete research of publishable quality, and to submit the material for presentation at state, regional, national and/or international conferences.

Dissertation Defense Day Preparation Checklist

_____ As a doctoral candidate it is your responsibility to communicate with the Graduate School to determine all university deadlines.

_____ Please be sure to communicate with the University bookstore to determine needs and deadlines associated with graduation regalia.

_____ When Chapters 1-4 are ready to be defended, complete the form titled: "Scheduling of the Thesis / Dissertation Defense." Gather the appropriate signatures and deliver the form to Tammy Hines.

_____ Process your dissertation through "Turn it In" and look for issues that may appear to be plagiarism and look at the original content percentage. Once you review these two areas, move forward with the process or make adjustments and involve library services as needed. Match scores should not exceed 25% when the Turn it In Report percentage score is received (this implies too much of your work "matches" what has been written in the literature and it not in your own words).

_____ With your UDC Chair's approval, strive to email your committee with your final manuscript approximately two weeks prior to the defense. The UDC will assess the likelihood of your "readiness" for passing the final defense. If the likelihood is high, you will be permitted to move forward. If the likelihood is not high, your UDC chair will recommend canceling the defense and rescheduling as appropriate.

_____ Please let the School of Education Office know in advance if you will be having guests attend your dissertation defense. These can include co-workers, family and other students. The School of Education advertises each defense and the university community are invited.

_____ It is a good idea to prepare folders for each UDC member for the dissertation defense presentation that includes an agenda, a copy of the PowerPoint, copies of any instruments that were used to collect data, and any other items (really important data, pen, paper, etc.) you want to include. Refreshments for your committee members are nice but not necessary!

_____ Prior to the defense, print 3 copies of the dissertation signature page for submission to the Norcross Graduate School.

_____ Once the dissertation has been successfully defended, complete the "Thesis / Dissertation Defense Evaluation." Fill in the appropriate blanks and gather the required signatures.

_____ It is the responsibility of the UDC Chair to complete and deliver this form to the Graduate School on the day of or the day after the defense of the thesis/dissertation.

_____ Provide the student with the Graduate School final checklist for editing titled, "Required Elements of the Culminating Project."

_____ Smile!!!! Celebrate!!!! Your work with us is DONE. Congratulations.

SECTION VI: Glossary of Terms

Dissertation-in-Professional Practice (DiPP)-the culminating experience and subsequent product that demonstrates the scholarly practitioner's ability to solve problems of practice; the Dissertation-in-Professional Practice exhibits the doctoral candidate's ability "to think, to perform, and to act with integrity" (Shulman, 2005); the practitioner's work product or product (all merged into a final manuscript) demonstrates his or her ability and capacity to lead educational teams to ameliorate high leverage educational problems of practice.

Dissertation-in-Professional Practice Defense-a formal convening in which candidate defends his final Dissertation-in-Professional Practice product, including the strategic plan and lessons learned throughout process. The outcome is university approval and official acceptance of the candidate's Dissertation-in-Professional Practice as part of final requirements for the Ed.D. degree.

Dissertation-in-Professional Practice Prospectus Presentation-a formal convening in which the candidate presents an overview of problem, a synthesis of literature about what is "known about problem from a scholarly perspective, and his/her proposed approach to working with a strategic planning team in the organization. The outcome is approval from both university and partnering organization where problem exists to develop a strategic plan aimed to solve the problem of practice.

Strategic Planning Team (SPT)-key persons from the designated district (or relevant educational organization) to serve as members of the SPT, whose major objective is to develop a strategic plan designed to ameliorate the problem of practice. Qualifications for onsite SPT membership include the person's knowledge and interest in the problem of practice, the person's skill in school/district planning, and the person's professional desire to assist in strategic leadership of the organization.

Social justice leadership- influence of individual to conduct rigorous interrogation of assumptions that underlie the practices of educational organizations and use influence to take action in cooperation with others to effect positive social change, especially as it benefits marginalized, or neglected, individuals and groups.

University Doctoral Committee- a team of 3 (three university graduate faculty, or more, pending Chair approval, whose function it is to assist with and approve the research and practice endeavors of the doctoral candidate and to conduct all doctoral examinations, or presentations, including the prospectus manuscripts and presentation and the final manuscripts and oral Dissertation-in-Professional Practice defense.

University Doctoral Committee Chair- a current full-time member of the Graduate Faculty in the School of Education, approved by the Dean of the School of Education, who holds a terminal degree in educational leadership, or related field of study, who guides the candidate through the DiPP process.

APPENDIX A

Required Elements of the Culminating Project

Structural Formatting

Typing

- Typeface is a standard font (e.g., Times New Roman) and 11- or 12- points in size.
- Selected font is used consistently throughout the document.
- Print is laser quality.
- Document is typed in black ink only.
- Printing is single sided.
- No page begins or ends with a single line of a paragraph.
- All words fit in their entirety on a line; no word is divided by a hyphen.

Spacing

- Double spacing is used consistently throughout the document.
- Single spacing is used only for long quotes, tables, and figures.

Margins and Justification

- Left margins are 1.5 inches.
- Top margins are one inch.
- Right margins are one inch.
- Left margins are justified.
- Right margins are not justified.
- No page is short because of a table or figure; body text must occupy blank spaces around inserted tables, figures, or images.
- Figures, tables, maps, pictures, and other media fits within the established margins.

Pagination

- Each page of the manuscript, except the title page, is assigned a typed number.
- Lowercase Roman numerals (ii, iii, iv, etc.) are used on all pages preceding Chapter 1. The title page counts as page i, but the number does not appear.
- Typed Roman numerals begin with the signature page.
- Roman numerals are centered ½ inch from the bottom edge of the page.
- Arabic numerals (1, 2, 3, etc.) start with Chapter 1 or the introduction (if applicable) and are used for the remainder of the thesis/capstone/dissertation.
- The first page of the text begins with "1".
- Arabic numerals are centered ½ inch from the bottom edge of the page.

Tables and Figures

- Each table or figure is incorporated at the appropriate place in the text.
- All tables and figures are referred to by number.
- When more than one table or figure is introduced on a page of text, each follows in the order they are mentioned in the text.
- Short tables or figures do not stand alone on an empty page.
- Table or figure schemes conform to the style guide mandated by the student's program and are consistent throughout the document.

Citations

- In-text citations conform to the style guide mandated by the student's program.
- Works by the same author(s) with the same year of publication are consistently differentiated by a suffix after the year (e.g., 2005a for the first publication, 2005b for the second publication, etc.).
- All authors' names are included in the first instance of a citation with multiple authors. Thereafter, the first author's name may be used and followed with et al.
- Authors' names are listed without titles (e.g., Dr., Mr., Mrs., or Ms.).

Organization of the Thesis/Capstone/Dissertation

Unless marked as "optional," the following pages should be included in the written project in the order shown below. Incorrect formatting will result in the writing project being returned to the student for corrections, which could delay the graduation date.

- Title Page
- Signature Page
- Copyright Page (optional)
- Abstract (300-350 words)
- Distinction Award Page (optional)
- Dedication Page (optional)
- Acknowledgments (optional)
- Table of Contents
- List of Tables (if applicable)
- List of Figures (if applicable)
- List of Maps (if applicable)
- List of Abbreviations (if applicable)
- List of Symbols (if applicable)
- Text, divided into chapters
- Appendices
- End Notes (if applicable)
- References

Title Page

- The title page consists of:
 - o Full title of thesis, capstone, or dissertation.
 - o The full name of the student.
 - o The type of project being submitted (thesis, capstone, dissertation).
 - o The degree being earned (e.g., Master of Arts, Doctor of Education, etc.).
 - o The program from which the degree is being earned.
 - o The school and department (if applicable) from which the degree is being earned.
 - o The month and year on which the student graduated.
- The title of the thesis, capstone, or dissertation is set two-inches from the top of the page.
- The title is centered on the page.
- The title is written in all capital letters.
- Long titles are double-spaced between lines.
- The full name of the degree and the program issuing the degree is used.
- The full legal name of the student is used.

Signature Page

- The title of the thesis/dissertation is consistent with the title page.
- The correct name of the department or school is used.
- The name of the student is consistent with the title page.
- The name of the degree program is consistent with the title page.
- The signature lines for all committee members are aligned flush right.
- The names of the committee members and their position on the committee (e.g., Chair, Member) are written beneath each signature line.
- The signature line of the head of the Graduate School is positioned beneath the signature lines of the committee and aligned flush left.
- All signatures are original and written in black or blue ink.

Copyright Page (optional)

- The copyright symbol (©) and the year of graduation are listed first.
- The student's name is listed second and is consistent with the title page.
- The phrase, "ALL RIGHTS RESERVED" is listed third.
- All three lines are centered both horizontally and vertically on the page.

Abstract

- The heading, "ABSTRACT" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first line of text.
- The full title of the thesis/capstone/dissertation is written in all capital letters, is centered at the top of the page, and is consistent with the title page.
- The name of the student is consistent with the title page.
- The month and year on which the student graduated is consistent with the title page.
- The degree being earned (e.g., Master of Arts, Doctor of Education, etc.) and the program from which the degree is being earned are consistent with the title page.
- The full name of the committee chair is used.
- The abstract is no longer than two pages.
- The abstract includes succinct statements of the problem, methodology or procedure, and conclusion or major finding(s) in the thesis/capstone/dissertation.
- The first line of each paragraph is indented ½ inch.

Distinction Award Page

- The heading, "[THESIS/CAPSTONE/DISSERTATION] DISTINCTION AWARD" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first line of text.
- Title of the thesis/dissertation is consistent with the title page.
- The correct name of the department or school is used.
- The name of the student is consistent with the title page.
- The name of the degree program is consistent with the title page.
- The signature line of the dean or program director is aligned flush left.
- The name and title of the dean or program director are written beneath the signature line.
- All signatures are original and written in black or blue ink.

Dedication Page (optional).

- The heading, "DEDICATION" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first line of text.
- The first line of each paragraph is indented ½ inch.

Acknowledgments (optional)

- The heading, "ACKNOWLEDGMENTS" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first line of text.
- The first line of each paragraph is indented ½ inch.

Table of Contents

- The heading, "TABLE OF CONTENTS" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first entry.
- Typing is double-spaced, except when entries run to two or more lines in length. In these situations, single-space between the continued lines.
- All sections of the manuscript that occur after the table of contents are included.
 - List of Tables (if applicable)
 - List of Figures (if applicable)
 - List of Maps (if applicable)
 - List of Abbreviations (if applicable)
 - List of Symbols (if applicable)
 - Each chapter in the main body of the document
 - Each subsection of each chapter
 - Appendices (if applicable). Each appendix is listed separately.
 - End notes (if applicable)
 - References
- All main headings of the manuscript are aligned flush left.
- All first-order headings are indented ½ inch. Second- and third-order headings (if applicable) are indented an additional ½ inch each.
- Leader lines connect each entry in the table of contents with its associated page number.

List of Tables (if applicable)

- The heading, "LIST OF TABLES" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first entry.
- All entries are aligned flush left.
- Typing is double-spaced, except when entries run to two or more lines in length. In these situations, single-space between the continued lines.
- Tables are listed by number, title, and the page on which the table is located in the document.
- The title of the table matches that in the text.
- Leader lines connect each entry with its associated page number.

List of Figures (if applicable)

- The heading, "LIST OF FIGURES" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first entry.
- All entries are aligned flush left.
- Typing is double-spaced, except when entries run to two or more lines in length. In these situations, single-space between the continued lines.
- Figures are listed by number, title, and the page on which the figure is located in the document.
- Leader lines connect each entry with its associated page number.

List of Maps (if applicable)

- The heading, "LIST OF MAPS" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first entry.
- All entries are aligned flush left.
- Typing is double-spaced, except when entries run to two or more lines in length. In these situations, single-space between the continued lines.
- Maps are listed by number, title, and the page on which the table is located in the document.
- Leader lines connect each entry with its associated page number.

List of Abbreviations (if applicable)

- The heading, "LIST OF ABBREVIATIONS" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first entry.
- All entries are aligned flush left and listed in alphabetical order.
- The abbreviation is separated from its full text description by 1 inch.

List of Symbols (if applicable)

- The heading, "LIST OF SYMBOLS" is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first entry.
- All entries are aligned flush left.
- The symbol is separated from its full text description by 1 inch.

Footnotes

- If required by the style guide mandated by the student's program, footnotes are placed at the bottom of the page separated from the text by a solid line two inches long.
- Footnotes are aligned flush left, directly below the solid line.
- Footnotes that are more than one line long are single-spaced.
- One single-spaced line separates each footnote.
- All footnotes are numbered with Arabic numerals. Footnotes may be numbered consecutively within each chapter starting over with number 1 for the first note in each chapter, or they may be numbered consecutively throughout the entire document.
- Footnote numbers precede the note and are placed slightly above the line (superscripted). There are no spaces between the number and the note

Appendices

- The heading, "APPENDIX A", "APPENDIX B" (etc.) is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the material in the appendix.
- Material in the Appendix matches the font in the body of the document;
- Each new appendix is presented on a separate page.

References

- The heading, "REFERENCES", "BIBLIOGRAPHY", or "WORKS CITED" (depending on the conventions of the style mandated by the student's program) is written in all capital letters, is set 1" from the top of the page, and is centered on the page.
- Two double-spaced lines separate the heading from the first entry.
- All references are aligned flush left and conform to the style guide mandated by the student's program.
- All references are single spaced and separated from each other by a double space.
- All citations included in the body of the document appear in the reference list.
- Reference list entries are arranged in alphabetical order by the surname of the first author.
- Two or more references by the same author(s) lists the earlier study before the later study.
- References with identical authors and dates are arranged in alphabetical order by the first letter in the title of the work.
- Long website addresses are broken with a hyphen (as appropriate).

We affirm that the named student's thesis/dissertation is high quality, adheres to an acceptable manuscript styles and meets the requirements of the Graduate School.

Signature of Student

Date

Signature of Committee Chair

Date

Submit this signed checklist with final draft of the culminating project to the Norcross Graduate School office for approval.

APPENDIX B

HIGH POINT UNIVERSITY
Norcross Graduate School

**Appointment of the Thesis/Capstone/Dissertation Course Chair
and Committee**

It is the responsibility of the thesis/capstone/dissertation course Chair to return this completed form to the Graduate School prior to the student registering for the first thesis/capstone/ dissertation course. All requested information must be provided.

Student's Name _____

Student's E-mail _____

Degree Program _____

Concentration _____

Proposed Term/Year of Registration
in the Thesis/Capstone/Dissertation Course _____ Term: Fall Spring Summer

Proposed Title of Thesis/capstone/dissertation Project _____

Approval Signatures

School Dean

Date

Department Head

Date

Committee Chair

Date

APPENDIX C

HIGH POINT UNIVERSITY
Norcross Graduate School

Scheduling of the Thesis/Capstone/Dissertation Project Defense

It is the responsibility of the Thesis/capstone/dissertation Chair to complete and return this form to the Graduate School prior to the date of the thesis/capstone/dissertation project defense.

Student's Name _____

Degree Program _____

Concentration _____

Date of defense Year: _____ Term: [] Fall [] Spring [] Summer

Title of Thesis/capstone/dissertation Project _____

By signing below, we confirm that the thesis/dissertation is fully written and fully acceptable for delivery to the Graduate School immediately after the thesis/capstone/dissertation project defense.

Approval Signatures

School Dean

Date

Department Head

Date

Committee Chair

Date

APPENDIX D

HIGH POINT UNIVERSITY
Norcross Graduate School

Thesis/Capstone/Dissertation Project Defense Evaluation

It is the responsibility of the Thesis/dissertation Chair to complete and deliver this form to the Graduate School on the day of or the day after the defense of the thesis/dissertation.

Student's Name _____

Degree Program _____

Title of Thesis/capstone/dissertation Project _____

Defense: _____ Date _____

Time _____

Location _____

Committee's Evaluation of the Thesis/capstone/dissertation Project Defense

- Pass
- Fail (List Reason)

Approval Signatures

Committee Chair

Date

APPENDIX E

KEY EVIDENCE #4: Strategic Leadership Plan (Dissertation in Practice Proposal)

Overview:

Advanced candidates in the Ed.D. program will have an opportunity to practice many of the theoretical skills in leadership, communication, and research applications during the sequenced six-credit hour *EDU 7300/7400: Practices in Executive Leadership* which occurs during Year 3. This experience will provide applications of the practices of educational leadership and allow candidates to demonstrate their ability **to work with** district professionals through a comprehensive school-improvement planning process. This effort will be grounded in strong research and solve an important district problem of practice or a problem in a related educational setting. The final product will be a Strategic Leadership Plan, which will serve as the framework for the candidate's Dissertation in Practice proposal. The **Strategic Leadership Plan** is designed to bring together the candidate's knowledge and skills in order to apply it to a practical educational problem in a work setting. It is intended to serve as a demonstration that the candidate is capable and prepared to provide extraordinary leadership and serves as evidence of that preparation. The Strategic Leadership Plan must be a practical application of the candidate's: (1) *strategic planning skills*, (2) *use of data to impact teaching and learning*, (3) *ability to build and use relationships* toward the same end, and (4) and ability to successfully *apply theory to practice*.

Directions to Candidate and Requirements:

During EDU 7300/7400 the candidate will "work with others" to lead a series of tasks which are designed to solve an important district problem of practice. Through this work he/she will develop a *Strategic Leadership Plan (Dissertation In Practice Proposal)* to present to his university doctoral committee. The district leader who has been selected to serve as a member of the doctoral committee will mentor the candidate during this process and provide supervision during the internship experience.

The *Strategic Leadership Plan* should include the following components:

- A definition of the problem being addressed (Candidate must provide data from the analyses he/she completed throughout the program of study as a rationale for the focus/topic selected). The topic chosen must focus on one of the four key strands in *Strategic Leadership, Data and Learning; Building Strong Relationships; and Theory into Practice*.
- A review of relevant professional literature and research pertaining to the problem selected by the candidate (*Candidate's Briefing Paper which was developed in EDU 7374: Applications of Research for Solving Problems of Practice*).
- An **implementation plan** for addressing the problem that includes the following:
 - a needs assessment that organizes data needed in the strategic planning process and provides clear evidence that the selected problem of practice is one of significance and high-leverage. It's impact on students, schools and the district must be addressed as it relates to problem significance.
 - an organizational chart of strategic planning team members that depicts their relationship to others in the district. Describe the rationale for selection, including why these individuals are a good fit to address the problem of practice
 - a timeline for implementing the key components of the plan
 - inclusion/consent of key personnel and definition of roles
 - budget considerations
 - evaluation design
 - Short-term goals and objectives for plan implementation
 - A clear connection for how the identified problem of practice will ultimately impact student learning
 - A plan for monitoring implementation
 - Key processes for recording and utilizing reflections/learning
 - Anticipated use of technology

- A final reflection of the Strategic Leadership Plan which includes the candidate’s thoughts about its feasibility and potential to be implemented, the strengths of the plan, and any areas that cause concern. Additionally, the reflection should address how the strategic planning process and resulting plan will maintain a collaborative district culture focused on improved learning outcomes for all students.
- Evidence of the candidate’s leadership and ability to “work with others” The **final summative evaluation** by the district leader serving on the doctoral committee who evaluated the candidate’s ability to “work with others” during the strategic planning process.
- Candidates will also be asked to provide **minutes of meetings** with stakeholders as needed.

Evaluation:

The “district leader” who has been selected to serve as a member of the doctoral committee will mentor the candidate during this process and will provide the final summative evaluation of the candidate’s ability to “work with others” in the field as he/she collaborated to create the final Strategic Leadership Plan (see below). The score obtained on this instrument will become part of the Strategic Plan Rubric and **Gateway Assessment #4a: Approval of Dissertation in Practice Proposal**.

Candidate Strategic Planning Evaluation Form

Instructions:

Please place a check beside the descriptor that best describes the Intern’s performance during the internship experience and write comments where appropriate.

Descriptor Comment	Performance in Field				
	Emerging (1)	Developing (2)	Proficient (3)	Accomplished (4)	Not Observed (0)
1. Works with others to convene a core group of district leaders to engage in a comprehensive district planning process focused on short-term goals and objectives with regard to a problem of practice. Comment:					
2. Effectively communicates the strategic and comprehensive district planning process to principals and other stakeholders. Comment:					
3. Effectively articulates the core concepts and beliefs that define the district's value frameworks. Works with others to convene a core group of district leaders to create a shared vision for problem-based solutions. Comment:					
4. Works with others to convene a core group of district leaders to engage in a strategic and comprehensive district planning process focused on student learning and targeting short-term goals and objectives. Comment:					
5. Effectively communicates the strategic and comprehensive district planning process to principals and other stakeholders. Comment:					
6. Effectively articulates the core concepts and beliefs that define the district's value frameworks. Comment:					

7. Works with others to systematically review and when appropriate challenge guiding assumptions, strategies and processes and implement change. Comment:					
8. Works with others to use the results of evaluation to adapt existing processes and to develop and implement new processes for ensuring student learning. Comment:					
9. Works with others to develop effective working relationships with members of the local school board, both as individuals and as a group. Comment:					
10. Works with others to implement structures to distribute leadership and decision-making among faculty/staff members throughout the district. Comment:					
11. Works with others to engage in consistent, sustained and open dialogue with principals, faculty, and staff members about how policies and practices relate to the district mission and vision. Comment:					
12. Works with others to help principals establish criteria for evaluating programs and performance. Comment:					
13. Effectively leads the assessment process to conduct a needs assessment that organizes data needed in the strategic planning process.					
14. Effectively communicates with selected stakeholder groups the successes and shortcomings of the district based on needs assessment data. Comment:					
15. Works with others to use the results of district level data to monitor and suggest a focus for adaptations to instruction, building relationships, using data for meaningful assessment and/or strategic planning. Comment:					

**Electronic Evidence #4
Strategic Leadership Plan
Project Rubric**

Evidence Descriptors and Evaluation Tool

Highlighted yellow text below describes how the evidence specifically addresses each of the descriptors. The rubric will be used for the instructor’s evaluation of the project as it related to the course grade as well as for gateway assessment for the unit’s comprehensive assessment plan for CAEP.

Alignment with the NC Superintendent Standards			
The Project on Leading Strategic Planning is designed to provide evidence of the candidate’s performance relative to the following standards and elements:			
Standard I- Strategic Leadership – Focus on “working with others” to strategically re-imagining the district’s vision, mission, and goals and creating a climate of inquiry that challenges the community to continually re-purpose itself by building on the district’s core values and beliefs about the preferred future and then developing a pathway to reach it.			
Standard 1.A: District Strategic Plan 1A.1 Works with others to create a working relationship with the local board of education that results in a shared vision for the district of the changing world in the 21st Century.	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate’s strategic plan utilizes research-based practices evident from the <i>Briefing Paper</i> as a focus for his/her “problem of practice” to address 21 st century district level improvement.	The strategic leadership plan does not adequately connect research-based practices from the <i>Briefing Paper</i> to the candidate’s proposed “problem of practice” focus for 21 st century district level improvement.	The strategic leadership plan adequately connects research-based practices described in the <i>Briefing Paper</i> to the candidate’s proposed “problem of practice” focus for 21 st century district level improvement.	The strategic leadership plan clearly connects research-based practices described in the <i>Briefing Paper</i> to the candidate’s proposed “problem of practice” focus for 21 st century district level improvement. These connections include research on how these improvements have been used to create a shared vision for all stakeholders.
1A. Works with others to convene a core group of district leaders to engage in a strategic and comprehensive district planning process focused on student learning and targeting short-term goals and objectives.	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate’s strategic leadership plan includes the identification of short-term goals and objectives with a clear link between the proposed problem of practice and its ultimate impact on improved student learning.	The strategic leadership plan does is vague in proving a link between the short-term goals and objectives for solving the problem of practice to the ultimate goal of improving student learning at the district level. No evidence exists that input from other district leaders or prior research has been used to	The strategic leadership plan adequately provides a link between the short-term goals and objectives for solving the problem of practice to the ultimate goal of improving student learning at the district level. There is some evidence to suggest that input from	The strategic leadership plan provides a clear path between the goals and objectives for solving the problem of practice and the ultimate goal of improving student learning at the district level. There is evidence in the plan that input from both district

	support the plan.	other district leaders or prior research has been used to support the plan and its connection to student learning.	leaders as well as research provided in the <i>Briefing Paper</i> was used to support these connections.
<i>IA.3 Effectively communicates the strategic and comprehensive district planning process to principals and other stakeholders.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's minutes of planning meetings indicate that several stakeholders participated in the process of strategic planning to identify the problem of practice as well as to develop a plan for implementation.	Minutes of meetings either are missing or indicate very few district level stakeholders were involved in the strategic planning process led by the candidate.	Minutes suggest regularly held meetings and indicate a range of district level stakeholders were involved in the strategic planning process led by the candidate.	Minutes of meetings suggest the candidate was strategic and purposeful in selecting district level leaders to provide input and it is clear ongoing dialogue and frequent follow-up meetings were held by the candidate.
<i>IA.4 Effectively articulates the core concepts and beliefs that define the district's value frameworks.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's strategic leadership plan utilizes needs assessment data and a focus for district-level improvement that is aligned to the district's core concepts and beliefs.	The candidate's focus of the strategic leadership plan Needs assessment and resulting data presented in the strategic leadership plan provide little connection to the district's core concepts and beliefs.	The candidate's focus of the strategic leadership plan Needs assessment and resulting data presented in the strategic leadership plan provide a clear connection to the district's core concepts and beliefs.	The candidate's focus of the strategic leadership plan Needs assessment and resulting data presented in the strategic leadership plan provide thoughtful and clear connections to the district's core concepts, beliefs and mission. It is evident that the candidate's selection of a "problem of practice" was based on careful consideration of these factors.
Standard 1.B: Leading Change <i>1B.1, 1B.2, 1B.3.</i> <i>Works with others to systematically review and when appropriate challenge guiding assumptions, strategies and processes and implement change focused on improving student learning of 21st Century knowledge and skills.</i> Standard 1.C: Distributed Leadership <i>1C.1, 1C.2.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)

<p><i>Works with others to implement structures to distribute leadership and decision-making among faculty/staff members throughout the district.</i></p> <p>Standard V.C: Systematic Communication VC.1, VC.3</p> <p><i>Works with others to assure that district faculty, staff, stakeholder groups, and board members receive and exchange information in a timely manner.</i></p> <p><i>Participates in and helps lead various advisory groups to improve external and internal communication.</i></p>			
<p>The Candidate Strategic Planning Evaluation Form is completed by the “district leader” who has been selected to serve as a member of the doctoral committee and will provide the final summative evaluation of the candidate’s ability to “work with others” in the field as he/she collaborated to create the final Strategic Leadership Plan</p>	<p>The candidate scores less than 48 points on the 15-item assessment indicating performance which falls below proficiency in “working with others” to generate the Strategic Leadership Plan.</p>	<p>The candidate scores between 48 and 54 points on the 15-item assessment indicating performance which falls within the range of proficiency in “working with others” to generate the Strategic Leadership Plan.</p>	<p>The candidate scores above 54 points on the 15-item assessment indicating performance which falls below proficiency in “working with others” to generate the Strategic Leadership Plan.</p>
<p>Standard III: Cultural Leadership: Superintendents understand the people in the district and community, how they came to their current state, and how to connect with their traditions in order to move them forward to support the district’s efforts to achieve individual and collective goals. While supporting and valuing the history, traditions, and norms of the district and community, a superintendent must be able to “recreate” the district, if needed, to align with the district’s goals of improving student and adult learning and to infuse the work of the adults and students with passion, meaning and purpose.</p>			
<p>Standard III. A1. Focus on Collaborative Work Environment</p> <p><i>Works with others to design elements of a collaborative and positive culture throughout the district.</i></p>	<p style="text-align: center;">Emerging/Developing 1 (Below 80%)</p>	<p style="text-align: center;">Proficient 2 (80-89%)</p>	<p style="text-align: center;">Accomplished 3 (90-100%)</p>
<p>The candidate’s strategic leadership plan includes an organizational chart of team members that depicts their relationship to others in the district, and the rationale for their selection including (1) why these individuals are a good fit to address the</p>	<p>The candidates chart of team members is inadequate in providing a rationale for either (1) or (2).</p>	<p>The candidates chart of team members provides a rationale for both (1) and (2).</p>	<p>The candidates chart of team members provides a clear and thoughtful rationale for the selection of team members regarding both (1) and (2). The candidates demonstrates that he/she used multiple indicators in making the</p>

problem of practice and (2) how they will contribute to establishing a positive culture of change			selection of team members, particularly the district leader selected to serve on the University Doctoral Committee
Standard III. A2. <i>Works with others to build the capacity of principals and other district leaders to develop data-based strategies for creating and maintaining collaborative cultures</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's Strategic Leadership Plan provides an opportunity for reflection of leadership capacity throughout the strategic planning process. The candidate's reflection must include his/her perceptions of how the collaborative process impacted the overall district culture.	The candidate's reflection is largely superficial and too descriptive in that it does not provide enough depth or insight into the nature of the collaborative process and its impact on the district's overall culture. The candidate does not do an adequate job of reflecting on how his leadership impacted the collaborative process.	The candidate's reflection provides insight into the nature of the collaborative process that occurred during the development of the strategic plan. The reflection offers an acceptable level of introspection regarding the candidate's perceived leadership and influence on the collaborative process. The candidate provides some reflection of his own leadership strengths and weaknesses.	The candidate's reflection is deeply insightful and provides a depth of understanding about the nature of the collaborative process that occurred during the development of the strategic plan. The reflection offers significant introspection from the candidate regarding his leadership and its influence on the collaborative process. The candidate provides a realistic view of his own leadership strengths and weaknesses and offers potential areas of needed "growth" in more than one area of leadership.
Standard III.C.1 <i>Works with others to implement strategies that build efficacy and empowerment among principals.</i>			
The candidate's strategic plan must provide clear evidence that the selected problem of practice is one of significance and high-leverage. Its impact on students, schools and the district must be addressed as it relates to problem significance.	The candidate's strategic plan outlines a problem but the scope of the problem is either too narrowly defined or too general to have impact at all three levels—on P-12 students, on principals at the school level and the district. Empowerment of all stakeholders is questionable.	The candidate's strategic plan outlines a problem of sufficient scope that it will clearly have impact at least two of the three levels (P-12 students, on principals at the school level and the district). Empowerment of stakeholders is evident.	The candidate's strategic plan outlines a problem of significant scope and leverage. It will clearly have impact at all three levels—on P-12 students, on principals at the school level and the district. The efficacy of the strategies to be utilized will clearly empower all stakeholders.
Standard IV – Human Resource Leadership			
Superintendents ensure that the district is a professional learning community with processes and systems in place that result in the recruitment, induction, support, evaluation, development and retention of a high-performing, diverse staff. Superintendents use distributed leadership to support learning and teaching, plan professional development, and engage in district leadership succession planning.			
IVA.3 <i>Works with others to</i>	Emerging/Developing	Proficient	Accomplished

<i>support ongoing professional development activities throughout the district that are intended to improve curriculum, instruction, and assessment.</i>	1 (Below 80%)	2 (80-89%)	3 (90-100%)
The candidate's strategic leadership plan includes a needs assessment that organizes data into potential areas of focus and includes a budgetary plan for resources needed, including professional development, to achieve the desired outcomes.	The candidate's strategic leadership plan needs assessment does an inadequate job of using data to support a budgetary plan for resources such as professional development.	The candidate's strategic leadership plan needs assessment uses data to support a budgetary plan for resources including professional development.	The candidate's strategic leadership plan needs assessment uses data to inform a budgetary plan for resources including professional development. The candidate prioritizes needs and budgetary resources thoughtfully and uses data to identify areas of needed professional development.
Standard VI: External Development Leadership			
A superintendent, in concert with the local board of education, designs structures and processes that result in broad community engagement with, support for, and ownership of the district vision. Acknowledging that strong schools build strong communities, the superintendent proactively creates, with school and district staff, opportunities for parents, community members, government leaders, and business representatives to participate with their investments of resources, assistance, and good will.			
Standard VI. B Federal, State and District Mandates VI.B.1 <i>Works with others to routinely and consistently assess the progress of district compliance with local, state, and federal mandates and adjusts as necessary.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's strategic leadership plan includes the <i>Briefing Paper</i> in which the candidate provides a review of the literature related to the proposed problem of practice as well as state and district level data to support the need for problem solution.	The <i>Briefing Paper</i> provides limited information on any relevant state and/or district mandates to support the need for problem solution. The connection offered by the candidate between the data and the focus of the problem is vague.	The <i>Briefing Paper</i> provides a discussion of relevant state and/or district mandates to support the need for problem solution. A connection is offered by the candidate between the data and the focus of the problem.	The <i>Briefing Paper</i> provides a thorough discussion of relevant state and district level data to support the need for problem solution. A clear connection is made by the candidate between the data and the focus of the problem as it pertains to the district in which the study is being carried out.
VI.B. 2 <i>Works with others to interpret federal, state, and district mandates so that they are viewed as opportunities for the district.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's strategic leadership plan includes the <i>Briefing Paper</i> in which the	The <i>Briefing Paper</i> provides limited information on any relevant federal, state, and/or	The <i>Briefing Paper</i> provides relevant and useful information on	The <i>Briefing Paper</i> provides a thorough discussion of relevant

candidate provides a review of the literature related to the proposed problem of practice as well as relevant information on federal, state, and district mandates that provide a relevant framework for the proposed problem of practice.	district mandates that could provide a needed framework for the proposed problem of practice.	federal, state, and/or district mandates that could provide a needed framework for the proposed problem of practice.	federal, state, and district mandates that could provide a needed framework for the proposed problem of practice. A clear connection between the mandates and the proposed problem is made by the candidate.
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Total Score from All Standards	Total Score Emerging/Developing	Total Score Proficient	Total Score Accomplished
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Emerging: Total Score of 25 or below (C or below on Project)

Proficient: Total Score of 26-28 (B- to B+ on Project)

Accomplished: Total Score of 29-33 (A- to A+ on Project)

Grader(s): _____

Date: _____

Follow-Up Needed (Comment if Necessary):

APPENDIX F

KEY EVIDENCE #5: Leading With Influence (Dissertation in Practice)

Overview:

While leadership is about influence and getting results, it also requires continuous growth in the process of leading. The self-actualized leader reflects on personal mastery and excellence. As the culminating experience that demonstrates the scholarly practitioner's ability to solve problems of practice, the Dissertation in Professional Practice (DIPP) showcases the doctoral candidate's ability "to think, to perform, and to act with integrity" (Shulman, 2005). The activities described in this evidence are aligned with the courses, **EDU 8300/8400: The Dissertation-in-Professional Practice: Implementation and Evaluation of Problem Solution** and **EDU 6610: Applied Strategic Communication Skills**. The *Leading with Influence* evidence places the candidate in a leadership role to implement a series of short-term "next-step" interventions which have been identified previously during the strategic planning process as well as to evaluate each one's overall effectiveness and potential for expansion. Along with other pertinent discussions, the candidate will also present a final strategic communication plan at the conclusion of the DIPP which is designed to provide a compelling argument for continuing with certain interventions based on short-term data analyses and findings. The "strategic communication plan" (developed by the candidate in COM 6610) should present information suitable for sharing the results of the DIPP with key stakeholders (principals, parents, faculty/staff, school board, community leaders, county commissioners, etc.). The written communication plan should be in the form of an *Executive Summary*

Directions to the Candidate and Requirements:

The Dissertation in Practice (DIPP) is a formal demonstration of the doctoral candidate's knowledge, skills and behaviors, scholarship, and dispositions of educational leadership. It is intended to serve as a demonstration that the doctoral candidate is capable and prepared to provide extraordinary leadership. The DIPP is a strategic plan to solve a problem of practice with the preliminary steps "next steps" of implementation and evaluation of potential solutions. It involves working with a college-level or district-level leader (superintendent or designee) on a problem, or opportunity, that is of mutual concern to them. The DIPP serves to provide major evidence of leadership performance, leadership capacity, and leadership thinking.

The candidate should be aware that the DIPP must be a practical application of the candidate's: (1) strategic planning skills; (2) use of data to impact teaching and learning; (3) ability to build and use relationships toward the same end; and (4) ability to apply theory to practice. These four cornerstones emanate from the framework of four key strands of High Point University's Ed.D. Program in Educational Leadership: *Strategic Leadership*; *Data and Learning*; *Building Collaborative Relationships*; and *Theory, Application and Practice*. The assessment of the DIPP is guided by the rubric below which evaluates the candidate's proficiency in knowledge, skills in oral and written communication, leadership, and dispositions as they are applied to the evidence or product produced by the candidate.

The DIPP will ultimately be a manuscript with ten sections and Appendix with required documentation. The presentation format of the required "manuscript" may vary from project to project; however, all DIPP must include evidence of the following:

- The **definition of the problem of practice** from both a local and state context
(Problem selection must address these six components:
 - The DIPP problem must be a contemporary educational issue and have an educational leadership component in its analysis. Find the "problem" through talking with others in the organization, in the data of the organization, and in the practices of the organization. In thinking as a social scientist and design thinker,

- what system is the problem in as it relates to the structural frame of the organization, the human resources frame, the political frame, and/or the symbolic (cultural) frame?
- The DIPP problem must be high leverage, which means the problem must be sustainable. It must sustain the interest, creativity, and imagination of the candidate as a practitioner and researcher. It cannot be solved easily. It is rather complex, with multiple solutions possible. If it is addressed, it will make the organization better.
 - The DIPP problem must be manageable in size and complexity. The scope of the problem implies that, working diligently, the doctoral candidate can lead a team to know the problem and work on a plan to ameliorate it, implement some “next step” interventions, and evaluate the interventions to make recommendations for potential expansion of various initiatives over a period of twelve months.
 - The DIPP problem must be within the practitioner’s range of competence. In other words, the candidate must be grounded in knowledge and practice as it relates to the “problem.”
 - The educational organization must desire a “solution” to the existing problem. Also, the problem solution must hold potential for contributing to improvement in Educational Leadership practice. The problem “solution” must be situated in the mode of improvement science so that implementation can be monitored and tweaked as necessary.
 - The capstone problem must provide the doctoral practitioner with the opportunity to demonstrate mastery of both strategic planning methodology and the content/context of the topic.
- The **political and legal issues** that impacted the identification of the problem
 - A description of (1) how consensus was developed around the problem of practice, (2) what potential problems were identified, and (3) what strategies the candidate implemented to manage conflict in the strategic planning process; and (4) reflections of the process
 - The **role of each district level strategic planning team member** including how these individuals’ various points of view on the problem of practice influenced and shaped the identification of specific strategies and initiatives to include and/or exclude;
 - The **Review of Literature** on best practice, dialogue, discussions, open forums, etc. that framed the problem in context of local, state, and federal mandates.
 - The **relevant data** as it related to national, state, and district-level research for problem identification and solution.
 - The **input/influence of various stakeholders** (i.e, community, political, and business leaders in the district), principals and other district leaders in the identification, implementation and evaluation process.
 - A description of how relationships with individuals and business partners in the district, as well as state and community partners, impacted the problem solving process
 - To provide clear narrative and **relevant data** describing the process of **problem of practice “implementation”, problem of practice “evaluation”**.
 - To provide a **strategic communication plan** for delivering the findings to all necessary stakeholders in the form of a final **Executive Summary**.

Evaluation:

The rubric for assessment of Electronic Evidence #5 (*Leading With Influence: Dissertation in Practice*) appears below and will be used by university doctoral committee chairs assigned to supervise **EDU 8300/8400: The Dissertation-in-Professional Practice: Implementation and Evaluation of Problem Solution and EDU 6610: Applied Strategic Communication Skills**. These courses are offered as co-requisite requirements and will include Evidence #5 as a co-assignment spanning the last two semesters of the candidate’s enrollment. As part of the DIPP, candidates are also required to generate an **Executive Summary**, which will be completed in COM 6610: Applied Strategic Communication Skills. The *Executive Summary* will constitute 25% of the final grade in COM 6610.

Electronic Evidence #5
Leading with Influence: Dissertation in Practice
Project Rubric

Evidence Descriptors and Evaluation Tool

Highlighted yellow text below describes how the evidence specifically addresses each of the descriptors. The rubric will be used for the instructor’s evaluation of the project as it related to the course grade as well as for gateway assessment for the unit’s comprehensive assessment plan for CAEP.

Alignment with the NC Superintendent Standards			
The Project on Leading With Influence is designed to provide evidence of the candidate’s performance relative to the following standards and elements:			
Standard I- Strategic Leadership – Focus on “working with others” to strategically re-imagining the district’s vision, mission, and goals and creating a climate of inquiry that challenges the community to continually re-purpose itself by building on the district’s core values and beliefs about the preferred future and then developing a pathway to reach it.			
Standard 1.A: District Strategic Plan IA.3 Effectively communicates the strategic and comprehensive district planning process to principals and other stakeholders.	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate’s <i>Executive Summary</i> communicates an effective and strategic message regarding the potential for problem solution with data and other supporting evidence of interest to all stakeholders.	The message in the <i>Executive Plan</i> provides a summary that communicates the major content/substance of the strategic plan and recommendations ineffectively to the leaders of the organization. The plan is somewhat disorganized and unclear regarding the process, the recommendations, and/or data to support initial interventions that appear promising for expansion. It is written to appeal to narrow set of stakeholders.	The message in the <i>Executive Plan</i> provides a summary that communicates effectively the major content/substance to the leaders of the organization. The plan is adequate regarding the process, the recommendations, and data to support initial interventions but still a bit vague regarding future ideas for expansion. It is written for most stakeholders.	The message in the <i>Executive Plan</i> provides a excellent summary and that communicates effectively and efficiently the major content/substance to the leaders of the organization. The plan is thorough, organized and clear regarding the process, the recommendations, and data to support initial interventions that appear promising for expansion. It is intentionally written to appeal to a variety of stakeholders.
IA.4 Effectively articulates the core concepts and beliefs that define the district’s value frameworks.	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate’s strategic leadership plan and DIPP utilizes needs assessment data	The candidate’s focus of the strategic leadership plan needs assessment and resulting data presented in	The candidate’s focus of the strategic leadership plan needs assessment and resulting data	The candidate’s focus of the strategic leadership plan needs assessment and resulting data

and a focus for district-level improvement that is aligned to the district's core concepts and beliefs.	<p>the strategic leadership plan provide little connection to the district's core concepts and beliefs.</p> <p>There is an unclear link between the strategic plan and the interventions chosen for the DIPP.</p>	<p>presented in the strategic leadership plan provide a clear connection to the district's core concepts and beliefs.</p> <p>There is a clear link between the strategic plan and the interventions chosen for the DIPP.</p>	<p>presented in the strategic leadership plan provide thoughtful and clear connections to the district's core concepts, beliefs and mission. It is evident that the candidate's selection of a "problem of practice" was based on careful consideration of these factors as well as the interventions chosen during the DIPP.</p>
<i>Standard IB.2 Works with others to use the results of evaluation to adapt existing processes and to develop and implement new processes for ensuring student learning.</i>	<p>Emerging/Developing 1 (Below 80%)</p>	<p>Proficient 2 (80-89%)</p>	<p>Accomplished 3 (90-100%)</p>
Within the DIPP, the candidate is required to provide clear narrative and relevant data describing the process of problem of practice "implementation" and problem of practice "evaluation" .	<p>The candidate's data does not support the interventions proposed and the options provided in the DIPP seem simplistic in that they are familiar from everyday experience and more tailored to routine decision-making.</p> <p>The alternative interventions seemingly will have potential for little impact on practice, policy, and ultimate improvements in student learning.</p>	<p>The candidate's data supports the interventions proposed and the options provided in the DIPP seem complex, in that solutions require a strategic/tactical plan of action involving others. Problem has significance to ultimate improvements in student learning.</p> <p>The alternative interventions seemingly will have potential for impact on practice, policy, and ultimate improvements in student learning.</p>	<p>The candidate's data supports the interventions proposed and the options provided in the DIPP seem are complex, in that solutions require a strategic/tactical plan of action involving others. The problem has significance to both external and internal stakeholders devoted to improvements in student learning outcomes. The alternatives interventions recommended are situated both in scholarly and practice contexts, with potential to change practice and inform literature of significant change., with potential to change practice and inform literature of significant change with regard to student learning outcomes.</p>
<i>IC.3. Works with others to engage in</i>	<p>Emerging/Developing 1</p>	<p>Proficient 2</p>	<p>Accomplished 3</p>

<i>consistent, sustained and open dialogue with principals, faculty, and staff members about how policies and practices relate to the district mission and vision.</i>	(Below 80%)	(80-89%)	(90-100%)
The candidate is required to detail and reflect on how the input/influence of various stakeholders (i.e. principals, faculty/staff and other district leaders' various points of view on the problem of practice influenced and shaped the identification of specific strategies and initiatives to include and/or exclude	Candidate's descriptions and reflections about working with others to develop sustained and open to elicit various points of view is vague and incomplete. And/or: It is also unclear how these dialogues contributed to shaping the direction of the strategic leadership plan and which initiatives (interventions) to include or exclude	Candidate's descriptions and reflections about working with others to develop sustained and open to elicit various points of view is considered complete. And: It is clear how these dialogues contributed to shaping the direction of the strategic leadership plan and which initiatives (interventions) to include or exclude	Candidate's descriptions and reflections are insightful and informative in providing feedback about the nature of the dialogues leading to problem identification and selection of initiatives. And: The candidate provides an organized framework of understanding to connect the process of the planning to the outcome (plan for implementation and evaluation). The DIPP implementation and evaluation reflects the value of this prior input.
Standard III: Cultural Leadership: Superintendents understand the people in the district and community, how they came to their current state, and how to connect with their traditions in order to move them forward to support the district's efforts to achieve individual and collective goals. While supporting and valuing the history, traditions, and norms of the district and community, a superintendent must be able to "reculture" the district, if needed, to align with the district's goals of improving student and adult learning and to infuse the work of the adults and students with passion, meaning and purpose.			
III.B.III. Efficacy and Empowerment Effectively communicates with selected stakeholder groups the successes and shortcomings of the district.	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The DIPP definition of the problem of practice from both a local and state context is identified by the candidate that includes A description of (1) how consensus was developed around the problem of practice, (2) what potential problems were	The problem that is being addressed is vague and does not really address a local and state context And-or The problem focus has not been sensitively communicated or discussed adequately with district leaders And-or: The candidate's ability to empower others is	The problem that is being addressed is clear and addresses both a local and state context And: The problem focus has been sensitively communicated and discussed with district leaders And: The candidate's ability to empower others is	The problem that is being addressed carefully addresses both a local and state context and the final selection of a topic for the DIPP is made through careful and ongoing communication with primary stakeholders which specifically address district-level shortcomings.

identified, and (3) what strategies the candidate implemented to manage conflict in the strategic planning process.	questionable in that the conflicts noted do not seem to have been addressed or managed effectively.	apparent and any conflicts noted seem to have been addressed or managed effectively.	The candidate's ability to empower others is apparent and conflicts were minimal as a result. The candidate provides evidence of strategies that were effectively utilized during the strategic planning process—there is data provided in the DIPP to support these strategies were successful.
<i>III.A2 Works with others to build the capacity of principals and other district leaders to develop data-based strategies for creating and maintaining collaborative cultures</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's Strategic Leadership Plan provides an opportunity for reflection of leadership capacity throughout the strategic planning process. The candidate's reflection must include his/her perceptions of how the collaborative process impacted the overall district culture.	The candidate's reflection is largely superficial and too descriptive in that it does not provide enough depth or insight into the nature of the collaborative process and its impact on the district's overall culture. The candidate does not do an adequate job of reflecting on how his leadership impacted the collaborative process.	The candidate's reflection provides insight into the nature of the collaborative process that occurred during the development of the strategic plan. The reflection offers an acceptable level of introspection regarding the candidate's perceived leadership and influence on the collaborative process. The candidate provides some reflection of his own leadership strengths and weaknesses.	The candidate's reflection is deeply insightful and provides a depth of understanding about the nature of the collaborative process that occurred during the development of the strategic plan. The reflection offers significant introspection from the candidate regarding his leadership and its influence on the collaborative process. The candidate provides a realistic view of his own leadership strengths and weaknesses and offers potential areas of needed "growth" in more than one area of leadership.
<i>III.C.1 Works with others to implement strategies that build efficacy and empowerment among principals.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's strategic plan must provide clear evidence that the selected problem of	The candidate's strategic plan outlines a problem but the scope of the problem is either too narrowly defined or too	The candidate's strategic plan outlines a problem of sufficient scope that it will clearly have impact at least two of the three	The candidate's strategic plan outlines a problem of significant scope and leverage. It will clearly have impact at all three

practice is one of significance and high-leverage. Its impact on students, schools and the district must be addressed as it relates to problem significance.	general to have impact at all three levels—on P-12 students, on principals at the school level and the district. Empowerment of all stakeholders is questionable.	levels (P-12 students, on principals at the school level and the district). Empowerment of stakeholders is evident.	levels—on P-12 students, on principals at the school level and the district. The efficacy of the strategies to be utilized will clearly empower all stakeholders.
<i>III.C.2 Works with others to monitor the climate of the district to evaluate changes in the sense of efficacy and empowerment of all stakeholder groups.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's DIPP must provide clear narrative and relevant data describing the process of problem of practice "implementation" , problem of practice "evaluation" .	Data provided by the candidate is weak, inaccurate or does not adequately monitor the "cultural" changes that are apparent as a result of implementation of problem solutions.	Data provided by the candidate is adequate, generally accurate and does seem to monitor the "cultural" changes that are apparent as a result of implementation of problem solutions.	Both quantitative and qualitative data provided by the candidate provides a critical picture of how the implementation of changes within the district are also impacting climate and culture. There is a definite attempt by the candidate to include measures of efficacy for multiple stakeholder groups.
Standard V: Managerial Leadership Superintendents ensure that the district has processes and systems in place for budgeting, staffing, problem solving, communicating expectations, and scheduling that organize the work of the district and give priority to student learning and safety. The superintendent must solicit resources (both operating and capital), monitor their use, and assure the inclusion of all stakeholders in decisions about resources so as to meet the 21 st Century needs of the district.			
Standard V.B.2 Conflict Management and Resolution <i>Demonstrates awareness of potential problems and/or areas of conflict within the district and proposes possible solutions.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's DIPP addresses all six required components in the section on the definition of the Problem of Practice	The candidate's DIPP does not address all six required components or more than one required component is addressed inadequately	The candidate's DIPP addresses all six required components sufficiently.	The candidate's DIPP addresses all six required components with depth, insight and care to ensure that the identified problem and its prescribed solutions will be meaningful and

			impactful.
Standard VI. B. 1 Federal, State and District Mandates <i>Works with others to routinely and consistently assess the progress of district compliance with local, state, and federal mandates and adjusts as necessary.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's <i>Briefing Paper</i> and DIPP includes review of the literature related to Federal, State and District Mandates as they relate to the proposed problem of practice and the interventions, which were implemented.	The limited information on any relevant state and/or district mandates to support the need for problem solution. The connection offered by the candidate between the data and the focus of the problem is vague.	The DIPP provides a discussion of relevant state and/or district mandates to support the need for problem solution. A connection is offered by the candidate between the data and the focus of the problem.	The DIPP provides a thorough discussion of relevant state and district level data to support the need for problem solution. A clear connection is made by the candidate between the data and the focus of the problem as it pertains to the district in which the study is being carried out.
VIB.2 <i>Works with others to interpret federal, state, and district mandates so that they are viewed as opportunities for the district.</i>	Emerging/Developing 1 (Below 80%)	Proficient 2 (80-89%)	Accomplished 3 (90-100%)
The candidate's <i>Briefing Paper</i> and DIPP includes a review of the literature related to the proposed problem of practice as well as relevant information on federal, state, and district mandates that provide a relevant framework for the proposed problem of practice.	The DIPP provides limited information on any relevant federal, state, and/or district mandates that could provide a needed framework for the proposed problem of practice.	The DIPP provides relevant and useful information on federal, state, and/or district mandates that could provide a needed framework for the proposed problem of practice.	The DIPP provides a thorough discussion of relevant federal, state, and district mandates that could provide a needed framework for the proposed problem of practice. A clear connection between the mandates and the proposed problem is made by the candidate.