



EMPORIA STATE
UNIVERSITY
■ School of LIBRARY &
INFORMATION MANAGEMENT

Guide to SLIM Doctoral Studies
Procedure, Policy, and Requirements

Doctor of Philosophy

**Library and Information Management Major
with defined concentrations in
Instructional Design Technology
and
Information Systems**

Program approved by the Kansas Board of Regents April 22, 2011

Non-course policies last revised July, 2022

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Mission Statement

The School of Library and Information Management's library and information science (LIS) doctoral program provides an environment that fosters interdisciplinary and multicultural learning experiences for traditional and nontraditional students.

Doctoral Program Goals

The goal of SLIM's doctoral program is to prepare scholars to:

- conduct significant research that contributes to the theory base of library and information science and constructs linkages to contemporary professional problems;
- teach in academic environments; and
- develop leaders for libraries and information organizations.

Intent of Document and Related Procedures

This policy document, informed by Emporia State University Graduate School policies and guidelines, represents the framework for doctoral-level study designed and approved by the faculty of the Emporia State University, School of Library and Information Management. Using the framework contained in these policies and procedures, students will work with the Doctoral Program Director and SLIM faculty to customize their programs to meet each student's interests, experiences, and educational needs, and to fulfill the faculty's expectations and standards for quality work. This document outlines and explains the Program assessment process comprised of five decision point. Students must successfully fulfill each decision point before moving to the next point and ultimately to completion of the Ph.D. degree program. (Appendix A).

Coordination of PhD Program

Director, Doctoral Program	Dr. Mirah Dow mdow@emporia.edu
Dean, School of Library and Information Management	Dr. Wooseob Jeong wjeong@emporia.edu
SLIM office:	620-341-5203; 1-800-552-4770
Dean, Graduate School and Distance Education	Dr. Jerald Spotswood jspotswo@emporia.edu
Graduate School office	620-341-5508; 1-800-950-GRAD

Admission Requirements

Admission of a new cohort of doctoral students every two years is projected. Except when unexpected, unforeseeable circumstances arise, students will start the program as

a cohort at the beginning of the fall semester of each even-numbered year. SLIM will accept no more than 15 students every other year into a cohort group unless the Faculty and the Dean approve exceptions. Applications to both SLIM and the ESU Graduate School must provide all application materials as required by the *Guide to SLIM Doctoral Studies* to be eligible for consideration. The application window will open on September 1. Admission decisions will be made by February 1.

Graduate School Application Process

Application to the ESU Graduate School is a separate process and is managed exclusively by that office. ESU graduate forms are available at <https://www.emporia.edu/graduate-school/graduate-student-resources/graduate-forms/>

It is essential that applicants apply and receive acceptance into the ESU Graduate School prior to be considered for acceptance by SLIM.

ESU Graduate School Graduate Policies are available at <https://www.emporia.edu/graduate-school/graduate-student-resources/graduate-policies/>

SLIM's Admission Process

To be considered for the Ph.D. program, an applicant must provide SLIM with the following:

- evidence of the capacity to do graduate work demonstrated by an overall graduate school cumulative grade point average of 3.25 on a 4.0 scale *AND* a GRE score of at least 304 (total verbal reasoning and quantitative scores);
- three current letters of recommendation that address applicant's qualifications for graduate study and research;
- a sample of written work that demonstrates an applicant's scholarly writing ability;
- a 200–300-word statement outlining the applicant's career goals and research interests; and
- when appropriate, a strong performance on the TOEFL, usually evidenced by a score of 650 or above.

In some cases, an applicant who does not meet the above criteria may be admitted on academic probation. Academic probation allows a student the opportunity to demonstrate their ability to succeed with graduate level course work. Progress of students admitted on probation will be continually reviewed by SLIM faculty. Academic probation will be released when the student has successfully completed six credit hours.

Documents can be faxed to 620-341-5909, emailed to gradinfo@emporia.edu or mailed to: Emporia State University, Campus Box 4003, 1 Kellogg Circle, Emporia KS 66801.

Applicant Review by Doctoral Faculty

All completed SLIM applications should be sent to the Graduate School for processing and entered into the university's database accessible for review by the Doctoral Program Director and the SLIM Faculty. The doctoral faculty members are ESU faculty members with regular graduate faculty status. Subsequent to the review, the Program Director will issue invitations to selected applicants to be interviewed for acceptance. Two members of the Doctoral Faculty, or their designees, will interview selected applicants to identify each applicant's interests and the expertise and research support that SLIM can provide. The interviews may be conducted in person or via distance technology.

Successful applicants will demonstrate the following characteristics:

- intellectual curiosity and the flexibility necessary for creative research;
- fluency in oral and written communication (English language);
- the ability to see issues from various perspectives; and
- evidence of self-motivation and achievement.

The two interviewers will give their written assessment and recommendation to the doctoral faculty. The faculty will review the written assessments and recommendations, decide which applicants to recommend for admission, and provide that information to the Dean for final approval. SLIM and the Graduate School will notify applicants of acceptance.

Student Advisement

The Doctoral Program Director will advise each entering student regarding the establishment of a degree plan and will monitor student progress through the completion of coursework and the qualifying exam process. During this part of the program, students are encouraged to identify professors who share their research interests and develop informal mentoring relationships with them. The Doctoral Program Director is the formal mentor for students until a dissertation committee chair is appointed.

Doctoral faculty members will review student progress in the fall and spring semesters. In anticipation of these meetings, students will discuss with the doctoral program director their progress and issues and concerns they may have. Students are strongly encouraged to maintain regular contact with the Doctoral Program Director.

Following the successful completion of the qualifying exam process, the student, doctoral program committee, and Doctoral Program Director will choose a faculty member with regular faculty graduate status most suited to chair her/his dissertation. Upon acceptance, the SLIM Dean will formally appoint the faculty member. From that time forward, the dissertation chair assumes responsibility for guiding and mentoring the student until the student completes the dissertation process.

Notification of Changes

As part of the semester enrollment process, the student is responsible for notifying the

Doctoral Program Director *and* The Graduate School of any changes in the following information:

- address, telephone numbers, or email address;
- requested change of status of dissertation committee;
- intent to apply for leave of absence for a semester or any other change of status
- degree plan; and
- selection of qualifying examinations, dissertation proposal, dissertation presentation and intention to graduate.

Language Requirement

There is no foreign language requirement. Students must have sufficient oral and written command of the English language to complete successfully a dissertation.

Course Enrollment

Each semester, students will receive enrollment information from the Doctoral Program Director about courses offered by SLIM, Instructional Design Technology, and Information Systems. Following consultation with the Doctoral Program Director, students will with permission be enrolled.

Students who decide to enroll in other institutions for transfer credits must have prior approval in writing from the Doctoral Program Director. These students must submit a course syllabus and the course description that is published in the Institution's catalog. Prior to approval, the Doctoral Director will consult with the Doctoral Faculty. Students usually must apply for non-degree-seeking status at the other institution before being eligible to take courses there.

All students must enroll in at least one class each academic semester (fall and spring) to meet the continuous enrollment requirement of the program. Enrollment in an ESU course, or courses at other institutions that are approved by the doctoral program director, constitutes enrollment in the doctoral program. When a student is not enrolled in other courses, the student is required to enroll in and pay fees for LI 949 Continuous Enrollment (one credit hour; does not count toward doctoral program credit hour requirement). Students must be enrolled at ESU to receive an ESU scholarship.

Student Learning Outcomes and Evaluation

SLIM doctoral program goals indicate the outcomes that students are to realize (know and be able to do) as a result of their coursework and research. Degree program goals (page 3) are that graduates of the SLIM Doctor of Philosophy degree program will be able to accomplish the following:

- conduct significant research that contributes to the theory base of library and information science and constructs linkages to contemporary problems;
- teach in academic environments; and
- develop leaders for libraries and information organizations.

The School of Library and Information Management faculty based on the completion of aligned course assignments evaluates the following student learning objectives:

1. articulate and apply advanced quantitative, qualitative, and mixed research methodologies that define and/or describe her/his view of the social world, and identify basic paradigms that serve as a foundation for inquiry;
2. articulate and apply advanced theories, models, and insights into information seeking and information use offered by cognitive psychology, behavioral psychology, social psychology and/or psychoanalytic theory;
3. articulate and apply advanced theories, models, and insights into the management of organizations, the people and tasks of an organization, and work, activities, and processes in an organization;
4. articulate and apply advanced theories, models, and insights into organization of information, including those that provide an understanding of knowledge organization systems, the representation and organization of information in digital forms, and effective methods of information access and retrieval;
5. articulate and apply advanced theories, models, and insights into information transfer, including theoretical constructs, concepts, research and practices of the transmission and processing of symbolic, verbal, and/or recorded messages for the creation, diffusion, and utilization of knowledge in society;
6. articulate and apply advanced theories, models, and insights into an academic discipline and/or field relevant to her/his own concentration area of scholarly and professional expertise;
7. articulate and apply advanced theories, models, and insights into higher education teaching, including curriculum development, teaching methods, the role of the faculty member in the university and in the profession, and the structure of higher educational institutions;
8. demonstrate critical, reflective and interdisciplinary thinking on fundamental issues and problems in library and information science related to foundational and concentration areas;
9. identify a significant problem or issue in library and information science and design a research proposal that outlines a rigorous and coherent plan of study using appropriate concepts, theories, and methods from a research tradition;
10. identify the historical roots, seminal works, gaps, inconsistencies and emergent issues and questions related to a significant issue in information science;
11. research, propose, and write a dissertation that investigates a significant problem or issue in information science and contributes to new knowledge in the field; and
12. design and teach a library and information management course that demonstrates proficiency in the content and pedagogy.

Following each course using the IDEA Diagnostic Form from the IDEA Center, students will evaluate their courses on the basis of these objectives:

- gaining factual knowledge;
- learning fundamental principles, generalizations, or theories;
- learning to apply course materials;
- developing specific skills, competencies, and points of view;
- acquiring skills in working with others as a member of a team;
- developing creative capacities;
- gaining a broader understanding and appreciation of intellectual/cultural activity;
- developing skill in oral or written expression;
- developing a clearer understanding and commitment to personal values;
- learning to analyze and critically evaluate ideas, arguments, and points of view; and
- acquiring an interest in learning by asking questions and seeking answers.

Student achievement of doctoral learning goals and objectives are evaluated and determined by whether or not students pass specific assignments, courses, and qualifying exams, and whether the dissertation proposal and the dissertation are approved.

Course Instruction

SLIM doctoral courses are delivered all online with some highly recommended synchronous sessions offered each semester.

It is expected that the academic work required of graduate and professional students will exceed 3 hours per credit hour per week. (From ESU University Policy Manual, 4E.0501, Definition of Credit Hour, approved by President 1/29/2016).

Curriculum

The doctoral curriculum is organized in a five-tier process. Coursework in the first tier introduces students to library and information science research and theory. In the second and third tier courses, students examine fields related to their research interests. Students may simultaneously take courses from the three tiers.

Tier three courses provide opportunities for students to a) customize their studies to deepen their knowledge of information science via additional SLIM graduate courses, b) include concentrations in Instructional Design Technology or Information Systems, or c) develop an approved specialized course of study.

Fourth tier courses prepare students for college teaching and writing the dissertation proposal. Upon successful completion of the course requirements, qualifying examinations, and selection of the dissertation chair, students will advance to the fifth tier. The fifth tier is dedicated to proposing and writing the dissertation under the direction of the dissertation committee chair. After approval of the research proposal, students advance to Ph.D. candidacy status.

SLIM Tiers One and Two Course Schedule (and LI940 from Tier Four)

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Semester	Course
First Fall 2022	LI900 Orientation
First Fall Semester 2022	LI903 Research Philosophy LI891 The Knowledge Society
First Spring Semester 2023	LI904 Research Strategies: Quantitative Methods and Theory LI892 Information Behavior Seminar
Second Summer 2023 (or as scheduled)	LI940 Teaching and Learning in Organizations
Second Fall Semester 2023	LI905 Research Strategies: Qualitative Methods and Theory LI893 Management in Library and Information Agencies Seminar
Second Spring Semester 2024	LI890 Advanced Research Strategies LI894 Organization of Information Seminar

Tier 1: Introduction to Research and Theory (13 credit hours)

LI 890 Advanced Research Strategies (3 credit hours, letter grade)

This course focuses on comparing and contrasting the philosophical foundation and research strategies of studies that use qualitative, quantitative, and mixed-method approaches to investigate problems in LIS. It focuses on evaluating methodological tools and approaches to investigating research questions and evaluating LIS research studies.

LI 900 Introductory Doctoral Seminar (1 hour, pass/fail)

An introduction to the SLIM doctoral program, to doctoral work, and to the culture of the researcher.

LI 903 Research Philosophy (3 credit hours, letter grade)

Examines various constructs of science in society. Emphasis is placed on identifying assumptions about human nature, defining a researcher's view of the social world, and identifying basic paradigms that serve as a foundation for inquiry.

LI 904 Research Strategies: Quantitative Methods and Theory (3 credit hours, letter grade) *Prerequisite: Master's level research methods course.*

This advanced course is designed for doctoral students to undertake the advanced exploration of quantitative research methodologies and statistics that the researcher might choose for various research experiences, including work on the dissertation. Rules, procedures, statistics and general research protocols are stressed as part of the researcher's tasks. The goal is for the students to master statistical and methodological tools necessary to conduct independent scholarly research.

LI 905 Research Strategies: Qualitative Methods and Theory (3 credit hours, letter grade) *Prerequisite: Master's level research methods course.*

This course is intended to advance doctoral students' competence in qualitative research. The course will work through issues related to interpreting, utilizing, and (especially) the conduct of qualitative research. As such, the course will have for LIS students pragmatic (improve critical skill) and analytic (advance the notion of problem) yield.

Tier 2: Foundational Courses (12 credit hours)

The four foundational fields of the curriculum are Information Psychology, Information Transfer, Information Organization, and Administrative Theory. Students are required to take all four foundational courses in Tier 2 to ground their doctoral research in theoretical frameworks that support contemporary professional practice.

LI 891: The Knowledge Society (3 credit hours)

An examination of information transfer and the theoretical constructs, concepts, research and practices of the transmission and process of symbolic, verbal, and/or recorded messages for the creation, diffusion, and utilization of knowledge in society, with emphasis on emerging and specialized content. Recommended: LI801 and LI810.

LI 892: Information Behavior Seminar (3 credit hours)

An exploration of information behavior theories developed and used in a variety of disciplines to describe the needs; seeing, search, and sharing behavior; and uses of information among individuals and groups in a variety of contexts. Recommended: LI802.

LI 893: Management in Library and Information Agencies Seminar (3 credit hours)

Examines theories, models, and concepts explaining management of libraries and information organizations; people and organizational tasks; and work, activities, and processes in an information organization. Students gain competence in these topics through critical literature analysis and in-depth seminar discussions. Recommended: LI805.

LI 894: Organization of Information Seminar (3 credit hours)

An examination of theories, models and aspects of knowledge organization systems, the representation and organization of information in digital forms, and effective methods of information access and retrieval. Recommended: LI804.

The Library and Information Management courses listed above are subject to change with the approval of Emporia State University and the Kansas Board of Regents.

Tier 3: Advanced work in Concentrations (12 credit hours)

To meet qualifications for the two pre-determined concentrations, students may choose 12 credit hours from the courses offered in this section (below) for Instructional Design Technology or Information Systems. The transcript will state "Doctor of Philosophy" with a major in Library and Information Management. For students who have elected one of

the two defined concentrations, the transcript will also state "concentration in Instructional Design Technology" or "concentration in Information Systems," as appropriate.

Students who elect to take 12 credits of 800-level SLIM courses, 700-and-above-level ESU graduate courses from other ESU departments (except Instructional Design Technology or Information Systems), or 700-and-above-level graduate courses in other accredited institutions of higher learning, will not have a specific concentration on the transcript; however, courses constituting a concentration will be evident in their transcripts.

Courses chosen for Tier 3 must be appropriate for the student's doctoral studies and approved by the doctoral program director and the SLIM dean in advance of registration. Credits and available courses for the Instructional Design Technology Concentration and Information Systems concentrations are listed below:

Instructional Design Technology (choice of 12 credit hours)

IT 800: Instructional Design (3 credit hours)

This course presents a systematic method for the planning and development of instructional programs. Students will examine the research, theory, and principles supporting contemporary methods of instructional design as well as analyze and apply instructional design principles to specific instructional design problems. In addition, the course will culminate with a final project that applies instructional design principles, including the evaluation for instruction and the evaluation of instructional programs.

IT 810: Multimedia Design (3 credit hours)

This course presents a review of the systematic design of instruction as well as an overview of the use of multimedia instructional program in education. The primary focus of the class is the application of instructional design principles to the development of a multimedia instructional program using a variety of presentation media.

IT 820: Designing/developing Web-based Instruction (3 credit hours)

This course focuses on the technology and design of websites to communicate effectively online. Examined, will be crucial features of what is needed to generate quality content for training or instruction in e-learning environments. Students will have the opportunity to design and develop a training or instructional website related to a professional area of interest.

IT 830: Contemporary Issues in Distance Education (3 credit hours)

Offers an overview of the current issues in the three broad areas of distance education, K-12, postsecondary, and business/corporate/government/military. The course addresses the trends and overall resources available for delivering education via virtual classrooms. Accreditation, benchmarks, assessment, and limitations of distance education will be covered.

IT 850: Implementation of Corporate Learning Systems (3 credit hours)

This course will concentrate on the application of instructional design principles and tools for the corporate learning environment. This will include application of theory in settings

that demand communication skills and teamwork to develop corporate learning systems. Examples include corporate training, e-learning systems, and corporate-based instructional design.

Information Systems Concentration (choice of 12 credit hours)

IS 805: Special Topics in Computer Information Systems (1-3 credit hours)

Prerequisite: permission of instructor. This course covers various special topics and experimental course offerings at the graduate level.

IS 813: Information Technology Project Management (3 credit hours)

This course will present project management techniques, potential problems, and overall decision-making associated with software development projects. Specific topics will address planning, organizing, scheduling, and controlling information technology projects, current tools and techniques, and the roles and responsibilities of project managers.

IS 823: Systems Analysis and Design (3 credit hours)

Prerequisite: IS213. This course provides a detailed analysis of the System Development Life Cycle (SDLC). Emphasis is placed on the tools and techniques that a project leader and systems analyst would use to analyze, design and document an information system with the object-oriented approach as well as traditional approach. The course will also emphasize the importance of various skills, which the systems analyst should possess, including: communication, problem solving and project management. Team oriented projects are utilized to aid in understanding how systems concepts are developed in the business world.

IS 843: Electronic Commerce (3 credit hours)

Prerequisite: Background in Information Technology. This course explores the role of information technology and communication technology in the conduct of business activities with an emphasis on the implications of business-to-business and business-to-consumer connection as a result of electronic communications, particularly, the Internet.

IS 873: Information Systems for Managerial Decision Making (3 credit hours)

Prerequisite: background in computing. A study of the management of information technology as it is practiced in organizations today. Traditional organizations are moving toward a more interconnected or networked business environment. A major focus is understanding the role and use of complex technology in the support of individual, workgroup, enterprise, inter-enterprise and international computing.

Tier 4: Teaching and Directed Readings (minimum of 4 credits)

LI 940 Teaching and Learning in Organizations (3 credit hours, letter grade)

This course focuses on graduate learning/teaching, curriculum development, methods, the roles of the faculty member in the university and in the profession, as well as the structure of educational institutions for adults.

LI 946 (A-Z) Directed Readings (1-3 credit hour; pass/no credit grade)

Directed reading, also sometimes referred to as independent reading, is preparation for dissertation proposal writing. The supervising professor should be the student's dissertation chair. Students may enroll in LI 946 a maximum of three semesters; however, only one credit is a program requirement.

The purpose of directed readings is for the student to work with the dissertation chair to focus her/his research topic/problem and to be prepared for writing of the dissertation proposal (LI 947) the following semester.

Students and faculty who agree to engage in this course will submit a completed s to the doctoral program director prior to the beginning of the semester.

Tier 5: Proposal and Dissertation (15+ credit hours)

Upon successful completion of the qualifying examinations and directed readings with the dissertation chair or co-chairs, the student will enroll in LI 947 to write the proposal under the supervision of the committee chair/co-chairs. After the proposal has been presented publicly and accepted by the student's committee, SLIM dean, SLIM PhD program director, and the dean of the Graduate School, the student will advance to ABD (all but dissertation) status and will enroll in LI 950 to write the dissertation under the supervision of the committee chair/co-chairs. The dissertation must be approved by the dissertation committee, the SLIM dean, SLIM PhD program director, and the Dean of the Graduate School prior to being scheduled for public presentation. Students who wish to enroll in LI946, LI947, or LI950 in the summer may do so with permission of the professor and PhD program director.

LI947 Dissertation Proposal (3+ credit hours; pass/no credit grade)

The dissertation proposal is developed under the guidance of the committee chair/co-chairs during this course. Dissertation proposal development includes a problem statement and research questions, literature review and conceptual framework, design logic and procedures, ethical issues and IRB approval (if appropriate). A passing grade requires that the proposal be publicly presented and approved by the student's committee, SLIM Dean, and the Dean of the Graduate School. The student must pass a minimum of 3 credit hours of dissertation proposal (LI947) and be continuously enrolled (3 credit hours/semester) in the LI947 course until the proposal is publicly presented and approved.

LI 950 Dissertation (12+ credit hours; letter grade)

Students must complete at least 12 hours of dissertation credit and enroll in at least three credits each semester until the dissertation is completed or until seven years after admission to the doctoral program has expired. Dissertations are expected to contribute new knowledge to the field through high quality research. Dissertations will be supervised by a committee of at least three qualified members of the graduate faculty, one of whom must be from outside the School of Library and Information Management and may be from a different university. Students who have a concentration in Instructional Design Technology or Information Systems will have a committee member from that department; students with an approved concentration from another institute of higher education may also have a representative committee member from that discipline/institution. Upon successful completion of the dissertation and approval by the dissertation committee, SLIM dean, and the dean of the Graduate School, all students

will present their research in a public forum according to the ESU Graduate School policy.

A grade of "IP" (incomplete) will be issued each semester until the dissertation is complete and approved.

Continuous Enrollment

Students must be enrolled in graduate courses in fall and spring semesters at ESU, or at other approved institutions, or enrolled in LI 949 Continuous Enrollment.

LI 949 Continuous Enrollment (1 credit hour; no grade)

Students must enroll in this course number during fall and spring when the student is not working with a professor to remain in the program.

Satisfactory Completion of Course Work

Overview of course requirements

The ESU Graduate School requires that Ph.D. students complete 90 credit hours; 34 credits will be accepted from previous graduate degrees:

Tier Number	Credit hours
Tier 1	13 credit hours
Tier 2	12 credit hours
Tier 3	12 credit hours
Tier 4	Minimum of 4 credit hours
Tier 5	Minimum of 15 credit hours
Total	Minimum 56 credit hours

Student Progress

Faculty with regular graduate faculty status and the Director of the doctoral program will monitor student progress and report annually to the SLIM dean.

All graduate courses included in the SLIM MLS and doctoral programs' required curricula or their approved substitutions must be passed with a final grade of B- or better to receive academic credit. If a student does not receive a final grade of B- or better in any required doctoral course, then the student will be placed on academic probation and notified by the Doctoral Program Director that they must retake that course or those courses.

When a student has been placed on academic probation, an administrative hold will be placed on the student's record to block future enrollment. The administrative hold can only be released by the Director of the doctoral program or the SLIM Dean. The student is required to meet with the Director of the doctoral program with the goal of developing an academic improvement plan before they may enroll.

If a student has a semester GPA of less than 3.0 for two semesters or is on academic probation for two semesters, then the student's academic progress will be reviewed by the Director of the doctoral program and the SLIM Dean and a decision will be made whether the student should be dismissed from SLIM's PhD program.

Students are encouraged to take graduate courses from other accredited institutions when those courses can enrich their studies. Students may take up to 12 credit hours of 700-and-above-level approved courses from other ESU departments or transfer up to 12 approved credit hours from accredited programs at other institutions of higher learning. The Doctoral Program Director and the Dean must approve all transfer credits. The student is responsible for completing an application for approval to take ESU courses (other than Instructional Design Technology or Information Systems concentration courses) or transfer courses from other institutions of higher learning through the Director of the doctoral program. The Director will retain a copy of this form.

All students who earn a B- or higher in courses may take qualifying exams. If a student passes the qualifying exam, the student moves to the next course and/or phase of the program.

Throughout the proposal and dissertation stage, the student's committee chair will report on progress to the Director. The Director will maintain a record of the progress of each student regarding admission, qualifying exams, proposal, and dissertation activities.

A student must complete the doctoral program within seven years from the date of the student's first class on the degree plan (including transfer courses). At his/her discretion and in consideration of a student's mitigating circumstances and excellent professional promise, the SLIM Dean and SLIM Doctoral Program Director may grant a one-year extension for a total of eight years upon receipt of a written request.

Incomplete Policy

The grade of *incomplete* will be given only for personal emergencies that are verifiable and when the student has done passing work in the course. Except for the qualifying exam, dissertation proposal, and dissertation credit hours, all course work must be completed by the end of the semester following that within which the incomplete was granted (excluding summer semester). The student must contact the instructor prior to the end of the semester to request a grade of incomplete for a course. The decision to grant or deny a request for an incomplete is initially at the instructor's discretion and the instructor may also assign an earlier deadline. If granted, the incomplete will be processed by the course instructor as the student's final course grade. Please note: Incompletes will not be approved if the instructor of record is not a full-time professor with SLIM. In this situation, the SLIM Dean and the Doctoral Program Director may offer a customized solution. If incompletes are not replaced with an earned grade by the end of the following semester, the grade will become an F or "no credit" and the student will be discontinued from the doctoral program.

This incomplete policy does not apply to grades for LI 947 or LI950, which will carry in-progress grades (IP) until the proposal or dissertation is completed and the grades are changed to P (pass) or the time to complete the doctoral program ends and the grades are changed to F (fail).

Leave of Absence

Following consultation with the Doctoral Program Director, a student may request a leave of absence from the program for up to one year. The request must come in formal communication to the Doctoral Program Director that includes appropriate reasons for the request. The Doctoral Program Director will submit this request to the Dean for review; the Dean will make the final decision to grant a leave. Following the initial leave of absence, a student may request additional time by submitting a written request to the Doctoral Program Director. The doctoral program director will forward this to the Dean for approval of the extension. The approved leave of absence does not affect the seven-year limit on completing the program. Because SLIM doctoral courses are sequenced on a three-year cycle, students are warned to take a leave of absence only after completing Tiers One and Two of the program.

Withdrawal from a Doctoral Course

It is expected that all students in doctoral classes at ESU will complete the courses in which they enroll. Any student who finds that, for reasons of ill health or personal emergency, they cannot continue in a class should so inform the course instructor immediately. Failure to extend this courtesy and to provide documentation of the condition/emergency will result in the student receiving a grade of "F" in the course.

Program Withdrawal or Reactivation

If a student decides to withdraw from the doctoral program, the student should notify the Doctoral Program Director in writing. If a student has not registered for a class or continuous enrollment for a semester or has not requested leave, the student is considered to be inactive. To be reactivated, the student must file a written petition with the Doctoral Program Director who will make a recommendation to the Dean. The Dean will make the final decision regarding reinstatement to the program.

Financial Support

SLIM will offer scholarships as available to Ph.D. students in good standing. SLIM Ph.D. students should also apply as appropriate for scholarships offered through the ESU Graduate School

Ph.D. Graduate Assistant Positions

The School of Library and Information Management will offer graduate assistantship awards as they are available. For complete information about ESU graduate assistantships, please see the Emporia State University, Graduate School Graduate Policy https://www.emporia.edu/documents/1452/Graduate_Assistant_Guidelines.pdf

Support for Travel

Funds are available to partially support travel to scholarly conferences. Students who wish to apply for these funds should submit a written request to the Doctoral Program Director to request financial assistance and complete an application to the Graduate

Studies Office for travel funding in conjunction with requests to SLIM.

SLIM's funding decisions will be based on the nature of the project and available funds. Students who receive funding support for travel to scholarly conferences will report to the other doctoral students on the funded project.

Qualifying Examination

The purpose of the qualifying examination is to demonstrate competence in areas of library and information science and the concentration by being able to synthesize theories and research from course work, independent study, and student readings. Passing qualifying exams indicates the student's readiness and competence to undertake dissertation-level research. Students may sit for the qualifying examination only after they have successfully completed the required course for each exam area. The qualifying examination is not a course final evaluation but an examination of the concentration area.

Exam Procedures

Qualifying examinations will be offered at the end of the course (during ESU finals week) for the designated courses in the chart below. Students are required to successfully complete exams in two of the four content areas and one research exam. Each student must formally indicate to the Director of the Doctoral Program their intention to take each qualifying examination.

The qualifying exam as listed in the chart below will be a "take-home" exam offered during ESU finals week (fall or spring semester). The exam must be completed within one week on the date indicated by the doctoral program director. The exam will be sent to the student by the doctoral program director and the response should be submitted to the director. The exam will be evaluated by the course professor (first reader) and another professor (second reader) with expertise in the content area and approved by the doctoral program director. If the first and second reader cannot agree on the final evaluation, a third reader with expertise in the exam area will be asked to read and evaluate the exam.

Student will be notified of her/his examination evaluation within 2 weeks, or longer up to 4 weeks when more than five (5) students take the exam. Students must successfully complete each exam (satisfactory or excellent grade) before moving forward in the program. In the event that a student does not pass an examination (unsatisfactory), s/he must discuss her/his progress with the course professor and the doctoral program director. The student will then be advised to take one of these four actions: 1) use the professor's comments/suggestions and immediately (within two weeks) rewrite the exam essay; 2) enroll for independent study with a professor and retake the exam within the following semester; 3) take a leave of absence from the program; or 4) permanently discontinue participation in the program.

Qualifying Exam Schedule

Semester-Tier 1 & 2	Course Rotation	Qualifying Exam Offered During ESU Finals Week
First Fall, 2022	LI900 Orientation	
First Fall Semester, 2022	LI903 Research Philosophy LI891 The Knowledge Society	
First Spring Semester, 2023 Note: Must complete one exam by the end of second semester.	LI904 Research Strategies; Quantitative Methods and Theory LI892 Information Behavior Seminar	The Knowledge Society Information Behavior
Second Summer (or as scheduled), 2023	LI940 Teaching and Learning in Organizations	
Second Fall Semester, 2023 Note: must completed second exam by the end of second year.	LI905 Research Strategies: Qualitative Methods and Theory LI893 Management in Library and Information Agencies	Management in Library and Information Agencies Information Behavior
Second Spring Semester, 2024	LI890 Advanced Research Strategies LI894 Organization of Information Seminar	Organization of Info Management in Library and Information Agencies The Knowledge Society
Fall 2024	Taking Tier III	Research, Required

The Doctoral Program Director is responsible for recording student's examination results in the student's degree plan

Students are required to use APA style (latest edition) as a format for the exam and to provide in-text and end-of-text citations.

SLIM Guide to Qualifying Exams (see Appendix B) is distributed at each LI900 Orientation class, which includes evaluation criteria and grading rubrics. Exam essays are written as formal papers no longer than 20 pages, excluding title page and references.

Each exam is to be evaluated following a rubric for content area exams and a rubric for research exams as satisfactory (pass) or excellent (pass) or unsatisfactory (not a pass). Exam evaluation results are due from the professor to the doctoral program director

within two weeks of exam completion.

Occasionally, a student may wish to take additional coursework in preparation for retaking a failed qualifying exam. This is up to the student to arrange, and s/he must keep the doctoral program director informed of plans in this regard.

If a student does not act in good faith to re-take an examination and complete the cycle, the Doctoral Program Director, in consultation with the Faculty and the Dean may ask a student to leave the program.

The Dissertation

Dissertation chair and committee

The student, in conjunction with the Doctoral Program Director, will choose a dissertation committee chair or co-chairs (one co-chair may be selected from the concentration area) after passing the qualifying examinations. Dissertation Committee Membership Guidelines are in Appendix B. The student has the responsibility to identify a preferred committee chair or co-chairs who will agree to be appointed. The Dean will officially appoint the committee chair or co-chairs. The student and committee chair(s) will select one or two other SLIM faculty member and a competent member from outside SLIM whose education (PhD required), interests, and competencies strengthen the dissertation writing and defense process. If the student has a subject concentration, the third member of the committee will be from the concentration discipline. The Dean and the Doctoral Program Director will approve the membership of all dissertation committees and are responsible for officially recording the appointments. A student has the right to change the composition of the committee at any point of the process after consulting with the committee chair, the Director of the doctoral program, and the Dean of SLIM.

As the Doctor of Philosophy degree is awarded by the University, the Dean of the Graduate School represents the University and takes an active role in the dissertation process. The dissertation committee gives primary guidance and approval to the concepts and presentation of the research in conjunction with the Director of the doctoral program and the Dean of the School of Library and Information Management. Upon recommendation of the dissertation committee and approval of the Dean of the School of Library and Information Management, the Dean of the Graduate School affixes the University's approval to the written presentation of the dissertation.

Enrollment in dissertation credits

Doctoral students must complete 12 hours of dissertation credit, then enroll in at least 3 credits each semester until the dissertation research is completed or until 8 years after admission to the doctoral program have expired. A grade of "IP" (incomplete) will be issued each semester until the dissertation is complete and approved. Dissertations are expected to contribute new knowledge to the field through original research.

Dissertation proposal

Students are expected to conduct significant research that contributes to the theory base of library and information science and to present proposals as well as their

research results to the SLIM community in virtual public sessions. The student must present the dissertation proposal in a public presentation to the ESU community.

After a student has successfully completed the qualifying examinations and LI 946, the next step is to enroll in LI 947 Dissertation Proposal. The dissertation committee chair will guide the development of the dissertation proposal, which will serve as a basis for the student's research. Appendix C is the *Ph.D. Dissertation Proposal Writing Feedback Form* that should be used to focus on key aspects of dissertation proposal. The dissertation committee chair, acting on written reactions to the proposal by other committee members, will determine when the proposal is sufficiently developed to submit it for approval by the Dean of SLIM and the Dean of the Graduate School. The proposal must be accepted for presentation by the dissertation committee, the Dean of SLIM, the Director, and the Dean of Graduate Studies before the public presentation date is set and before data used in the study are collected. In consultation with the student and the Dean of Graduate Studies, the committee chair and the Dean of SLIM will select a date for the presentation of the dissertation proposal.

The public presentation of a dissertation proposal must be announced to the ESU community at least two weeks in advance. There will be no dissertation proposal presentations made during the summer semester or inter-sessions. Online access to the finished dissertation proposal will be provided at the time of the announcement of the presentation. The dissertation proposal will be made available electronically.

The proposal will contain the following chapters:

- Introduction (Chapter 1) —describes the problem being addressed and the purpose of the study in order to frame research questions
- Literature Review (Chapter 2) - overview of the background and the context for the research problem by describing the relevant literature on the topic
- Methods (Chapter 3)—overview of research design including the reason the specific methodology was selected
- Proposed Timeline - estimated schedule from start to time for final presentation of research
- References—lists all works cited in the dissertation proposal

At the public presentation of a research proposal, the Director or the dissertation chair will introduce the student and the members of the dissertation committee. The student will then present the proposal, describing the research question, theoretical framework, literature review, research design and timeline. At the conclusion of the presentation, the dissertation chair will first invite the committee, the Deans and other SLIM faculty to make comments and pose questions and then extend the invitation to others attending the session. After the community's questions have been addressed, the public portion of the presentation is over. The committee will then meet in private to appraise the proposal and vote on acceptance.

A student completing a dissertation proposal must submit to the ESU Graduate School the Thesis and Dissertation Committee Declaration Form. This form is available on the ESU Graduate School website. This form signed by each member of the dissertation committee affirms that the candidate has proposed an acceptable research topic and has the academic and professional background to address the topic. The Doctoral Program Director will facilitate the signing of this required form at the time of the dissertation

proposal approval process and submit it to the Graduate School. At this point, the student will advance to degree candidacy.

Final dissertation presentation

Upon completion of the dissertation, all students defend their research during an oral examination conducted and evaluated by dissertation committee. The oral examination is open to the public. The dissertation defense is a traditional forum in which the candidate presents the research for public scrutiny. The actual format and timing of the defense will be decided by each individual dissertation committee in conjunction with the Director of the Ph.D. program.

The dissertation (Chapter 1-5) must be prepared in compliance with the *ESU Guide to Dissertation Presentation* and the Publication Manual of the American Psychological Association (latest edition). Appendix E is a *Dissertation Checklist* that the student should use early in consultation with their committee and as often as is necessary before submission of the final copy of the complete dissertation to the ESU Graduate School.

After the dissertation committee, the SLIM Dean, the Doctoral Program Director, and the Dean of ESU Graduate Studies have accepted the student's dissertation as ready for presentation, the student is required to present the results publicly. There will be no presentations scheduled for summer semester or inter-sessions.

After the committee chair notifies the Doctoral Program Director that the dissertation committee, the SLIM Dean, and the Dean of Graduate School have found the student's dissertation ready for presentation, the Doctoral Program Director will set a date for the presentation in conjunction with the committee chair and/or co-chairs and the Deans.

The dissertation must be approved for presentation before announcement of day and time for the public presentation of the dissertation to take place. The public presentation of a dissertation must be electronically announced to the ESU community at least two (2) weeks in advance. Public presentation of a dissertation must be held on or before November 4 (fall semester) or April 4 (spring semester) allowing time for the student to complete the final dissertation document and get it to the graduate school on or before the graduate school's due date, i.e., three weeks before the date of graduations, approximately November 18 (fall semester); April 18 (spring semester). There will be no dissertation presentations made during the summer semester or inter-sessions. Online access to the finished dissertation will be provided at the time of the announcement of the presentation.

At the presentation, the dissertator and the committee members will be introduced by the dissertation chair, who also acts as facilitator for the question-and-answer period following the formal presentation and for the committee meeting that follows. During this portion of the session, the dissertator presents their research, including a statement of the research question, the theory and literature that frame the work, the research design, the study, the research results and interpretation, implications, and suggestions for future research.

At the conclusion of the formal presentation, the chair asks the committee to pose questions the members may still have, after which time the community is invited to make comments and pose questions. Following the public portion of the session, the

chair will call a closed meeting of the dissertation committee for the purpose of providing any additional remarks and suggestions and determining whether or not there is agreement for approval (with signatures). Official acceptance is indicated with completion of the ESU Final Exam Unity Form (in OnBase), which is filed at the end (begun by the committee Chair) and routed to the committee members to approve the final manuscript.

The student is required to submit the approved finished work with all corrections made to the ESU Graduate School by sending a copy as an attachment to email to jspotswo@emporia.edu There should not be departmental signatures in the copy submitted to the Graduate School.

With assistance of the ESU Graduate School, final dissertations are published in the ESU William Allen White Repository and in ProQuest Dissertations and Thesis.

Graduation

During the final semester of dissertation work, the student is responsible for working with the SLIM office, the doctoral program director, the dissertation chair/co-chairs, and the Graduate School office to make sure that all program requirements have been met and recorded. The student may not participate in commencement ceremonies before acceptance of the dissertation by the committee, SLIM Dean, and Dean of the Graduate School. Students should plan to present their dissertation at least one month before the end of the semester they plan to graduate.

Changes in Policy or Procedures

Policies and procedures governing the doctoral program will be revised periodically. In some cases, these changes may affect a student's plans. In such cases, the student may choose either to abide by the policy and/or procedures in place at the time of first enrollment or to change the student's plan in keeping with the new policy or procedures.

Doctoral Program Director

The doctoral program director is appointed by the Dean to a one-year term, which may be renewed. The director fulfills the following responsibilities:

- Updates program information and collaborates with the SLIM Dean to implement a marketing and recruitment strategy; collaborates with the SLIM Dean and technology manager to develop appropriate doctoral program information to be posted to the SLIM Website;
- Responds to all inquiries regarding the doctoral program and tracks communication with prospective students; maintains a record of the status of each inquiry and provides statistics regarding prospective and current students upon request;
- Schedules interviews with applicants and schedules meetings of the SLIM faculty to select the incoming cohort; processes eligibility (Infopath digital form) sent to the Graduate School;
- Collaborates with the SLIM Dean to develop, schedule, and conduct the LI900 orientation class;

- Engages in intrusive advising related to student programs of study, information needs, enrollment, degree plans, and other matters related to the student's success in the doctoral program; develops a degree plan for each incoming student and updates the plan as necessary to include concentration courses; works with students to select and approve appropriate concentration courses; manages progress review;
- Manages progress review points, including admissions, course work grades, qualifying exam, proposal acceptance and dissertation approval; maintains data base (ESU Sharepoint) regarding progress of each student regarding admission, the qualifying exam, proposal, and dissertation activities; updates SLIM faculty on doctoral student progress once each fall and spring semester at the regularly scheduled graduate student progress review meeting.
- Communicates with doctoral students regarding news of interest to maximize student retention and with students and faculty to maintain a uniformly high level of faculty interaction; schedules voluntary research seminars for doctoral students; encourages doctoral students to join and participate in professional associations;
- Coordinates qualifying examinations, dissertation proposal presentations, and dissertation presentations;
- Participates in selection of course instructors and course scheduling;
- Manages doctoral student files so they are accurate and complete; maintains all pertinent information related to admissions, progress review, artifacts, and associated materials;
- Serves as chair of the Doctoral Program Committee; advises the SLIM Dean on selection of alumni and student members; calls one meeting per semester; collaborates with the student to select a committee for approval by the SLIM Dean; provides guidelines to the dissertation chairs that outline the steps and timelines necessary to complete the dissertation within the seven-year study period. Presents requests to the SLIM Dean for approval of one-year extensions;
- Contributes to the building and maintenance of a scholarly doctoral community; and works with The Graduate School and International Education regarding admittance of students, marketing, degree plans, and dissertation requirements.

Doctoral Program Advisory Committee

The Doctoral Program Advisory Committee will consist of the doctoral faculty, including representatives from the Instructional Design Technology and Information Systems Departments, and one Ph.D. graduate. Alumni representatives may be appointed for a one-year term, which may be renewed once. The doctoral program director serves as committee chair, and the dean serves as an ex-officio member.

The Doctoral Program Advisory Committee will meet as required during the academic year to carry out the following responsibilities:

- develop and recommend policies and procedures for the doctoral program,
- carry out assigned tasks as defined in the *Guide to SLIM Doctoral Studies*,
- provide guidance and advice to the PhD program director,
- continuously assess the progress of the program, and
- appoint members to take minutes of meetings, distribute them to the doctoral faculty and doctoral students, and post to the SLIM meeting minutes archive.

Doctoral Student Teaching in the SLIM MLS Program

Teaching at the graduate level is an important aspect of student development in the doctoral program at SLIM; however, teaching a course in the SLIM curriculum is viewed as a desirable outcome, not an absolute right. In order to provide this experience and at the same time to ensure that classes taught by doctoral students meet the same criteria for excellence that govern the program when courses are taught by full-time and national faculty, SLIM has instituted the following process:

Identifying doctoral students as potential MLS instructors

There are two ways in which the doctoral students-as-teachers procedures in the MLS and undergraduate programs taught by SLIM can be initiated: a student will self-identify, or he or she may be invited to teach by the Dean, Doctoral Program Director, or other SLIM program administration. In either case, suggestions for doctoral students-as-teachers must be submitted to the SLIM faculty for review and approval.

In the case of self-identification, a student interested in teaching should first approach a member of the doctoral faculty or the PhD program director to seek advice. Together, the faculty member or coordinator and student will look over the curriculum and decide on a best match between a student's previous professional or academic experience and current interests, particularly with regard to research, and courses that are part of SLIM's curriculum.

After a course has been identified, the Doctoral Program Director and student will review the student's qualifications to teach a given course or courses. If the Director finds a match between the course and the qualifications, the Director will send this information to the Dean for review. Final decisions on teaching appointments are made by the SLIM Dean on the basis of recommendations by the SLIM faculty. Doctoral students must have finished all coursework, including LI 940, before being offered an opportunity to teach.

After it has been determined that the student is qualified to teach a specific course, it is up to the student to create a syllabus for the class that follows the SLIM articulated course objectives and student outcomes and also provides an agenda of topics for each session, anticipated activities, instructional approaches, and required and recommended readings. The student will be guided by the SLIM faculty and will also consult with the applicable faculty work group (community of practice) to coordinate the course with others in the same area. In some cases, the student will be required to follow a standard SLIM syllabus.

Evaluation of teaching

Doctoral student teaching is evaluated in the same ways and using the same processes and instruments as are other school/department instructors. Upon the completion of the class, the Dean will review the course evaluations. Should any problems have occurred or if issues of concern are raised in course evaluations, these will be reviewed with the student and resolved before the student is assigned to teach another course.

Compensation

Doctoral students who are hired to teach courses at SLIM will become employees of the State of Kansas and will be paid at the prevailing part-time instructor rate.

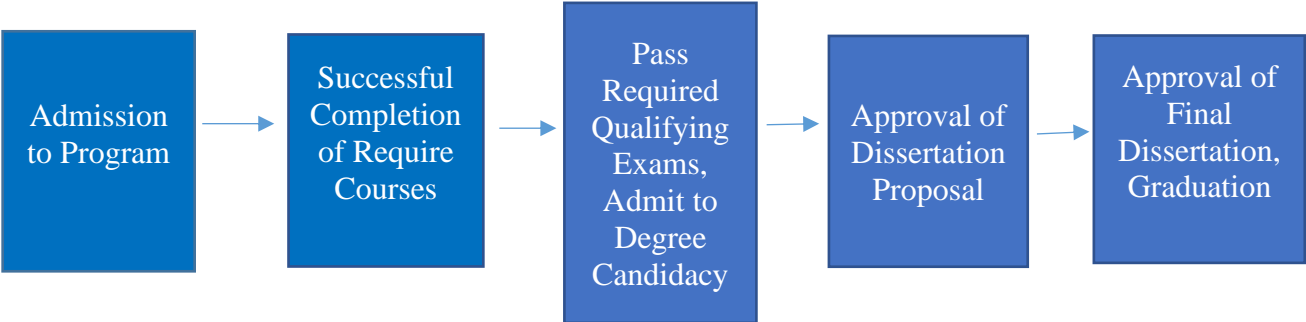
Appeals

There are four instances in which a student might consider an appeal:

- when a student has not been continuously enrolled in courses and has been dropped from the program;
- when a student has been dropped from the program because of a grade of "C" or below in the doctoral program;
- when a student has not completed the doctoral program within seven years of the date of the student's first course and has not been granted a one-year extension; and
- when the Dean, in consultation with the Doctoral Program Director and the Doctoral Program Advisory Committee, dismisses a student from the program for cause.

In each case, the student will follow the SLIM academic appeal policy to apply for re-admittance. Students will not be allowed to continue in the program while the appeal is being processed. Re-admittance to the doctoral program is not automatic and there is no guarantee that an appeal will be granted

Appendix A SLIM Ph.D. Program Five Assessment Decision Points



Appendix B SLIM Guide to Ph.D. Qualifying Exams

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Five Fundamental Elements of Excellent Qualifying Exams (Content Areas)

Students are required to successfully complete qualifying examinations (see *Guide to SLIM Doctoral Studies*, 2022). As the title of this exercise implies, these examinations serve to separate those students who do and those students who do not meet the criteria for undertaking dissertation research. The purpose of qualifying examinations is to provide the student an opportunity to demonstrate her/his eligibility to move forward in the program.

To be eligible to enter into the dissertation proposal phase, the student must be able to posit significant philosophical, professional, and technical knowledge. The student is required to demonstrate that she/he knows and can appropriately apply philosophy from a variety of cognate disciplines to new problems and/or issues in library and information studies (LIS).

As a future LIS researcher, the student must have the intellectual capacity to focus on the phenomenon of information regardless of the format or context, attend to the entire information transfer cycle from creation to deletion of information, and recognize the interdisciplinary nature of the field drawing from scientific and social science disciplines as well as from information science and/or library science.

Following are five fundamental elements that are necessary in the construction of an excellent **content area qualifying examination** essay written by a future LIS researcher.

1. **Interdisciplinary**—The student must have the intellectual capacity to connect and integrate several academic disciplines, or schools of thought, professions, or technologies in the pursuit of a common task. To do so, the student must first articulate the purpose, systematic methods, and extant knowledge of relevant, single disciplines. The student must explain how a discipline organizes domains of knowledge, names content, characterizes boundaries, and has its own cultural interactions, rules for engagement, and builds disciplinary coverage of content. The student must articulate her/his awareness that interdisciplinary studies are needed to cross traditional academic disciplinary boundaries as new opportunities and challenges in the information age emerge.
2. **Theory Applied to Information Use**—The student must know and be able to accurately articulate theory that can potentially be used to construct a theoretical framework relevant and useful in the investigation of information problems and/or topics. To do so, the student must be able to identify theorists and their theoretical perspectives and explain the evolution of research questions and related ideas over time and as new needs and or professions have emerged. The student must articulate her/his awareness that out of

various paradigms of social science thought develops related assumptions, theory, models, tools and practices.

3. Values and Ethics of Library and Information Science—The student must know and be able to articulate directly and/or indirectly that librarians and information professionals are moral agents responsible to themselves, others, and society as a whole. The student must convey her/his commitment to the goal of the LIS field: to communicate knowledge to people. The student must directly and/or indirectly convey awareness of seven values of library and information science: service; reading and the book are important; respect for truth and the search for truth; tolerance; the public good; justice; and aesthetics (Rubin, 2010, pp. 405-413).
4. Higher Order Thinking—The student must demonstrate the intellectual capacity to think across all levels of Bloom’s cognitive domain (Bloom, 1956, 1994), which includes knowledge, comprehension, application, analysis, synthesis, and evaluation. To demonstrate excellence, the student must demonstrate the ability to move beyond knowledge and comprehension to significant application, analysis, synthesis, and evaluation. In doing so, the student demonstrates her/his ability to remember, understand, apply, analyze, evaluate and create, and to use critical thinking and writing skills within a critical social theory framework.
5. Professional Writing—The student must demonstrate the intellectual capacity to write an essay that directly answers the examination question. The essay must make use of conventions of standard written and spoken English (e.g., rules for punctuation; use of part of speech; sentence and paragraph construction, etc.), and follow the guidelines for manuscript structure and content, writing clearly and concisely, the mechanics of style, displaying results, crediting sources, and references outlined in the *Publication Manual of the American Psychological Association* (6th Edition). Consult the *Random House Webster’s College Dictionary* for spelling and usage. The student must effectively convey her/his interest in, and scholarly and professional knowledge of the content. The student must ensure the accuracy of research through ethical reporting of research results. Plagiarism will not be tolerated.

References

- American Library Association. (2002). American Library Association Congress on Professional Education Second Task Force on Core Values. Retrieved from <http://www.ala.org/ala/educationcareers/education/1stcongressonpro/1stcongressappendixala.cfm>
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Rubric—Content Area

Today's Date

Student's Name

First Evaluator's Name

Second Evaluator's Name

Exam Area (Information Transfer; Information Psychology; Administrative Theory;
Organization of Information; or Concentration Area (Information Systems or Instructional
Design)

Final Evaluation

Competency Fundamental Elements	Excellent 3 points	Satisfactory 2-1 Point(s)	Unsatisfactory 0 Points
Interdisciplinary			
Theory Applied to Information Use			
Values and Ethics of Library and Information Science			
Higher Order Thinking			
Professional Writing			
Total Points			

Comments

Excellent—Response demonstrates all the criteria described in the Five Fundamental Elements of an Excellent Qualifying Exams. 15 points = pass.

Satisfactory—Response demonstrates most of the criteria described in the Five Fundamental Elements of an Excellent Qualifying Exams. Some of the elements are moderately achieved and/or only slightly covered. 10 – 14 points = pass. Some aspects of the response need to be revised, clarified and/or improved. 5-9 points = low pass with requirement to rewrite using evaluators' comments and requirements.

Unsatisfactory—Response demonstrates very little, if any, criteria described in the Five Fundamental Elements of Excellent Qualifying Exam. 0-4 points = no pass.

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Five Fundamental Elements of Excellent Qualifying Exams (Research)

Students are required to successfully complete qualifying examinations (see *Guide to SLIM Doctoral Studies*). As the title of this exercise implies, these examinations serve to separate those students who do and those students who do not meet the criteria for undertaking dissertation research. The purpose of qualifying examinations is to provide the student an opportunity to demonstrate her/his eligibility to move forward in the program.

To be eligible to enter into the dissertation proposal phase, the student must be able to posit significant philosophical, professional and technical knowledge. The student is required to demonstrate that she/he knows and can appropriately apply philosophy from a variety of cognate disciplines to new problems and/or issues in Library and Information Studies (LIS).

As a future LIS researcher, the student must have the intellectual capacity to focus on the phenomenon of information regardless of the format or context; attend to the entire information transfer cycle from creation to deletion of information, and recognize the interdisciplinary nature of the field, drawing from scientific and social science disciplines as well as from information science and/or library science.

Following are five fundamental elements that are necessary in the construction of an excellent research qualifying examination essay written by a future LIS researcher.

1. Quantitative Concepts and Methods – The student must be able to articulate quantitative research philosophy and address the development of questions, research design and sampling, and methods for data collection and analysis. The student must effectively discuss challenges and opportunities for focusing research results to improve practice in the library and/or information professions.
2. Qualitative Concepts and Methods – The student must be able to articulate qualitative research philosophy and address the development of questions, research design and sampling, and methods for data collection and analysis. The student must effectively discuss challenges and opportunities for focusing research results to improve practice in the library and/or information professions.
3. LIS Research Topic/Problem – The student demonstrates her/his knowledge of a topic and/or problem(s) articulated in the appropriate content and scope of library and information studies research. The student demonstrates scholarly, professional and technical knowledge of the topic/problem(s). The student identifies research-based studies that have investigated this topic and accurately and effectively discusses the results and resulting impact, if any, on the field. The student articulates possibilities for replicating and extending existing studies and/or designing new studies to ask and answer new research questions.
4. Higher Order Thinking – The student must demonstrate the intellectual capacity to think across all levels of Bloom's cognitive domain (Bloom, 1956, 1994), which includes knowledge, comprehension, application, analysis, synthesis, and evaluation. To demonstrate excellence, the student must demonstrate the ability to move beyond knowledge and comprehension to significant application, analysis, synthesis, and evaluation.

In doing so, the student demonstrates her/his ability to remember, understand, apply, analyze, evaluate and create, and to use critical thinking and writing skills within a critical social theory framework.

6. **Professional Writing**—The student must demonstrate the intellectual capacity to write an essay that directly answers the examination question. The essay must make use of conventions of standard written and spoken English (e.g., rules for punctuation, use of part of speech, sentence and paragraph construction, etc.), and follow the guidelines for manuscript structure and content, writing clearly and concisely, the mechanics of style, displaying results, crediting sources, and references outlined in the *Publication Manual of the American Psychological Association* (6th Edition). Consult the *Random House Webster's College Dictionary* for spelling and usage. The student must effectively convey her/his interest in, and scholarly and professional knowledge of the content. The student must ensure the accuracy of research through ethical reporting of research results. Plagiarism will not be tolerated.

References

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Rubric—Research

Today's Date
Student's Name
First Evaluator's Name
Second Evaluator's Name
Exam Area Research
Final Evaluation

Competency Fundamental Elements	Excellent 3 points	Satisfactory 2-1 Point(s)	Unsatisfactory 0 Points
Quantitative Concepts and Methods			
Qualitative Concepts and Methods			
Values and Ethics of Library and Information Science			
Higher Order Thinking			
Professional Writing			
Total Points			

Comments

Excellent—Response demonstrates all the criteria described in the Five Fundamental Elements of an Excellent Qualifying Exams. 15 points = pass.

Satisfactory—Response demonstrates most of the criteria described in the Five Fundamental Elements of an Excellent Qualifying Exams. Some of the elements are moderately achieved and/or only slightly covered. 10 – 14 points = pass. Some aspects of the response need to be revised, clarified and/or improved. 5-9 points = low pass with requirement to rewrite using evaluators’ comments and requirements.

Unsatisfactory—Response demonstrates very little, if any, criteria described in the Five Fundamental Elements of Excellent Qualifying Exam. 0-4 points = no pass.

Appendix C Ph.D. Dissertation Proposal Feedback Form

EMPORIA STATE UNIVERSITY

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Ph.D. Dissertation Proposal Writing Feedback Form

Instructions: Evaluator should indicate yes, no, or partially meets/exceeds expectations and write brief details for improvement on this form.

Student's Name

Date

Chapter 1 - Introduction

CONTENTS	MEETS/EXCEEDS EXPECTATION	DETAILS FOR IMPROVEMENT
1.1 Problem: Locate the problem within the larger population or social situation.		
1.2 Problem: Describe the local problem that prompted the study. Discuss the gap to be filled in appropriate scholarly language.		
2.1 Rationale: Articulate the rationale or justification for the problem choice. Present support from data, and if relevant include appropriate personal communications.		
2.2 Rational: Answer the question: "Who thinks this is a problem other than you (the researcher)?"		
2.3 Rational: Conclude with purpose (intent) of the study.		
3.1 Definition of Terms: Define and cite special terms associated with the problem including variables and/or conceptual terms. Each definition must include citation from scholarly literature or local documents (no dictionaries or Wikipedia, etc.).		
4.1 Significance of the Study: Articulate the significance of the study problem.		
4.2 Significance of the Study: Describe how studying the problem might be useful to resolution and/or improvement of the local problem and to others more widely located.		
5.1 Research Questions (Hypothesis or Presupposition): Begin with a paragraph statement to frame the question(s) in relation to the problem and purpose of the study.		

5.2 Research Questions (Hypothesis or Presupposition): State the research question(s). The questions should investigate the nature of the problem and the best solution to the problem.		
5.3 Research Questions (Hypothesis or Presupposition): If a quantitative study, state the null and alternative hypotheses that identify the independent and dependent variable being studied, the association being tested, and how the variable are being measured.		
6.1 Theoretical Framework: Identify the theory or theories that will provide the theoretical lens through which the problem will be viewed and examined. Provide the origin and source of theory.		
6.2 Theoretical Framework: Explain how the theory relates to the study approach and the research questions.		
7.1 Organizational Structure: Impose some organizational structure on introduction by including appropriately worded headings.		
8.1 Chapter Summary: In one or two paragraphs, briefly summarize key points in Chapter 1 and introduce/predict Chapter 2.		

Chapter 2 – Literature Review

CONTENTS	MEETS/EXCEEDS EXPECTATION	DETAILS FOR IMPROVEMENT
1.1 Literature Review: Present an overview of the topics included in the literature review and how they are related to the study problem. Briefly describe how the search was conducted (search terms used; databases used, etc.)		
1.2 Literature Review: Select publications that are peer-reviewed sources relevant to the topic and problem identified in Chapter 1. Demonstrate saturation in 25-40 appropriate, worthwhile sources. Discuss and fulfill dissertation committee expectations for the number of sources and the length of the literature review.		

1.3 Literature Review: Write a critical and in-depth evaluation of previous research in the form of an analysis/synopsis (not an annotated bibliography).		
1.4 Literature Review: Discuss implications and directions based on existing research.		
1.5 Literature Review: Do not state a foregone conclusion about the topic/problem.		
2.1 Organization Structure: Impose some organizational structure on the literature review by including appropriately worded headings.		
3.1 Chapter Summary: In one or two paragraphs, briefly summarize key points in Chapter 2 and introduce/predict Chapter 3.		

Chapter 3- Method

CONTENTS	MEETS/EXCEEDS EXPECTATION	DETAILS FOR IMPROVEMENT
1.1 Methodology: State the research design and approach.		
1.2 Methodology: Articulate a justification for the selected design.		
1.3 Methodology: Articulate how the design is logical for the problem.		
1.4 Methodology: Discuss the overall evaluation goals and the outcomes and measures.		
2.1 Setting and Sample: Identify and describe the study population.		
2.2 Setting and Sample: Identify and defend the sampling strategy and the sample size.		
2.3 Setting and Sample: Describe the selection criteria for inclusion/exclusion of study participants and the characteristic of the sample.		
2.4 Setting and Sample: State plans for IRB approval.		
3.1 Instruments and Tools: Name and describe data collection instruments and/or tools to address the research question(s).		
3.2 Instruments and Tools: For published instruments, include name, year, appropriateness, permission to use (appendix).		

3.3 Instruments and Tools: If researcher created, discuss basis for development and sufficiency to answer research questions, explain concepts measured by the instrument, processes/steps for participants to follow. (Tools should be completed and each appearing in appendix.)		
3.4 Instruments and Tools: Explain how data will be calculated.		
3.5 Instruments and Tools: Discuss reliability and validity as appropriate to the study design and as addressed in previous studies.		
3.6 Instruments and Tools: Be sure all Tables and Figures are numbered and appear correctly (APA rules) throughout the document.		
4.1 Data collection: If archival data, describe procedure for access to the data set and permission information (letters in appendix).		
4.2 Data collection: Indicate scale as appropriate (e.g., nominal, ordinal, interval). Explain descriptive and/or inferential analysis of data.		
4.3 Data collection: Articulate steps in collection of data and timeline.		
5.1 Limitations and Scope: Mention facts assumed to be true and assumptions (not verified).		
5.2 Limitations and Scope: Articulate potential weakness of the study.		
5.3 Limitations and Scope: If quantitative, explain variable (scope) and boundaries (delimitations).		
5.4 If qualitative, explain limitations of the evaluation.		
6.1 Protection of Human Participants: Explain confidentiality, informed consent, and protection from harm.		
7.1 Chapter Organization: Impose some organizational structure on the methods chapter by including appropriately worded headings.		
8.1 Chapter Summary: In one or two paragraphs, briefly summarize key points in Chapter 3 and introduce/predict Chapter 4.		

Appendix D Dissertation Committee Member Guidelines

EMPORIA STATE UNIVERSITY

■ School of LIBRARY &
INFORMATION MANAGEMENT

Doctor of Philosophy

Website: <https://www.emporia.edu/school-library-and-information-management/programs-certificates-licensures/doctor-philosophy-library-and-information-management/>

Dissertation Committee Member Guidelines

Students enrolled in the Doctor of Philosophy (Ph.D.) degree program are directly and actively involved in all aspects of their dissertation research including selection of dissertation committee members. All dissertation policy and procedures are outlined in the Emporia State University, School of Library and Information Management *Guide to SLIM Doctoral Studies* and the Emporia State University Graduate School, *Dissertation Guidelines*. Informed by policy, these dissertation committee member guidelines are provided to assist eligible students and faculty in developing and maintaining successful dissertation committee interactions and responsibilities.

Ph.D. students are required to successfully complete a doctoral dissertation investigating a topic (research problem) suitable for publication in library and information science research journals (see LIS Research and Classification Scheme). It is required that all Ph.D. dissertations be designed as a quantitative, qualitative, or mixed methods study. Students must also understand research according to the *Belmont Report*, released in 1979 by the National Commission for the Protection of Human Subjects in Biomedical and Behavioral Research, which provides the ethical framework for the Federal Regulations designed to protect human research subjects.

Ph.D. students are required to identify individuals who are qualified and willing to serve on her/his dissertation committee. Dissertation committees must be comprised of at least three (3) faculty members including: two (2) from the School of Library and Information Management faculty; and, one (1) outside member. Dissertation committees may include more than three faculty members with permission of the Dean of SLIM and the Director of the Ph.D. program. All faculty members must be qualified to hold graduate faculty status (*Guide to SLIM Doctoral Studies*). In addition to being eligible to serve on the basis of the Emporia State University requirements, outside committee members must be selected on the basis of: 1) expertise relevant to the dissertation topic; 2) expertise relevant to the research design; and 3) agreement to fully participate. Outside committee members serve voluntarily without pay from ESU.

Chair, Dissertation Committee

Faculty who serves as the dissertation committee chair have the ultimate responsibility for guiding the student, and scheduling and facilitating the dissertation committee meetings. It is the responsibility of the chair to

- work directly with the student to identify a suitable topic (problem).
- work with the student to identify committee members.
- communicate with the Director whose responsibility it is to formalize committee membership.
- interact with the student to write a brief (approximately two-pages) dissertation proposal overview to serve as the first step in approval by the committee membership of a dissertation topic. The two-page draft document should include: topic and problem; research questions; study population, student design and method; and timeline.) Once approved by the committee, the student may move forward with the proposal writing process.
- schedule and announce dissertation committee meetings.
- make clear that all faculty are to be given a minimum of two (2) weeks to read and respond to a student's work.
- work with the student to write the dissertation proposal, and then the final dissertation. The chair serves as the first level of input for reading, reviewing, editing written work.
- notify the Director when the final proposal, or final dissertation, is ready to be read and approved by the Deans and the Director.
- works with the Director to announce and schedule public presentations.
- attends dissertation proposal public presentation and final dissertation research public presentation.
- works with the student and the Director to finalize dissertation with the ESU Graduate Dean.

Member, Dissertation Committee

Faculty who serves as dissertation committee members share responsibilities for guiding the student, and scheduling and leading the dissertation committee meetings. It is the responsibility of the committee members to

- work directly with the student, and all the committee members, to write and approve a dissertation proposal.
- attend and contribute to dissertation committee meetings and follow-up discussions.
- read, review, and provide feedback on multiple drafts of the student's written work.
- approve dissertation proposal before submitting to the Deans and the Director for approval.
- attend dissertation proposal public presentation and final dissertation research public presentation.

Dissertation Process Questions

All dissertation process questions should be directed to the Director who will provide clarification, guidance, and assistance as needed.

References

ESU Graduate School, Dissertation Guidelines

<http://www.emporia.edu/grad/graduate-policies/>

LIS Research and Classification Scheme

http://www.alise.org/index.php?option=com_content&view=article&id=487

SLIM, ESU, Guide to SLIM Doctoral Studies (2022). Retrieved from

<https://www.emporia.edu/school-library-and-information-management/programs-certificates-licensures/doctor-philosophy-library-and-information-management/>

Appendix E Dissertation Checklist

School of Library and Information Management
Emporia State University

Dissertation Checklist

This is a checklist of requirements for the publication of Ph.D. dissertation in five chapters (Introduction; Literature Review; Methods; Discussion and Conclusion). This checklist format is designed for use by the student in consultation with their dissertation committee members when preparing the final submission of a dissertation document to the ESU Graduate School. The style guide used for formatting purposes is the *Publication Manual of the American Psychological Association 2020: The Official Guide to APA Style* (American Psychological Association) or current edition. It is the doctoral candidate's responsibility to ensure that their dissertation document is well-written before final submission.

Margins Requirement

___ 1.00" left, top, right, and bottom margins for all pages.

Organization of Dissertation

- ___ 1. Blank Page
- ___ 2. Abstract with keywords (350 words maximum)*
- ___ 3. Title Page
- ___ 4. Copyright
- ___ 4. Dedication page (optional)
- ___ 5. Acknowledgements (optional)
- ___ 6. Table of Contents (5 chapters)
- ___ 8. List of Tables (only used for 5 or more), Roman numerals for page #
- ___ 9. List of Figures (only used for 5 or more), Roman numerals for page #
- ___ 10. List of Symbols and/or Abbreviations with pages (only if needed)
- ___ 12. Body of Dissertation
- ___ 13. References (works cited)
- ___ 12. Appendix or Appendices
- ___ 13. Permission letter(s) for any copyrighted materials used in text
- ___ 14. IRB Approval
- ___ 15. Blank Page

Note: Unless otherwise noted, all pages must be submitted with the dissertation for approval by the Dean of the Graduate School.

Font Size

___ 12 point

Font Type

___ Times New Roman

Spacing

___ Double spacing should be the default for the entire document including before and after all centered headings and subheadings.

Pagination

___ Every page must be assigned a number, except blank or copyright page (counted but not numbered) and page numbers should stand alone without any form of punctuation. Lower-case Roman numerals are used in preliminary pages, while Arabic numerals are used in the remainder of the manuscript.

___ The student is responsible for ensuring that the pages of the manuscript are in correct numerical order. Make sure all pages are included.

___ Check for errors in the Table of Contents and check lists of tables, figures, etc., for incorrect page numbers, titles that do not exactly match the headings used in the manuscript (capitalization, punctuation, wording); or incorrectly indicated subdivision. Make sure you are consistent.

___ All page numbers must be centered 1/2" from the bottom of the page (The last line of text must be 1" from bottom.)

___ The title page is assumed to be numbered lowercase Roman numeral "i". The actual number should NOT be displayed on this page. (Use a section break to solve this issue.)

___ All other preliminary pages (e.g., copyright, dedication, acknowledgement, abstract, table of contents, etc.) must be numbered in lowercase Roman numerals beginning with "ii".

___ Pages in the body of the text are to be numbered using Arabic numerals beginning with "1".

___ All page numbers in the Table of Content and the List of Tables and List of Figures must correspond with actual page numbers in the text.

Running Headers, Footnotes and Endnotes

___ If footnotes are used, they must conform to margin requirements and must begin on the page they are cited.

___ Footnotes must be two font sizes smaller than document text (12 point)

___ Single space footnote entries and double space between each.

___ Footnotes should be renumbered beginning with Arabic number "1" for each chapter or section.

___ Running headers and endnotes are NOT preferred.

Centered Headings and Section Heads

___ Chapter headings MUST be centered.

___ Section headings must be consistent throughout entire document.

___ Preliminary page titles (e.g., Abstract, Table of Contents, etc.) and all chapter headings must be centered.

___ If a subheading falls at the end of a page without any accompanying text, move subheading to the next page.

___ Do not use a numbering system for title and subheading (e.g., 1.1, 1.1.1).

_____ Begin Chapter One (introduction) on a new page. Type the title in title case, bold, centered and positioned at the top of the first page of text. Do not type the heading “Introduction.” Title acts as de facto Level 1 heading.

_____ Use Level 2 heading for any subsections with introduction, Level 3 for subsections of Level 2 and so on. Use Level 1 heading to begin all chapters.

Tables and Figures

_____ Format all Tables and Figures, including the caption, according to the current APA style manual.

_____ All Tables and Figures must conform to required margin requirements (1”).

_____ There should be a line before and after column headers and at the end of each table as indicated in the APA style manual.

_____ When a Table is continued to another page(s), repeat table number and column headers; label table title as: Table 1 (Continued).

_____ Tables and figures must be identified in the text by a number (e.g., Table 1; do not label as Table 1.1, Table 2.1, etc.)

_____ Table numbers and titles must be typed above the table.

_____ Figure numbers and captions must be typed below the figure.

_____ Table and Figure captions must appear on the same page as the Table or Figure.

_____ If a Table or Figure is taken directly from another source, the entire source must be cited below the table/figure.

_____ All Tables and Figures should be in a separate appendix (unless otherwise instructed by the committee).

References

_____ All references must be listed in the reference section at the end of the manuscript. Names and dates appearing in the text must exactly match those in the references. When there are multiple authors of a publication, all of them must be cited on first reference, after that et al. may be used.

Errors in Grammar and Punctuation

_____ Lack of subject-verb agreement, especially in sentences in which the subject is singular, but the object of a prepositional phrase is plural (e.g., A group of students was surveyed is correct).

_____ Misuse of comma and semicolon, e.g., omitting the comma in a series of three or more items connected with and or, using however as a conjunction and omitting the semicolon before however.

_____ Ellipsis indicated incorrectly; an ellipsis is indicated by three spaced periods (plus sentence-ending punctuation, if applicable).

_____ Incorrect typing of the hyphen (one character strike) and the dash (two unspaced hyphens); no spaces should be used before or after these punctuation marks.

_____ Faulty parallelism in sentence construction.

_____ Dangling or misplaced modifiers; other errors in noun modification.

- _____ Misuse of commonly confused words, e.g., affect and effect, principal and principle, etc.
- _____ Misplacement of periods and commas in quoted material; periods and commas are always placed inside quotation marks; colons and semi-colons are placed outside.
- _____ Incorrect verb tense changes within sentences and paragraphs.
- _____ Appositive and other nonrestrictive phrases are always set off by commas.
- _____ Restrictive clauses, those that cannot be left off without changing the sentence, may never be set off with commas.
- _____ Restrictive and nonrestrictive clauses are distinguished by the use of "that" and "which," respectively.
- _____ Misuse of the colon; colons follow only completed phrases, i.e., Jones (1991) explains it clearly:...Not Jones (1991) states:
- _____ Confusion of the interrogative form with the indicative, i.e., My research sought to find out whether ..., not if.
- _____ One-sentence paragraphs. A paragraph should contain a minimum of two sentences.
- _____ Extra spacing or not enough spacing between words and sentences.
- _____ Inconsistent typing of headings for each chapter. Chapter headings and numbers must all be upper case or the first letters capitalized, followed by lower case.
- _____ Failure to arrange dissertation pages in the prescribed order.
- _____ The "Permission to Copy" page must be completed and submitted with each copy of the dissertation.
- _____ Poor quality of duplicated materials-lines, shading, shadowing, etc. All photocopies must be of legible quality.
- _____ Each table or figure must have a heading and must be on its own separate page.
- _____ Partial/incomplete sentences.
- _____ Use of "who" and "that." "Who" refers to a person and "that" does not.
- _____ When deciding to use "which" or "that," "which" is used when it is with a phrase that can be set off by commas.
- _____ Overuse of the word "that." This makes for awkward reading. The correct format is "The man said he was going home," not "The man said that he was going home."
- _____ Overuse of the phrase "in order to."

Miscellaneous

- _____ Left align text (full justification of the right-hand margin is not allowed; right margins must be jagged).
- _____ If mathematical equations are used within the text, double space between and after each equation.
- _____ Always spell out a number if it begins a sentence or paragraph.
- _____ Check with your committee before using color figures, illustrations or charts.
- _____ Use standard English punctuation. Use commas to aid in clarity, to join two independent clauses with a conjunction, to set off introductory phrases, and to set off series.
- _____ Use that (a defining clause) and which (a non-defining cause) correctly.

