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SRM Faculty

The members of the SRM faculty are involved in various programs of widely recognized research, working to broaden and enrich the methods used in a range of substantive areas, from biomedicine and public health to school accountability and classroom interaction. In line with this work, a number of the faculty is concerned, as well, with the rhetorical and epistemological issues involved in social inquiry.

The faculty continues to receive national recognition for their work. These honors include:

- An election to the National Academy of Education
- An appointment to head the National Research Council's Board of Testing and Assessment
- A post-doctoral award from the Spencer Foundation
- The AERA Scribner Award
- The Lazarsfeld Award of the American Evaluation Association
- The Guttentag Award of the American Evaluation Association
- The Grawemeyer Award in Education
- A Guggenheim Fellowship

Alkin, Marvin C.   Professor Emeritus
(310) 825-4800   Moore Hall 3026   alkin@gseis.ucla.edu
Research and theoretical interests include evaluation utilization, evaluation theory, and problems of evaluating educational programs.

Anderson-Levitt, Kathryn   Lecturer
(310) 825-2010   Moore Hall 2005A   kandersonlevitt@ucla.edu
Research interests include educational reform in global context, schoolteachers’ cultures for teaching, gender and schooling in West Africa, cultural models of mental retardation, and urban France.

Baker, Eva L.   Professor Emerita
(310) 206-1530   GSEIS 301   eva@ucla.edu
Research interests include testing and assessment policy development and impact, design of instructionally sensitive assessment systems, and educational technology.

Cai, Li   Professor
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Research interests include psychometrics, latent variable models, item response theory, nonlinear models, and statistical computation.

Christie, Christina   Professor
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Current interests include evaluation as a method for facilitating social change, understanding the factors and conditions that influence evaluation practice, and advancing frameworks for understanding evaluation models.

Erickson, Frederick   Professor Emeritus
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Particular teaching and research interests are in video-based discourse analysis and the study of face-to-face interaction, especially the study of interaction as a learning environment in schools and other educational settings. General interests are in educational anthropology, qualitative research methods (including qualitative action research) and uses of digital multimedia to portray social interaction and teaching/learning practice.
Gutierrez, Kris  
Professor Emerita  
krisgu@ucla.edu  
Current research interests include sociocultural contexts of literacy development, particularly the study of the acquisition of academic literacy for language minority students. Her research also focuses on understanding the relationship between language, culture, development, and pedagogies of empowerment.

Hansen, Mark  
Assistant Professor in Residence  
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Teaching and research interests include latent variable models used in educational, psychological, and health-related research; development and evaluation of methods for estimating such models and for examining the extent to which they fit real data; and characterizing the validity and reliability of assessment-based judgments.

Martinez, José Felipe  
Associate Professor  
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Research interests include applications of measurement and quantitative methods to assessment, educational policy, and program evaluation. Current projects include a study using portfolios to measure teacher assessment practices, and an investigation of relationships among multiple measures of teacher performance.

McCarty, Teresa  
Professor  
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Research, teaching, and outreach includes: ethnographic studies of education, educational language planning and policy, Indigenous/multilingual education, youth language, critical language and literacy studies.

Muthén, Bengt O.  
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Research interests include the analysis of categorical data, latent variable models, growth modeling, multilevel modeling, preventive intervention studies, and statistical computer programs.

Rose, Mike  
Research Professor  
(310) 825-8076  
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Generally interested in thinking and learning and the various methods used to study, foster, and write about them. Current projects involve literacy and writing instruction, the cognition involved in various kinds of common work, and the bridging of different modes of inquiry.

Seltzer, Michael  
Professor  
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Research focuses on the development and application of quantitative methods for longitudinal analysis and multilevel data analysis (e.g., individuals nested within sites in multi-site evaluation studies). Particular interest in strategies to check the sensitivity of results to key modeling assumptions, and related developments in statistics (i.e., Markov Chain Monte Carlo [MCMC] methods).

Webb, Noreen  
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(310) 825-1897  
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Research interests include classroom processes related to learning outcomes, small-group problem solving, achievement testing in mathematics and science, aptitude-treatment interaction research, and generalizability theory.
Introduction

The division of Social Research Methodology (SRM) is committed to the study and practice of methods of inquiry in educational and social research. The SRM curriculum emphasizes conceptualization of applied problems, design and conduct of research and evaluation, development and application of new methodological techniques, and analysis and interpretation of data in the context of educational theory and practice. The purpose of the division is to prepare individuals who can critically examine educational research and evaluation, develop data collection designs and instruments, and conduct conceptual and statistical analyses appropriate to the field of education as well as other behavioral and social sciences.

One of the greatest strengths of the SRM division lies in the close partnering of methodological innovations with practical applications. The division's location within the Graduate School of Education and Information Studies ensures that the methodologies under development are motivated by and progress in conjunction with substantive research questions. That is, substantive social theories and empirical methods are advanced simultaneously. Within the division are core and affiliated faculty who specialize in either statistical-inferential or qualitative-interpretive methods of social and educational research, and a multiple-methods approach is emphasized to more effectively deal with the complex dimensions of social science research. As a faculty we are interested in the multiple ways one comes to knowledge about educational questions, in the development of a reflective cast of mind about research, and in the ways one might most effectively represent that research in writing.

The methodological training provided within the SRM division prepares students to contribute to inquiry across the range of problems, processes, and practices that are central to education and related disciplines. The division offers a wide range of foundational, intermediate, and advanced courses in statistics, quantitative and qualitative methods, policy methods, philosophical issues in inquiry, and writing. These courses are taken by SRM students and by students in other GSE&IS divisions, as well as graduate programs in other schools and departments at UCLA.

SRM students are primarily interested in methodology as an area of research, with a particular focus on educational issues, which is gained through relevant research projects and elective coursework in other divisions. Alternatively, students with primary interests in specific disciplines (e.g., psychology, sociology), levels of the educational system (e.g., higher education), or features of educational practice (e.g., curriculum, teaching, administration) should enroll in the division offering the training in their substantive areas of interests—although they will fulfill their research methods requirements through coursework in the SRM division.

Students pursuing a Ph.D. in SRM take courses in research design, statistics, measurement, evaluation, economics, naturalistic observation, and other qualitative methodologies. Each student's program is individually arranged according to his or her particular needs and interests. Instruction is primarily through coursework and seminars, apprenticeships, and mentoring. Students are expected and encouraged to engage in research throughout the program, and a variety of research assistantships are available to do so. SRM students' dissertations grow out of the integration of their own research and that of the faculty. The dissertations typically involve topics such as:

• Study of instructional interventions, programs, and school reform efforts through quantitative or qualitative methods.
• Development, refinement, application, and comparison of statistical models and procedures.
• Development, refinement, application, and comparison of psychometric models and procedures.
• Development, refinement, application, and comparison of qualitative data analysis techniques and
procedures.
• Design, application, and analysis of evaluation procedures.

Students who have received their doctorates through SRM have been placed quickly at universities including: UC Berkeley, Northwestern University, UCLA, Stanford University, UC Riverside, California State University, Portland State University, Indiana University, University of Colorado, University of Delaware, University of Newcastle, University of Florida, University of Hawaii. Other students hold research or consultant positions at research organizations and agencies, such as the American Council on Education, American Institutes of Research, Association of American Medical Colleges, RAND Corporation, Centers for Disease Control, Educational Testing Service, and Stanford Research Institute.

Student Admissions

Students for the Ph.D. degree are recruited primarily from undergraduate and masters programs in the social and behavioral sciences. Special solicitations are made to the chairs of departments in social and behavioral sciences (plus mathematics) throughout the California State University System and to other California colleges and universities. Division brochures are also distributed selectively to professional colleagues in universities and testing and research centers throughout the country.

The SRM faculty reviews all applications for admission to the division. A list of admission candidates is prepared, and each member of the faculty provides individual judgments about the admissibility of each candidate. When a clear positive or negative decision is indicated in the faculty response, the division chair notifies the Office of Student Services of the decision. Cases that receive a mixed vote are considered at division meetings where the final decision is made. Students who meet divisional requirements and whose application indicates that they have both the prior preparation for and the appropriate interests and career objectives in the program are admitted. In some cases, applicants who meet admission requirements are recommended to other divisions whose training programs more clearly fit their interests and career objectives.

The M.A. & Ph.D. Degree Programs

Admission is granted on a competitive basis. The minimal requirements for admission are:
• The currently specified requirements of the Graduate Division of UCLA.
• A minimum grade point average of 3.0 for all upper-division undergraduate and graduate academic work.
• A Graduate Record Examination (GRE) combined Verbal and Quantitative score of at least 1000; on rare occasions compensating factors are considered.
• A primary career interest in research and teaching in institutions of higher education, working in student affairs and college leadership, or working in a research or policy institute.

As implied by the descriptions of the two types of Ph.D. programs offered, there are specific expectations about the backgrounds and skills of students who choose to study in each area. For instance, applications to the Ph.D. emphasis in Advanced Quantitative Methods are examined more closely for the level of prior training in mathematics, statistics, and the GRE Quantitative scores.
Advising

Upon admission to the program, students are assigned a faculty advisor. This is largely determined by matching the research interests of each student with those of a faculty member. The advisor may serve as an academic counselor, information resource, or otherwise assist the student's progress through the program. The primary responsibilities of the faculty advisor are to approve the student's academic program, to advise students on particular courses of study, and, along with the student, to initiate any petitions for change in degree status or program. At any time, students may change advisors without reprisals. If a student wishes to change advisors, s/he should consult both faculty members before undertaking such action and then should inform the Division Head and the Office of Student Services (OSS) of the change.

The faculty urges students to schedule a meeting with their advisor at least once a quarter. Students at the dissertation phase will have the need for more regular contact and should plan accordingly. It should be noted that the dissertation chair may or may not be the same person as the academic advisor. The dissertation advisor works closely with the student through all phases of the dissertation process and chairs the student's doctoral committee.

All GSE&IS faculty are on a nine-month contract. This essentially means that during the summer months faculty members are conducting research and are not necessarily available to advise students during this time.

Program Planning

In planning your program of study for the M.A. or Ph.D. degrees, you should:

- Become familiar with the SRM division's requirements in this document.
- Read the UCLA Graduate School of Education and Information Studies Handbook of Graduate Student Policies and Procedures for further information on degree requirements and course descriptions. The handbook is included in the registration packet or may be obtained from the Office of Student Services (OSS), 1009 Moore Hall.
- Prepare a preliminary program plan that meets your particular interests as well as the departmental and divisional requirements. Meet with your faculty advisor to discuss your proposed plan of study. It is your responsibility to meet with your faculty advisor as early in the school year as possible.
- If for any reason you do not have an advisor, see the SRM Division Head immediately.

M.A. Degree Course Requirements

The Department of Education requires M.A. students to take a minimum of nine upper-division and graduate courses (36 units) to be completed while in graduate standing. Students select courses in consultation with their advisors. However, six courses (24 units) must be taken in the Education 200/500 series. No more than two 500-series courses (8 units) may be applied to the SRM divisional course minimum or toward the graduate course minimum.

1. SRM Core Courses (4 courses):
   - ED 230A Introduction to Research Design & Statistics
   - ED 230B Linear Statistical Models I: Regression
• ED 230C  Linear Statistical Models II: Experimental Design
• ED 299A  Research Practicum: Education

2. Five of the following within division courses:
   • ED 200B  Survey Research Methods in Education
   • ED 202  Evaluation Theory
   • ED 211A  Educational and Psychological Measurement:
   • ED 211B  Generalizability Theory
   • ED 211C  Item Response Theory
   • ED 222A  Introduction to Qualitative Methods and Design
   • ED 222B  Participant-Observation Field Methods
   • ED 222C  Qualitative Data Reduction & Analysis
   • ED 222D  Qualitative Inquiry: Special Topics
   • ED 226  Special Topics in Educational Writing
   • ED M231B  Factor Analysis
   • ED 231D  Multilevel Analysis
   • ED 233  Professional Writing in Education
   • ED 255  (Multiple Courses – See Listings)
   • ED 411  Evaluation Procedures
   • NON SRM  With an approval from the advisor, elective courses may be taken outside SRM.

3. Students are also expected to participate in a number of labs and computer workshops associated to individual courses to enhance their current skills.

4. Transfer Course Credit:
   Upon advisor approval, equivalent courses successfully completed at a comparable or approved institution may count towards 230 series course requirement. However, students are not allowed to transfer course credit taken at other institutions toward the M.A. degree. To be awarded the MA degree, 36 course units must be completed at UCLA.

Ph.D. Degree Course Requirements

The Department of Education requires Ph.D. students to take a minimum of nineteen courses, ten of which must be 200-level courses, three research method courses, and three cognate courses. Students who have already taken the equivalent of one or more of these courses may petition the division to substitute these requirements with other SRM courses.

1. Required SRM Core (13 Courses):
   • Three basic quantitative methods courses (ED 230A, B, C).
   • One qualitative methods course (ED 222A, case study methods, or special topics.) Students choosing an emphasis in qualitative methods must take ED 222A, 222B, 222C, and at least one 222D course.
   • One course in Philosophical Foundations of Research (ED 243).
   • One course in professional writing (ED 233 or ED 226).
   • Three practicum research courses (ED 299A-C).
   • One course in measurement (ED 211A-C, ED 255, or PSY255). Students choosing an
emphasis in qualitative methods may substitute this requirement with a course from another area (e.g. evaluation) with approval from their advisor.

- Three cognate courses (graduate or upper-division undergraduate courses from any degree-granting department outside Education).

2. Electives (6 courses):
   - A minimum of six courses in areas of SRM emphasis: Quantitative Methods (231A-F, 255, 200B), Qualitative Methods (222B-D), Measurement (211B-C), or Evaluation (202, 411). With approval from the advisor, these courses can be taken in other divisions within GSE&IS or other departments on campus.
   - Students are strongly encouraged to also participate in a Research Apprenticeship Course (RAC) for at least one full year. Note that all RAC courses combined only count towards one course requirement.

Additional Information About Ph.D. Course Requirements

- The 299 Course Sequence:
The 299 sequence provides initial exposure to students to scientific inquiry and methodology as well as the concepts of evidence, inference, and causation in the social sciences and education research. Overall, the readings, discussions, and writing assignments are intended to help students learn to think as methodologists (as opposed to just learning methods). In addition, the courses introduce students to the work and research interests of SRM faculty and fellow students.

The A and B sections of 299 meet in the fall and winter quarters during the student's first year in the program. In their second year, students enroll in 299C in winter. The course focuses on helping the student write and complete their 299 project. Students must reenroll (for credit) in 299C until their 299 project has been completed and approved.

- The 299 Project:
During their first two years in the program, students work in consultation with one faculty member of their choice to produce an original research piece of publishable quality. Typically students will select a topic after completing 299B (but before enrolling in 299C) and then work on their project throughout their 2nd year in the program. The project is typically not completed by the end of 299C, but it must be completed before the Qualifying Examination can be taken (typically during the student’s 3rd year in the program).

The 299 project is an important component of SRM training intended to give students experience in carrying out a research project from conceptualization to completion. However, the project does not have the scope or depth of a doctoral dissertation, nor is it intended necessarily as the precursor to the dissertation. While some 299 projects are eventually expanded into dissertations, in many instances this is not the case, as each student’s research interests may naturally shift (often substantially) by the time the project is completed.
• **Cognate:**
The cognate provides additional coursework in an area of interest to students in preparation for dissertation work. The student selects three graduate or upper-division undergraduate courses from other disciplines and departments. The cognate courses must represent a coherent program and have the signed approval of the advisor, Division Head, and the Office of Student Services. Typical cognate areas are statistics, psychology, anthropology, economics, political science, psychology, sociology, management, or public policy.

• **Taking courses outside Education:**
Students may sometimes have difficulty enrolling in courses outside the Department of Education. Departments may give preference for enrollment in high demand courses to their own students, and in some cases, outside students lack the required prerequisites for taking a specific course. Thus, students cannot assume that they will automatically get a PTE number to enroll in the class of their choosing; however, students can take steps to increase their chances of being able to enroll in a class.

  • It is critical to always plan your coursework in advance with your advisor, particularly in the case of outside courses. Your advisor may know the course professor or others in that department.
  • Do not send one-line requests for a PTE number to professors in other departments. Explain what program you come from, who your advisor is, your relevant background and training, and why you intend to take the course. If it is a cognate course, describe the cognate and how the class fits with your research interests.
  • If you are turned down, contact your advisor immediately. An email directly from your advisor can sometimes help. In some cases, SRM has agreements with departments that send students to our classes, and we can ask them to honor their end of the bargain.
  • Report positive or negative experiences with specific courses or faculty in other departments to your advisor and the Division AA. The SRM Student Representatives Committee maintains a page with information about outside courses.
Examinations

While students receive feedback and grades for their work in individual classes, the Graduate Division of UCLA, the Department of Education, and SRM considers it important to assess the overall academic progress of each student at key points before allowing them to move forward in the program. Exam procedures have been developed to serve this function. The SRM Division conducts four types of examinations: the Annual Performance Review, the Master's Comprehensive Examination, the Doctoral Screening Examination, and the Qualifying Examination.

Masters' students must either take the Master's Comprehensive Examination or write a thesis upon completion of all coursework. Doctoral students who enter the Ph.D. program without an Master’s degree must take the Doctoral Screening Examination in the spring of their first academic year. Ph.D. students who are interested in obtaining their master's degree while in the doctoral program must get approval from the faculty advisor and Division Head.

• If a doctoral student has completed or is enrolled in his/her 9th course, then the Doctoral Screening Examination (DSE) will also serve as the Master's Comprehensive Exam.
• In order to receive a Master's degree, the student must pass the DSE and fill out an Advance to Candidacy form when applying for the DSE exam.

All exams are administered twice a year, in the Fall and Spring quarters. The exams are 3 days (M.A.) or 4 days (Ph.D.) over a weekend (OSS distributes exams on a Thursday or Friday morning and collects them the following Monday morning). Students must apply to take the Master Comprehensive, Doctoral Screening, or Doctoral Written Qualifying Exams. Application materials are available in OSS and must be returned to OSS by the exam application deadline. Check with OSS for current deadlines.

Annual Performance Review

Each year, the faculty reviews the performance of all students in the program. Students receive a written Annual Performance Review with a brief assessment of their progress and achievements during the previous academic year and feedback and guidance for the following year as needed.

Master's Comprehensive Examination

The Master's Comprehensive exam consists of two take-home questions. Students are given 3 days (3 nights) to complete the exam; OSS distributes the exam on a Friday morning, and the responses are to be turned in the following Monday morning. Students may consult any written materials they wish but must not consult other people. The comprehensive examination is concerned with central topics in research methodology and the field of emphasis. Questions are comprehensive in nature and are designed to measure the breadth and depth of knowledge, as well as the ability to focus that knowledge on specific problems. The specific questions are based on the particular set of courses the student took.

Grading

Students may be "passed," "passed with honors," or "failed" on this examination. Students who fail this exam will be given a second opportunity to take the exam at the discretion of the student's advisor, and a third opportunity will be given upon a two-thirds majority of all SRM faculty members. No fourth-sitting for the exam is permitted.
Master's Thesis

In lieu of the Master's Comprehensive exam, SRM students may elect to complete their M.A. degree by completing a Master's thesis. The thesis is a report of the results of an original investigation. Before beginning work on the thesis, the student must obtain approval of the subject and general plan from the Department of Education Chair and the thesis committee chair.

A thesis committee of at least three faculty members must be formed and a Petition for Advancement to Candidacy for the M.A. must be filed with the Office of Student Services no later than one quarter prior to completion of course requirements for the degree.

The thesis advisor and the Graduate Division publication, Regulations for Thesis and Dissertation Preparation, provide guidance in the final preparation of the manuscript. The department does not require a formal examination in connection with the thesis plan.

Doctoral Screening Examination

Students entering the Ph.D. program without an M.A. degree must take a Doctoral Screening exam, usually after they have completed one year in the program (9 courses). As with the Master’s Comprehensive Exam, the Doctoral Screening Exam is a three-day exam. OSS distributes the exam on a Friday morning, and the responses are due the following Monday morning. Students may consult any written materials they wish but must not consult other people. The exam is tailored to the program of individual students. Passing the Doctoral Screening exam automatically qualifies students to complete the rest of their coursework for the Ph.D. program.

Exam Format

Part I: Analysis and Reporting of a Database or Manuscript Review
Students are provided a database with documentation and asked to conduct an analysis designed to respond to a specific set of questions and issues, which the data might address. Alternatively, a student may be given a manuscript to critique.

Part II: Design (Core SRM Training)
Students are presented with materials summarizing a current issue facing the field of education and are asked to address or explore the issue from a methodological perspective. Students are expected to bring material covered in core courses to bear on this issue, including design, quantitative data analysis, qualitative data analysis, measurement, and basic issues in research methodology.

Grading

In the first sitting for this examination, students may receive a "doctoral pass," "doctoral pass with honors," or "fail." Doctoral students must pass the examination to continue in the Ph.D. program. Students who received a failing grade will be given one further opportunity to retake the exam and pass. A third opportunity to take the exam is possible upon a two-thirds majority vote of all divisional faculty members. No fourth sitting for the examination is permitted. Students who fail the Doctoral Screening exam, but who have been allowed to retake the exam, must do so at the next sitting.
Doctoral Qualifying Examination

The Doctoral Qualifying exam is taken after all coursework is completed (or during the quarter in which coursework will be finished) and after the 299 project has been completed and presented. It can take the form of a four-part take-home examination, plus an oral exam scheduled within the first two weeks following the written examination. Alternatively, students can submit two qualifying papers of publishable quality to meet this requirement.

Written Exam Procedure: Topical Statements for Reading Lists

1. Two months prior to the date of the comprehensive exams, students must obtain the "Approval of Topics and Reading Lists for Doctoral Written Qualifying Exam" form from the SRM Administrative Assistant. The student’s advisor and any additional faculty members involved in generating the reading list must sign the form.
   - Students submit one or more topical statements to each of the faculty involved with the reading list. The statement(s) define the scope and depth of an area of inquiry. The statement is reviewed and revised with regard to the supervising faculty members' input.
   - On the basis of the revised statement(s), students generate a reading list of core knowledge in the area. This list is also reviewed and revised.
   - Each faculty member must approve the topical description and reading list for the student’s topic, and the student's advisor should review all topical descriptions and reading lists to avoid undue overlap or gaps.

2. The signed form must be turned in to the SRM Administrative Assistant one month before the date of the exam.

3. Part IV of the Doctoral Written Qualifying Exam will be linked to the topical description(s) and readings.

Written Exam Format

The take-home written examination is organized in four sections. Each section may have more than one question, but students are to choose only one question per section. The 4 questions are to be answered in no more than 20 single-spaced pages total, with a recommended length of 5 pages per question (excluding references). The exam scheduled for 4 days (4 nights); OSS distributes the exam on a Thursday morning, and the responses are to be turned in the following Monday morning. While completing the exam, students are allowed to consult any written material they wish, including course notes and assignments, textbooks, and published reports; students are not allowed to consult with other students or faculty (or anyone else). When they submit their answers, students sign a statement that they did not collaborate or communicate with anyone regarding the substance of the exam during the examination period.

Part I: Critique of Manuscript Submitted for Publication

Students are provided a manuscript, or a choice between two manuscripts, and requested to prepare a critique. The context for the critique is either as a reviewer for a journal considering the manuscript for publication or, alternatively, as a researcher considering whether the design, analysis, and interpretations from the article are sound and warranted as well as how they might have been done otherwise.

Part II: Analysis and Reporting of a Database

Students can select either a quantitative or qualitative database. Those selecting the quantitative option are provided a database with documentation and asked to conduct an analysis designed to
respond to a specific set of questions and issues, which the data might address. Students selecting the qualitative option may be provided with a qualitative dataset or use one they have collected. They will be asked to generate two or three competing lines of interpretation for the data – differing assertions – and to show how one of these is best warranted by the data.

Part III: Design (Core SRM Training)

Students are presented with materials summarizing a current issue facing the field of education and are asked to address or explore the issue from a methodological perspective. Students are expected to bring material covered in core courses to bear on this issue, including design, quantitative data analysis, qualitative data analysis, measurement, and basic issues in research methodology.

Part IV: Questions Based on Students’ Individual Reading Lists

This section provides two questions constructed from the approved reading lists and tailored to each student's background and training. Students select one question to answer.

Oral Examination Format

The length of the oral exam is 30-45 minutes and is conducted by two to three SRM faculty (including the student's advisor). The exam covers student training and deals with specific questions and concerns raised by student performance on the written portion of the examination. Faculty may ask more general questions to determine student ability to provide articulate and reasoned discussion of points and issues pertinent to their training.

Grading

Students may receive grades of "pass," "pass with honors," or "fail" on this examination. The recommendation regarding student performance is based on the whole examination, both written and oral portions. Students who fail this examination will be given a second opportunity to take the exam and a third opportunity upon a two-thirds majority vote of all divisional faculty members. No fourth sitting for the exam is permitted. Students who fail the Doctoral Written Qualifying exam but who have been allowed to retake it must do so at the next scheduled sitting.

Doctoral Qualifying Papers

Ph.D. students have the option of submitting two qualifying papers in place of taking the qualifying exam. Qualifying papers allow for an in-depth assessment of core and specialized division knowledge, while providing valuable training and experience in the production of research, thus helping to build the student’s professional record. Students submit two sole-authored papers by the date scheduled for the qualifying exams. (NOTE: It is expected that most students will complete the Doctoral Qualifying Written Exam. The Qualifying Paper route is intended as an exceptional alternative for students who have already produced two substantial pieces of work through prior engagement in research.)
Procedure: Topical Statements for Qualifying Papers

1. When the exam application becomes available through the Office of Student Services, students must obtain the "Approval of Doctoral Qualifying Papers" form from the SRM Administrative Assistant or Student Affairs Officer.
   - Students provide a brief topical statement describing the work to be submitted and the intended audience for each paper. In addition, the student provides a list of possible journals each paper could be submitted to.
   - The student’s advisor and any additional faculty members involved in the work leading to the qualifying papers must sign the form to indicate that the work is ready to be submitted as a qualifying paper (i.e., the paper cannot be in “draft” form).

2. The signed form must be turned in to the SRM Administrative Assistant along with the exam application by the deadline, which is generally one month prior to the date of the exam. Please check with the Office of Student Services for all exam dates and deadlines.

The Qualifying Papers will be evaluated by at least two members of the SRM faculty familiar with the student’s work (typically including the student’s advisor). As with exams, the Qualifying Papers also involve an oral component where students will be prompted to discuss details of their work. If the work presented is part of a collaborative effort, students will be asked to describe their role leading to sole authorship. While the student may or may not have been involved in the original conceptualization of the study, sole authorship of the piece presented implies a substantial or leading role in the methodological and developmental phase, a leading role in the analytic phase work, and a leading responsibility for writing the final piece submitted.

Grading

After the oral component, students will be assigned a “pass with honors”, “pass”, or “fail” grade. A “pass” grade indicates that the readers consider that the Qualifying Papers could be submitted for publication to relevant journals with a realistic chance of being published and that the student has demonstrated in-depth knowledge of the material during the oral phase. A journal, for the purposes of this assignment, is defined as an established academic outlet that evaluates submissions under blind peer review. While submitting papers for publication in a journal is not a formal requirement of the exam, students are strongly encouraged to do so in close consultation with their advisor (papers submitted for publication may involve additional authors to reflect collaborative efforts as appropriate; however, in each piece the student should be listed as first or lead author). Papers already published in peer-reviewed journals can be submitted as qualifying papers provided they reflect work conducted after the student enrolled in the program.

At the discretion of the faculty readers, papers assigned a “fail” grade may be resubmitted in the next scheduled seating in the Fall or Spring quarter, or the student may decide to take the Doctoral Qualifying Exam at that time. Students may be offered a third and final attempt to satisfy the requirement with the approval of a two-thirds majority of all divisional faculty.
Dissertation

Defining the Dissertation

According to the Department of Education Handbook (page 8): The dissertation, required by every candidate for the Ph.D. degree, must embody the results of the student's independent investigation, must contribute to the body of theoretical knowledge in education, and must draw on interrelations of education and the cognate(s) discipline(s).

The dissertation may be quantitative, qualitative, theoretical, or a principled mix of methods. The time to complete the dissertation varies depending largely on the topic, the methodology, the student, and the faculty members helping the student.

Choosing a Dissertation Committee

According to the Handbook of Graduate Student Policies and Procedures for the Department of Education (page 8): The Doctoral Committee is formed subsequent to the successful completion of the Doctoral Qualifying Examination. For the Ph.D. degree, the committee consists of three members from the Department of Education and one member from a department other than Education [for a total of four members]. The committee, nominated by the Department of Education and appointed by the Dean of the Graduate Division, conducts all the Oral Examinations for the dissertation study.

Upon completion of coursework, the student will be asked to prepare a dissertation proposal and name a committee to oversee the preparation of the dissertation. The student should be thinking about potential committee members while pursuing coursework. To help choose the chair and other committee members, students should talk with their faculty advisor and other students. Once the student has identified the committee chair, s/he should work with the chair to identify other potential members.

Prior to the student submitting the petition for dissertation committee members (the form is obtained in OSS), the student should consider what s/he wants from the committee, especially the chair. The dissertation chair is crucial because s/he will set the tone and direction for the rest of the dissertation process. Furthermore, the chair is the committee member the student meets with most often for shaping and structuring the study. Finally, the dissertation chair also becomes the student's advocate during the preliminary and final orals. The chair does not have to be the student's academic advisor, although many students ask their advisors to be the chair of their dissertation committee.

According to the current version of the Graduate Division Standards and Procedures for Graduate Study at UCLA (make sure that this is obtained from the Graduate Division Office in Murphy Hall as soon as the student is notified of passing the Written Qualifying Exam), the following rules apply to every doctoral committee membership:

1. A minimum of four UCLA faculty members of the following academic ranks:
   • Professor (any rank)
   • Professor or Associate Professor Emeritus
   • Professor-in-Residence (any rank)
   • Acting Professor or Acting Associate Professor

2. Adjunct Professors may serve as one of the four committee members and/or as co-chair on Ed.D. doctoral committees.
3. Three of the four committee members must hold appointments at UCLA in the students’ major department: Education. *Note: The department is the entire Department of Education, not just the Social Research Methodology Division.*

4. One of the four committee members must hold an appointment at UCLA in a department outside the student’s major department. This committee member becomes known as the ”outside committee member." Information Studies faculty in GSE&IS may serve as outside members.

5. Two of the four dissertation committee members must hold the rank of Professor or Associate Professor (regular or In-Residence series).

6. The chair of the dissertation committee must hold a UCLA appointment in the student's major department or interdepartmental degree program as Professor (any rank, regular or In-Residence series) or Professor/Associate Professor Emeritus. If a committee has co-chairs, at least one must be from the student's major department or interdepartmental degree program at UCLA.

7. Additional members (beyond four) may be nominated and, if approved, have the same voting rights and responsibilities as other committee members.

8. Those holding titles indicated in 1) above, as well as Adjunct Professors, Adjunct Associate Professors, Visiting Professors, and Visiting Associate Professors may serve as an additional member and co-chair of the committee.

9. By petition, one of the minimum four members may be a faculty member from another UC campus who holds an appropriate appointment as listed above.

Once the committee is agreed upon, the student must submit a form to OSS to nominate the members. That form must be approved by the Department of Education, and the committee members are ultimately appointed by the Dean of the Graduate Division. This process should be completed as soon as possible in order to have the committee formally approved before the preliminary orals occur.

**Developing the Dissertation Proposal**

Students should work closely with the dissertation committee chair in developing the dissertation proposal, since this is the individual who will be in the best position to ensure that the student satisfactorily defends the proposal. Also, the University Guidelines for the dissertation and the booklet "Regulations for Thesis and Dissertation Preparation" (obtained at the Graduate Division Office in Murphy Hall) should be regularly consulted. These sources will help with timelines/deadlines for filing, requirements for manuscripts, and other requirements. Another source for guidance is other students' dissertation proposals. Ask the dissertation chair for examples of dissertations (and/or proposals) that s/he feels will help with a particular study.

The dissertation proposal commonly contains three chapters. Chapter One is the introduction to the study and commonly consists of the statement of the problem, the background of the study, the purpose of the study, and the significance of the study. Chapter Two is the literature review where relevant scholarly work is summarized and analyzed. Chapter Three is the methodology portion of the dissertation where research questions, data source(s), and method of analysis (analyses) are set forth in detail. Dissertation proposals do not have to follow this format if the dissertation chair approves.
The University Oral Qualifying Examination

The University Oral Qualifying Examination is more commonly referred to as "The Preliminary Oral Examination" or "orals." There are two requirements before the preliminary oral exam can commence. First, the student's dissertation committee must have been appointed. Second, the student's proposal must be approved by the dissertation chair to proceed to the preliminary orals. The student should contact the dissertation chair and the individual committee members as soon as possible to schedule a date and then contact OSS to reserve the time, date, and room. If an overhead projector or other equipment is required, contact the Educational Technology Unit (ETU) on the third floor of Moore Hall. This examination is open only to the committee and the student.

When the student satisfactorily completes the preliminary oral defense, the student petitions the Graduate Division to “advance to candidacy” and begins to execute the proposed study. If the student does not pass the qualifying orals, they may be repeated once upon a majority vote of the committee. The purpose of the preliminary oral examination is to have the entire committee approve of the student's proposed dissertation study and to provide feedback as to how to execute it. The dissertation committee will also use this opportunity to question the student about any of the materials contained within the proposal and make suggestions regarding the proposal.

Human Subjects Approval

The student must ascertain if their study needs to be approved by the Office of the Human Research Protection Program (OHRPP). Studies that involve actual experimentation on subjects or direct contact with children and other protected groups are very strictly regulated. Projects that involve analysis of subjects or data without direct contact, tests, or procedures may be eligible for a waiver (contingent upon submission of a summary of the dissertation proposal signed by the dissertation chair). Detailed information on regulations and procedures can be found at http://ohrpp.research.ucla.edu/. The OHRPP offers weekly information and consulting sessions in Moore Hall for students preparing submissions. For locations and times, or to request an appointment, call (310) 825-7122 or email GCIRB@research.ucla.edu.

Conducting the Dissertation Study

Once the student advances to candidacy, a seemingly unstructured phase of dissertation work begins. Students no longer have to attend classes or make presentations; instead, the student and the dissertation chair structure the work so that the student makes progress on the dissertation, completing it in manageable segments until a final document is produced. This is a time where work with the dissertation chair becomes crucial; one of the benefits of working closely with the dissertation chair is avoiding the awkward position of being asked to revise large segments of what the student believes to be a finished product. A finished product is determined by the dissertation chair.

During the dissertation phase, the student collects data, analyzes the data, writes the results and discussion of the data, and finally provides recommendations based on the data. Students should be aware that when they complete a chapter (or chapters) of the dissertation they should expect that the chair will need sufficient time to read, review, and suggest changes to each chapter. Often, the three chapters that were written for the dissertation proposal become the first three chapters of the dissertation, with appropriate revisions made. The next section is the data presentation and discussion of the results. Sometimes it is more logical to have the presentation of the results and the discussion of the results separated into two or more different chapters. The final section of the dissertation is the conclusion, where a summary of the methods and results, recommendations, limitations, and biases of the study are presented, and finally, the significance of the study and suggestions for future research. The outline of chapters listed here is meant to be helpful, not to constrain students or their advisors who wish to organize the dissertation differently.
Students should recognize that it is their responsibility to maintain periodic communication with the dissertation committee in order to keep them informed of the progress of the dissertation and to solicit feedback. It is not the committee members' responsibility to seek out the student; therefore, the student must take the initiative to keep the committee informed in order to avoid potential problems.

A dissertation chair will not normally let a student enter into final orals without feeling that the dissertation is ready for approval by the committee. After the chair has approved the final draft of the dissertation, it is standard to distribute it to other committee members at least two weeks in advance of oral exam date.

**Example Dissertation Topics**

- *Developing Indicators of Educational Equality* (Gretchen W. Guiton)
- *An Alternative Method for Variance Component Estimation: Application to Generalizability Theory* (George A. Marcoulides)
- *Toward an Equitable NAEP for English Language Learners: What Contextual Factors affect Math Performance?* (Carolyn Hofstetter)
- *The Estimation of Variance Components for Dichotomous Dependent Variables: Applications to Test Theory* (Linda Cullian)
- *Latent Variable Modeling in the 3-Level Hierarchical Modeling Framework: A Fully Bayesian Approach* (Kilchan Choi)
- *Finite Mixture Modeling of Non-Compliance in Intervention Studies: Multivariate Models with Mediators* (Booil Jo)
- *Evaluator Contextual Responsiveness* (Tarek Azam)

**Final Oral Dissertation Examination**

The final oral dissertation examination is also known as "the final orals." It is the norm within the SRM Division to have a final oral examination, although the decision as to whether one is required is at the discretion of the committee. Although not typical in SRM, a "Reading Committee," made up of the outside committee member, the dissertation chair, and one other committee member, may review the final draft of the dissertation and certify that it is ready to be filed.

A final oral is open to the student and the dissertation committee. However, at the discretion of the student, the chair, and the other committee members, a portion of the oral may be opened to other interested researchers. The purpose of a final oral exam is for the entire dissertation committee to approve the dissertation, suggest changes, and provide feedback regarding how to publish the work.

When the student passes the final orals, some changes are usually required by the dissertation committee. Once the manuscript is in compliance with the wishes of the committee, the student must file the dissertation with the University (see guidelines in the Graduate Division's booklet, "Regulations for Thesis and Dissertation Preparation"). This process includes tailoring the manuscript to fit the strict University regulations, filing paperwork with the Graduate Division, and filing paperwork and a completed manuscript with the University Library (located on the third floor of Powell Library). To be sure of what is entailed, the student should contact the Graduate Division and visit the librarian in charge of filing with a draft of his/her manuscript. Also, the student must be fully aware of the filing deadlines each quarter to avoid any potential problems.

When all this is completed, the student is granted a Ph.D. degree and has full rights and responsibilities awarded to them at the time of filing and, more formally, at the graduation ceremony.
Additional Policies and Resources

- **CDAS:**
  The Department of Education’s Committee on Degrees and Academic Standards (CDAS) sets all departmental policy (leaves of absence, minimum degree requirements, etc.). CDAS also reviews all SRM policies and is the body that should be consulted if a student feels that any particular SRM policy is unfair and would like recourse.

- **Communication:**
  The official means of communication within SRM is e-mail. All SRM students are expected to have an e-mail address, and a UCLA address will be provided for students. Students are responsible for updating their addresses, phone numbers, and e-mail addresses with SRM, OSS, and the University whenever there is a change of information.

- **Finances/Fellowships:**
  SRM students are typically full-time on campus with part-time teaching or research assistantships that cover education fees and provide a monthly salary. Teaching assistantships for SRM courses are assigned each year by the SRM faculty. The division monitors research assistantship availability and tries to assist in placing students in these positions; however, there are generally more positions available than there are SRM students. Individual faculty members are also a resource in finding appropriate research positions. Students are responsible for planning ahead of time for fellowships and research and teaching assistantships in order to avoid gaps in funding.

  Special fellowships are coordinated through the Office of Student Services, and involve a separate application process. Students wishing fellowship support must apply for it each year (with the exception of multi-year fellowships like Spencer or Cota-Robles). Special fellowships require students to be engaged in research with faculty full-time. Spencer fellowship recipients should be engaged in research with faculty for years 1 to 3 of the program. Cota-Robles fellowship recipients should be engaged in research with faculty for at least years 2 and 3. Students with IES AQM fellowships are expected to be engaged full-time in research with faculty during their fellowship (up to four years).

- **Funding Limits:**
  Students may not hold teaching and/or research appointments over 49% time during the school year (in the summer students may increase research appointments up to 100% time). Exceptions to this policy must be requested on a quarterly basis and require approval from both the student’s advisor and the department chair. Exceptions are rare and typically granted only as students come close to completing their degrees, when a project and the student would benefit from an increased percentage and the increase does not negatively impact funding or opportunities for other students.

- **Leave of Absence:**
  SRM is governed by the Department of Education's policy on Leaves of Absence. Please see the Department of Education Handbook for the current departmental policy.

- **Policy Changes:**
  All changes to SRM policies will go into effect in the next academic year so that students have adequate notice.
• **Re-admission to the Program:**

Students who drop out of a SRM degree program must re-apply to through the Office of Student Services. SRM will consider re-admission individually by reviewing and assessing the student’s record and the plans for moving forward in the program. Students who dropped out before their dissertation proposal is approved need to show that there are SRM faculty willing to serve as chair and members of the dissertation committee. Students who dropped out after their proposal was approved may be re-admitted provided the student left in good standing, the original committee members are still willing to serve, and they intend to file their dissertation during the same quarter they are re-admitted. Alternatively, SRM will consider re-admission if the original committee members are not available or willing to serve but the student can find substitute committee members.

• **Reduced Fees for PhD Candidates:**

Students who advance to candidacy may qualify for a reduction in fees. However, students must apply for a fee reduction individually and approval is not automatic. Contact OSS for more information.

• **SRM Ph.D. Office and Library:**

The SRM Ph.D. office is located in the Math Sciences building, room 8150, across from Moore Hall. The office is equipped with chairs, tables, two PCs, and a laser jet printer. Both computers have Microsoft Office Suite and Internet access, and one is loaded with statistical software (SAS, SPSS, HLM, Lisrel, R, Stata, etc.). Students may obtain a key to the office from Support Services in Moore Hall A036 (a one-time $20 fee is required). Please note that this office is to be used by AQM researchers only.

The AQM program has started to purchase reference books on quantitative methods to be used by graduate students. A few dozen books are currently available but the library is expected to increase quickly to a few hundred volumes, including titles in evaluation and qualitative methods. Visit the SRM website for an updated list of books. To borrow a book, please contact Matthew Palmer at palmer@gseis.ucla.edu.

• **Student Representatives Committee:**

The student-run committee seeks to promote the interests and improve the quality of the graduate educational experience for students in SRM. It represents SRM students in several campus organizations, including the Graduate Students Association in Education (GSAE) and the UCLA Graduate Students Association (GSA). Members attend SRM faculty meetings to give students a voice in issues and decisions of relevance to their studies and progress in the program. Finally, we organize and sponsor a variety of social events and activities to promote a strong peer-to-peer network and sense of community within SRM. For more details about the committee, visit the “Current Students” sections of the SRM website.
SRM Administrative Assistant

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Other GSE&IS Divisions/Units

- CRESST: Center for Research on Evaluation Standards and Student Testing
- CSE: Center for the Study of Evaluation
- ELP: Educational Leadership Program
- ERIC: ERIC Clearinghouse for Community Colleges
- ESM: Educational Studies Minor
- ETU: Educational Technology Unit
- GSAE: Graduate Student Association in Education
- HDP: Human Development and Psychology Division
- HEOC: Higher Education and Organizational Change Division
- HERI: Higher Education Research Institute
- MSA: Master in Student Affairs Program
- OSS: Office of Student Services
- SSCE: Social Science and Comparative Education Division
- TEP: Teacher Education Program
- UCEC: University of California Educational Evaluation Center
- US: Urban Schooling Division