SOCIAL RESEARCH METHODOLOGY DIVISION

HANDBOOK

(2020-21)

DEPARTMENT OF EDUCATION

SCHOOL OF EDUCATION & INFORMATION STUDIES

UNIVERSITY OF   CALIFORNIA, LOS ANGELES

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https://gseis.ucla.edu/education/academic-programs/social-research-methodology/

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SRM Faculty

The SRM faculty are involved in various programs of widely recognized interdisciplinary research that broadens and enriches the methods used across a range of substantive areas, from classroom interaction to school accountability, out-of-school science learning, cognition and instruction, education policy, language education, biomedicine, and public health. In line with this work, a number of the faculty are 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:
- Elections to the National Academy of Education
- Election to the AERA Fellows Program and other national and international organizations
- Appointment to the National Research Council's Board of Testing and Assessment
- 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   alkin@gseis.ucla.edu
Research and theoretical interests include evaluation utilization, evaluation theory, and problems of evaluating educational programs.

Baker, Eva L.   Professor Emerita   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   lcai@ucla.edu
Research interests include psychometrics, latent variable models, item response theory, nonlinear models, and statistical computation.

Christie, Christina   Professor   tina.christie@ucla.edu
Current interests include evaluation as a method for social change, understanding factors and conditions that influence evaluation practice, and advancing frameworks for understanding evaluation models.

Garcìa-Sànchez, Inmaculada M.   Assistant Professor   igarcias@gseis.ucla.edu
Research and teaching interests include linguistic anthropology of education (focusing on the tensions between educational ideologies and actual classroom practice), immigrant education (including how immigrant children themselves make sense of learning contexts), ethnographic methods in discourse analysis, ethnomethodological and conversation analytic approaches to classroom discourse, narrative analysis, video-ethnography and video analysis of interactions.

Hansen, Mark　　　　　　Assistant Professor in Residence　　　　　　markhansen@ucla.edu
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.

Jeon, Minjeong　　　　　　Associate Professor　　　　　　mjjeon@ucla.edu
Research interests include developing and applying a variety of latent variable models, such as multilevel　models, growth models, item response models, latent class models, and structural equation models.

Marin, Ananda　　　　　　Assistant Professor　　　　　　marin@gseis.ucla.edu
Interests include participatory and video ethnographic studies of teaching, learning, and development across cultures. Knowledge and reasoning about the natural world, embodied learning, science teaching/learning, the relationship between cultural values and implicit theories of capabilities, broadening participation in STEM, Indigenous methodologies, interaction analysis, and community-based design research.

Martinez, José Felipe　　　　　　Associate Professor　　　　　　jfmtz@ucla.edu
Research interests include applications of measurement and statistics to assessment, educational policy, and program evaluation. Current projects investigate the use of electronic portfolios to assess and improve teacher instructional practices in science, and relationships among multiple measures of teacher performance.

McCarty, Teresa　　　　　　Professor　　　　　　teresa.mccarty@ucla.edu
GF Kneller Chair in Education & Anthropology. Research, teaching, and outreach include ethnographic studies of education, Indigenous education, educational language planning and policy, Indigenous or minoritized language revitalization and reclamation, and applied/educational linguistics.

Rohanna, Kristen　　　　　　Assistant Adjunct Professor　　　　　　krohanna@ucla.edu
Research interests include evaluative methods for driving change and improving problems in complex systems, the nexus among formative evaluation, improvement science, and organizational learning, and building the evaluation/improvement capacity of K-12 educators.

Rose, Mike　　　　　　Research Professor　　　　　　mrose@gseis.ucla.edu
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　　　　　　mseltzer@ucla.edu
Development and application of quantitative methods for longitudinal analysis and multilevel data analysis, especially investigations of treatment effect variation in multi-site evaluation studies. Interests also include Bayesian analysis and the use of Markov Chain Monte Carlo [MCMC] for estimating complex models.

Webb, Noreen   Professor   webb@ucla.edu
Research interests include classroom processes related to learning outcomes, small-group problem solving, achievement testing in math and science, aptitude-treatment interaction research, and generalizability theory.

Changes for 2020-21

Please note: The handbook describes the standard program requirements and procedures for MA and PhD Students in the SRM division.

Modified program requirements and procedures may be in place for the 2020-21 academic year, in light of COVID/distance learning conditions. Changes and adaptations to qualifying exams, coursework, dissertation defenses, and other requirements may be implemented according to the latest guidance from campus and official guidelines set by county and state health authorities.

Students preparing for qualifying exams, preliminary or final defenses, or other program milestone should reach out to OSS and their advisor to discuss how these changes may affect them individually.

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 research interests and expertise of the faculty are broadly grouped into three areas of emphasis: quantitative methods, qualitative methods, and applied methods and program evaluation. However, these areas do not constitute formal *tracks* of study within the program; plans of study are determined individually in accordance with student methodological and substantive interests.

The SRM Division focuses on partnering methodological innovation with practical applications. The faculty specialize in either statistical inferential, or qualitative-interpretive methods of research, and a multiple-methods approach to address the complex dimensions of research in social science and education. As a faculty, we are interested in the multiple forms of inquiry about educational questions, the development of critically reflective/reflexive habits of mind about research, and the way to effectively represent that research in writing.

SRM students are primarily interested in methodology as an area of research but typically have particular interests in specific educational areas or issues. In addition to core required courses, the program of study is individually customized to meet the students' interests and needs in consultation and with guidance from their faculty advisor(s). The division offers a wide range of foundational, intermediate, and advanced courses in research design, statistics, measurement, evaluation and policy analysis, qualitative methods, philosophical issues in inquiry, and writing. Substantive training and experience is gained through relevant research projects and elective coursework in other divisions. Additional training and mentoring available to students includes research and teaching assistantships, seminars, apprenticeships, and conferences, among others. This highly individualized program of study is designed to prepare students to contribute to inquiry across a range of methodological and substantive problems, processes, and practices central to education and related fields.

SRM students' dissertations grow out of the integration of their own research and that of the faculty, in areas such as the study of educational programs and policies through modern quantitative or qualitative methods; the development, refinement, application, or comparison of statistical or psychometric models, or qualitative data analysis techniques and procedures; or the design, application, and analysis of program evaluation procedures. A representative cross section of recent dissertation topics across these broad categories include:

-   *Multilevel Covariance Structure Analysis and Student Ratings of Instructional Practice*
-   *Evaluations as interventions: Evaluation process use of programs recipients*
-   *Navigating, Negotiating, and Nurturing: Exploring How Students' Cultural Toolkits Serve as Resources for College Persistence.*
-   *Cultures and Contexts of Data-Based Decision-Making in Schools*
-   *Measuring Student Engagement in Higher Education: A Validation Study using a unified framework.*
-   *Hierarchical Item Response Models for Cognitive Diagnosis*
-   *Tracing the Pathways of Evaluation Influence: From Theory to Practice*
-   *Investigating Measures for Inclusion in a Comprehensive Teacher Evaluation System*
-   *Talking Our Way Around Expert Caution: A Rhetorical Analysis of Value-Added Modeling in Teacher Evaluation*

SRM Graduates have been placed quickly at top 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 Maryland, University of Massachusetts, and University of Hawaii. Other students hold positions at research organizations and agencies such as the American Council on Education, American Institutes of Research, the Association of American Medical Colleges, The RAND Corporation, Centers for Disease Control, Educational Testing Service, Stanford Research Institute, and ABT Associates, among others.

Student Admissions and Advising

Admission to the SRM Division is granted on a competitive basis. Review of dossiers is holistic and takes into consideration the unique combination of strengths and background of each candidate, in relation to their specific areas of interest. However, typical qualifications of admitted Ph.D. Students include:

- The currently specified requirements of the Graduate Division of UCLA.
- GPA above 3.0 for all upper-division undergraduate and graduate courses.
- GRE combined Verbal and Quantitative score in the 310-320 range, and higher.
- A primary career interest in research and teaching in institutions of higher education, working in a research or policy institute, or in student affairs or institutional research or leadership.
- Realistic knowledge of the field and profession, and appropriate interests and career objectives aligned to those of the faculty in the program.

Upon admission to the program, students are assigned a faculty advisor. This is 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. Students are expected to be proactive in scheduling to meet with their advisor at least twice per quarter.

Students at the dissertation phase will have the need for more regular contact with their advisor and should plan accordingly. Importantly, the dissertation advisor 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.

It is important to note that all SE&IS faculty are on a nine-month contract. During the summer months faculty are typically conducting research and may not always be available to meet with students.

Program Planning

Student programs of study in the SRM program are highly individualized in accordance with student research interests and academic and professional needs. 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 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 and often in the school year as necessary and possible.** SRM faculty recommend at least 2-3 meetings each quarter. We are here to support you in being successful in your graduate program.

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. Four SRM Core Courses (6 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   MA Research Practicum: Education
   - ED 299B   MA Research Practicum: Education
   - ED 299C[1]   MA Research Practicum: Education

2. Three elective courses (Choose 3 advanced SRM courses):
   - ED 200B   Survey Research Methods in Education
   - ED 202   Evaluation Theory
   - ED 211A   Educational and Psychological Measurement Theory & Practice
   - 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

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[1] A capstone project associated to the 299 sequence is described in a later section

- • ED 222D   Qualitative Inquiry: Special Topics
- • ED 223   Procedural Issues in Evaluation
- • 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)
- • OTHER SRM   (Multiple Courses – See Listings)
- • NON SRM   With advisor approval, elective courses may be taken outside SRM.

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

4. <u>Transfer Course Credit</u>:
   Upon advisor approval, students who successfully completed equivalent courses at comparable institutions may replace 230 series course requirements with alternative courses. Students are NOT allowed to transfer course <u>credit</u> 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 19 courses, 10 of which must be 200-level courses, and three cognate courses. Students determine the final program of study individually in consultation with their advisor and other relevant faculty.

1. <u>Required SRM Core (13 Courses)</u>[2] :
   - • One basic quantitative methods courses (ED 230A).
   - • One basic qualitative methods course (ED 222A)
   - • One course in Measurement (ED 200B or ED 211A-C)
   - • One course in Program Evaluation (ED223).
   - • 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)
   - • Three cognate courses (From any degree granting department outside Education).
   - • ONE full year of RAC

2. <u>SRM Electives (6+ courses)</u>[3] :
   - • A minimum of six courses in areas of methodological emphasis, e.g.:
     - ▪ Quantitative Methods (e.g. 230B-C, 231A-F, 255)

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[2] Students with equivalent training or experience may petition to fulfill requirements with more advanced courses.
[3] With advisor approval, courses can be taken in other divisions within GSE&IS, or other departments on campus.

- Qualitative Methods (e.g. 222B-D, 255) [4]
- Measurement (e.g. 200, 211A-C, 255)
- Evaluation (e.g. 202, 223, 411)
- Students are required to participate in a Research Apprenticeship Course (RAC) for at least one full year. All RAC courses taken in the program together may be counted towards one elective course requirement.

Additional Information About Ph.D. Course Requirements

The 299 Course Sequence:
The 299 sequence provides initial exposure to scientific inquiry and methodology as well as the concepts of evidence, inference, and causation in the social sciences and education research. The readings, discussions, and writing assignments in the sequence are intended to help students learn to *think* as methodologists (as opposed to just learning to use or apply different 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 spring quarters during the student's first year in the program. In their second year, students enroll in 299C in winter; this 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 their advisor (or a different faculty member as appropriate) to produce an original research paper on a topic of their choosing. Students typically select their topic during their first year in the program, and then work on their project throughout the 2nd year. After completing 299B and before enrolling in 299C, students must submit a proposal describing their 299 project to their faculty advisor for approval. The proposal describes the research questions and methods, situates the project within a broader topic and literature in education, and lists a journal or journals being considered as primary hypothetical outlets for publication. **Students are responsible for communicating opportunely with their faculty advisors to obtain guidance and approval for the project. The advisor will consult with the SRM faculty and if appropriate sign the 299 Proposal Approval Form.** The 299 project must be completed before the Qualifying Examination can be taken (typically during Fall of Year 3 of the doctoral program, see corresponding section below).

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 is not necessarily intended as the precursor to the PhD dissertation. While some 299 projects are eventually expanded into dissertations, in many instances this is not the case, as student's research interests may shift as they advance in the program.

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[4] Students who specialize in qualitative research methodology must take ED 222A, 222B, and 222C.

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 occasionally have difficulty enrolling in courses outside the Department of Education, as 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 receive 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 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 wish 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 encourage reciprocity.
- Report positive or negative experiences with specific courses or faculty in other departments to your advisor and the Division administrative assistant. 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. Examinations for MA students comprise a Master's Comprehensive Examination or a Capstone project. Examinations for PhD students include an Annual Performance Review, Doctoral Screening Examination, and the Qualifying Examination.

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.

M.A. Examinations

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.

Master's Capstone Project

The MA Capstone Project is developed as part of students' enrollment in the ED299A-C course sequence. Support and guidance for this project will be provided throughout the 299 course sequence by the course instructor and Division Special Reader, in consultation with faculty academic advisors as needed. Students present and discuss advances and drafts of this project throughout the year.

The final capstone project is a 20 to 30 page paper addressing a problem in the education field, associated with the students' areas of specialization. The paper should include a review, synthesis, and discussion of relevant areas of the literature. It should be comprehensive in nature and reflect breadth and depth of knowledge, as well as ability to focus that knowledge on specific problems. Students will present their completed work at the end of the academic year to others in their cohort, and to other division students and faculty (details will be provided by the course instructors).

Grading

The decision for a student to take a comprehensive exam or complete a capstone project is determined by a discussion between the student, advisor, and other program faculty. Students may be "passed," "passed with honors," or "failed" on these examinations. 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 or Capstone, 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.

Ph.D Examinations

Annual PhD Performance Review

Each year, the faculty reviews the performance of all students in the program. Students first complete the department-mandated annual mentoring form and submit for discussion with their advisor at the end of the academic year. Subsequently, students receive a written Annual Performance Review from the faculty, with a brief assessment of their progress and achievements during the previous academic year and feedback and guidance for the following year as needed.

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) in the spring of their first academic year. *Ph.D. students who are admitted without a master's degree and interested in obtaining their master's degree while in the doctoral program must receive approval from the faculty advisor and Division Head.*

- If a doctoral student has completed or is enrolled in his/her 9th course, 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.

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

Part II: Research <u>Design (Core SRM Training)</u>
> Students are presented with materials summarizing a current issue in the field of education and are asked to address the issue from a methodological perspective. Students are expected to incorporate material covered in core courses in addressing this issue, including research 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 Exam

The Doctoral Qualifying exam is taken after students have successfully completed their 299 projects, and all required coursework, or during the quarter in which coursework will be finished (an exception can be granted to allow a student to take the qualifying exam if one required coursework is not offered until later in the academic year). This comprehensive exam includes a presentation of the completed 299 paper, a take-home examination, and an oral exam scheduled after the written exam.

1. 299 Paper Approval and Presentation

Students will submit a draft of their 299 paper to their faculty advisor at the end of Spring quarter of Year 2. The student and advisor will meet within 3 weeks after the draft is submitted, to discuss project advances, and any needed changes or additional work before a final draft is submitted in Fall of Year 3. NOTE: Students who are not able to submit a completed draft must submit a detailed progress report describing their advance to that point and their plan to complete the necessary work in time.

The final draft of the 299 paper will be submitted for review and approval no later than the first week of the quarter when the student plans to take the qualifying exam (typically fall quarter in Year 3). Two members of the faculty, often the advisor and one additional faculty, will review and if appropriate sign the ED299 project approval form allowing the student to take the qualifying exam. While there is no grading scale for 299 papers, the work in the paper is expected to be of a scope and quality such that the manuscript could be a legitimate submission to the targeted peer-reviewed journal in the field. A legitimate submission is one the faculty reviewers consider would not be desk-rejected if they were editors of the journal.

Students will offer a formal oral presentation of their 299 paper to the SRM community. This is typically a 20-30 minute presentation in the format of an extended conference paper. It will take place during a specially designated division brownbag, a meeting of the 299 seminar meeting that quarter, or an alternative venue as appropriate and authorized by the faculty advisor and division head.)

2. Exam

a. Topical Statements for Reading Lists

1. Students submit reading lists for three topics of their choosing which constitute the basis for the individualized section of the exam. Students obtain the "Approval of Topics and Reading Lists for Doctoral Written Qualifying Exam" form from the Student Affairs Officer in the Office of Student Services (OSS). The student's advisor and any additional faculty members involved in generating the reading list must sign the form.
    - Students submit a topical statement to each of the faculty member involved with the development of 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 submitted to the SRM Student Affairs Officer on week 10 of Spring quarter for Fall exams, or week 10 of Fall quarter for Spring Exams.
3. Questions III and IV of the Doctoral Written Qualifying Exam will be linked to the topical description(s) and readings.

b. Written Exam

The take-home written examination is divided into 4 questions, 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 is scheduled for 4 days (4 nights); OSS distributes the exam on a Thursday morning, and the responses are due the following Monday morning. While completing the exam, students may consult any written material they wish, including course notes and assignments, textbooks, and published reports; students are not permitted to consult with other students or faculty (or anyone else). When submitting their exam responses, students sign a statement that they did not collaborate or communicate with anyone regarding the substance of the exam during the examination period.

Question 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.

Question II: Research Design (Core SRM Training)
Students are presented with materials summarizing a current issue in the field of education and are asked to address or explore the issue from a theoretical and methodological perspective of their choice. Students are expected to incorporate material covered in core courses, including research design, quantitative/qualitative data analysis, measurement, and issues in research methodology.

Questions III and IV: Questions Based on Students' Individual Reading Lists
This section provides three questions constructed from the approved reading lists and tailored to each student's background and training. Students select two questions to answer. IMPORTANT: One or more of the individual reading lists (and questions) can cover topics related to the 299 paper. However, students must provide original answers to each question, and may not cut and paste portions of the 299 paper to respond to individual qualifying exam questions.

c. Oral Exam

The Oral part of the exam is scheduled within two weeks of submission of the written exam. The length of the oral exam is 30-45 minutes and is conducted by two to three SRM faculty, including the student's advisor. This oral component addresses specific questions or concerns raised by the student's performance on the written examination. Faculty may also ask more general questions to assess the student's ability to provide articulate and reasoned discussion of points and issues pertinent to their training.

Grading

Each exam response is evaluated by two members of the SRM faculty. Students may receive grades of "pass with honors," "pass," or "fail" on each question. The grade recommendation is based on the entire examination, including both written and oral components.

Students who fail only one of the four questions are able to retake only that question in the same exam sitting. Students who fail more than one question are deemed to have failed the Doctoral Qualifying Exam and are required to retake the entire exam at the next scheduled sitting. Students are given a second opportunity to take the Qualifying Exam and a third opportunity upon a two-thirds majority vote of all divisional faculty members. No fourth sitting for the exam is permitted.

Doctoral 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 on the topic, methodology, and the student, and 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 four members; while Department policy stipulates that all may be from the Department of Education, we strongly recommend that one member be from a Department other than Education. At least three members of the four-member committee must be eligible faculty within the Department of Education. Formally nominated by the Department of Education and appointed by the Dean of the Graduate Division, the committee conducts all the Oral Examinations for the dissertation.

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. In selecting 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/they should work with the chair to identify other potential members.

Prior to submitting the petition for dissertation committee members (obtained from OSS), the student should consider what s/he/they want(s) from the committee, especially the chair. The dissertation chair is crucial because s/he/they 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 need not be the student's academic advisor, although most students ask their advisors to serve as chair of their dissertation committee.

Upon notification of passing the Written Qualifying exam, students should obtain the current version of the *Graduate Division Standards and Procedures for Graduate Study at UCLA*. According to this document, 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

In developing the dissertation proposal, students should work closely with the dissertation committee chair, 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. Other source for guidance are other students' dissertation proposals. Dissertation chairs can offer examples of dissertations (and/or proposals) they feel will help with a particular study.

The dissertation proposal commonly contains three chapters. Chapter One is the introduction to the study and typically consists of the statement of the research problem, background on the study, the purpose of the study, a brief overview of the study's methodological and conceptual frameworks, and the study's significance. Chapter Two is the literature review (and often an overarching conceptual framework), where relevant scholarly work is summarized and analyzed, including empirical studies as well as the theory/ies guiding the study and the knowledge gap(s) the study seeks to fill. Chapter Three is the methodology portion of the dissertation where the overall research design, research questions, data source(s) and methods of data collection and analysis (analyses) are set forth in detail. Researcher positionality vis-à-vis the study and study participants (for studies involving human subjects) should be included with the discussion of methodology as well. This chapter also includes a timeline for completion of the study, including all study phases and procedural requirements. Dissertation proposals do not have to follow this format if the dissertation chair approves. In general, students are encouraged to consult closely with the dissertation chair on the format.

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 computer and projection 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 for the entire committee to approve the student's proposed dissertation study and 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 for revising the proposal.

If proposal revisions are requested, they should be undertaken in consultation with the committee chair; the committee also collectively determines whether revisions require further review by the committee as a whole or may be approved by the dissertation chair.

Human Subjects Approval

In consultation with the dissertation chair, the student must ascertain if their study needs to be approved by the Office of the Human Research Protection Program (OHRPP). Studies that involve direct contact and/or experimentation with human subjects are strictly regulated. Projects that involve analysis of data without direct contact with human subjects (e.g., statistical analyses of student data) generally do not require OHRPP review (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://ora.research.ucla.edu/ohrpp, and for specific questions, students are encouraged to consult with their dissertation chair and/or contact the OHRPP help desk at webIRBHelp@research.ucla.edu or 10889 Wilshire Blvd. Suite 830, Los Angeles, CA 90095-1406 (310-825-7122.

Conducting the Dissertation Study

Once the student advances to candidacy, a seemingly unstructured phase of dissertation work begins. Students are no longer required 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 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 findings and interpretation of the data, and provides implications and recommendations for research, theory, policy, and practice (as appropriate) based on the study findings. 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 revisions to each chapter. Often, the three chapters that were written for the dissertation proposal become the basis for the first three chapters of the dissertation, with appropriate revisions made. The next section(s) is/are the data presentation and discussion of findings. Sometimes it is more logical to have the presentation and discussion/interpretation of the findings separated into two or more different chapters. The final section of the dissertation is the conclusions, where a summary of the methods and results, recommendations, limitations, and limitations 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.

It is the student's responsibility to maintain regular communication with the dissertation committee to keep them informed of the dissertation progress and 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 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

- *Measuring Student Engagement in Higher Education: A Validation Study using a unified framework.* (Patricia Quiñones)
- *On the formation of intellectual kinship: A qualitative case of study of literacy, learning, and social analysis in a summer migrant education program* (Shirin Vossoughi)
- *Using a Two-Stage Propensity Score Matching Strategy and Multilevel Modeling to Estimate Treatment Effects in a Multisite Observational Study* (Jordan Rickles)
- *Toward a Definition of Evaluative Thinking* (Anne Vo)
- *Estimation of Contextual Effects through Nonlinear Multilevel Latent Variable Modeling with a Metropolis-Hastings Robbins-Monro Algorithm* (Ji Seung Yang)
- *Navigating, Negotiating, and Nurturing: Exploring How Students' Cultural Toolkits Serve as Resources for College Persistence* (Janet Rocha)
- *Investigating the Relationships among Teacher Social Capital, Teaching Practice, and Student Achievement Across Measures and Models* (Kevin Schaaf)
- *Cultures and Contexts of Data-Based Decision-Making in Schools* (Jennifer Ho)
- *Evaluations as interventions: Evaluation process use of programs recipients* (Alejandra Priede)
- *Multilevel Covariance Structure and Student Ratings of Instructional Practice* (Jonathan Schweig)

Final Oral Dissertation Examination

The final oral dissertation examination is also known as "the final orals" or the dissertation defense. 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 students, faculty members, and/or family members. The purpose of a final oral exam is for the entire dissertation committee to discuss and approve the dissertation, often with suggested changes, and to provide feedback regarding publishing the work.

When the student passes the final orals, some revisions are usually required by the dissertation committee. Once the manuscript meets with the committee's approval, 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 meet 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 this is completed, the student is granted a Ph.D. degree and enjoys the full rights and responsibilities accorded at the time of filing and 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.

Important Contact Information

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Other SE&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