



RUTGERS

Graduate School of Education

Ph.D. in Education Handbook

2023-2024

Rutgers, The State University of New Jersey

Graduate School of Education

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INTRODUCTION

The degree of Doctor of Philosophy (Ph.D.), introduced to this country by Yale in 1861, is conferred in recognition of two accomplishments: (1) marked ability and scholarship in a broad field of learning, and (2) distinguished critical or creative achievement within a special area of the general field. The goal of Rutgers' Ph.D. in Education Program is to prepare scholars to make significant contributions to education by conducting research and creating new knowledge. The program is designed for students committed to doing nationally and internationally recognized educational research. Graduates work in institutions of higher education as well as in a variety of private and public organizations that conduct educational research. Graduates of the program are expected to influence educational practice in the United States and abroad through original research efforts, thereby contributing to the advancement of knowledge in education, discovering exemplary educational practices, and influencing local and national educational policy.

One of the most important components of the Ph.D. in Education Program is the opportunity to work closely with scholars who are actively engaged in educational research on issues of interest to the student. This program has been carefully designed to facilitate learning experiences of this kind. The faculty of the Ph.D. in Education Program includes experts in a wide variety of disciplines conducting research using many different methods.

The Graduate School of Education (GSE) is part of the [Rutgers School of Graduate Studies](#) (SGS) and is subject to its [policies](#). Included on the SGS website are resources and forms for students and faculty, including listings of [funding opportunities](#), [career development](#), and guidelines for best practices and [mentoring](#) in doctoral education.

Goals of the Ph.D. in Education Program

Learning Goals for Ph.D. Students

Our core mission in the Ph.D. in Education Program is to produce scholars who can and will use research to contribute to understanding and improving education. Listed below are six broad areas that students in the Ph.D. in Education Program should develop through their coursework, research, and participation in the GSE and broader scholarly community. Methods for evaluating progress with respect to these goals are described under each goal:

1. **Broad Theories.** Students will understand and think critically about a wide range of the central theories on learning. These include what types of environments support learning; what the goals of education are and should be; how policy and social structures influence learning opportunities; how education can support goals related to social justice; and how the role of education continues to evolve in our society. Students should be aware of the different disciplines upon which these theories draw, understand that these disciplinary lenses fundamentally influence how education and educational research is perceived, and be able to use these theories and lenses to interpret and synthesize bodies of research.

Assessment: Evaluation will be based on performance in core coursework (pro- seminars or other core course program specifications) and on successful completion of the breadth question as part of the qualifying examination.

2. Knowledge and Understanding. Students will develop deep understanding and expertise in a particular domain. They should have a broad and deep knowledge of the literature in the field and an understanding and appreciation of the range of research methods that have been used to advance the field.

Assessment: Evaluation will be based on performance in courses within the student's area of specialization, performance on two independent research studies (Pre-thesis I and II), successful completion of the qualifying examination, and successful completion of the dissertation proposal and thesis.

3. Conducting Original Research. Students will actively engage in research from the beginning of their program. As they gain experience and autonomy, they should gain an understanding and ability to design and carry out research employing appropriate research methods.

Assessment: Evaluation will be based on performance in the two independent research courses (Pre-thesis I and II), their dissertation proposal, and a review of other research efforts described in annual progress reports.

4. Communicating and Disseminating Research. Students will successfully communicate and disseminate their research. They should give present their work in the GSE (brown bags, research poster sessions) as well as at regional, national, and international conferences. They should publish their work in scholarly outlets as well as report their research, if appropriate, in ways that will be valuable to practitioners and policymakers. They should also successfully communicate their dissertation research.

Assessment: Evaluation will be based on the number of student presentations within the GSE (brown bags, poster session, other talks) as well as talks and publications. Authorship (senior or secondary) will also be monitored. These data will be available in the annual student progress reports.

5. Teaching. Students will develop expertise in teaching university-level courses. This is an especially important goal because it is expected that many graduates will obtain employment at academic institutions where teaching will be part of their responsibilities. All students are expected to be observed by a faculty member as well as to complete a teaching portfolio.

Assessment: Evaluation will be based on an annual survey of courses taught by students as well as a report of the number of students who have met their teaching requirement and completed their observations and teaching portfolios.

6. Service. Students will participate in their respective scholarly and professional communities, including service within the GSE as well as service to professional organizations, including scholarly reviews, serving on committees, etc.

Assessment: Evaluation will be based on annual review of student progress reports.

STRUCTURE OF THE PH.D. IN EDUCATION PROGRAM

The Ph.D. in Education Program offers two concentrations: [Theory, Organization, and Policy](#) (TOP) and [Learning, Cognition, Instruction, and Development](#) (LCID).

Theory, Organization, and Policy

The concentration in Theory, Organization, and Policy (TOP) within the Ph.D. in Education Program prepares students for research in higher education, policy organizations, and (non)governmental organizations concerned with education, broadly defined.

Over the past three decades, political leaders have increasingly recognized the critical importance of education to economic, political, social, and cultural improvement. Their decisions have implications for the well-being of families, communities, and the United States' place in the world. Unfortunately, decision makers often pursue educational goals without a clear understanding of their own philosophical assumptions, the needs for change, the possible results of change, or the social forces that affect actions that legislatures and governments take. This program prepares scholars who can help find answers to these questions and, in the process, inform policymakers, educators, and the public about the progress and challenges of education.

Our faculty conduct research in organizational leadership, policy, and international and comparative education as well as in the social science and humanities disciplines of education. Our students specialize in one area of study but learn about others, allowing them to develop stronger educational analyses and research designs. Following an apprenticeship model and working closely with their academic advisor, students design their own course of study, taking courses offered at the GSE and across Rutgers.

Learning, Cognition, Instruction, and Development

The concentration in Learning, Cognition, Instruction, and Development (LCID) within the Ph.D. in Education Program prepares students to carry out research on learning and teaching in classrooms and other settings. Interdisciplinary study is encouraged within this concentration, which focuses on:

- how people think;
- how knowledge is conveyed;
- how understanding is acquired;
- how human beings develop in learning environments; and
- the ingredients of effective teaching.

Students can specialize in areas of faculty expertise, with opportunities for research in interdisciplinary studies and these specializations:

- [Early Childhood Education](#)
- [Educational Psychology](#)
- [Human Development](#)
- [Language Education](#)
- [Learning Sciences](#)
- [Literacy Education](#)
- [Mathematics Education](#)
- [Science Education](#)
- [Social Studies Education](#)
- [Special Education](#)
- [Statistics and Measurement](#)

We help our students to develop the broad base of knowledge and research skills needed to design and investigate methods of improving learning and teaching in real-world learning environments. Students specialize in one area of study but learn about one or more other areas, allowing them to develop stronger educational interventions and research designs.

Note: All LCID students are expected to work on research projects during their first two years. The first-year project should be presented at the GSE Research Showcase in their second year, and the second-year project should be presented at the GSE Research Showcase in their third year.

Program Requirements

The Ph.D. in Education Program requires a combination of coursework, examinations, and research, eventually leading to a dissertation that is an original piece of research. A student must devote a minimum of three years of full-time study beyond the bachelor's degree for the Ph.D. If any of the work is conducted on a part-time basis, the minimum time required will be longer.

For this purpose, one year of study is represented by 24 credits of coursework or research. Therefore, the minimum requirement for the Ph.D. degree is 72 credits: at least 48 credits of coursework and at least 24 credits of dissertation-related research. Students must maintain a minimum cumulative grade point average (GPA) of 3.25.

One specialization within the LCID concentration, Learning Sciences, has additional course requirements. For Learning Sciences, the 18 credits for area of study must include the following two courses (click [here](#) for course descriptions):

- 16:300:582 Cognition and Instruction
- 15:262:610 Design-based Research

The Ph.D. in Education Program is arranged in two phases. The preliminary phase, which generally involves formal courses of study, is completed when the student passes the qualifying examination. In the second phase, the student usually writes his or her dissertation. This phase concludes when the dissertation is accepted and the defense of it is approved. Between admission to the Rutgers School of Graduate Studies and the conferral of the Ph.D. degree, the student must: (1) satisfy the course and other preliminary requirements of the particular concentration/area of study in which the student is enrolled; (2) pass the qualifying examination; (3) present the results of the unique, original research in an acceptable dissertation; and (4) pass a final, oral dissertation defense. The student becomes a formal candidate for the doctorate only after completing the qualifying examination.

As the Ph.D. in Education policy on *University-Level Teaching Experience* (see Appendix A) states, Ph.D. students must demonstrate competency in teaching. All students must submit a teaching portfolio in order to complete the program.

Minimum requirements of the teaching portfolio include:

- a teaching statement
- student evaluations (if you were responsible for a course)
- a faculty observation of at least one lesson with a written summary by the observer
- a sample of instructional artifacts or documentation to illustrate key aspects of your teaching (e.g., lesson plans, assessments, assignments)

In addition, students are encouraged to participate in the intellectual life of the educational research community by presenting their research and attending colloquia at the Graduate School of Education and in their professional research community (e.g., Annual Meeting of the American Educational Research Association).

GSE CONTACT INFORMATION

Listed below are the names and email addresses for GSE faculty and staff who you may need to contact throughout your experience in the Ph.D. in Education Program. Click [here](#) for the full GSE Faculty and staff Directory.

Dean's Office

Wanda J. Blanchett
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Division of Student Affairs

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gendick@rutgers.edu

Office of Disability Services

Lucy Stone Hall, Suite A145
Livingston Campus
54 Joyce Kilmer Ave Piscataway, NJ 08854
dsoffice@echo.rutgers.edu
ods.rutgers.edu

ACADEMIC REQUIREMENTS AND PROCEDURES

Fulfillment of various program requirements and successfully carrying out program procedures frequently entails the completion of paperwork and/or applications. In many cases, signatures must be obtained in order to complete these items. Please be sure to submit all paperwork/applications with all required signatures (self, advisor, committee member, etc.). Any document requiring the Program Director's signature must be submitted to the Program Coordinator for the Doctoral Programs in the Office of Student and Academic Services.

Admissions

All prospective students must apply to the Ph.D. in Education Program by December 1 through the Graduate Admissions website.

The following items are required for a complete application package:

1. Personal statement
2. Letters of recommendation (three)
3. Undergraduate and graduate transcripts
4. TOEFL (for international students)
5. Curriculum Vitae/Resume
6. Sample of academic writing

All applicants are automatically considered by the Director of the Ph.D. in Education Program for fellowships, graduate assistantships, and teaching assistantships. No separate application is needed for this funding.

Admissions decisions are typically made by mid-March. The GSE Ph.D. in Education Program notifies applicants of their admittance to the program (in an informal capacity) via email.

Graduate Admissions then sends applicants the official acceptance notification via the application portal. Admitted applicants should contact the assigned faculty advisor or the Director of the Ph.D. in Education Program if there are any questions or concerns while making the final decision about whether accepting the offered admittance to the Ph.D. in Education Program at Rutgers.

Registration

Students register independently through WebReg. In most cases, Ph.D. courses require a special permission number. Students may fill out the Ph.D. in Education Registration Form to request registration in a special permission number restricted course. Please contact the Program Coordinator of Doctoral Programs in the Office of Student and Academic Services to request this form.

All course syllabi are available [here](#). Students may consult course syllabi when they are deciding on courses for which to register or as the semester progresses as the syllabi are regularly updated on this site when changes are made.

GSE Grading Policy

The following is the basic grading system of the GSE.

A	Outstanding	4.0
B+		3.5
B	Good	3.0
C+		2.5
C	Satisfactory	2.0
F	Failing	0.0

Other grade symbols are:

- IN (Incomplete): May be assigned at the discretion of the instructor who believes that an extension of time is warranted for a student whose work is incomplete at the end of the semester. Incomplete work may be made up, and a change of grade may be authorized by the instructor for up to one year after the IN grade was assigned. The decision to grant an

Incomplete grade is made only by the instructor. The instructor is not obligated to grant an Incomplete grade and may instead assign, at the end of the semester, the earned grade per the course requirements. The following is SGS Policy 1.3.3. on Incompletes:

- The School of Graduate Studies policy on Satisfactory Academic Progress (1.3.2.) stipulates that two or more Incompletes or Permanent Incompletes (see below) on record for one or more years without explanations and plans for completion constitutes a failure to maintain Satisfactory Academic Progress, and will result in an academic warning (1.3.5.) sent by the program to the student. Two academic warnings are grounds for a request from the program for SGS to dismiss the student (1.3.6.).
- The Incomplete grade remains on the transcript until it is either replaced with a final grade or converted to a “Permanent Incomplete” (PIN). Conversion to PINs require approval by the program. The program may institute stricter requirements than the above, such as converting an outstanding Incomplete grade to a grade of F if not made up in a specified period of time (not less than one year from the end of the semester in which the Incomplete grade was given). Permanent incompletes may not be available to students in the Rutgers Biomedical and Health Sciences. Students and programs are encouraged to contact the appropriate registrar to verify.
- Programs may request that students with an excessive number of incompletes be temporarily blocked from registration in order to allow time to complete the work.
- NG (No Grade Given): Assigned only by the registrar when no grade is assigned on the final grade roster by the faculty member. The NG will have no immediate effect on a student's GPA; however, if the situation is not resolved within the following semester, the NG will convert to an F, and the GPA will be recalculated accordingly.
- P/NC (Pass/No Credit): Any student in the GSE may elect, at the time of each registration, to be graded in any GSE course on a Pass/No Credit basis. The choice of grading system typically is determined at the time of registration. The final designation of choice must be made, in consultation with the instructor, no later than the sixth week of the semester. Under this grading system, Pass is equivalent to an A, B+, B, C+, or C; No Credit is equivalent to F. Ed.D. dissertation research is graded Pass/No Credit.

GSE Courses Designated for Pass/No Credit Grading (not an exhaustive list):

- 05:300:413 Practicum in Early Childhood/Elementary Education I
- 05:300:414 Practicum in Early Childhood/Elementary Education II
- 15:230:701 Dissertation Study Ed Admin
- 15:251:671 Practicum in Early Elementary Teaching
- 15:251:672 Practicum in Upper Elementary Teaching
- 15:255:534 Classroom Organization
- 15:255:535 Teaching Internship
- 15:255:700 Ed.D. Dissertation Study
- 15:290:701 Dissertation Study in Educational Psychology
- 15:293:609 Research in Special Education
- 15:295:609 Research in Learning, Cognition, & Development
- S/U (Satisfactory/Unsatisfactory): Assigned when a course is taken on a noncredit basis. Ph.D. dissertation research (700/701 courses) is graded Satisfactory/Unsatisfactory.

- TZ (Temporarily Not Graded): The TZ grade is assigned to students who never attended classes for a course, stopped attending and did not officially withdraw, or were not graded by instructors.
 - Students are responsible for contacting the registrar to correct registration errors that have resulted in TZ grades and, when necessary, for contacting instructors to arrange final grades.
 - TZ grades remaining on records convert automatically to failures, without notification to students, for the fall semester and Winter Session on May 1 and for the spring semester and Summer Session on December 1.

Ph.D. Grading Policy

16:300:700/701/702 courses receive a Satisfactory or Unsatisfactory grade.

Grade changes can only be made for a missing or incomplete grade. Changing a letter grade to another letter grade is not allowed.

Warning Grades

The following are the warnings that can be submitted on the Warning Roster:

- W1 = Warning for poor performance
- W2 = Warning for poor attendance
- W3 = Warning for poor performance and poor attendance

Warning grades should be submitted during the first two weeks of March for spring and the first two weeks of October for the fall semester. Due to the shortened summer schedule, warning grades are not provided for Summer Session.

Ph.D. Independent Study Approval/Documentation

An Independent Study is an elective option for students to obtain research experience under the guidance of a faculty member. Once an independent study is arranged with your faculty advisor, submit the completed and approved **Ph.D. in Education Independent Study Form** to the Ph.D. in Education Program Coordinator. You will be asked to provide a brief explanation of the focus of the independent study along with anticipated outcomes.

Ph.D. Pre-thesis Requirement

The pre-thesis courses are independent study courses that are designed to enhance a student's ability to conduct scholarly research. The faculty advisor, or other Ph.D. in Education faculty member as appropriate, will typically provide greater support and guidance for the first course than for the second course. Each course should result in some type of product (e.g., a research paper, literature review, etc.). The exact nature of the research that the student will engage with is to be decided with the advisor or other faculty member serving as the course instructor. Please submit the completed and approved **Ph.D. in Education Pre-Thesis Research Form** to the Ph.D. in Education Program Coordinator. You will be asked to provide a brief explanation of the focus of the pre-thesis course along with anticipated outcomes.

Ph.D. Cognate Requirement Policy

Purpose

The purpose of this policy is to establish guidelines for the cognate requirement for all Ph.D. in Education students.

What is a Cognate?

A cognate is an area of study that is different from a student's concentration but is related to the concentration in some way. For example, students whose concentration is in Theory, Organization, and Policy might take courses in History, Philosophy, or Policy to further develop their expertise. Students in Learning Sciences might likewise take courses in Philosophy, Linguistics, or Psychology. Students might also take courses to further develop methodological expertise. The cognate is intended to provide students with a comprehensive understanding of a closely related area of study so that students can then synthesize information from the cognate with information in their concentration, with the opportunity of creating new knowledge.

Requirements

Students in the Ph.D. in Education Program are required to take two cognates. These are typically taken outside of the GSE, either in other schools within Rutgers University or at other institutions. It is expected that the faculty advisor will consult with the student to select appropriate cognate courses outside of the GSE.

In some cases, however, an independent study (inside or outside the GSE) or a course within the GSE can satisfy the intent of the cognate. In each of these cases, in addition to obtaining the approval of the faculty advisor, the student must also submit to the concentration (TOP/LCID) coordinator and the Director of the Ph.D. in Education Program a written explanation/justification indicating how the independent study or GSE course is appropriate for consideration as a cognate. Without such approval, the program reserves the right to not give credit for satisfaction of the cognate requirement.

Transfer Credits

Graduate courses completed at other institutions may be accepted for credit toward a doctorate at the university if they meet the following three conditions:

- First, they normally must form part of the student's concentration or area of study.
- Second, the student must have registered in these courses within the preceding six years.
- Finally, the student must have earned a grade of B or better in these courses.

Graduate credits may not be transferred until a student has completed as a matriculated student in the SGS 12 credits of graduate courses with grades of B or better. The maximum number of credits that a student may transfer is 50% of the total number of required course credits for his or her program. For students in the Ph.D. in Education Program, the maximum number of transfer credits is 24. The GSE Ph.D. in Education Program may recommend the transfer of credits earned at a professional or graduate school elsewhere toward a Ph.D. in the SGS. Credits that cannot transfer include:

- credits earned in thesis-related work;
- coursework done as independent study; and
- coursework that was not graded with an A or B.

The SGS will accept up to 12 credits of graduate work taken as a Rutgers undergraduate toward the requirements for a graduate degree. These credits must be in excess of 120 credits submitted for the bachelor's degree. If a Rutgers school requires more than 120 credits for the bachelor's degree, six credits above 120 may be double-counted toward the two degrees. Each degree program shall have full discretion in deciding whether to accept credits earned while an undergraduate toward a graduate degree. The Dean, or their designate, shall use discretion to allow double-counting of an additional three credits in exceptional circumstances. An exception to the requirement that the credits being accepted be graduate credits may be made if the undergraduate course(s) in question would normally be part of the curriculum of the graduate degree program.

Students should discuss the courses they are interested in transferring with their faculty advisor and then provide the following to the Program Director for their approval and signature:

- **official transcripts** for transfer courses completed outside of Rutgers; and
- **SGS Application for Transfer of Credit.**

Signed applications should then be e-mailed to the Ph.D. in Education Program Coordinator, who will submit to SGS for processing.

Inter-University Doctoral Consortium

The Inter-University Doctoral Consortium is open to doctoral students from participating schools who have completed at least one year of full-time study toward the Ph.D.

Information about his program can be found [here](#).

Full-time and Part-time Status

Students must be enrolled for nine credits per semester in order for their status to be considered full-time. Students who are enrolled for less than nine credits in a semester are considered part-time.

Note: All Ph.D. students who have passed their qualifying examination and are doing research work must register for at least one credit of research per semester until they complete their degree, even if this results in the accumulation of research credits beyond the minimum required for the degree.

Changes in Active Status - Permanent or Temporary Leave

Withdrawal or Leave of Absence

Students in good academic standing who wish to withdraw or take a leave of absence from the program must contact the Graduate Program Director and send the completed **Ph.D. in Education Program Withdrawal Form** to the Ph.D. in Education Program Coordinator, who forwards approved applications to the School of Graduate Studies. Students may be granted a leave (or leaves) of absence for a period not to exceed a total of 12 months. To keep their registration active:

- Students who have not passed the qualifying examination must register as “matriculation continued” during the leave. These students may use this registration for a maximum of two semesters.
- Students who have been admitted to candidacy (i.e., passed the qualifying examination) may no longer register as “matriculation continued.” Instead, they must register for at least one credit of Dissertation Research per academic term. Students may contact SGS about possible exceptions in cases with extraordinary circumstances.

Students who do not keep their registration active may lose access to certain university resources (e.g., university e-mail and libraries) and be subject to fees when seeking readmission or restoration of active status (see below).

Students on leave must withdraw from all registered courses by submitting written notice to the Registrar's Office. Students who fail to do so will receive failing grades in each course. The date on which the Registrar's Office receives the written notice governs the academic and financial consequences of withdrawal. Ordinarily, students who leave the degree program after the 12th week of classes (fall or spring semester) are considered officially enrolled and will receive final grades for the semester.

Written notification of the student's intent to return must be received by Graduate Program Director at least one month prior to the expiration of the leave. The Ph.D. in Education Program Coordinator then forwards the notification to the School of Graduate Studies.

Further information and requirements regarding temporary or permanent leave of absence (*including specific requirements for international students*) can be found in the SGS Policies and Procedures, found [here](#).

Note: Students who leave the program without official approval and later wish to be reinstated may be required to reapply and undergo a new admissions process. Students should further note that funding support may be affected by the leave.

Readmission or Restoration of Active Status

If the student misses one or more semesters of registration and wishes to resume matriculation in the Ph.D. in Education program, they will need to complete the **SGS Application for Readmission** form. The student must complete the form and forward it to the Graduate Program Director for review and approval. Upon the director's approval, the form is then sent to the Office of the School of Graduate Studies Dean.

For doctoral students who have passed the qualifying examinations (post-qualifying), the **Application for Restoration of Active Status** form must also be completed and submitted to the SGS Deans Office. This form will be reviewed, and the student will receive further instructions on the required tuition payment, which may be a minimum of 1 credit of in-state tuition at the current rate per semester missed, up to a maximum of five semesters.

Readmission into the program is not automatic. In deciding whether to recommend that SGS approve readmission, the Director and Executive Committee of the Program will take into consideration the student's prior performance and their Application for Readmission (including the students' plan of action to continue the program successfully).

Enrollment Verification

Students at the dissertation stage of the program do NOT need to register for at least six credits of dissertation research to meet the student loan requirement of at least half-time status. Students at the dissertation stage who are enrolled in at least one dissertation research credit may maintain eligibility for student loans. Students must complete the **SGS Enrollment Certification of Doctoral Students Form** and submit it to the Registrar's Office to verify official status.

Time Limitation

Students have a maximum of seven years to complete the Ph.D. in Education Program. If they have reached seven years in the program but have not earned the degree, they must complete **7+ Year Addendum for Ph.D. In Education** section on their **Individual Development Plan**.

Institutional Review Board (IRB) Approval and Human Subjects Protection Certification

Any research (including dissertation research) that involves data collection from individuals— students, teachers, members of the public, etc.—requires approval from Rutgers University’s Institutional Review Board (IRB) before any “human subjects” data are collected that will be used in any way. The Rutgers IRB is charged with the protection of the rights and welfare of human research subjects while facilitating ethical research. The IRB is part of the Office of Research Regulatory Affairs (ORRA), which provides subject matter expertise and administrative support to the IRB committee itself, which is comprised mostly of Rutgers faculty who are also researchers. In addition, the IRB includes individuals with expertise who are not part of the Rutgers community, as required by the federal regulations governing research with humans. Review by the IRB is required for research involving human subjects regardless of the funding source and also covers human subjects research without funding. Because students should be engaged in research throughout their graduate career, it is necessary to understand policies and practices associated with the Protection of Human Subjects which guide IRB decisions. Click here to find Information on different types of approval, criteria for approval, and forms to be completed.

All Rutgers University faculty, students, and other individuals involved in human subjects research are required to complete the Collaborative Institutional Training Initiative (CITI) Basic Course and then complete the CITI Refresher Course every three (3) years thereafter. Campus IRBs will not issue final approval of certain IRB submissions (New / CR / Key Personnel Amends) until it is verified that listed study personnel have completed the current requirements for human subjects research education.

Email IRBOffice@research.rutgers.edu for questions or assistance.

THE QUALIFYING EXAMINATION

The purpose of the qualifying examination is to determine whether a student has developed a sufficient mastery of the field to warrant admission to candidacy for the Ph.D. degree and is prepared to design and complete a doctoral dissertation. The student is required to successfully complete his or her qualifying examination before beginning serious work on the dissertation.

For this reason, a student cannot complete more than six credits of dissertation-level research (16:300:701 and 16:300:702 Research in Education) before completing the qualifying examination. The document describing the structure of the qualifying examination for the Ph.D. in Education Program is available on the [Canvas Ph.D. in Education - Student Site](#).

Once a student passes the qualifying examination, they must complete the following two-step process:

1. Complete the **Doctoral Qualifying Examination Form** found [here](#). The student must fill out the information on page 1 and sign/date it, then obtain all committee member signatures on page 2. The Ph.D. in Education Program Coordinator will enter the information in the GSE’s internal student management system and keep a copy of the form on file in the GSE. The Ph.D. in Education Program Coordinator will then submit the original completed form to the SGS. Once

all required paperwork is submitted, SGS will change the student's status from Pre-Qualified to Post-Qualified.

2. Following the qualifying examination and the committee's decision, the signed **Ph.D. in Education Oral Examination Results Form (Qualifying Examination)** must also be submitted to the Ph.D. in Education Program Coordinator. This form must be submitted along with the student's Statement of Interest, Reading List, exam questions and responses, and, if applicable, the qualifying exam committee chairs summary of revisions. The **Ph.D. in Education Oral Examination Results Form (Qualifying Examination)** is available on the [Canvas Ph.D. in Education - Student Site](#).

In the event that any committee members participate in the oral portion of the qualifying examination defense and are unable to provide either their original signature or an electronic signature on the appropriate paperwork, committee members need to authorize the Director of the Ph.D. in Education Program to sign on their behalf. In this case, the committee member must send the Director an email following a successful exam indicating approval of the qualifying examination and authorizing the Director to sign any relevant paperwork. See the following for the appropriate language to be sent:

I, [name of committee member], have read the qualifying examination of [student's name] and participated in the oral defense. I grant permission to the Graduate Program Director, Professor [name of Director of Ph.D. in Education Program], to sign on my behalf.

For an abbreviated checklist/timeline of events/responsibilities from admission to graduation, go to the [Canvas Ph.D. in Education - Student Site](#) to view the *Timeline: Admission to Graduation* document found in both the Qualifying Examination and Dissertation folders.

THE DISSERTATION

Each candidate for the doctorate, under faculty direction, pursues an original investigation of a problem or problems in an area of study and presents the results of the investigation in a dissertation. In developing the dissertation, it is important for a student to work closely with his or her faculty advisor. While most of the student's attention will focus on conducting the research, it is also important for the student to follow the necessary procedures to get official approval of the dissertation. The following information and forms regarding the dissertation process can be found on the [Canvas Ph.D. in Education - Student Site](#).

Dissertation Information	Dissertation Forms
<ul style="list-style-type: none">• The Dissertation Committee• The Dissertation Proposal• Form and Submission of the Dissertation• Timeline - Admission to Graduation	<ul style="list-style-type: none">• Dissertation Committee Form• Oral Examination Results Form (Dissertation Proposal)• Oral Examination Results Form (Dissertation)• Dissertation Title Page• Doctoral Final Defense Form

Note: Proposal defenses may not be scheduled in March (only *dissertation* defenses may be scheduled in March).

In the event that any committee members participate in the oral portion of the dissertation proposal defense, or the final dissertation defense, and are unable to provide either their original signature or an electronic signature on the appropriate paperwork, committee members need to authorize the Director of the Ph.D. in Education Program to sign on their behalf. In this case, the committee member must send the Director an email following a successful defense indicating approval of the dissertation and authorizing the Director to sign any relevant paperwork. See the following for the appropriate language to be sent:

I, [name of committee member], have read the [dissertation proposal/final dissertation] of [student's name] and participated in the oral defense. I grant permission to the Graduate Program Director, Professor [name of Director of Ph.D. in Education Program], to sign on my behalf.

For an abbreviated checklist/timeline of events/responsibilities from admission to graduation, go to the [Canvas Ph.D. in Education - Student Site](#) to view the *Timeline: Admission to Graduation* document found in both the Qualifying Examination and Dissertation folders.

FUNDING OPPORTUNITIES

All applicants are automatically considered by the Director of the Ph.D. in Education Program for fellowships, graduate assistantships, and teaching assistantships.

Doctoral students at the Graduate School of Education get funding from three main sources:

- *Graduate Fellowship (GF)*: This is the baseline of fully funded support for fulltime students in the Ph.D. in Education program. It includes a stipend, tuition remission, and health benefits. The Graduate School of Education (GSE) has a limited number of fellowship lines of funding. These awards require no specific duties beyond the expectation that students will enroll as full-time students (9 credit minimum) and make appropriate progress as measured by performance in coursework, completion of degree requirements, involvement in the GSE community, and the development of a program of research that leads to a successful dissertation.
- *Graduate Assistantships (GA)*: These usually come from research funds provided by professors' grants and contracts. Students work 15 hours per week on a professor's research project for two academic semesters (additional summer work may also be available). Students receive a stipend, health insurance, and other benefits.
- *Teaching Assistantships (TA)*: The University pays for students to teach courses (usually in the GSE's teacher education program). Teaching assistantships pay tuition, benefits, and a stipend that change annually for 15 hours of work per week during two academic semesters. The Director of the Ph.D. in Education Program, in conjunction with Department Chairs and other leaders in the GSE, usually has a limited number of assistantships to assign. Students must have a master's degree and appropriate expertise to be considered for a teaching assistantship (TA). If a student does not enter the Ph.D. program with a master's degree, they must apply for and earn the master's degree through the School of Graduate Studies while pursuing their Ph.D. degree. These opportunities are not guaranteed, even to students who have the appropriate credentials.

A variety of other funding sources are available. Some of these are awards made by the University or by the GSE. In the latter case, the GSE solicits applications each year for various small scholarships. In other

cases, students may apply independently for funding from foundations such as Spencer, Ford, and W.T. Grant, and from federal government sources such as the NSF and NEH.

Click [here](#) for further information on funding available from the GSE as well as other funding opportunities. Click [here](#) to learn more about GradFund, a group that assists graduate students with identifying and applying for merit-based research grants and fellowships. For fellowships, students receive a stipend, paid tuition, and health insurance.

In cases where students have been offered multiple years of funding contingent on adequate annual progress, those offers are inclusive of possible changes in types of awards (GF, GA, TA) provided by the GSE and its faculty. For example, if a student has been offered up to five years of funding upon acceptance to the program, that offer might include a combination of Graduate Fellowship, Graduate Assistantship, and/or Teaching Assistantship over that period. Students cannot expect to “stack” these awards beyond the number of years of funding originally offered. The GSE is not responsible for support beyond the number of years of funding offered, regardless of the form that such support has taken.

Once the Director of the Ph.D. in Education Program has made decisions regarding funding of students, the Director will inform the GSE Office of Administration and Personnel (OAP). OAP staff will, in writing, inform the student of the funding opportunity.

Process/Guidelines for Fellowships and Teaching Assistantships:

- Students must sign a contract.
- Students are assigned to a department (Learning and Teaching; Educational Theory, Policy, and Administration; or Educational Psychology)
- Students with Teaching Assistantships must teach one class each semester.
- Full-time teaching assistants are entitled to full tuition remission and fee waiver.
- Part-time teaching assistants are responsible for certain costs of tuition and fees.

Process/Guidelines for Graduate Assistantships:

- Students must sign a contract.
- Students’ stipends are covered by grant budgets.
- Students work with a department/faculty member on certain projects.
- Full-time graduate assistants are entitled to full tuition remission and fee waiver.
- Part-time graduate assistants are responsible for certain costs of tuition and fees.

The Ph.D. Funding Sources document, available on [Canvas Ph.D. in Education - Student Site](#), describes the types and amount of funding provided for each of the funding sources available through the GSE.

ACADEMIC INTEGRITY

The University policy on academic integrity covers cheating, plagiarizing, fabricating, denying others access to materials they need for research or coursework, and facilitating others’ violations of the academic integrity policy. While there are four levels of violation of the academic integrity policy, all violations of this policy are considered “potentially separable” (i.e., grounds for dismissal from the University). Most issues of academic integrity in the GSE have involved plagiarism and the inappropriate citation (or lack of citation) of others’ work. These issues can usually be addressed through proper citation. Further information about the academic integrity policy can be found [here](#).

TERMINATIONS AND APPEALS

Students whose GPA falls below 3.25, who receive one F, or who receive three or more Cs shall be considered to be making less than satisfactory progress. They shall then be subject to the policy described below.

Terminations

Students may be required to terminate their graduate studies and withdraw from the SGS if they fail to maintain satisfactory academic or professional standards in any phase of their graduate programs. Conditions imposed at the time of admission must be satisfied by each student. Non-adherence to the schedule of Time Limits for Degrees may constitute a basis for termination.

When such problems occur, the Ph.D. in Education Program notifies the student in writing of its concern about the student's performance. Such a warning specifies the source of the concern, the applicable program or graduate school rules, and the proposed action. Warnings specify when and on what basis a recommendation for academic dismissal will be considered by the faculty. A probationary period of one semester is typical. (In cases of extremely poor performance, the program faculty may determine that a probationary period is not justified and may move directly to a recommendation for dismissal.)

Following the probationary period, a student who fails to meet the provisions of the warning is considered by the faculty for dismissal. A faculty vote is recorded on any motion to recommend dismissal, and the student is provided with a written statement of the faculty action and its rationale.

When termination is recommended, the Graduate Program Director communicates in writing to the Dean of the SGS the specific reasons involved, all warnings communicated to the student, the faculty procedures and actions leading to the recommendation, the recorded faculty vote for dismissal, and the mailing address of the student. The student's actual letter of termination comes from the Dean of the SGS. Subsequently, the student's transcript will bear the notation, "Academic Dismissal."

Appeals

Whenever possible, student academic appeals are handled within the Ph.D. in Education Program. The student should take the issue to the Director of the Ph.D. in Education Program for review and mediation. The Director consults with all parties and proposes a resolution. If this is unsuccessful, the matter is referred to a faculty committee, as designated in the bylaws of the program. The committee may consult with anyone it chooses in order to determine a recommendation in the matter. In extraordinary cases, it may ask third parties in the faculty to review the decision that is being appealed.

While action within the faculty committee typically is final, a student may appeal to the SGS if they feel the decision is unfair. Each case is reviewed by a representative of the Dean of the SGS who attempts to informally resolve the dispute. Should the issue remain unresolved, the student is notified in writing that they may request that the dispute be brought to the Appeals Committee. Such a request must be made within 30 days of notification.

The Appeals Committee hears appeals that have not been resolved by the SGS. The student must make their case in writing. A written response to the student's statement is solicited from the Director of the Ph.D. in Education Program. The committee typically bases its judgment on written submissions only.

However, should the committee deem it necessary, it may call upon the student and/or a faculty member (or members) for written or oral responses to questions raised by the committee.

A student may request an appearance before the committee. If committee members believe an appearance is warranted by unusual circumstances, they may allow the student to appear before them. They may, however, limit the amount of time granted, which typically does not exceed 30 minutes. The committee reports its recommendations to the Dean of the SGS who makes the final decision.

MASTER OF ARTS FROM THE SCHOOL OF GRADUATE STUDIES

Students are eligible to receive a Master of Arts (M.A.) from the School of Graduate Studies upon completion of 30 credits taken at Rutgers. These credits are eligible to be counted toward Ph.D. requirements in the student's concentration, will be accumulated while pursuing the requirements of the Ph.D. in Education Program, and will adhere to the guidelines related to transfer of credits, undergraduate courses, and other policies for M.A. degrees as described in the Graduate School Catalog.

The 30 credits required for the M.A. include six credits in the two proseminars (16:300:501 and 16:300:503). Additional courses are approved by advisors and by the Director of the Ph.D. in Education Program. Courses may include up to four methodological courses, which include the following but may also include other courses: 16:300:509, 16:300:511, 16:300:513, 16:300:515, 16:300:517, 16:300:519, 16:300:520. Courses may include up to one pre-thesis research course (16:300:600). Courses may include up to three Graduate School courses outside the Graduate School of Education (i.e., outside School 15 courses or School 16:300 courses).

In addition to fulfilling all course requirements, students are eligible to receive the Master of Arts degree in one of two ways:

1. successfully completing and passing the Ph.D. Qualifying Examination; or
2. successfully completing an independent research paper that is considered of sufficient quality to be designated a master's thesis; the thesis must be recommended by the advisor and approved by the Ph.D. Executive Committee.

In order to be granted the Master's degree, the student must complete the SGS Master's Degree Application. Please review the [degree application checklists](#) for full instructions.

APPENDIX A: APPROVED POLICIES FOR PH.D. IN EDUCATION PROGRAM

Requirements/Guidelines for University-level Teaching Experience

Adopted November 20, 2015

One of the goals of the Ph.D. Program in Education is to prepare students to be teachers at the university level. As stated in the program handbook, Competency #7: Students should develop expertise in teaching university-level courses related to their area of research. This is considered to be an especially important goal because it is expected that many graduates will obtain employment at academic institutions where teaching will be part of their responsibilities.

Additionally, the School of Graduate Studies (SGS; formerly the Graduate School-New Brunswick) has its own Ph.D. Degree Learning Goals, including:

Learning Goal 3: Prepare to be professionals in their discipline.

As suggested by the SGS (formerly GSNB), both the School of Graduate Studies and the graduate programs have an obligation to help students achieve this goal by:

- evaluating teaching effectiveness of instructors in graduate courses and working with instructors to improve effectiveness if it is below expectations; and
- aggregating evaluations of teaching effectiveness of graduate student instructors (Goal 3).

Student Requirements

In order for Ph.D. students to demonstrate competency in teaching at the basic level and at the advanced level, they must fulfill the following requirements:

- be formally observed and have a record of that observation,
- ensure that student course evaluations (SIRS) have been completed and have a record of those evaluations,
- write a teaching philosophy statement that has been formally reviewed,
- prepare a portfolio of teaching materials/artifacts.

Note: Not all students will have the opportunity to teach their own course for a full semester. For example, students may co-teach with a faculty member or teach only a selected number of lessons within a course. Therefore, the SIRS evaluation requirement may be waived in such instances. However, even in these more limited teaching experiences, students should be expected to fulfill the remaining requirements.

Note: Students who have taught and have a SIRS evaluation should develop a portfolio; however, the observation requirement can be waived for students who taught before 2016 and did not have a formal observation by their faculty advisor or a faculty member. The observation requirement goes into effect beginning in Spring 2016.

Faculty Responsibilities

Each Ph.D. Program faculty member should serve as the primary source of Teaching Assistant (TA) training by providing thorough course-specific supervision and evaluation and by providing guidance with regard to discipline-specific instruction in pedagogy. One strategy for carrying out this responsibility might be co-teaching with a student for one semester and then allowing the student to teach a class independently during the next semester. In addition, faculty must ensure that students fulfill the aforementioned requirements and assist in the completion of these requirements where appropriate.

Note: In such instances where students are co-teaching or only teaching a selected number of lessons, the SIRS evaluation requirement may be waived. However, it is the faculty member's responsibility to provide students with opportunities to fulfill the remaining requirements, even in situations where students may not be teaching their own course. For example, if students are only teaching a certain number of lessons, please make sure they are observed for at least one of these lessons. Further, students should have enough teaching experience to prepare a meaningful portfolio and to have a sense of their teaching philosophy.

Note: For students who have taught before 2016 and have a SIRS evaluation and a portfolio but who have not been formally observed by their faculty advisor or a faculty member, the observation requirement may be waived. The observation requirement goes into effect in Spring 2016. It is the faculty member's responsibility to ensure that students who are teaching (whether it be their own course, co-teaching, or selected lessons) be formally observed before they graduate.

Guidelines on Time for Review and Assessment of Qualifying Papers, Theses, and Dissertations

Adopted February 19, 2016

The Graduate School of Education (GSE) Ph.D. in Education Program requires a culture of mutual respect between students and faculty members that includes excellent communication throughout the entire community. In particular, students must allow sufficient time for faculty members to review and assess their work, and faculty members must be as prompt as circumstances allow in responding to their students with such assessments.

Further, it is the responsibility of advisors and students to keep committees informed and engaged throughout the process of the student's research and to ensure that committees are given adequate time to assess the final product before it is defended.

In an attempt to make expectations explicit for faculty and students, the GSE Ph.D. faculty endorses the following guidelines concerning both the lead time that students allow for review and assessment of qualifying papers, theses, and dissertations and the response time for faculty members to inform students of such assessments and to provide feedback.

- Students should alert faculty members to their intention to submit work at a certain time, and faculty members should indicate their expectations for the timing of their responses.
- At least two weeks (but not more than four weeks) should be allowed for faculty members to provide any written feedback to students for any intermediate work products. These expectations should be discussed and clarified for students and faculty.
- As a general rule, materials should be submitted by students at least two weeks before a qualifying examination or dissertation proposal defense. Dissertations should be submitted to committees at least one month before the defense.
- Exceptional circumstances may lead to adjustments to these guidelines. In such cases, faculty and students should communicate clearly so that expectations are explicit and documented so that they are understood by all parties. Exceptions may include end-of- semester "crunch," faculty members in the field without good access to the Internet, and medical incapacity.
- If revisions are needed to any submissions, expectations for completion should be established and agreed upon by committees and students. Students are expected to meet the established dates to the extent possible. If students require more time, they are expected to inform their advisor, in writing, about the status and revised completion date.

Approval and Dissemination of New Program Policies

Adopted February 19, 2016

One of the responsibilities of the Ph.D. faculty is to review and approve various policies that guide the everyday functions of the Ph.D. in Education Program. As such, this policy is proposed to make explicit the process for review, approval, and dissemination of new Ph.D. in Education Program policies.

The Director of the Ph.D. in Education Program will distribute the proposed policy or the revision of existing policy at least one week before the Ph.D. faculty meeting during which the proposed policy or policy revision will be discussed. Faculty members are expected to review the proposed policy or policy revision and be prepared to discuss at the upcoming Ph.D. faculty meeting.

Ph.D. faculty members will discuss the proposed policy or policy revision at the scheduled Ph.D. faculty meeting and vote to accept the proposed policy/policy revision as is, accept the proposed policy/policy revision contingent on agreed-upon revisions, or reject the proposed policy/policy revision.

Approved/adopted/revised policies will be posted to the GSE Ph.D. in Education Faculty Portal and the GSE Ph.D. in Education Portal on Sakai. Additionally, approved/adopted/revised policies will be added to the Ph.D. in Education Program Handbook.

Cognate Requirement Policy

Adopted April 15, 2016

Purpose

The purpose of this policy is to establish guidelines for the cognate requirement for all Ph.D. in Education students.

What is a Cognate?

A cognate is an area of study that is different from a student's concentration but is related to the concentration in some way. For example, students whose concentration is in Theory, Organization and Policy might take courses in History, Philosophy or Policy to further develop their expertise. Students in the Learning Sciences might likewise take courses in Philosophy, Linguistics or Psychology. Students might also take courses to further develop methodological expertise. The cognate is intended to provide students with a comprehensive understanding of a closely related area of study so that students can then synthesize information from the cognate with information in their concentration, with the opportunity of creating new knowledge.

Requirements

Students in the Ph.D. in Education program are required to take two cognates. These are typically taken outside the GSE, either in other schools within Rutgers University or at another institution. It is expected that the faculty advisor will consult with the student to select appropriate cognate courses outside of the GSE.

In some cases, however, an independent study (inside or outside the GSE) or a course within the GSE can satisfy the intent of the cognate. In each of these cases, in addition to obtaining the approval of their faculty advisor, the student must also submit to the program (TOP/LCID) coordinator and the Director of the Ph.D. in Education Program a written explanation/justification indicating how the independent study or GSE course is appropriate for consideration as a cognate. Without such approval, the program reserves the right to not give credit for satisfaction of the cognate requirement.

The Master's Degree

Adopted November 11, 2016

Students are eligible to receive a Master of Arts (M.A.) from the School of Graduate Studies (SGS; formerly the Graduate School-New Brunswick) upon completion of 30 credits taken at Rutgers and passing the Ph.D. Qualifying Examination. Credits are eligible to be counted toward Ph.D. requirements in the student's concentration, will be accumulated while pursuing the requirements of the Ph.D. in Education Program, and will adhere to the guidelines related to transfer of credits, undergraduate courses, and other policies for M.A. degrees as described in the School of Graduate Studies Catalog.

The 30 credits required for the M.A. include six credits in the two proseminars (16:300:501 and 16:300:503). Additional courses are approved by advisors and by the Director of the Ph.D. in Education Program. Courses may include up to four methodological courses, which include the following but may also include other courses: 16:300:509, 16:300:511, 16:300:513, 16:300:515, 16:300:517, 16:300:519, 16:300:520. Courses may include up to one prethesis research course (16:300:600). Courses may include up to three SGS courses outside the Graduate School of Education (i.e., outside School 15 courses or School 16:300 courses).

In addition to fulfilling all course requirements, students are eligible to receive the Master of Arts degree in one of two ways:

1. successfully completing and passing the Ph.D. Qualifying Examination; or
2. successfully completing an independent research paper that is considered of sufficient quality to be designated a master's thesis; the thesis must be recommended by the advisor and approved by the Ph.D. Executive Committee.

In order to be granted the Master's degree, the student must complete all necessary paperwork (Admission to Ph.D. Candidacy Application and Master's Degree Application).

GRE Waiver

Adopted December 15, 2017

Background: Currently all applicants to the Ph.D. in Education program are required to submit GRE scores with their application. In Fall 2017, the School of Graduate Studies (SGS) gave individual programs flexibility in waiving GRE requirements for applicants. These options were discussed at the Ph.D. Faculty meeting in October 2017. This policy reflects discussion and votes on each of the options offered by SGS.

All applicants must submit scores from the GRE or an alternative approved higher education admissions test. Scores should be no more than five years old. However, with the approval of the Ph.D. Director, scores slightly older may be allowed. The approved alternative set of tests is limited to the MCAT, LSAT, and GMAT. Students will continue to be encouraged to take the GRE, but this policy recognizes the financial burden of taking multiple higher education admissions tests. In addition, students who have already received a doctorate degree in another field will be granted a waiver.

Policy for School of Graduate Studies (SGS) Conference Travel Awards

Adopted April 17, 2019

The School of Graduate Studies (SGS) now provides the Ph.D. in Education Program a block of funds for the Program to distribute as it sees fit. There are a number of competing goals that are relevant to how funds are distributed. They include equity, providing meaningful (substantial) support, and acknowledging outstanding work. In prior deliberations, considerations of equity and providing meaningful support were overwhelmingly deemed to be of highest priority.

Therefore, we recommend the following, effective 2019-2020:

- The pool of money will be divided into a set of awards that will be approximately \$500 per student.
- Student priority for the awards will be established by considering the following:
 - Length of tenure: Students who are in their third through sixth year will receive priority consideration.
 - Prior awards: Students who have not received prior awards from this source will receive priority consideration.
 - Status of conference: National and international conferences will receive priority over local conferences.
- All awardees are required to be first authors and presenters of conference papers.

The Executive Committee will apply these priorities and develop the annual list of awardees.

Rights and Responsibilities for Doctoral Students in the Graduate School of Education

Approved by the SGS Executive Committee, December, 2018

Introduction

A major purpose of doctoral education programs associated with the Graduate School of Education at Rutgers University is to support student professional development in order to contribute to research, scholarship, practice, policymaking, and the larger communities in which they participate. Such development requires independent judgment, academic rigor, and intellectual honesty. It is the joint responsibility of faculty and graduate students to work together to foster these ends through relationships that encourage freedom of inquiry, demonstrate personal and professional integrity, and foster mutual respect. This shared responsibility extends to all of the endeavors of graduate students—as students, employees, and as members of the larger academic community. (Minnesota R&R)

High-quality graduate education depends on the professional and ethical conduct of the participants. Faculty and graduate students have mutual responsibilities in the maintenance of academic and professional standards and the creation of high-quality graduate programs. (Minnesota R&R). It is important to be mindful however, that there is an inherent power differential between faculty and students that affects all interactions, whether intended or not. The issue of inherent power differential is elaborated upon later in the document.

This document is specifically focused on doctoral-level education and the relationships, dynamics, and expectations that should characterize doctoral education. There are expectations that are governed by state and federal law as well as by Rutgers University and School of Graduate Studies policies. In

addition, these expectations are governed by professional codes of ethics that define rights and responsibilities of all members of the Rutgers community. Nothing in this document supersedes or acts as a substitute for those laws, policies, and codes.

This purpose of this document is to provide a general framework of guidance for faculty and graduate students with regard to academic issues as well as personal issues that can arise over the course of the graduate student experience. This document is not a legally binding document. It is a statement of principles to be used as guidance and support for members of the community on actions that need to be taken and policies that need to be enacted by the respective graduate programs.

Guiding Principles

All doctoral students associated with the Graduate School of Education have the rights and responsibilities to:

- A. be respected as autonomous individuals and to respect other students, staff, and faculty as autonomous individuals;
- B. be free from discrimination, including harassment based on political grounds or for reasons of race, religion, age, gender, sexual orientation, citizenship, ethnic origin, national origin, ancestry, disability, marital status, or medical condition, and to avoid acting in any of these discriminatory ways toward others;
- C. express views and participate in the political processes of Rutgers University and Graduate School of Education and not censor the views or participation of other students engaged in these political processes;
- D. be provided with clear information about program policies and procedures;
- E. be provided with clear communication about academic status;
- F. receive timely and useful feedback on their work, including papers associated with major steps toward degree completion, and give faculty appropriate time to provide feedback;
- G. be given opportunities to participate in research and research dissemination;
- H. be recognized appropriately and recognize others for research and/or other contributions;
- I. receive clear and appropriate requests and expectations about research or other engagement, including tasks, time, and authorship;
- J. employment relationships that respect appropriate and defined boundaries of time and interaction and meet employment obligations in a professional manner;
- K. expect all faculty to conduct research in accord with professional standards;
- L. communicate concerns about perceived violations of any of the rights claimed within this document as well as concerns about any reprisals for exercising rights claimed within this document; and
- M. have a faculty member be appointed as the GSE ombudsperson who will act as an independent advisor whose primary purpose is to protect the interests of all members of the GSE community.

Elaborations

- A. Students are to be respected as autonomous individuals. They do not cede any rights of autonomy, independence, or control of their personhood because they are graduate students.

Students as well as faculty should adhere to the code of responsible conduct and professionalism in graduate education (see <https://gsnb.rutgers.edu/code-responsible-conduct-and-professionalism-graduate-education>).

- B. Graduate students are protected from all forms of discrimination as described in Title IX of Rutgers anti-discrimination policy.

If there are interactions with faculty that are of concern to a student or that result in a student feeling uncomfortable with decisions, actions, or verbalizations (spoken or written) the student has the right to report these concerns and seek advice from one of several individuals, at the student's discretion. These individuals include:

1. Director of the student's doctoral program
2. GSE ombudsperson
3. [SGS ombudsperson](#)

These individuals are responsible for addressing the students' concerns by both:

1. providing information about the available avenues for resolving concerns, complaints, and appeals, consistent with and adhering to program bylaws, SGS bylaws, and the requirements for mandatory reporting of inappropriate behaviors;
2. working with the student to contact relevant parties or take next steps to address the concerns. Based on discussions with the student, in some cases it may be appropriate for the Director or Ombudsperson to initiate those contacts or take next steps.

Among the relevant documents that students raising concerns should be provided include:

- *Rutgers, The State University of New Jersey Discrimination, Harassment, Workplace, Violence, Sexual Misconduct and Retaliation Complaint Process: Complaints Against University Employees and Third Parties (see Referenced Policies)*
- *Rutgers University Committee on Sexual Harassment Prevention and Culture Change (in policy folder)*

- C. Students have full rights to participate in political processes of Rutgers University and Graduate School of Education. Providing such participation does not result in discrimination, harassment, or harm of other students, students' participation or statements, either written or oral, are not relevant to their performance or evaluation in the program and should never be held against them in any academic interaction.

Should the rights of any student be abrogated in any way, the affected student, as well as faculty or students who are aware of this violation of student rights should report concerns to either:

1. Director of the student's doctoral program
2. GSE ombudsperson
3. [SGS ombudsperson](#)

It is important to note that there are aspects of program governance to which students may contribute while there are others for which it is inappropriate, as defined by:

SGS Statement of Principles Concerning Graduate Student Participation in Program Governance (see Appendix)

- D. Students should be informed about all requirements of their program. These requirements should be communicated to students upon admission to the program. Students should be provided information about average time ranges to complete various stages of the degree program. Students who are funded should be made aware of all details and requirements of particular funding streams. Information about opportunities for funding should also be provided to students. This information is to be provided on the GSE website as well as in Program Handbooks.
- E. Students should be provided clear communications about their academic status. Communication should be regular and address all aspects of academic progress.

1. Regarding coursework, students are entitled to prompt, thorough, and helpful feedback about their academic progress. The specific requirements are detailed in the Guidelines on Time for Review and Assessment of Qualifying Papers, Theses, and Dissertations (see Appendix). These requirements should also be included in Program Handbooks as well as any Rutgers GSE Faculty Handbook that is developed.
2. Advisors should provide regular feedback to students about their progress in terms of coursework and research, as well as other relevant issues. Such feedback can be both formal and informal and provided in a professional, constructive manner. Informal feedback can range from offering constructive critique of written student work products and oral discussions. More formal feedback includes letters of evaluation that provide summaries of student progress, for example.

At a minimum, advisors and advisees should meet four times/year. It is the responsibility of the faculty member to ensure that such meetings are arranged. An explicit, written agenda should be communicated by the faculty member to the student in advance of the meeting. In most cases, it is appropriate that the student and faculty member jointly agree to the agenda of the meeting.

3. The Program, in consultation with advisors, should provide to students annual feedback that includes an evaluation of overall progress with respect to Program goals as well as recommendations for moving forward.

(SGS Policies on Academic Standards, Warning, Dismissals, Appeals, Credits and Registration)

Students should receive feedback about their work on a timely basis as detailed in the Guidelines on Time for Review and Assessment of Qualifying Papers, Theses, and Dissertations.

- F. Students should be provided meaningful opportunities for professional training. They should be given opportunities from the outset of their graduate career to engage in substantive and increasingly independent scholarly and professional activities. They should have opportunities to attend conferences and present their research in the forms of publications, conference presentations, and through community engagement. Professional training should include socialization into the norms of the discipline, information about professional associations and conferences, job interview skills, career options, standards of conduct and professional ethics, and the basic intellectual skills required to be successful practitioners of the discipline.
- G. Students should be recognized as authors of any publications or presentations in accordance with professional standards. Order of authorship should reflect the relevant contributions of

participants in the work. As a matter of practice, students and faculty should have a shared understanding of authorship prior to the write-up of the work. While this can change if planned magnitude of relevant contributions changes during the preparation of the work, any changes from original agreements should be discussed and agreed to as well. If students have concerns about their contributions being recognized they should seek assistance from the director of the doctoral program or the appropriate ombudsperson.

See the following information for guidance with regard to authorship issues:

- <http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html>
- <https://grad.uw.edu/navigating-authorship-conflicts/>
- <https://apastyle.apa.org/products/publication-manual-7th-edition>

H. The student-faculty relationship is inherently one of unequal power. Students should not be required to take on work for faculty unless the student perceives the work as advancing their own academic interests or students are explicitly compensated for such work. Therefore, for any advisor-advisee relationship, or any relationship in which a student is working with a faculty member, regardless of whether the student is receiving any type of financial support the following principles hold:

1. Students should never be asked to take on tasks for faculty that fall outside their student or employment responsibilities. These include, but are not limited to:
 - a. doing personal errands for the faculty member;
 - b. taking on any teaching duties for the faculty member;
 - c. taking on any type of research tasks for projects or work that are not part of the specific research studies in which students are either collaborators or are compensated; and
 - d. taking on any type of administrative duties for the faculty member.
2. Expectations should be clear, explicit, and formalized. When students are asked to engage in work with a faculty member, the details should be discussed in a scheduled meeting that has an explicit set of goals and an explicit set of documented outcomes. The documentation should include specific task requests and expectations for time, performance, and outcomes. Once agreed upon the documentation should be shared with the Program. (sample standardized agreement form will be needed).
3. Students need to coordinate any work requests within their own schedules and are not on-call. Students should be expected to do the work to which they have agreed, but they are not obliged to take on tasks that have not been agreed upon. Faculty need to respect these boundaries and not put students into positions in which they feel they need to respond to tasks not previously agreed upon. Should, in the student's view, these boundaries be violated, the student should contact the Program Director or GSE Ombudsperson, either of whom can then address the issue with the faculty member.
4. Communication norms between faculty and students should adhere to professional norms of the workplace. The primary mode of unscheduled communication should be e-mail. Contact by phone or other means should occur within the normal workday unless jointly agreed to and within the scope of defined and agreed upon work.

Students should not be contacted by phone, text, or other means unless previously scheduled.

5. There shall be no private agreements between students and faculty. This includes terms of work or behavior. Any type of non-disclosure agreement is not permitted without express written consent by the Program Director.
- I. Students are expected to conduct research in accord with the *AERA Code of Ethics* (Adopted February 2011).
- J. Students are entitled to raise concerns described in this document with other trusted faculty members, the director of the doctoral program, the appropriate ombudsperson, or other resources at Rutgers University. Students have an expectation that their concerns will be treated confidentially unless such behaviors constitute a legal or ethical breach that the Program is obligated to pursue as an agent of the University. Students should expect to be free from reprisal for raising any concerns. Any attempts at reprisal by a faculty member will be treated as a serious violation of responsibilities to the Program and can result in sanctions by the Program.

The Program prohibits retaliation against students who, in good faith, assert their right to bring a complaint, participate in an investigation, or protest conduct prohibited by the policies in this document. Retaliation by faculty will be treated as a separate infraction from any original complaints or concerns.

- K. A faculty member will be appointed by the GSE Dean as the GSE ombudsperson who will act as an independent advisor whose primary purpose is to protect the legitimate interests of the students, faculty and Program. In providing advice and recommending resources (see Ombudsman SGS policy) (we need to appoint ombudsperson)

Referenced Policies

- [Discrimination, Harassment, Workplace Violence, Sexual Misconduct and Retaliation Complaint Process: Complaints Against University Employees and Third Parties](#)
- [The School of Graduate Studies Code of Responsible Conduct and Professionalism in Graduate Education](#)

Resources

- [SGS Problem Resolution](#)
- [University Code of Student Conduct](#)
- [Office of Violence Prevention and Victim Assistance](#)
- [Compliance & Title IX](#), to report an incident
- [Counseling, Alcohol and Other Drug Assistance Program & Psychiatric Services](#)
- [University Ethics and Compliance](#)

Based on the [Rutgers RWJ Medical School Student Handbook](#).

SGS Committee on Responsible Conduct and Professionalism in Graduate Education: Susan Albin, Joan Bennett, Beth Leech, Diana Sanchez, Kristen Syrett, Nancy Walworth.

Policy on Progress Expectations for Full-time/Part-time Students

The purpose of this policy is to set forth an expected progress trajectory for full-time students in the Ph.D. in Education program. Student progress will be evaluated in light of these expectations as part of the annual student review process. These expectations are guidelines only. The program recognizes that there may be circumstances that lead to slower progress and need to be taken into account when evaluating the student. This can include, but is not limited to, students taking a leave of absence or enrolling as matriculation continued.

Research

Students should be actively engaged in research throughout their graduate career, taking on increasingly independent and leadership roles in conducting research. Evidence of such participation will be observed in publications, presentations, and other forms of research communication.

In addition, the student should have completed:

- Prethesis Research 1 by the end of Fall Year 2; and
- Prethesis Research 2 by the end of Fall Year 3.

Coursework

Students are required to complete 48 credits of coursework, though a very significant proportion of students transfer credits from previous graduate level work.

For full-time students all coursework (including Prethesis Research) should be completed by the end of Year 3. Coursework should be completed in a highly satisfactory manner (i.e., most grades should be in the A range).

Qualifying Examination

The qualifying examination should be completed by the end of Year 3.

Teaching Requirement

Students should satisfy the program teaching requirement by the end of Year 4.

Dissertation Proposal

An approved dissertation proposal should be completed by the end of Year 4.

Degree Completion

The dissertation and all degree requirements should be completed by the end of Years 5-6.

Part-time Students

Part-time students will often progress more slowly. Nevertheless, it is important that these students:

- stay active in research throughout their graduate career;
- demonstrate steady and appropriate progress in their coursework;
- complete their qualifying examination no later than Year 5;
- move forward with their dissertation proposal and dissertation in a manner that demonstrates steady progress; and
- satisfy the program teaching requirement.

Work Expectations Form Agreement

Students work with faculty in various ways. One way that a student works with faculty is as a scholarly collaborator where the student's work will be recognized via authorship. A student engaged in this type of work may or may not be separately compensated depending on the particular circumstances involved.

It is legitimate for a student to be asked to carry out research projects without compensation under the following circumstances:

- The student is collaborating on work in which they are making a scholarly contribution and will receive appropriate scholarly recognition.
- The carrying out of such tasks is a necessary part of the student's career development, and they have proactively sought out this opportunity to support their career development.
- The work is part of course requirements, including independent studies.

In these cases, the student's work is voluntary and recognized as being of value by the student.

However, if a student is asked to carry out research tasks that do not meet the aforementioned criteria, the student should receive financial compensation for that work (as a research assistant or graduate assistant). Receiving student support in the form of a graduate fellowship or teaching assistantship does not alter this fundamental principle.

When a faculty member does ask (and compensate) a student for work, that relationship also needs to be bounded in scope (the work that is expected), time (how much time is requested), and communication propriety (contact should be made through Rutgers email or pre-arranged call only during regular working hours).

Therefore: The following agreement should be completed when a student is asked to work with a faculty member in a compensated or voluntary capacity on any project and/or other school- related initiative (e.g., supervising students).

Student name:

Faculty name:

Requested role and project (e.g., research assistant on the learning stuff project):

Description of tasks the student will engage in:

Time commitment (per week or month):

Length of commitment:

Student signature:

Date:

Faculty signature:

Date:

Authorship Agreement Between Graduate Students and Faculty (or for any other collaborations)

It is important to establish expectation for authorship of research papers and other communications as early in the process as possible. Authorship should reflect the substantive contributions of the participants in conceptualizing, designing, executing, and writing up the research.

The following guidelines for publication credit have been articulated in the APA Ethical Guidelines for Research and adopted by AERA:

8.12 Publication Credit

- a) *Psychologists take responsibility and credit, including authorship credit, only for work they have actually performed or to which they have substantially contributed.*
- b) *Principal authorship and other publication credits accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status. Mere possession of an institutional position, such as department chair [added – or faculty advisor], does not justify authorship credit. Minor contributions to the research or to the writing for publications are acknowledged appropriately, such as in footnotes or in an introductory statement.*
- c) *Except under exceptional circumstances, a student is listed as principal author on any multiple-authored article that is substantially based on the student's doctoral dissertation. Faculty advisors discuss publication credit with students as early as feasible and throughout the research and publication process as appropriate.*

Guidelines and criteria for determining authorship are presented on the following page. These clarify both roles in and contributions to various parts of the research.

On the last page is an agreement form that should be completed as early in a study as possible among faculty, students, and any other project collaborators. A separate form should be completed for each publication.

Agreement of authorship order is contingent on each party contributing in the way specified when the agreement was made. Should any party not contribute to the authored work in the manner anticipated by the agreement, it is appropriate to revisit the order of authorship after a reasonable amount of time. This includes situations in which a party contributes either less or more than originally agreed upon.

If a student's dissertation is based on a collaborative project with a professor/advisor and the student does not pursue publication within 12 months of completion of the degree, then the faculty member has the right to assume responsibilities for writing up the research with commensurate recognition of that work in terms of authorship.

Guidelines and Criteria for Determining Authorship

(taken from <http://www.uky.edu/~kdbrad2/EPE773Manuscript/AuthorshipAgreement.pdf>)

“Authorship credit should be based only on 1) substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data; 2) drafting the article or revising it critically for important intellectual content; and 3) final approval of the version to be published. Conditions 1, 2, and 3 must all be met. Acquisition of funding, the collection of data, or general supervision of the research group, by themselves, do not justify authorship.”

Authorship contributions should be considered in terms of the following:

- Conception and design
- Acquisition of the data
- Analysis and interpretation of the data Drafting of the article
- Critical revision of the article for important intellectual content
- Final approval of the article
- Provision of study materials or participants
- Statistical expertise
- Obtaining of funding
- Administrative, technical, or logistic support
- Collection and assembly of data

Contract Regarding Publication Intent

As outlined below, we hereby enter into an agreement, consistent with the aforementioned guidelines and criteria for determining authorship, regarding the publication of the research product *tentatively* titled:

FIRST AUTHOR	
Name (print):	Signature & Date:
Percent effort:	
Brief description of basic responsibilities/role on project:	
SECOND AUTHOR	
Name (print):	Signature & Date:
Percent effort:	
Brief description of basic responsibilities/role on project:	
THIRD AUTHOR	
Name (print):	Signature & Date:
Percent effort:	
Brief description of basic responsibilities/role on project:	
FOURTH AUTHOR	
Name (print):	Signature & Date:
Percent effort:	
Brief description of basic responsibilities/role on project:	

Second-Year Student Review Process

Purpose

The Ph.D. in Education program reviews and provides feedback to all students every year. The purpose of this second-year student review process is to provide an additional program review of funded students that will be used as a basis for recommending continued funding. The review will occur during the Spring semester of the student's second year.

Process

Reviews will be conducted by a committee constituted by the Program Director and Executive Committee. Reviewed materials will include the student's annual progress report, the student's coursework audit, an evaluation letter from the student's advisor, and any other materials the student wishes to submit.

The committee will review the materials and provide to the student a second-year evaluation report that provides an overall assessment of the student's progress together with one of two recommendations.

- The first recommendation, one that is expected to be the most common, is that the student is making good progress toward the degree and that continued funding through the remainder of the student's first five years is recommended barring any extenuating circumstances.
- The second recommendation, one that is expected to be used infrequently, is that the student is not making good progress toward the degree and that, absent improvement, funding will cease after the third year. Students who receive this recommendation will be reviewed by the same committee in the Spring of their third year, and a final recommendation will be made.

Criteria

Reviews will focus on the following issues:

1. Students' coursework should be on schedule, and grades should be strong (i.e., predominantly As). To be on schedule the student will have completed both proseminars, taken at least two methods courses and one pre-thesis course, and be on track for finishing all coursework by the end of their third year.
2. Students should be on track to complete their qualifying examination by the end of their third year.
3. Students should be actively engaged in research during their first two years in the program.
4. Faculty evaluation should be positive and include a recommendation for continued support going forward.

APPENDIX B: OTHER RELEVANT POLICIES

Rutgers Policies

- [Discrimination, Harassment, Workplace Violence, Sexual Misconduct and Retaliation Complaint Process: Complaints Against University Employees and Third Parties](#)

Rutgers School of Graduate Studies

Policies and Procedures

1. [Academics](#)
 - 1.1. [Admissions](#)
 - 1.2. [Making progress through the program: Basic requirements, registration, committees, Individual Development Plans](#)
 - 1.3. [Progress review, academic standards](#)
 - 1.4. [Leave of absence](#)
 - 1.5. [Credit transfers](#)
 - 1.6. [Interdisciplinary doctoral degrees](#)
2. [Collaborations with other institutions](#)
 - 2.1. [Inter-University Doctoral Consortium](#)
 - 2.2. [Big Ten Academic Alliance Traveling Scholars program](#)
 - 2.3. [International partnerships](#)
3. [New courses and certificates](#)
 - 3.1. [New courses and programs](#)
 - 3.2. [University policy on certificates](#)
4. [Academic Integrity Policy](#)
5. [Ombudsperson](#)
6. [Code of Responsible Conduct and Professionalism](#)
7. [University Code of Student Conduct](#)
8. [Rutgers School of Graduate Studies Bylaws](#)

Academic Integrity Policy

Statement of Principles Concerning Graduate Student Participation in Program Governance