



**RUTGERS**

Graduate School of Education

**Ph.D. in Education Program Handbook**  
**Graduate School of Education**  
**Rutgers, the State University of New Jersey**  
**2022-2023**

**Benjamin Justice**  
**Director**  
**Ph.D. in Education Program**

**TBD**  
**Administrative Assistant**  
**Ph.D. in Education Program**

Please note that this is a document that we intend to revise on an ongoing basis. At any point, if you use this document and find information incomplete, incorrect, or ambiguous, or if you have difficulty accessing information from any of the links provided, please contact the program Administrative Assistant so that we can revise appropriately.

*Advancing Excellence and Equity in Education*

[gse.rutgers.edu](http://gse.rutgers.edu)

**Table of Contents:** This Handbook contains information and various resources, all of which are organized in the sections listed below, that are integral to your progress as a student in the Ph.D. in Education Program.

<b>Introduction</b> .....	3
<b>Structure of the Ph.D. in Education Program</b> .....	6
<b>GSE Contact Information</b> .....	9
<b>Academic Requirements and Procedures</b> .....	12
<b>The Qualifying Examination</b> .....	24
<b>The Dissertation</b> .....	26
<b>Funding Opportunities</b> .....	28
<b>Academic Integrity</b> .....	30
<b>Terminations and Appeals</b> .....	31
<b>Master of Arts From the School of Graduate Studies (formerly the Graduate School-New Brunswick)</b> .....	33
<b>Appendix: Approved Policies for the Ph.D. in Education Program</b> .....	34

## **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 is part of the [Rutgers School of Graduate Studies](#) (SGS; formerly the Rutgers Graduate School-New Brunswick) and is subject to its [policies](#). Included on the SGS website are resources and forms for students and faculty, including [listings of opportunities](#), [career development](#), and [guidelines for best practices and mentoring in doctoral education](#) (click on "Mentoring").

### *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.

- **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. In particular, 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.

- 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.

- 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.

- 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.

- Teaching. Students will develop expertise in teaching university-level courses. 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. 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.

- 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](#) within the Ph.D. in Education Program prepares students for research in higher education, policy organizations, and governmental/nongovernmental 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](#) 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 a research project during their first year and present that work at the LCID poster session in their second year. All LCID students are expected to work on a research project during their second year and present that work at the LCID poster session 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.

Two areas of study (Learning Sciences and Statistics and Measurement) within the LCID concentration have 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 (SGS; formerly the Graduate School-New Brunswick) 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 (click **Appendix: Approved Policies for Ph.D. in Education Program** to bring you directly to the policy) 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:

1. a teaching statement
2. student evaluations (if you were responsible for a course)
3. a faculty observation of at least one lesson with a written summary by the observer
4. 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 (GSE) 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 Directory, and click [here](#) for the full GSE Staff Directory.

### **Dean's Office**

Wanda J. Blanchett, Dean  
wanda.blanchett@gse.rutgers.edu

Tiffany L. Mayers, Senior Administrative Assistant to the Dean 848-932-0748  
tiffany.mayers@gse.rutgers.edu

### **Ph.D. Program Direction**

Benjamin Justice, Director, Ph.D. in Education Program  
ben.justice@gse.rutgers.edu

Steve Barnett, Coordinator, Theory, Organization, and Policy (TOP)  
sbarnett@nieer.org

Ravit Golan Duncan, Coordinator, Learning, Cognition, Instruction, and Development (LCID)  
ravit.duncan@gse.rutgers.edu

Office of Administration and Personnel

Robert Allison, Senior Director, Finance & Administration 848-932-0754  
robert.allison@gse.rutgers.edu

Terri Bolla, Grants Manager 848-932-0620  
terri.bolla@gse.rutgers.edu

Vallarine Paynter, Business Manager 848-932-0757  
vallarine.paynter@gse.rutgers.edu

Department Administration

Jennifer Manson, Administrative Assistant, Department of  
Learning and Teaching  
848-932-0789  
jennifer.manson@gse.rutgers.edu

Nicole Symonds, Administrative Assistant, Department of  
Educational Psychology  
848-932-0846  
nicole.symonds@gse.rutgers.edu

Office of Student and Academic Services

Jalise Clark, Administrative Assistant, Ph.D. in Education Program  
848-932-0741  
jalise.clark@gse.rutgers.edu

Trevor Johnson, Administrative Coordinator  
848-932-0736  
trevor.johnson@gse.rutgers.edu

Matthew Winkler, Assistant Dean, Advisement  
848-932-0737  
matt.winkler@gse.rutgers.edu

Amy Wollock, Senior Assistant Dean, Enrollment Management  
and Academic Affairs  
848-932-0739  
amy.wollock@gse.rutgers.edu

Office of Disability Services

Lucy Stone Hall, Suite A145  
Livingston Campus  
54 Joyce Kilmer Ave  
Piscataway, NJ 08854

Phone: 848.445.6800  
Fax: 732.445.3388  
E-mail: [dsoffice@echo.rutgers.edu](mailto:dsoffice@echo.rutgers.edu)  
[ods.rutgers.edu](http://ods.rutgers.edu)

## **Academic Requirements and Procedures**

**NOTE:** 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.

**1. Please be sure to submit all paperwork/applications with all required signatures (self, advisor, committee member, etc.).**

**2. If anything requires the program director's signature, please submit either via email or in person to the Administrative Assistant for the Ph.D. in Education Program in the Office of Student and Academic Services. The Administrative Assistant will obtain the program director's signature, and the student will be informed when this part of the process has been completed.**

### *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:

- Personal statement
- Letters of recommendation (3)
- Undergraduate and graduate transcripts
- [GRE Scores](#) (Note: GRE General scores are no longer required and will not be considered in the admission decision, EXCEPT GRE scores are required if you are applying to the Statistics and Measurement concentration.)
- [TOEFL](#) (for international students)
- Curriculum Vitae/Resume
- 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 by regular mail the official acceptance letter. 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 contact the Administrative Assistant for the Ph.D. in Education Program in the Office of Student and Academic Services to obtain these special permission numbers.

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 (see [http://catalogs.rutgers.edu/generated/qse\\_current/pg51.html](http://catalogs.rutgers.edu/generated/qse_current/pg51.html))

<b>A</b>	<b>Outstanding</b>	<b>4.0</b>
<b>B+</b>		3.5
<b>B</b>	Good	3.0
<b>C+</b>		2.5
<b>C</b>	Satisfactory	2.0
<b>F</b>	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.

#### From the SGS Handbook:

*Any student incurring grades of Incomplete will be held to the limit of one year for completion of the course. Requests for waiver of this one-year limit must be made by the student, recommended by the course instructor and graduate director, and approved by the Office of the Dean. This waiver should be sought prior to the one-year expiration date. It will not be routinely granted. Students who have more than one Incomplete will be allowed one semester to reduce the number to one (or none), after which they will not be allowed to register for additional courses until these are completed or "abandoned."*

*("Abandoned" refers to a situation in which students have agreed that the course may no longer be completed and the program has agreed to allow them to continue with Permanent Incompletes on their records.)*

### *Permanent Incomplete (PIN) Grades*

*There are situations in which a PIN grade may be warranted.*

*a) Students are restricted in the number of incompletes they may carry. In order to continue to register, a student may choose to "abandon" a course by waiving the privilege of completing it. In such a case the student requests a change from IN to PIN. The PIN is not regarded as an outstanding incomplete and does not hinder further registration, unless it represents part of a pattern which the faculty interprets as warranting a warning or dismissal for unsatisfactory progress.*

*b) Incompletes are to be made up within one year for courses that are offered every year. For courses that are not offered every year, students must make up all coursework by the end of the next semester in which the course is offered. Those not removed in favor of a letter grade may be converted to a PIN to indicate that the option to complete the course has expired.*

For more information on Incomplete grades, please refer to Sections 3.21 and 3.23 in the SGS Handbook found [here](#).

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 & 414 Practicum in Early Childhood/Elementary Education I & II

15:230:701 Dissertation Study Ed Admin

15:251:671 & 672 Practicum in Early/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. A CHANGE OF GRADE FROM A LETTER TO ANOTHER LETTER 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*

Prior to receiving a special permission number from the Administrative Assistant for the Ph.D. in Education Program, students and advisors are asked to complete and submit the [Independent Study Form](#). The form simply asks for 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. The pre-thesis plan, including expected outcome(s), should be shared with Ph.D. in Education Program upon course registration. Prior to receiving a special permission number from the Administrative Assistant for the Ph.D. in Education Program, students and advisors/instructors are asked to complete and submit the [Pre-thesis Research Form](#). The form simply asks for 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 (formerly GSNB) 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 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 (formerly GSNB).

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 (formerly GSNB) 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 his or her 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.

A Transfer of Credit Application, found [here](#), must first be approved by the student's advisor (can be approved via email). Then the student can submit via email the application, as well as

the email indicating the advisor's approval, to the Director of the Ph.D. in Education Program for approval. The completed application must then be submitted to the SGS (formerly GSNB).

*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 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 laboratory work must register for at least one credit of research per semester until they have completed their degrees, even if this results in accumulations of research credits beyond the minimum required for the degree.

### *Changes in Active Status - Permanent or Temporary Leave*

#### Matriculation Continued (only during coursework or before qualifying exam)

Students who are unable to be actively involved in coursework for a given semester may register for Matriculation Continued. This keeps the student "active" in the program. Doctoral students who have not taken their qualifying exams and have completed their coursework may use this registration for a maximum of two semesters until such time that the qualifying exam has been completed and research registrations may begin.

Once students register for Research in Education and are post-qualified, they cannot register for Matriculation Continued. They must register for at least one credit of research.

If a student has an emergency, they may contact Barbara Sirman at the SGS (formerly GSNB) for approval.

For more information on Matriculation Continued and other changes in active status (e.g., leave of absence), please refer to Section 3.12 of the SGS Handbook, found [here](#).

#### Application for Readmission

The Application for Readmission Form is to be filed any time a graduate student misses one or more semesters of registration and wants to continue matriculating in the same program. The form is to be completed by the student and forwarded to the Director of Ph.D. in Education Program. Upon the director's approval, the form will be sent to the Office of the Dean at the School of Graduate Studies. For doctoral students who have passed the qualifying examination, a Restoration of Active Status form will also need to be completed. Both forms are available at <http://gsnb.rutgers.edu/resources/graduate-student-forms>.

***Please note that readmission is not automatic. The Director and Executive Committee of the Ph.D. in Education Program will take into consideration the Application for Readmission as well as the student's prior performance in deciding whether to recommend that SGS approve readmission.***

### Restoration of Active Status

Any student who has passed the Ph.D. qualifying examination and has not been registered for one or more semesters must file a Restoration of Active Status form. This form is to be submitted with a minimum of one credit of in-state tuition at the current rate per semester missed, up to a maximum of five semesters. Payment is made at the time the Application for Readmission is filed. This form is available at <http://gsnb.rutgers.edu/resources/graduate-student-forms>.

### Withdrawal/Leave of Absence

A student who wishes to withdraw or take a leave of absence from the program must complete a Program Withdrawal - Permanent or Temporary Leave Form, which is available on the [GSE Ph.D. in Education Portal](#) (GSE PhD in Education Portal Resources > Forms). Once the form has been completed, it must be submitted to the Administrative Assistant for the Ph.D. in Education Program in the Office of Student and Academic Services.

If you are registered for a course(s), you must communicate with the Registrar's Office. A student who wishes to withdraw from all courses does so by submitting a written notice to the registrar or by completing a withdrawal form in person at the Registrar's Office. A student who leaves the school without officially withdrawing in this manner will receive a failing grade in each course. The date on which the registrar receives the written notice governs the academic and financial consequences of withdrawal. The privilege of official withdrawal is not granted after the 12th week of classes; a student who leaves the school after the 12th week of classes is considered still officially enrolled and will receive final grades for the semester.

Please note that notification to the instructor, advisor, or school does not fulfill the student's obligation to communicate directly and in writing with the registrar in all matters pertaining to changes in registration and withdrawal.

Contact Information for Registrar:

Registrar Offices  
Records Hall  
College Avenue Campus  
620 George Street, Room 140  
New Brunswick, NJ 08901

Main Phone Number: (848) 445-7000  
Transcripts/Verifications: (848) 445-3220  
Website: <http://nbregistrar.rutgers.edu/>

Office Hours: Monday - Friday  
8:30 AM - 5:00 PM

## School of Graduate Studies (SGS) Academic Leave of Absence Policy

*Approved, as amended, by SGS Executive Council on December 14, 2017*

*Approved by SGS Graduate Faculty on December 20, 2017*

Students in good academic standing, who must interrupt their studies temporarily, should apply for a leave of absence in writing to the Senior Associate Dean through their graduate program directors. A SGS student may be granted a leave (or leaves) of absence for a period not to exceed a total of 12 months.

Written notification of the student's intent to return must be received by the SGS Senior Associate Dean's Office at least one month prior to the expiration of the leave. Registration is not required and funding support may be affected by the leave.

Foreign students holding a student visa who wish to temporarily leave the United States under this policy must obtain permission of their advisor, graduate program director and the SGS Senior Associate Dean's Office 30 days prior to their travel, and should contact the Office of International Services (OIS) to receive last minute advice and most current information. Students granted permission then apply for a new I-20 or DS-2019 in order to return to the U.S. Any foreign student who leaves the United States under this policy without the consent of their Graduate Director is subject to disciplinary action.

Students NOT returning from leave of absence within the approved date may be required to reapply to the Graduate School and undergo a new admissions process.

Ph.D. in Education Program Note: Although registration is not required during a leave of absence, students must be aware that access to certain university websites and resources will be deactivated. If students would like to keep access to these items, they must register for Matriculation Continued (16:300:800). Students are allowed to register for Matriculation Continued for a maximum of two semesters.

### *Enrollment Verification*

When students get to the dissertation stage, many think that they have to register for at least six credits to meet the student loan requirement of at least half time. However, students have the option to register for at least one credit and still meet the loans requirement. To verify their status, students must complete the [Enrollment Certification of Doctoral Students](#) and submit it to Greg Rios in the Registrar's Office.

### *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 request an extension of time by completing the Application for Extension of Time found [here](#).



### *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.

For further assistance, you can contact Michelle Watkinson (732-235-6043) or Farah Anwar (732-235-6041).

## **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 [GSE Ph.D. in Education Portal](#) (GSE PhD in Education Portal Resources > Academics [Courses, Quals, Dissertation, Progress Form] > Qualifying Examination Information and Forms > Qualifying Examination Information).

Once a student passes the qualifying examination, he or she must complete the Doctoral Qualifying Examination Form found [here](#). The student must fill out the information on page 1 and sign/date, then obtain all committee member signatures on page 2. The Administrative Assistant 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 Administrative Assistant will then submit the original completed form to the SGS (formerly GSNB). The SGS (formerly GSNB) will change the student's status from Pre-Qualified to Post-Qualified and send to the student a letter confirming that he or she has passed the exam.

Following the qualifying examination and the committee's decision, the signed Oral Examination Results Form (Qualifying Examination) must also be submitted to the Administrative Assistant for the Ph.D. in Education Program in the GSE's Office of Student and Academic Services. You can find the Oral Examination Results Form (Qualifying Examination) on the [GSE Ph.D. in Education Portal](#) (GSE PhD in Education Portal Resources > Academics [Courses, Quals, Dissertation, Progress Form] > Qualifying Examination Information and Forms > Qualifying Examination Forms). **In addition, an electronic version of the initial statement, reading list, exam questions, and responses, as well as the committee's written recommendation (or written recommendations in the case of a revision of one or more responses) must be submitted to the Administrative Assistant.**

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 defense that indicates approval of the dissertation and authorization for 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 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 [GSE Ph.D. in Education Portal](#) 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 [GSE Ph.D. in Education Portal](#) (GSE PhD in Education Portal Resources > Academics [Courses, Qualls, Dissertation, Progress Form] > Dissertation Information and Forms).

Dissertation Information:

- The Dissertation Committee
- The Dissertation Proposal
- Form and Submission of the Dissertation
- Timeline - Admission to Graduation

Dissertation Forms:

- Dissertation Committee Form
- Oral Examination Results Form (Dissertation Proposal)
- Oral Examination Results Form (Dissertation)
- Dissertation Title Page
- Doctoral Final Defense Form

**NOTE: Proposal defenses must not be scheduled in March.** The Office of Student and Academic Services is extremely busy with doctoral program demands that have to happen in March, most especially, dissertation defenses, because students who wish to graduate in May need to complete all requirements. Because dissertation proposals do not have that same kind of urgency, the Ph.D. in Education Faculty agreed that only final defenses will take place in March. Qualifying exams, because they do not involve much participation by the Office of Student and Academic Services, are not affected and may be scheduled in March.

### *Director's Signature on Behalf of Committee Members*

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 that indicates approval of the dissertation and authorization for 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 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 [GSE Ph.D. in Education Portal](#) 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 (GSE) get funding from three sources:

**Teaching Assistantships:** 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 number of assistantships to assign. Students must have a master's degree to become a teaching assistant (TA). If a student does not enter with a master's degree, he or she must apply for and earn the master's degree through the School of Graduate Studies (SGS; formerly the Graduate School-New Brunswick). Students receive a stipend, health insurance, and other benefits.

**Graduate Assistantships:** 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.

**Miscellaneous Grants and Fellowships:** A variety of other funding sources are available. Some of these are awards made by the University or by the GSE. In other cases, students may apply independently for funding. 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.

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 the [GSE Ph.D. in Education Portal](#) (GSE PhD in Education Portal Resources > RU Funding Opportunities), 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 (formerly GSNB) 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 (formerly GSNB) 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 (formerly GSNB). 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 (formerly GSNB) if he or she feels the decision is unfair. Each case is reviewed by a representative of the Dean of the SGS (formerly GSNB) who attempts to informally resolve the dispute. Should the issue remain unresolved, the student is notified in writing that he or she 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 (formerly GSNB). The student must make his or her 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 (formerly GSNB) who makes the final decision.

## **Master of Arts From the School of Graduate Studies (formerly the Graduate School-New Brunswick)**

Students are eligible to receive a Master of Arts (M.A.) from the School of Graduate Studies (formerly the Graduate School-New Brunswick) 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 prethesis 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 all necessary paperwork (Admission to Ph.D. Candidacy Application and Master's Degree Application, found [here](#)). The Master's Degree Application requires signatures from the following: the student's advisor, the Director of the Ph.D. in Education Program, and a member of the Ph.D. in Education Executive Committee.

## **Appendix: Approved Policies for Ph.D. in Education Program**

### **GSE Ph.D. Program in Education Policy**

#### **Requirements/Guidelines for University-level Teaching Experience**

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.

Adopted November 20, 2015

## **GUIDELINES ON TIME FOR REVIEW AND ASSESSMENT OF QUALIFYING PAPERS, THESES, AND DISSERTATIONS**

### **Graduate School of Education - Ph.D. in Education Program**

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.

Adopted February 19, 2016

## **GSE Ph.D. in Education Program Policy**

### **Approval and Dissemination of New Program Policies**

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.

Adopted February 19, 2016

## **GSE Ph.D. in Education Program Policy**

### **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 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.

Adopted April 15, 2016

## **GSE Ph.D. in Education Program Policy**

### **The Master's Degree**

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).

Adopted November 11, 2016

## **GSE Ph.D. Program in Education Policy**

### **GRE Waiver**

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.

Adopted December 15, 2017

## **GSE Ph.D. in Education Program**

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

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.

Adopted April 17, 2019

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

**APPROVED November 13, 2020 by Ph.D. in Education Faculty**

### 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 Appendix)
  - *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*, Feb 27, 2020)

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).

## APPENDIX - REFERENCED POLICIES

### **School of Graduate Studies Code of Responsible Conduct and Professionalism in Graduate Education**

*for faculty, students, mentors and mentees*

We expect and encourage: Honesty  
and integrity Respect  
and tolerance  
Sensitivity to differences among  
individuals Professionalism  
Attention to goals and  
responsibilities Timely and  
constructive feedback Acceptance  
of constructive feedback

#### Inappropriate behaviors:

Mistreatment, abuse, bullying, or harassment, whether by actions or  
language Unprofessional criticism  
Requests for personal services  
Assigning tasks as punishment or  
retribution Sexual assault or sexual  
harassment Discrimination  
Indifference to inappropriate behaviors that are witnessed

#### Resources:

SGS Problem Resolution: <http://gsnb.rutgers.edu/student-services/problem-resolution>

Code of Student Conduct: <http://studentconduct.rutgers.edu/disciplinary-processes/university-code-of-student-conduct/>

Office of Violence Prevention and Victim Assistance:

<http://vpva.rutgers.edu/> Title IX, to report complaints

<http://compliance.rutgers.edu/title-ix/>

CAPS: <https://sasundergrad.rutgers.edu/academic-standing/student-services/1895-caps>

University ethics and compliance: <https://uec.rutgers.edu/programs/ethics/>

Based on

<http://rwjms.rutgers.edu/education/documents/RWJMSSStudentHandbook.pdf>

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

Approved by the SGS Executive Committee, December, 2018

## **GUIDELINES ON TIME FOR REVIEW AND ASSESSMENT OF QUALIFYING PAPERS, THESES, AND DISSERTATIONS**

### **Graduate School of Education - Ph.D. in Education Program**

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.

Adopted February 19, 2016

**RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY**  
**DISCRIMINATION, HARASSMENT, WORKPLACE VIOLENCE, SEXUAL MISCONDUCT**  
**AND RETALIATION COMPLAINT PROCESS: COMPLAINTS AGAINST UNIVERSITY**  
**EMPLOYEES AND THIRD PARTIES**

---

## I. INTRODUCTION

This Complaint Process is to be followed when a complaint alleges conduct by University employees, including student employees, and/or third parties, in violation of the University's Policy Prohibiting Discrimination and Harassment, 60.1.12 (the "Discrimination Policy"); the Policy Prohibiting Workplace Violence, 60.1.13; the Policy Prohibiting Sexual Harassment, Sexual Violence, Relationship Violence, Stalking and Related Misconduct by Employees and Third Parties, 60.1.28 (the "Sexual Misconduct Policy"); or the Conscientious Employee Protection Policy, 60.1.16 (referred to collectively as "Covered Policies").<sup>1</sup> Information on the prohibited conduct and scope of the Covered Policies is set forth in the respective Policies.

This Complaint Process identifies individuals responsible for receiving, reporting, and handling complaints that fall under the Discrimination Policy, Policy Prohibiting Workplace Violence, Sexual Misconduct Policy, and Conscientious Employee Protection Policy and the steps to be followed regarding such complaints.<sup>2</sup>

## II. REPORTING A COMPLAINT: RESPONSIBILITY FOR RECEIVING AND REPORTING COMPLAINTS

Any member of the University community who believes that he or she has been subject to conduct that violates the Discrimination Policy, Workplace Violence Policy, Sexual Misconduct Policy, and Conscientious Employee Protection Policy is encouraged to initiate a report with the individual responsible for receiving, reporting and handling his or her specific complaint. Information on how to report conduct prohibited by the Covered Policies is set forth in the respective Policies. Individuals with questions about how to report prohibited conduct should contact the Office of Employment Equity.<sup>3</sup>

---

<sup>1</sup> See Policy 60.1.12, the Policy Prohibiting Discrimination and Harassment; Policy 60.1.13, the Policy Prohibiting Workplace Violence; Policy 60.1.28, the Policy Prohibiting Sexual Harassment, Sexual Violence, Relationship Violence, Stalking and Related Misconduct by Employees and Third Parties; and Policy 60.1.16, the Conscientious Employee Protection Policy.

<sup>2</sup> In cases involving an allegation of conduct prohibited by the Covered Policies against a member of the Rutgers University Police Department ("RUPD"), the RUPD may investigate the matter concurrently through its Internal Affairs process, with written notice to the Office of Employment Equity of the complaint and its disposition.

<sup>3</sup> The Director of the Office of Employment Equity ("Director") supervises the operation of the Discrimination Policy (Policy 60.1.12), the Workplace Violence Policy (Policy 60.1.13), the Sexual Misconduct Policy (Policy 60.1.28) and the Conscientious Employee Protection Policy (Policy 60.1.16), as well as this Complaint Process, and also serves as the Title IX Coordinator for employees.

The Director and the Office of Employment Equity staff also are a resource for all members of the University community with regard to questions involving harassment and discrimination and will arrange education and training regarding Policies 60.1.12 and 60.1.28, and the Complaint Process. The Office may be contacted at 848-932-3973 or at [employmentequity@hr.rutgers.edu](mailto:employmentequity@hr.rutgers.edu).

A complaint against a student arising out of his or her conduct as a student should be reported to the Office of Student Conduct.<sup>4</sup> A complaint alleging that a student has committed a sexual assault, sexual harassment, sexual exploitation, stalking, relationship violence, or other form of sexual misconduct, may also be submitted to the Title IX Coordinator, Office of Student Affairs.<sup>5</sup>

### III. PROCESS THROUGH THE OFFICE OF EMPLOYMENT EQUITY

Because conduct implicating the Covered Policies may involve a wide range of behaviors, the way in which a given case is best handled may vary and there are a number of options available to those who believe that they have been subjected to such conduct. An individual may contact the Office of Employment Equity to discuss options available to him or her. These options will depend on a number of factors, including the seriousness of the offense, the amount of evidence presented, the degree of confidentiality sought, and the outcome desired by the individual. The Director, or his or her designee, will provide guidance and assistance to an individual interested in alternative options to a formal complaint and investigation process.

A complainant may also discuss with the Director any interim measures that he or she feels are necessary during the pendency of OEE's resolution process (as set forth below).

A complainant may select an informal or formal resolution process, as described below. An informal resolution process ("informal resolution") focuses on stopping the discriminatory or harassing, or other behavior without a formal investigation. A formal resolution process ("formal resolution") involves an investigation. Depending on the circumstances, both informal and formal resolution processes may be utilized.

Note that additional information pertaining to investigations of alleged violations of the Sexual Misconduct Policy are set forth in that Policy (60.1.28).

#### A. INFORMAL RESOLUTION

The Director, or his or her designee, will provide guidance to a complainant interested in informal resolution. There are various methods available to attempt informal resolution, and the method or methods chosen should be tailored to the particular circumstances. Methods may include but are not limited to: coaching the complainant on how to directly address a situation; assisting the complainant and department with the resolution of a real or perceived problem, such as by mediating a resolution within the department or by aiding in the modification of a situation in which the offensive conduct occurred;<sup>6</sup> and/or arranging a meeting with the alleged offender to discuss the requirements of the Policy. The utilization of the informal resolution process is not a precondition for initiating the formal resolution process.

---

<sup>4</sup> Such complaints are addressed by Policy 10.2.11, Code of Student Conduct. The Office of Student Conduct may be reached at 732-932-9414, or [conduct@rci.rutgers.edu](mailto:conduct@rci.rutgers.edu).

<sup>5</sup> A Title IX Coordinator can be reached on each campus: New Brunswick: 848-932-2406; Newark: 973-353-5541; Camden: 856-225-6422; RBHS: 973-972-0777.

<sup>6</sup> Mediation will never be used to resolve complaints of sexual assault.

## **B. FORMAL RESOLUTION**

### **1. Initiation of Complaint**

The formal complaint process is initiated by submitting a signed, written complaint to the Office of Employment Equity.<sup>7</sup> Upon receipt and review of a complaint, the Director may request additional information from the complainant if it is unclear whether the complainant's allegations raise an issue of a violation of a Covered Policy. If additional information is received and the Director determines that the allegations do not raise an issue of violation of a Covered Policy, the Director will so advise the complainant in writing and close the case. The complainant may appeal the Director's decision to close the case to the Associate Vice President for Labor Relations.

If the Director requests additional information from a complainant, and the complainant does not submit additional information, the Director may cease processing the complaint and will inform the complainant in writing that the case has been closed, and that he or she may resubmit the written complaint with the supplemental information at a later date if he or she wishes to proceed with a complaint at that time.

If the Director accepts the complaint as drafted, he or she will notify the complainant that the case has been assigned for investigation and simultaneously send a copy of the complaint to the respondent<sup>8</sup> and the chancellor, dean, or vice president of the respondent's department, as applicable.<sup>9</sup> The Office of Employment Equity may investigate possible violations of the Discrimination Policy, Workplace Violence Policy, Sexual Misconduct Policy, or Conscientious Employee Protection Policy, regardless of whether the specific policy is identified in the complaint. The Office of Employment Equity will advise the respondent as to which Policies are at issue in the investigation.

### **2. Investigation and Findings**

The Director will instruct an Investigations Specialist in the Office of Employment Equity, or other designee, to investigate the complaint. The investigator will work as expeditiously as possible to conduct a full and fair investigation. Upon completion of the investigation, the investigator will report in writing to the Director, setting forth the steps taken in the investigation and the investigator's findings.

The Director will review the report of the investigator. If the Director finds that the investigation is incomplete or otherwise unacceptable, the Director may request further investigation by the investigator, or may assign a new investigator to the complaint.

Once the investigation is complete, the Director will make a determination as to whether the respondent violated a Covered Policy (or Covered Policies). At this time, the Director shall

---

<sup>7</sup> The individual initiating the complaint (the "complainant") is encouraged to use the Office of Employment Equity Complaint Form that may be obtained from the University Human Resources website: <http://uhr.rutgers.edu/policies-resources/forms>. The complaint is to be submitted to the Office of Employment Equity, 57 US Highway 1, ASB II – Cook Campus, New Brunswick, New Jersey 08901. The fax number is 732-932-0049.

<sup>8</sup> The "respondent" is the individual whose conduct is the subject of the complaint.

<sup>9</sup> The Office of Employment Equity may determine that it is necessary to provide a redacted version of the complaint if the Director determines that providing the respondent with a copy of the unredacted complaint would create a risk of harm to the complainant.

forward a copy of the investigation report,<sup>10</sup> along with his or her letter of determination, to the parties and the chancellor, dean, or vice president involved, as applicable.

### **3. Appeal of the Decision – Discrimination Policy and Sexual Misconduct Policy**

In cases arising under the Discrimination Policy and/or Sexual Misconduct Policy, both parties are afforded one appeal of the Director's determination as to whether or not a violation of the Discrimination and/or Sexual Misconduct Policy occurred, which must be directed to the Associate Vice President for Labor Relations ("Associate Vice President").<sup>11</sup> The parties are given ten (10) working days from the date of the decision letter to submit an appeal in writing. Failure to submit an appeal to the Associate Vice President by the appropriate deadline will render the decision final and conclude the process. The parties only can appeal on the following grounds:

- a. Unsupported Conclusion: The decision made by the Director is not supported by the facts of the case.
- b. Procedural Error: The investigation was conducted unfairly and not in conformity with prescribed procedures. The error committed must be determined to have substantially impacted the fairness of the investigation process.
- c. New Information: There is new information available that was not available when the investigation was pending that is sufficient to alter the original decision.

The Associate Vice President will review all information and make one of the following determinations:

- a. Affirm the finding.
- b. Overturn the finding.
- c. Remand the case for subsequent investigation.

At this time, the Associate Vice President shall notify the parties and the chancellor, dean, or vice president involved of his or her decision in writing.

### **4. Corrective and/or Disciplinary Action**

If the Director reaches a determination that the respondent violated a Covered Policy, and either no appeal is available, the respondent has opted not to appeal, or the Director's determination has been affirmed on appeal, the chancellor, dean, or vice president will determine the appropriate corrective action. Disciplinary action, up to and including termination, may be taken against an employee who is found to have violated a Covered Policy.

---

<sup>10</sup> The Office of Employment Equity may determine that it is necessary to provide a redacted version of the report if the Director determines that providing the respondent with a copy of the unredacted report would create a risk of harm to the complainant. The Director also has the discretion to redact the names of witnesses in order to maintain confidentiality.

<sup>11</sup> The Director's decision as to whether or not a violation of the Workplace Violence Policy or the Conscientious Employee Protection Policy occurred is not appealable.

Corrective and disciplinary actions will be determined on a case-by-case basis. Prior violations of the applicable Policy as well as prior disciplinary action may be considered in determining the appropriate corrective and disciplinary action for a respondent who is found to have violated a Covered Policy. The Director of the Office of Employment Equity will be available to consult with the chancellor, dean, or vice president regarding possible corrective and disciplinary actions, but does not make the final decision on the action to be imposed. Similarly, the Office of Labor Relations will be available to consult with the chancellor, dean, or vice president regarding the respondent's previous discipline, the appropriate level of corrective action, and discipline generally.

Possible corrective and disciplinary actions include, but are not limited to:

- Participation in education sessions on discrimination or harassment;
- A written reprimand or written warning;
- Reassignment of teaching or other responsibilities;
- Suspension without pay; or
- Termination<sup>12</sup>

The chancellor, dean, or vice president shall notify the complainant of any corrective or disciplinary action against the respondent that involves or concerns the complainant, for example, any directive that the respondent is prohibited from initiating contact with the complainant. The chancellor, dean, or vice president shall also notify the respondent of the appropriate corrective action that will be taken, inclusive of any disciplinary action, including termination. A determination that a Covered Policy was violated, including corrective and disciplinary actions taken in response, will be documented in an employee's personnel file.

The University may take any other appropriate corrective action to prevent recurring conduct and to correct its effects on the complainant and others. The Director may make appropriate inquiries to ascertain the effectiveness of any corrective or disciplinary action.

#### C. INDEPENDENT UNIVERSITY ACTION

The University reserves the right to investigate allegations of conduct prohibited by the Covered Policies in appropriate circumstances, at the discretion of the Director, even in the absence of a formal written complaint filed by a complainant pursuant to the Complaint Process. In such cases, the University will follow the Complaint Process set forth in Section III.B above, but the University will serve as the complainant.

#### IV. CONFIDENTIALITY

The OEE respects the confidentiality of all parties and limits disclosure of complaints to only those who have a need to know the facts and the parties to a complaint. Reporting and disclosure requirements required by law may present limitations to such confidentiality. Nonetheless, the university will treat all parties with equal care, respect, and dignity and will make every effort to preserve the privacy of all parties involved.

In some instances, a complainant may choose to take no action or to defer action until a later date in order to maintain anonymity. In these instances, the university reserves the right to limited disclosure and to

<sup>12</sup> The review and imposition of discipline in this Policy will continue to be in accordance with University policies, practices, and collectively negotiated agreements

take appropriate action in order to ensure the safety and well-being of members of the University community. If a complainant refuses to cooperate with an investigation or asks that his or her identity not be revealed to the respondent or witnesses, the Office of Employment Equity in its discretion will investigate to the extent possible based on the information provided, but its ability to respond may be limited.

OEE expects that all parties, witnesses and support persons involved in an investigation respect the confidentiality of the investigation as well. Any manager, supervisor or other employee who violates confidentiality as to a complaint of an alleged violation of a Covered Policy will be subject to appropriate sanctions. Please contact the Office of Employment Equity with any questions regarding confidentiality.

## V. RETALIATION

The university prohibits retaliation against individuals who, in good faith, assert their right to bring a complaint, participate in an investigation, or protest conduct prohibited by the Covered Policies. Retaliation is an offense that is separate from the original complaint, and it will be considered independent from the merits of the underlying complaint. Individuals who believe they have been subjected to retaliation should report the conduct to the Office of Employment Equity for investigation under the aforementioned procedures.

## VI. FALSE ALLEGATIONS

Knowingly making a material misstatement of fact may subject the complainant to discipline. Anyone who believes that he or she has been the subject of a false complaint may meet with the Director of the Office of Employment Equity to discuss the allegations. The filing of a complaint that does not result in a finding of prohibited conduct is not alone evidence of the intent to file a false complaint.

## VII. RECORDKEEPING AND RECORDS DISCLOSURE

Notice of all verbal and written reports of discrimination, harassment, workplace violence, sexual misconduct, and/or retaliation must be forwarded to the Director or Employment Equity by the administrator, supervisor, or faculty member receiving the complaint.

In addition, a federal law called the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) requires the University to record and report certain information about campus safety, including the number of crimes involving prohibited conduct which occur on or near campus. Many employees (including some who are otherwise considered "confidential") are required by the Clery Act to notify University Public Safety about such incidents for statistical reporting purposes. These notifications may include the classification and location of the reported crime but do not identify the parties involved. The Clery Act also requires the University to issue a "timely warning" when it receives a report of certain crimes that pose a serious or continuing threat. Such reports do not contain information identifying individual parties. The University publishes an annual comprehensive security report known as "Safety Matters."

## VIII. SUPPORT PERSONS

The complainant and the respondent are permitted to have one support person present for any meetings they attend with investigators at the Office of Employment Equity to discuss a pending complaint filed by or against them, as applicable. A support person may include a union representative, a friend, a family member, or an attorney. However, support persons are not permitted to participate in the investigation process. They may sit in on meetings with the investigator, but they are not permitted to comment and/or ask questions during those meetings.

The only exception would occur in instances in which the complainant or the respondent requires the services of a translator in order to communicate effectively with the investigator. Support person availability shall not be sufficient grounds for postponing meetings.

**STATEMENT OF PRINCIPLES  
CONCERNING GRADUATE STUDENT  
PARTICIPATION  
IN PROGRAM GOVERNANCE  
(School of Graduate Studies)**

To the extent that graduate students are training for future assumption of faculty roles, and to the extent that some of their training is in the nature of an apprenticeship, it is appropriate that they become aware of problems and procedures of program governance and participate in them wherever appropriate and practicable, generally through direct participation of student representatives to the relevant faculty bodies.

Possible duties and responsibilities of the graduate student representatives are enumerated below. This list is not intended to be universal or exhaustive, but rather to identify areas of participation which would normally be expected to be addressed by all programs, with each specific program adding modifications or supplements appropriate to its own particular needs.

1. Curriculum planning and specification of program degree requirements. Since graduate students are directly engaged in the process of graduate education, it is expected that they might have recommendations to make concerning modification of existing courses, addition of new ones, and spelling out of degree requirements and procedures formulated by the program (as contrasted with graduate-school wide requirements which are not under the direct control of individual programs). Their recommendations should be solicited on a continuing basis at a time most appropriate for their consideration in planning for the coming year.

To the extent that graduate students play a role as Teaching Assistants or instructors in undergraduate instruction, it may also be appropriate to solicit their recommendations concerning undergraduate curricular matters as well. It is also appropriate to have advanced graduate students participate in pre-enrollment and course selection advising of junior graduate students.

2. Departmental colloquia and other non-credit academic activities. It is expected that graduate students would be involved in planning and conduct colloquia; conceivably this activity might be one for which graduate students have primary responsibility.
3. Budget planning and provision of services to graduate students. Depending upon the specific program, there may be need for provision of specific needs of graduate students which would be reflected as periodic or continuing items of the program budget (e.g., office space, research costs, computer time, etc.). It is appropriate that graduate students review these needs on a regular basis. It is also possible and desirable that in some programs they be involved directly in such activities as inventorying of equipment and/or supplies.
4. Selection for admission and evaluation of graduate student progress. This is an assigned responsibility of the graduate faculty in the program. It is not deemed appropriate that graduate students should ever play a part in evaluation of progress of individual students.

Their role in formulation of requirements is addressed in item one. It is not appropriate for students to participate in the selection of incoming students.

5. Evaluation of graduate faculty. Acting upon recommendations for promotion and tenure is another faculty responsibility in which student participation is deemed inappropriate. However, to the extent that evaluation of teaching competence is a regular part of the reappointment and promotion process, it is appropriate that graduate students may participate in devising and implementing procedures for regular course evaluation in graduate courses.
6. Hiring and recruitment. It is desirable to have student participation in the hiring process, where this is feasible and appropriate circumstances can be arranged, and to have potential new faculty members meet graduate students in the course of an interview. Student recommendations should be included in the material considered by the committee. Although student participation is appropriate and their recommendation should be solicited, formal recommendation of faculty appointment is the exclusive responsibility of the Search Committee and departmental faculty.
7. Participation in program governance and attendance at program faculty meetings. Graduate student representatives should attend program faculty meetings and participate within the limits defined by this statement of principles. It might be helpful if agenda items could be set so that matters in which their participation is appropriate could be addressed first and they could leave before consideration of remaining items in which they are not entitled to participate. (I.e., See 4 and 5 above.)
8. Departmental assignment of assistantships. While it is regarded as inappropriate to have students participate in the selection process, it is appropriate and even desirable to solicit student preference prior to actual assignment.
9. Policy on assistantships and financial aid. While programs may solicit student opinion on such policy, the establishment of policy on assistantships and financial aid is the sole responsibility of the faculty.

## **Appointment of “ombudsperson” in all Graduate Programs**

**Approved: EC meeting of December 16, 2019**

One of the most important responsibilities of the School of Graduate Studies and the constituent graduate programs is to ensure that all students and faculty can accomplish goals in an environment of the highest levels of professionalism (see *School of Graduate Studies Code of Responsible Conduct and Professionalism in Graduate Education* below and at <https://gsnb.rutgers.edu/code-responsible-conduct-and-professionalism-graduate-education>).

Students need to be aware of the avenues available to hear and address concerns. It is also important that programs encourage positive behaviors, and that students be able to seek and obtain advice about issues that do not rise to the level of the inappropriate behaviors or ethical violations described in the Code.

To facilitate the programs’ ability to support and implement these goals, SGS requires that each program designate a Member of their graduate faculty to serve as an Ombudsperson. The Graduate Director may, at the discretion of the program, serve as the Ombudsperson, or take on one or more of the responsibilities of the Ombudsperson listed below. By early spring, 2020, programs must share the name of this person with dean of SGS, as well as sharing the name and list of responsibilities (see below) with their program faculty, students and graduate student organizations.

Programs will be required to report on their activities relevant to all seven responsibilities listed below as part of the annual SGS program assessments to be conducted in spring 2020.

The responsibilities of the programs are the following:

- Ensuring that all faculty and graduate students are aware of the expectations of professional conduct as summarized in the School of Graduate Studies Code of Responsible Conduct and Professionalism.
- Holding periodic (once/year or more) events or workshops for students and faculty, calling upon SGS or university experts for assistance as needed, in order to promote professional conduct and facilitate communication among faculty and students. One-time only events (for example, at the students’ entry into the program) are not sufficient, nor are events that are all directed solely to students without any with faculty participation.
- Sharing information with students and faculty about events or initiatives related to responsible conduct and professionalism organized by SGS or other units.
- Providing information to students 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 (see Note on mandatory reporting below). The avenues open to students within the program may include consultation with either the program’s ombudsperson, the program’s Graduate Director, or faculty committees established by the program. Avenues open outside the program include reports to the deans of

School of Graduate Studies (especially Senior Associate Dean Barbara Bender, who is in charge of Problem Resolution), or other offices within the university (see “Note on mandatory reporting below”).

- Advising students of the avenues available within or outside the program for discussing commonly-encountered issues that are typical of faculty-student or student-student interactions, and do not involve misconduct, inappropriate behaviors or ethical violations. The avenues within programs may include consultation with either the ombudsperson, the graduate director, or designated faculty committees. Avenues outside the program include the deans of School of Graduate Studies (Senior Associate Dean Barbara Bender who is in charge of Problem Resolution), the university counseling service (CAPS: <http://health.rutgers.edu/medical-counseling-services/counseling/>) or the offices listed below under “Notes on mandatory reporting”.
- Making sure that program faculty and students are aware of mandatory reporting requirements (see Note on mandatory reporting below) for harassment or misconduct.
- Incorporating training in the “Responsible Conduct of Research” into the graduate program. RCR deals with ethical practices in research, authorship, publication and collaborations and is relevant to all disciplines. Programs that do not already offer RCR training covering the topics proscribed by groups such as the US Office of Research Integrity (ORI, <https://ori.hhs.gov/>) or the National Academy of Sciences (<https://www.nap.edu/catalog/12192/on-being-a-scientist-a-guide-to-responsible-conduct-in>) may consider designing their own events or sending students to the CITI Training free online course (see link at the Rutgers Office of Research Integrity site: <https://orra.rutgers.edu/ritookit>). The Rutgers ORI site also contains many useful resources for faculty. Programs may contact the Rutgers Office of Research Integrity (<https://orra.rutgers.edu/ricontact>) for assistance in developing courses, workshops or events.

**Note on mandatory reporting:** Legal obligations to report instances of harassment, assault or misconduct are summarized here and <http://compliance.rutgers.edu/Title-ix/> and <https://uec.rutgers.edu/>

“Confidential resources” are people in the university who are not obligated to share any personally identifying information about a report of sexual violence (such as the survivor or accused’s name) with law enforcement, the Title IX Coordinator, or any other University administrator. Confidential resources include SGS Senior Associate Dean Barbara Bender as well as organizations listed here <http://compliance.rutgers.edu/resources/student-resources/confidential-resources/>

## **POLICIES ON ACADEMIC STANDARDS, WARNINGS, DISMISSALS, APPEALS, CREDITS AND REGISTRATION: Approved by the Executive Council, February 27, 2020**

### **(1) Admissions**

Admissions criteria should be set with the reasonable expectation that students will have a high probability of success. Programs may be asked to provide evidence and rationale to support criteria chosen, where evidence may include factors such as completion rates; academic performance; post-graduation outcomes.

### **(2) Academic requirements**

All programs must inform applicants and current students in writing about requirements, including courses, research, qualifying exams, internships, or other activities, and the expected timetable for meeting the requirements. Admitted students and enrolled students must be informed about the levels of performance needed to remain in good academic progress within the program. It is the responsibility of programs to develop a process for informing students and confirming that students have the information. SGS will periodically review academic requirements, standards, timetables and procedures for communicating information to the students.

### **(3) Timetables**

Timetables for meeting requirements must be realistic and take into consideration factors such as the academic goals of the program, available resources (such as staffing) as well as expected student workload per semester. SGS has an established policy and process for requiring that doctoral students request an Extension of Time after seven years of study. There is no comparable time limit set by SGS for students enrolled in terminal master's program. Master's programs that wish to adopt time limits must develop specific justifications based on academic considerations, and include processes that allow students to request extensions of time. Master's programs may not set upper or lower limits on the number of credits taken per semester without specific academic justification that applies to all students equally within the program. The timetables and limits on credits per semester must be available for review by SGS.

Master's students: Master's students may request alternative timetables. Requests should explain how the alternative timetables will allow the student to meet the academic goals established by the program, and allow steady progress toward the degree. Alternative timetables may include taking more than the recommended number of credits per semester in order to complete the degree earlier (credits above 18 require permission from the program director); or taking fewer than the recommended number of credits per semester. The program may elect not to grant either of these requests on the grounds of justifiable academic considerations or resource availability. If needed the School of Graduate Studies dean may be consulted by programs or by students as part of attempts to agree on suitable timetables. Unresolved disagreements may be grounds for SGS appeal (see #9 below). Students and programs are responsible for determining and addressing the effect of alternative timetables on non-academic issues, including visa status or eligibility for financial support.

Doctoral students: Alternative timetables for selected doctoral students may be instituted prior to completion of the qualifying exam. Alternative timetables for doctoral students (a) may involve taking a fewer credits than required for full-time status, with appropriate justification; (b) must be approved by the program director; (c) do not exempt doctoral students from the SGS policy that requires an Extension of Time to be approved after 7 years of study, and (d) must be accompanied by a year-by-year plan for completion of the degree, with the plan updated annually. Students and programs are responsible for determining and addressing the effect of alternative timetables on non-academic issues, including visa status or eligibility for financial support.

Programs must report annually to the School of Graduate Studies the name and progress of any doctoral students who are following program-approved alternative timetables.

#### **(4) Registration for “Matriculation Continued”**

Under some circumstances graduate students (master’s or doctoral) may register for “matriculation continued”. Matriculation continued is a zero-credit offering that allows students to remain enrolled while not registered for either courses or research credits. Matriculation continued is not available to doctoral students who have completed the qualifying exam (admission to candidacy). A maximum of two semesters of matriculation continued is allowed. International students on visas are responsible for verifying the effect of registration for matriculation continued on their visa status.

#### **(5) Academic progress review and academic standards**

Programs must conduct periodic reviews of academic performance (grades) no less frequently than once per semester. Academic review includes written warnings to any student who may not be in good academic progress.

Satisfactory academic progress will require that students who have attempted 12 or fewer credits have earned a GPA of at least 2.5; those who have attempted 13 or more credits must have earned a GPA of at least 3.0. No more than 9 credits of coursework bearing grades of C or C+ may be used to meet degree requirements (exceptions will be considered for courses taken in the medical and dental schools).

More than one grade of “U” in courses that are graded S/U also constitutes a failure to maintain satisfactory academic progress.

Programs may establish stricter academic standards than those above.

#### **(6) Repetition of courses**

Matriculated and non-matriculated students are only allowed to repeat up to three courses, each no more than once, during their enrollment. Courses repeated while in a non-matriculated status will count towards the repetition regulation for those students who

progress to matriculated student status. Repetition of any course results in both the original grade and the new grade appearing on the transcript; however, with the addition of an E prefix, the original grade is not calculated into the student's cumulative grade point average. Students repeating a course, including courses from which they withdrew, must re-register for the course and are subject to paying tuition for that course.

### **(7) Academic warnings**

Written warnings must be issued by the program each semester to any student who is not maintaining satisfactory academic progress according to the standards established by SGS (#5) and by the program. Such warnings must be accompanied by recommended steps to improve performance. These steps include procedures established by the program, such as opportunities for consultation with faculty or program staff for academic help and support. In addition students must be informed of resources available in the university [by CAPS, ODS, Learning Resource Centers and ELL]. Students must be informed about the processes for appealing academic decisions established by the program as required under the bylaws of the School of Graduate Studies and the process for appealing academic decisions to the School of Graduate Studies (see #9 below, should the program appeal not be resolved in the student's favor.

Notice of failure to maintain good academic progress for two semesters may be accompanied by a formal notification in writing that processes for dismissal may be undertaken.

Programs must maintain comprehensive records of the academic performance of students and be prepared to provide SGS with information about any student who has received an academic warning, including efforts taken by the program and the student to improve performance, and the results of such efforts.

### **(8) Recommendations for dismissal**

Programs may initiate processes to dismiss a student following the second semester of written warnings of failure to maintain good academic progress, where the second consecutive warning is accompanied by a formal notification that a process for dismissal is being initiated. Recommendations for dismissal must be approved by the Program Director in consultation with relevant faculty, such as the student's major advisor, thesis committee members or committees established within the programs to carry out academic reviews and set academic standards.

Students must be informed in writing that processes for dismissal are being undertaken by the program. Students must also be informed of availability of counseling and other university services, including CAPS, ODS, Learning Resources Centers and ELL; the process for appealing academic decisions to the program as required under the bylaws of the School of Graduate Studies; and the process for appealing academic decisions to the School of Graduate Studies (see #9), should the program appeal not be resolved in the student's favor.

Should the appeals process within the program not rule in the students favor, a recommendation for dismissal may be sent to the SGS Dean who may delegate the process of initial review to one or more senior deans within SGS. Initial review may result in (a) a delay in dismissal accompanied by specific recommendations to the program for improving the

academic performance of the student; (b) recommendation that the student file a formal appeal with the School of Graduate Studies (see #9 below), or (c) decisions to process the dismissal of the student from the School of Graduate Studies.

Programs may not adopt alternative procedures as part of any attempt to circumvent the above policies, such as registration blocks. Programs must make students aware of their right to withdraw at any time, including after exhaustion of all appeals, but programs must not encourage withdrawal in lieu of the processes outlined above, including full informing students of their rights, and informing students of available university or program resources to improve academic performance.

### **(9) School of Graduate Studies Appeals**

In the case of a recommendation to dismiss a student, or any other academic disagreement that cannot be resolved within the appeals process established by the program, students may appeal to the School of Graduate Studies. Appeals will be sent to the SGS Dean who may delegate a process of initial review to one or more senior academic deans within SGS. If initial review is not undertaken or fails to resolve the dispute, the student may file a formal appeal with SGS, which will be considered by the SGS Appeals committee according to the procedures specified in the SGS bylaws. Appeals must be filed no later than one semester following the occurrence of the issue that prompted the appeal. In the case of an unsuccessful appeal of a dismissal, students must be informed of their right to voluntarily withdraw.

### **(10) Failure to maintain continuous registration**

All students are expected to maintain continuous registration while enrolled in the School of Graduate Studies. Students who fail to maintain continuous registration are at risk of formal dismissal, where dismissal of such students may be initiated by the program or by the School of Graduate Studies, and must be approved by the School of Graduate Studies.

Doctoral students who have been admitted to candidacy and who do not maintain continuous registration may apply for "restoration of active status". This application must be approved by the program director and accompanied by a fee of one credit in-state tuition for a maximum of 5 semesters (payable to SGS).

All students who have not maintained continuous registration (including doctoral students who have been admitted to candidacy) must apply for readmission to the School of Graduate Studies before filing for degrees.

### **(11) Credits**

A total of 72 credits are required for the doctoral degree, of which 24 must be research credits. A minimum of 30 credits are required for the master's degree, of which 6 (for thesis based master's) must be research credits.

## **GSE Ph.D. in Education Program 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.

## **GSE Ph.D. in Education Program 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:

**GSE Ph.D. in Education Program  
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.

**GSE Ph.D. in Education Program  
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 patients
- Statistical expertise
- Obtaining of funding
- Administrative, technical, or logistic support
- Collection and assembly of data

**GSE Ph.D. in Education Program  
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: \_\_\_\_\_

Percent effort: \_\_\_\_\_ Date: \_\_\_\_\_

Brief description of basic responsibilities/role on project:

**SECOND AUTHOR**

Name (print): \_\_\_\_\_ Signature: \_\_\_\_\_

Percent effort: \_\_\_\_\_ Date: \_\_\_\_\_

Brief description of basic responsibilities/role on project:

**THIRD AUTHOR**

Name (print): \_\_\_\_\_ Signature: \_\_\_\_\_

Percent effort: \_\_\_\_\_ Date: \_\_\_\_\_

Brief description of basic responsibilities/role on project:

**FOURTH AUTHOR**

Name (print): \_\_\_\_\_ Signature: \_\_\_\_\_

Percent effort: \_\_\_\_\_ Date: \_\_\_\_\_

Brief description of basic responsibilities/role on project:

## **GSE Ph.D. in Education Program 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.