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HIGHER EDUCATION AND ORGANIZATIONAL CHANGE

DIVISION HANDBOOK



**UCLA GRADUATE SCHOOL
OF EDUCATION &
INFORMATION STUDIES
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PREFACE

Planning and maintaining an academic program is a continuous process for most students. Advising and helping students to plan and maintain a coherent and successful academic program is also a continuous faculty process. This handbook is designed for the use of students and faculty of Higher Education and Organizational Change (HEOC) alike. This handbook outlines and clarifies our practices and policies in order to inform both the students and faculty of HEOC. This handbook is intended to provide general information and in no way constitutes a legal obligation on the part of the School of Education & Information Studies, which reserves the right to change, add or delete any information herein without prior notice.

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MISSION STATEMENT OF THE HIGHER EDUCATION AND ORGANIZATIONAL CHANGE (HEOC) DIVISION, DEPARTMENT OF EDUCATION, UCLA GRADUATE SCHOOL OF EDUCATION & INFORMATION STUDIES

The HEOC Division of the GSE&IS Department of Education represents the School's commitment to excellence, equity, and social justice within higher education and to a steadfast belief in the transformative nature of higher education as an institution of social change. To this end, the purview of the HEOC Division encompasses:

- research and scholarship aimed at furthering a critical understanding of higher education and its role in society;
- developing in practitioners of higher education the skills necessary for visionary leadership, community building, and responsible citizenship;
- providing service to our local, state, and national communities aimed at the improvement of higher education, and in general, the furthering of education for all people.

We acknowledge a pluralism of values, an interdependence of communities, and a diversity of thought in all aspects of our Division in our quest for continuous improvement and understanding of society through education.

FACULTY

Walter Allen, Professor -----allen@gseis.ucla.edu
(Ph.D., Sociology, University of Chicago) ----- (310) 206-7107
Areas of Interest: Comparative race, ethnicity and inequality; diversity in higher education; and family studies. His research and teaching focuses on educational equity, higher education, social inequality and family.

Mitchell J. Chang, Professor---mjchang@gseis.ucla.edu
(Ph.D., Social Sciences and Comparative Education, UCLA) ----- (310) 825-0504
Areas of Interest: The educational efficacy of diversity-related initiatives on college campuses and the application of those best practices toward advancing student learning and democratizing institutions.

Sylvia Hurtado, Professor, HERI Director -----shurtado@gseis.ucla.edu
(Ph.D., Education, UCLA) ----- (310) 825-9928
Areas of Interest: Diverse college environments and their effect on diverse college students, teaching and learning, and higher education policy.

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(Ph.D., Higher Education, Stanford University) -----(310) 206-2120
Areas of Interest: Access, equity, and the stratification of individuals and institutions in education; organizational theory and analysis; sociology of education; higher education policy analysis; links between K-12 and higher education; and qualitative research.

Jane Pizzaloto, Assistant Professor-----pizzaloto@gseis.ucla.edu
(Ph.D., Educational Psychology, Michigan State University)
Areas of Interest: Access, student development and student affairs profession

Robert A. Rhoads, Professor -----rhoads@gseis.ucla.edu
(Ph.D., Higher Education, Pennsylvania State University) ----- (310) 794-4243
Areas of Interest: The university and society in the Argentina, Mexico, the U.S., and China; democratic social movements and higher education; globalization; organizational analysis; and student life and diversity issues.

José L. Santos, Assistant Professor -----jsantos@gseis.ucla.edu
(Ph.D., Higher Education, University of Arizona) ----- (310) 825-8622
Areas of Interest: Higher education policy, governance and finance.

Linda J. Sax, Associate Professor ----- lsax@ucla.edu
(Ph.D., Higher Education, UCLA) ----- (310) 206-5875
Areas of Interest: Gender differences in college student development, in particular how specific institutional characteristics, peer and faculty environments, and forms of student involvement differentially affect male and female college students. Other interests include: The development of science and engineering talent; volunteerism and service-learning; and issues related to women faculty.

Rick Wagoner, Assistant Professor -----wagoner@gseis.ucla.edu
(Ph.D., Higher Education, University of Arizona) ----- (310) 794-5832
Areas of Interest: Community colleges; faculty; organizational studies.

EMERITI

Alexander W. Astin, Professor, Emeritus -----aastin@gseis.ucla.edu
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Areas of Interest: Higher education policy in the United States; educational reform;
values in education; impact of different types of institutions on student development;
assessment and evaluation research in higher education.

Helen S. Astin, Professor, Emerita -----hastin@gseis.ucla.edu
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Areas of Interest: Education and career development of women; faculty performance
and rewards; leadership.

Arthur M. Cohen, Professor, Emeritus -----artcohen@gseis.ucla.edu
(Ph.D., Higher Education, Florida State University) -----(310) 825-8337
Areas of Interest: Teaching and research interests include the students, faculty, and
organization of the community college; the history of higher education; issues in
higher education; college curriculum.

ADJUNCT FACULTY

Ronni Sanlo, Adjunct Professor-----rsanlo@saonet.ucla.edu
(Ed.D., University of North Florida)
Areas of Interest: Development graduate students as scholar practitioners, multicultural
development and understanding, publishing.

INTRODUCTION

The Higher Education and Organizational Change (HEOC) Division of the Graduate School of Education & Information Studies at UCLA is committed to advancing the scholarship, research and practice of higher education and organizational transformation in the United States and abroad

The structure and content of the Division reflects the faculty's commitment to research and a scholarly approach to the study and practice of higher education. Because research and scholarly inquiry are the acknowledged foundation for the study and practice of higher education, they are emphasized throughout the course work, seminars, research projects and other HEOC activities.

In order to provide Ph.D. students with the highest quality research and scholarly training, our students must participate in a minimum Year of Engagement where, as full-time students, they fully participate in courses, seminars, and research training activities in a way not possible on a part-time basis.

The faculty have identified a body of knowledge which is central to the study of higher education and organizational change and forms the basis of the Division's core courses in which all students participate. The faculty's expectations regarding student mastery of this body of knowledge include, but are not limited to, the following: (1) an understanding of the historical, political, social, and philosophical elements which have shaped and continue to affect American higher education; (2) an understanding of the broad scope, diversity, issues, and functions of postsecondary education and its component parts; (3) an understanding of the theories, issues, and practices that define postsecondary education and its research; (4) the ability to develop and apply theory, research, and methods to professional practice; (5) a sense of collegiality with peers and faculty as well as with other scholars and professionals in the field.

HEOC courses and seminars are often interdisciplinary in approach and responsive to current issues and changes in the policies, practices, and impact of higher education. Students are encouraged to develop, as much as possible, an individualized program of study which reflects their personal and professional interests and goals and which satisfies the degree requirements of the Division, the Graduate School of Education & Information Studies, and UCLA.

Students are an integral part of all aspects of HEOC academic planning and are members of all HEOC standing and ad hoc committees. Student representatives attend all faculty meetings and help in maintaining a supportive and nurturing intellectual and social environment. Three student representatives are elected in the spring quarter, and the fourth representative is elected by the entering cohort in the fall quarter to ensure representation of new students' interests.

HEOC is committed to diversity and the students and faculty form a diverse group in respect to: their social, cultural, economic, and academic backgrounds; their wide range of professional experiences in postsecondary education; as well as their interests and approaches to defining and researching the issues pertaining to postsecondary education. This diversity is also evident in the Division's students and faculty, as well as in the Division's courses, seminars, and faculty and student research projects.

STUDENT ADMISSIONS

THE M.A. AND PH.D. DEGREE PROGRAMS

The minimal requirements for admission are:

- The currently specified requirements of the Graduate Division of the University.
- A minimum grade-point average of 3.0 for all upper-division undergraduate academic work, and a minimum grade-point average of 3.0 for all graduate academic work.
- Graduate Record Examination (GRE) minimal Verbal and Quantitative scores of 500 each, although on rare occasions compensating factors may be considered.
- A primary career interest in research and teaching in institutions of higher education, working in student affairs and college leadership, or working in a research or policy institute.

Ph.D. students with graduate level work in Education may petition the HEOC Division to have up to 3 courses transfer in and count toward their degree requirements (excluding methods/statistics courses).

HEOC is also home to the Masters of Education in Student Affairs Program. For more information on this program and the admissions process please visit www.gseis.ucla.edu/oss.

ADVISING

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

The faculty strongly recommend that each student schedule a meeting with their advisor at least once a quarter. Students at the dissertation phase may find the need for more regular contact and should plan accordingly.

It should be noted that the dissertation chair may or may not be the same person as the academic advisor. The dissertation advisor works closely with the student through all phases of the dissertation process and chairs the student's doctoral committee.

All GSE&IS faculty are on a 9-month contract. This essentially means that during the summer months faculty are conducting research and are not available to advise students during this time.

PROGRAM PLANNING AND REQUIREMENTS

PH.D. DEGREE COURSE REQUIREMENTS

Note: The Department of Education requires Ph.D. students to take a minimum of eighteen courses, eleven of which must be 200-level courses, four research methods courses, and three cognate courses. Ph.D. students in HEOC must take a minimum of four research methods courses under the department's "3 + 1 methods training" policy. Three of these courses are to be taken in a particular methodological stream (qualitative, quantitative, feminist, critical, comparative, etc.), including one course classified by the department as Tier 2 methods course. In addition, students must take a minimum of one course in a second methodological stream. (With approval of their advisor or the HEOC division head, students planning to conduct mixed method dissertations may satisfy their methods requirement with a 2+2 course plan.) The specific course sequence should be worked out between the student and the advisor, similar to the cognate plan. (See Appendix A for approved Education methods courses.) See GSE&IS handbook for approved methods courses from other departments on campus. Cognate courses can be taken from any degree-granting department on campus as long as they are graduate or upper-division courses, and are intended to help students in pursuing the dissertation. Cognates may be chosen from disciplines (Anthropology, Psychology, Sociology, etc.) or more than one area of study as long as the courses represent a coherent program (e.g. race and ethnicity, women's issues, etc.). A cognate plan must have the prior signed approval of the advisor, Division Head, and the Office of Student Services (OSS).

HEOC SPECIFICS:

Division Core Courses (7)

- 1 Ed 250A, Fundamentals of U.S. Higher Education System
- 2 Ed 250B, Organizational Analysis of Higher Education
- 3 Ed 250C, Theoretical Frameworks of Higher Education
- 4 Ed 209A, History of Higher Education
- 5 Ed 299A, Research Practicum
- 6 Ed 299B, Research Practicum
- 7 Ed 299C, Research Practicum

Divisional Elective Courses (4)

- 7 HEOC elective #1
- 8 HEOC elective #2
- 9 HEOC elective #3
- 10 Elective #4 (HEOC or education division elective)

Methods Courses (4): spanning two methodological streams (quantitative & qualitative)

- 12 First-tier methods course #1, primary stream
- 13 First-tier methods course #2, primary stream
- 14 Second-tier methods course #3, primary stream
- 15 First-tier methods course #4, secondary stream

Cognate Courses (3).

- 16 Cognate course #1
- 17 Cognate course #2
- 18 Cognate course #3

M.A. DEGREE REQUIREMENTS

Note: The Department of Education requires M.A. students to take a minimum of nine upper division and graduate courses, six of which must be 200/500-level courses (although no more than eight units or two 500-level courses), and two research methodology courses.

Division Core Courses (3)

- 1 Ed 250A, Fundamentals of U.S. Higher Education System
- 2 Ed 250B, Organizational Analysis of Higher Education
- 3 Ed 209A, History of Higher Education

Methods Courses (2 - can be taken from either tier)

- 4 Method 1
- 5 Method 2

(See page 22 for list of First and Second-tier courses.)

Elective Courses (4)

- 6 HEOC Elective #1
- 7 HEOC Elective #2
- 8 HEOC Elective #3
- 9 Elective #4 (HEOC or education division elective)

PROGRAM PLANNING

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

- Read the UCLA Graduate School of Education and Information Studies Handbook of Graduate Student Policies and Procedures for further information on degree requirements and course descriptions. This announcement is included in the student's registration packet, or may be obtained from OSS, 1009 Moore Hall.
- Become familiar with the HEOC Division's requirements set forth in this document.
- Note that the HEOC faculty strongly recommend that students integrate writing courses (Education 233A & 233B) into their course plan.
- Prepare a preliminary program plan which meets your particular interests as well as the departmental and divisional requirements. Meet with your faculty advisor to discuss this plan in order to confirm and clarify your proposed plan of study. You should take the responsibility of making an appointment with your faculty advisor as early in the school year as possible.
- All students in the Graduate Program are required to take 12 units to be considered full-time. If for any reason you do not have an advisor, see the HEOC Division Head.

YEAR OF ENGAGEMENT

Year of Engagement (YOE) is a requirement established by the Department of Education and applies only to doctoral students. The purpose of YOE is to provide students with the highest quality research and scholarly training and to immerse students fully within HEOC and the Department of Education. YOE seeks to complement course-based experiences with an apprenticeship and mentoring model.

As part of YOE requirements, all doctoral students are required to complete at a minimum one academic year during which they engage 20 hours a week in research and/or scholarly activities, actively participate in seminars, colloquia, and other academically enriching experiences within the Division, Department, School, or University, and enroll full-time in coursework. Students are encouraged to work closely with their advisors in formulating plans to meet YOE requirements.

There are a variety of ways that a HEOC doctoral student can meet YOE requirements. For example, a HEOC student can fulfill YOE requirements by working as a ½ time Graduate Student Researcher (GSR) for one academic year. Or, a student can meet YOE requirements by working as ¼ GSR and then working an additional 10 hours per week on a research project with her/his advisor (or another faculty member) or by serving as a Teaching Assistant or Special Reader for 10 hours per week. Under some circumstances, a student can meet YOE requirements by serving in an administrative capacity, but only if such an experience involves significant scholarly engagement (e.g., the use and/or application of research to address an administrative problem, the development of a new student affairs or staff training program in which higher education research serves as its foundation, the development and introduction of curricula to address particular student needs, etc...). Students may also fulfill their YOE through other research opportunities on campus (e.g., working in an institutional research unit). HEOC faculty must approve all YOE positions. Finally, though many students have paid research positions while fulfilling their YOE, the YOE does not always include a financial stipend.

The HEOC faculty fully support the concept and practice of YOE. However, the reality is that the vast majority of HEOC doctoral students are significantly engaged in research and/or scholarly activity throughout the duration of their graduate studies. In this regard, YOE primarily serves to ensure that all students have at least one academic year in which they are significantly engaged in scholarly activity beyond their coursework.

FREQUENTLY ASKED QUESTIONS (FAQS)

Can I work part-time elsewhere?

The answer to that is a qualified “yes.” The major requirement regarding a year of engagement is that the student not be employed full-time at another job. The guiding principle behind this year of engagement is that students be a full-time student. The Department of Education policy on the year of engagement was stated in your admission letter as “you must be enrolled in a minimum of 12 units each quarter; and must be present during the day (four to five days per week) to attend classes, doctoral seminars, colloquia, research mentoring meetings, meetings of the Graduate Student Association in Education, and other academic activities.”

If I have a Cota-Robles fellowship does this policy affect me?

Under the terms of each of these special fellowships, students must be engaged in research with faculty. For Cota-Robles fellowship recipients, students should be engaged in research with faculty for at least years 2-3. Thus any one of these years would suffice for the year of engagement.

Will I be assigned to a faculty member for my year of engagement?

YES! The HEOC faculty find year of engagement opportunities for all its students and we match students with funding, projects, and faculty sponsors. This matching process occurs in the winter quarter prior to the student's YOE. Some time during winter quarter, students should contact faculty whom they might be interested in working with so that students' interests can be considered in the matching process.

I want to be a teaching assistant next year, what should I do?

Providing students with teaching experience is completely consistent with the year of engagement goal of providing the “highest quality research and scholarly training.” So if a student has a teaching opportunity, we will work to put together a YOE that includes both research and teaching and apprenticeship experiences. Students interested in being a teaching assistant should contact faculty directly to find out what opportunities exist.

When and how do I take my year of engagement?

Right now HEOC students are typically encouraged to take their YOE during their second year. Students should discuss with their advisor by January 15th of their intention to take their YOE for the following academic year.

Where does the money for my year of engagement come from?

The most common sources of funding for a student's year of engagement are: Graduate Research Assistantship (GSR), Teaching Assistantship (TA), Special Readers, and department YOE funds. A GSR is a job, e.g. working with HERI or CREST, and it can be for quarter time or half time, pays a stipend, and can pay for some tuition remission. Like a GSR, a TA position is a job, is tied to a specific course, and there could be tuition remission but it will vary with the terms of employment.

If a student does not have a 49% GSR or TA appointment, they will receive department funding to support their research during that year. Students receiving this money, must negotiate a work plan for the next year with the faculty member, and write up a one-page agreement specifying the project, learning objectives, and mutual obligations.

Can I find my own year of engagement opportunity?

Yes, you can find your own funding for a research apprenticeship opportunity if you wish. You would just need to discuss your research project with your advisor.

EXAMINATIONS

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

All doctoral students must take the Doctoral Screening Examination between their 5th and 9th course. Upon completion of all coursework and before beginning the dissertation, doctoral students must also take the Qualifying Examination.

All master's students must either take the Master's Comprehensive Examination or write a thesis upon completion of all coursework.

Those doctoral students interested in obtaining their master's degree while in the doctoral program must understand the following points:

- If a doctoral student has completed (or is enrolled in) his/her 9th course, then the Doctoral Screening Examination (DAP) will also serve as the Master's Comprehensive Exam and no additional exams have to be completed. In order to receive a Master's Degree the student must pass the DAP and inform the Office of Student Services (OSS) to fill out an Advance to Candidacy form when applying for the DAP exam.
- If a doctoral student is going to complete his/her 9th course after taking the Doctoral Screening Examination, then s/he will have to take the Master's Comprehensive Examination in order to obtain a Master's Degree. If successfully completed, the student will be awarded a Master's Degree.

All exams are administered twice annually, in the Fall and in the Spring. The exam lasts three days over a weekend (OSS distributes it on a Friday morning and collects it on the following Monday morning). When a student wishes to take the Doctoral Screening Exam, the Master's Comprehensive Exam, or the Doctoral Written Qualifying Exam, s/he must apply to take the examination. Application materials are available in OSS and must be returned to OSS by the exam application deadline. Check OSS website for current deadlines: <http://www.gseis.ucla.edu/oss/>

THE DOCTORAL SCREENING EXAMINATION

The Diagnostic and Advisement Procedure (DAP) is required of all students who plan to obtain a doctoral degree. Its purpose is to determine whether the student is eligible to proceed in the doctoral program and to assist the student in choosing the most appropriate courses and research directions. The DAP consists of three parts; two written and one oral. These are:

- 1 An autobiographical statement of no more than 5 pages. Attached to this must be a doctoral course summary which lists the courses taken and grades received in each course. (This may include a list of courses anticipated to be taken.) The purpose of this section is to assess academic accomplishments and aspirations. The autobiographical statement should include an indication of how the program has shaped the student thus far, how the student's intentions may have changed

or matured since applying for admission, what focused research areas the student may plan to pursue, and what career aspirations the student has.

- 2 A take-home examination consisting of two questions. The responses to these take-home questions will be no longer than six double-spaced typed pages each (excluding references). This portion of the exam will be distributed by OSS on a Friday morning and collected the following Monday morning. This portion will be graded blindly; in other words, the student's name will not appear on the paper, only a number assigned by OSS will appear on the paper. OSS will notify the student about pick-up and drop-off times for the examination. The two questions will center on major trends, topics, or current issues in higher education and organizational change (most of which are covered in 250A, B, or C).
 - 3 A formal 20 minute interview with two faculty members will be held for each student taking the DAP. This portion of the exam will demonstrate literacy and verbal fluency. Questions will likely arise about the materials submitted as part of the exam, aspirations within and beyond the program, and research ideas. The student's exam performance and progress within the program may be discussed. The Division will notify the student of the date and time of the interview.
- Item 1, the autobiographical statement, should be submitted together to OSS one week in advance of the examination weekend. If there are scheduling problems, some alternative arrangements may be worked out, but the student must speak directly to the Division Head to make these alternative arrangements. Students are not allowed to have the exam faxed to them.

GRADING

In the first sitting for this examination, students may receive a “doctoral pass,” “pass at the Master's level”, or “fail.”

Doctoral students must pass the DAP at the doctoral level to continue in the Ph. D. program.

Students who receive a pass at the Master's level will be given one further opportunity to retake the entire exam and pass at the Ph.D. level. Students who fail will be given a second opportunity to take the entire examination, but at the Master's level only. Students who pass at the Master's level or fail the Doctoral Screening Examination and are eligible to retake the examination must do so at the next sitting.

THE MASTER'S COMPREHENSIVE EXAMINATION

The master's comprehensive examination is one option for obtaining a master's degree, the other being the submission of a thesis. Both terminal master's students and doctoral students are eligible to take the examination. The format for the doctoral students may vary from that of the master's terminal students, as described below.

MASTER'S TERMINAL STUDENTS

For the Master's terminal students, the exam consists of two take-home questions administered during the same examination weekend the DAP and qualifying exams are given. Each question is to be answered in no more than six, double-spaced, typed pages (excluding references). As with the DAP and the qualifying examinations, OSS distributes the exam on a Friday morning and the responses are to be turned in the following Monday morning. These exam questions will be graded blindly (students' names do not appear on the answers; rather a number that has been assigned by OSS is the identifier).

DOCTORAL STUDENTS

Doctoral students who took the DAP before their 9th course and want to obtain a Master's degree must take the Master's comprehensive exam. For doctoral students who have already successfully completed the DAP, the exam consists of one additional take-home question that focuses on broad higher education and/or organizational change issues.

GRADING

Students may receive grades of “pass,” “pass with honors,” or “fail” on this examination. Students who fail this examination will be given a second opportunity to take the examination and a third opportunity upon a two-thirds majority vote of all divisional faculty voting on this issue. No fourth sitting for the examination is permitted. Students who fail the Master's comprehensive examination but who have been allowed to retake it must do so at the next scheduled sitting.

DOCTORAL WRITTEN QUALIFYING EXAMINATION

The doctoral written qualifying examination is taken after all program requirements are completed (or the quarter in which program requirements will be finished). The qualifying examination is a take-home examination, which consists of two separate questions, each of which is to be answered in no more than ten, double-spaced, typed pages (excluding references). The doctoral written qualifying exam is offered twice each academic year: once in the fall quarter and once in the spring quarter. Each exam period lasts three days. Students pick up their exams from the Office of Student Services beginning on 9a.m. on Friday and must return the exam to the Office of Student Services by 11 a.m. the following Monday. The Office of Student Services will provide the exact dates from the HEOC division at the beginning of each academic year.

EXAM FORMAT

There are two questions:

Question 1: A broad question concerning issues, theory, research and policies pertaining to higher education and/or organizational change. There will be no choice among questions.

Question 2: A critique of a research article. The student can choose from a qualitative or quantitative article that will be provided. The student must analyze the article in terms of its strengths, weaknesses, and implications for further research or applied practice.

GRADING

Students may receive grades of “pass,” “pass with honors,” or “fail” on this examination. Students who fail this examination will be given a second opportunity to take the examination and a third opportunity upon a two-thirds majority vote of all divisional faculty voting on this issue. If a student fails one question, they can re-take that section of the exam within the same academic term; however, the question on the re-take exam will be different from the questions given on the initial exam. Students who fail both questions on the doctoral written qualifying examination and have been allowed to re-take it must do so at the next regular exam period; all questions will be different than the original exam taken.

MASTER'S THESIS

HEOC students may elect to complete their master's degree by completing a master's thesis. In this case, the thesis is a report of the results of original investigation. Before beginning work on the thesis, the student must obtain approval of the subject and general plan from the Department of Education Chair and the thesis committee chair.

A thesis committee of at least three faculty members must be formed and a Petition for Advancement to Candidacy for the M.A. must be filed with the Office of Student Services no later than one quarter prior to completion of course requirements for the degree. The thesis advisor and the Graduate Division publication, Regulations for Thesis and Dissertation Preparation, provide guidance in the final preparation of the manuscript. The Department does not require a formal examination in connection with the thesis plan.

DISSERTATION

DEFINING THE DISSERTATION

According to the Department of Education Handbook (page 8):

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

The dissertation may be quantitative, qualitative, or a mixture of both in terms of the methodology. The time to complete the dissertation is highly individualistic, dependent on the topic, the methodology, the student, and the faculty members helping the student.

CHOOSING A DISSERTATION COMMITTEE

According to the Handbook of Graduate Student Policies and Procedures for the Department of Education (page 8):

The Doctoral Committee is formed subsequent to the successful completion of the written qualifying examination. For the Ph.D. degree, the committee consists of three members from the Department of Education and one member from a department other than Education [for a total of four members]. The committee, nominated by the Department of Education and appointed by the Dean of the Graduate Division, conducts all the Oral Examinations for the dissertation study.

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

Prior to the student submitting the petition for dissertation committee members (obtain form in OSS), the student should consider what s/he wants from the committee, especially the chair. The dissertation chair is crucial because s/he will set the tone and direction for the rest of the dissertation process. Furthermore, the chair is the one committee member the student meets with most often for shaping and structuring the study. Finally, the dissertation chair also becomes the student's advocate

during the preliminary and final orals. The chair does not have to be the student's academic advisor, although many students ask their advisors to be the chair of their dissertation committee.

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

- 1) A minimum of four faculty members from UCLA of the following academic ranks:
 - a) Professor (any rank)
 - b) Professor or Associate Professor Emeritus
 - c) Professor-in-Residence (any rank)
 - d) Acting Professor or Acting Associate Professor
- 2) Adjunct Professors may serve as one of the four committee members and/or as co-chair on Ed.D. doctoral committees.
- 3) Three of the four committee members must hold appointments at UCLA in the students' major department; Education. Note: The department is the entire Department of Education, not just the Higher Education and Organizational Change Division.
- 4) One of the four committee members must hold an appointment at UCLA in a department outside the students' major department. These committee members become known as the "outside committee member." (Information Studies faculty in GSE&IS may serve as outside members.)
- 5) Two of the four dissertation committee members must hold the rank of Professor or Associate Professor (regular or In-Residence series).
- 6) The chair of the dissertation committee must hold a UCLA appointment in the student's major department or interdepartmental degree program as Professor (any rank, regular or In-Residence series), or Professor or Associate Professor Emeritus. If a committee has co-chairs, at least one must be from the student's major department or interdepartmental degree program at UCLA.
- 7) Additional members (beyond the required four) may be nominated and, if approved, have the same voting rights and responsibilities as other committee members.
- 8) Those holding titles indicated in 1) above, and as well as Adjunct Professors and Adjunct Associate Professors, and Visiting Professor or Visiting Associate Professor may serve as an additional member and may also serve as co-chair of the committee.
- 9) By petition, one of the minimum four members may be a faculty member from another UC campus who holds an appropriate appointment as listed above.

Once the committee is agreed upon, the student must submit a form to OSS to nominate the members. That form must be approved by the Department of Education and the committee members are ultimately appointed by the Dean of the Graduate Division. This process should be completed as

soon as possible in order to have the committee formally approved before the preliminary orals occur.

DEVELOPING THE DISSERTATION PROPOSAL

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

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

THE UNIVERSITY ORAL QUALIFYING EXAMINATION

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

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

HUMAN SUBJECTS APPROVAL

Student must ascertain if their study needs to be approved by the Committee on Human Subjects Research (office located in the Peter Ueberroth Building). If the student is actually experimenting on subjects, the rules are very strict. If the student is analyzing subjects, yet not performing tests on the subjects, then a waiver form may be obtained. A summary of the proposed dissertation is required, as is the signature of the student and dissertation chair. More often than not, students are issued a waiver from the strict procedures and scrutiny when experimenting on subjects.

CONDUCTING THE DISSERTATION STUDY

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

During the dissertation phase, the student collects data, analyzes the data, writes the results and discussion of the data, and finally provides recommendations based on the data. Students should be aware that when they complete a chapter (or chapters) of the dissertation they should expect that the chair will need sufficient time to read, review and suggest changes to that chapter(s). Often, the three chapters that were written for the dissertation proposal become the first three chapters of the dissertation, with revisions made. The next section is the data presentation and discussion of the results. Sometimes it is more logical to have the presentation of the results and the discussion of the results separated into different chapters. The final section of the dissertation is the conclusion, where a summary of the methods and results are presented, the recommendations are presented, the limitations and biases of the study are presented, and finally, the significance of the study and future research is presented. The outline of chapters listed here is meant to be helpful not to constrain students or their advisors who wish to organize the dissertation differently.

Students should recognize that it is incumbent on them to maintain periodic communication with the rest of the dissertation committee in order to keep them informed of the progress of the dissertation and to solicit feedback. It is not the committee members' responsibility to seek out the student, therefore the student must take the initiative to keep the committee informed in order to avoid problems.

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

FINAL ORAL DISSERTATION EXAMINATION

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

A final oral is open to the student and the dissertation committee. However, at the discretion of the student, the chair, and the other committee members, a portion of the oral may be opened to other interested researchers. This, on the other hand, is not the norm within the HEOC Division. The purpose of a final oral exam is for the entire dissertation committee to approve the dissertation, to

suggest changes, and possibly to provide feedback regarding the dissertation and how to publish it.

When the student passes the final orals, usually some changes are required by the dissertation committee. Once the manuscript is in compliance with the wishes of the committee, the student must file the dissertation with the University (see those guidelines in the Graduate Division's booklet, "Regulations for Thesis and Dissertation Preparation"). This process includes making the manuscript fit strict University regulations, having to file paperwork with the Graduate Division, and finally filing paperwork and a completed manuscript with the University Library (located on the third floor of Powell Library). To be sure of what is entailed, the student should contact the Graduate Division and visit the librarian in charge of filing with a draft of their manuscript. Also, the student must be fully aware of the filing deadlines each quarter to avoid not being able to file their dissertation at the appropriate time.

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

ADDITIONAL POLICIES

The Office of Student Services (OSS) oversees all policies related to students' progress toward degree. Please contact them for any questions you have relating to the policies and procedures of the Department of Education.

Communication: The official means of communication within HEOC is e-mail. Students are responsible for updating their addresses, phone numbers, and e-mail addresses with HEOC, OSS and with the University (Murphy Hall) whenever there is a change of information.

Leave of Absence: HEOC is governed by the Department of Education's policy on Leaves of Absence. Please see the Department of Education Handbook for the current departmental policy and check with OSS for petition and forms.

Fees: Non-resident students who have advanced to doctoral candidacy are eligible for three years of partial nonresident tuition remission. Contact OSS for more information.

Re-admission to the Program: If a student drops out of a HEOC degree program and wants to be re-admitted, s/he must reapply to OSS. HEOC's re-admission policy is that we review and assess the student's record to determine if we will readmit a student. Ph.D. students who drop out after their dissertation proposal is approved may be re-admitted to the Division if their record is good, if they intend to file their dissertation during the same quarter that they are re-admitted, and if the original committee members are still willing to serve. If for whatever reasons the original committee members are not available or willing to serve but the student can find substitute committee members, and the student left in good standing, HEOC will review the file for re-admission. Ph.D. students who drop out of the program before their dissertation proposal is approved will also have to reapply through OSS and will have to show that there are faculty willing to advise the student and serve as chair and members of the dissertation committee.

Finances/Fellowships: All fellowships are coordinated through the Office of Student Services and students must file an application for special fellowships. Depending on the type of fellowship, students may need to apply or re-apply for the award each year. Contact OSS for additional details. Graduate student research assistantships and teaching assistantships are decided upon by individual faculty members, although the school maintains a World Wide Web page with postings of all current assistantship openings.

Policy Changes: All changes to HEOC policies will go into effect in the next academic year so that students have adequate notice.

CDAS: Students should be aware that the Department of Education has a Committee on Admissions, Degrees and Standards (CDAS) which sets all departmental policy (i.e. leaves of absence, minimum degree requirements, etc.). CDAS also reviews all HEOC policies and is the body that should be consulted if a student feels that any particular HEOC policy is unfair and wants recourse.

OTHER GSE&IS DIVISIONS/UNITS

PSE	Psychological Studies in Education Division
SRM	Social Research Methodology Division
SSCE	Social Science and Comparative Education Division
US	Urban Schooling: Curriculum, Teaching, Leadership and Policy Studies
MESP	Minor in Educational Studies Program
TEP	Teacher Education Program
HERI	Higher Education Research Institute
ERIC	ERIC Clearinghouse for Community Colleges
OSS	Office of Student Services
ETU	Educational Technology Unit
GSAE	Graduate Student Association in Education

RELATED GSE&IS PROGRAMS

For those potential applicants who are interested in studying higher education from the perspective of applied practice and who wish to obtain a degree while continuing to work full-time at their jobs, please consult the brochures on the Ed.D. Educational Leadership Program. That program has a K through postsecondary emphasis, thus students who wish to earn that applied practice degree can work with HEOC faculty through that program.

For those potential applicants who wish to become student affairs practitioners in postsecondary settings, please consult the brochure on the Master of Education Program in Student Affairs, www.gseis.ucla.edu/units/oss/mastersstudentaffairs.html.

APPENDIX A

APPROVED RESEARCH METHOD COURSES IN EDUCATION FOR THE M.A. & Ph.D.

FIRST TIER	SECOND TIER
200A Historical Research and Writing	200C Analysis of Survey Data in Education
200B Survey Research Methods in Education	210C Analysis of Variance
206C Intro. To Conceptual Analysis	210D Multivariate Analysis
211A Measurement in Education: Underlying Theory	211B Measurement in Education: Underlying Theory
221A Computer Analysis of Empirical Data in Education	211C Item Response Theory
222A Intro to Qualitative Methods and Design Issues In Educational Research	231A Multivariate Analysis
228 Observation Methods and Longitudinal Studies	231B Factor Analysis
230A Intro To Research Design and Statistics	222B Participant Observation Field Methods
230X Applied Research Design and Statistics for Social Sciences	222C Qualitative Data Reduction and Analysis
233A Professional Writing in Education	230B/C Linear Statistical Models in Social Science Research
233B Professional Writing in Education	231C Analysis of Categorical and Other Nonnormal Data
242 Quantitative Foundations for Educational Policy and Planning	231D Multilevel Analysis
272 Case Study Research in Education Policy and Practice	M231E Statistical Analysis with Latent Variables
255A **Seminar: Special Topics--Measurement	246A Decision Analysis and Advanced Computer Methods for Educational Policy and Planning
255B **Seminar: Special Topics--Design	251C Seminar: Philosophy of Education; Social Science Problems--Methodological Perspectives
255C **Seminar: Special Topic--Data Analysis	255A** Seminar: Special Topic--Measurement
233A Professional Writing in Education (1 st and 2 nd Year students)	255B** Seminar: Special Topic--Design
233B Professional Writing in Education (Dissertation Stage)	255C** Seminar: Special Topic--Data Analysis
266 Feminist Theory and Social Sciences Research	
274 Science, Technology, and Social Research after Eurocentrism	
283 Social Research in a Multi-Cultural and Post-Colonial World	

** Please Check with OSS before enrolling in this course to determine if it meets a Research Methods Requirement.