

PH.D. STUDENT HANDBOOK

Policies, Procedures, and Requirements

2013-2014



DEPARTMENT OF EDUCATION
UNIVERSITY OF CALIFORNIA, SANTA CRUZ

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WELCOME TO UCSC

This handbook is your guide to our Ph.D. program and to facilities within the Education department and on campus. As a new student, you can find answers to many of the questions that arise when planning your program of study and beginning at a new campus. Please keep this handbook as a resource during your tenure as a student in the program. **As a continuing student, this handbook is your guide through the maze of UCSC Education department policies and procedures and should be consulted regularly for information.** You may access further information about the department's programs and faculty on our web pages at <http://education.ucsc.edu>.

PROGRAM REQUIREMENTS

Each cohort of Ph.D. students is governed by the program requirements set forth in the UCSC catalogue for the year it enters graduate education at UCSC. This Handbook offers fuller details about program requirements. In addition, students are advised to consult the Graduate Student Handbook, prepared by the Division of Graduate Studies, for university-wide policies and regulations that govern graduate study at UC Santa Cruz <http://graddiv.ucsc.edu>

EDUCATION DEPARTMENT CONTACT INFORMATION

University of California, Santa Cruz
Education Department, McHenry Building
Attn: Doctoral Advisor
1156 High St.
Santa Cruz, CA 95064

} Mailing Address

(831) 459-4509 – Education Department, Graduate Advisor
(831) 459-3249 – Education Department, Main phone line

EDUCATION DEPARTMENT EMAIL ALIASES

EMAIL ALIAS	RECIPIENT LIST
edstaff@lists.ucsc.edu	Education Department Core Staff Members
edladder@lists.ucsc.edu	Education Department Faculty Members
edgrads@lists.ucsc.edu	Education Department Ph.D. & Ed.D. Students
edresearch@lists.ucsc.edu	Education Department Research Staff Members
edsups@lists.ucsc.edu	Education Department Teacher Supervisors - MA/Credential Program
edphd@ucsc.edu	Education Department Doctoral Student Advisor
education@ucsc.edu	Education Department Doctoral & MA/Credential Advisors

- **Individual Faculty** contact and research information, current courses and office hours are available on the Education website: <http://education.ucsc.edu/faculty/>
- **Individual Staff** contact information is available on the Education website: <http://education.ucsc.edu/staff/>

GENERAL STUDENT AND DEPARTMENT INFORMATION

DOCTORAL PROGRAMS COMMITTEE (DPC)

The Ph.D. Program in Education is coordinated by the Graduate Director, the department's Doctoral Programs Committee (DPC), and the Doctoral Advisor (not to be confused with your Faculty Academic Advisor). The Graduate Director serves as the chair of the DPC and runs the first-year professional development proseminar (Educ 269 A,B,C).

The DPC, following the Graduate Division Handbook and policies determined by the Education Department, supports the administration of the doctoral program, reviews program policies, suggests changes to be acted on by the faculty and the Graduate Council or Graduate Division, reviews and acts on student petitions, establishes admissions procedures, and communicates with graduate student representatives.

Members of the DPC for 2012-13 are:

Graduate Director: Ronald Glass, Associate Professor – rglass@ucsc.edu

Faculty Committee Members: Trish Stoddart, Professor – stoddart@ucsc.edu
Judith Moschkovich, Professor – jmoschko@ucsc.edu
Lucinda Pease-Alvarez, Professor – pease@ucsc.edu

Graduate Student Representatives: Steve Coulter, Ph.D. Student – sjcoulte@ucsc.edu
Farima Pour-Khorshid – fpourkho@ucsc.edu

Graduate Advisor: Gina Wilkins, Graduate Advisor – edphd@ucsc.edu

GRADUATE STUDENT ASSOCIATION

The UCSC Graduate Student Association (GSA) serves as a resource and proponent for graduate student issues and provides socializing opportunities outside of individual departments. You can use the GSA web page: <http://www2.ucsc.edu/gsa/> to learn more about this organization and about getting around and getting involved on campus. They provide travel grants, represent the interests of graduate students regarding health insurance, parking and tuition, and can co-sponsor events.

Graduate students from each department select someone to be their GSA representative (with voting rights), along with one non-voting alternate. The Education graduate programs are represented by two elected members, although only one has voting rights within the GSA and the other serves, officially, as an alternate. The Education Department voting representative alternates annually between the Doctoral and Masters programs.

EDUCATION DEPARTMENT DOCTORAL STUDENT MEETING (DSM)

The Education Department Ph.D. students have a regular meeting, typically held on Wednesdays. This is where you find out about and discuss departmental policies, informally network with other graduate students in the program, and have the opportunity to inform the Education Department Doctoral Program Committee (the DPC is the governing body of the Doctoral Program) about your needs and desires as doctoral students.

Each year the Education Ph.D. students select two students to serve on the DPC as their student representatives. The student representatives also organize, attend, and facilitate the Doctoral Student Meetings (DSM). The student representatives usually serve for the full academic year (fall, winter, and spring quarters) and are usually beyond the first year of the program.

EDUCATION DEPARTMENT GRADUATE STUDENT COMMUNAL OFFICE

The Doctoral Student office is currently located on the third floor of the McHenry Library Building, in room 3170. This is a shared graduate student space, with computers, a printer, meeting space, student forms, etc. If you are the last person to leave this room, please be sure you have turned off the overhead lights, and locked the door behind you. ***Graduate students are responsible for keeping this room clean.***

The Teaching Assistant (TA) office is located on the first floor of the McHenry Library Building, in Room 1280; all TAs will be assigned a key to this office. All Education Department TAs will use this office, so it is imperative that TAs coordinate their office hours with one another. It is each TA's responsibility to leave the office clean, and ready for the next person to use.

EDUCATION DEPARTMENT KITCHENETTE

For your convenience, students will have access to the kitchenette at all times. Because this is not a locked room, please don't leave anything of personal or monetary value. There is a refrigerator, microwave, coffee maker, etc. for your use. **Please note that, other than trash removal, there is no custodial service in the kitchen. It is your responsibility to clean up after yourself:** please help keep the kitchen clean by wiping down counters and the microwave tray after you use them. Also, custodians do not refill the paper towels. If you see them running low or empty, please help out by "borrowing" a stack from one of the 3rd floor restrooms.

STUDENT FORMS

The Education Department forms are located in the Student office (McHenry 3170), but you can also download the most used forms from the education department website:
<http://education.ucsc.edu/academics/phd-info/Student%20Forms.html>

KEY POLICY

Keys and/or door access codes will be assigned to students for McHenry 3170 (student office) and TAs will receive a key to McHenry 1280 (TA office). In the event that your key is lost or stolen, you must report the loss or theft to the Education Department immediately, by emailing education@ucsc.edu

In most circumstances, you will be charged for the cost of a new lock and replacement key(s). ***It's important to keep your key(s) in a secure place, and return them to the Graduate Advisor when you are finished using them.***

Students are required to turn in their key(s) to the Graduate Advisor:

1. If student takes a leave of absence
2. If student withdraws from the program
3. When student completes degree
4. When student completes employment appointment (TA and/or GSR)

WEBSITE CONTACT INFORMATION

Students are responsible for listing themselves on the department website and maintaining current information: <http://education.ucsc.edu/>

Using your gold password and login, students will click on the following link and select UPDATE YOUR DIRECTORY INFORMATION ONLINE, and fill in the form. Note that you don't have to list your UCSC email as it will be automatically included. <http://campusdirectory.ucsc.edu/>

MAIL/MAILBOXES

Graduate student mailboxes are located in McHenry, Room 3118. Mail is delivered once a day (in the afternoon), and it is the student's responsibility to check his/her mailbox on a regular basis and keep it cleaned out. The mailroom is open to students M-F, 8am-5pm. Faculty mailboxes are also located in Room 3118. Staff mailboxes are located in 2140B, which is also open to students M-F, 8am-5pm.

PAYCHECKS

If you are a Graduate Student employee (TA, GSR, or Reader), you will be paid in three equal paychecks during the quarter. For a Fall Quarter appointment, your first check will arrive on November 1.

Direct Deposit can be arranged by visiting: <http://www.ucop.edu/atyourservice/> Once you have been entered into the Payroll system, and/or have access to CruzPay, you will then be able to create a new account At Your Service On-line.

DEPARTMENT SPACE AND EQUIPMENT

Only faculty and staff can reserve conference and seminar rooms in advance. However, Ph.D. students may book meetings in the department conference rooms on the day they wish to utilize them.

Please note however that doctoral students are permitted, and encouraged to contact the Graduate Advisor to reserve department conference rooms in advance for the following events:

- Qualifying Examination
- Dissertation Proposal Defense
- Dissertation Defense

Some of the department conference rooms have conference phones, wireless and/data ports (Ethernet connections). Please contact the Graduate Advisor in the Education Department at edphd@ucsc.edu, 459-4509 or stop by McHenry, Room 1276 to reserve a conference room.

COPIER PROGRAM

Students can use the department copier by typing in their Cruz ID, and last four digits of student ID. Students can add cash to their accounts by visiting the kiosk located in McHenry Library, InfoCommons located on the second floor, or the kiosk located in the Science & Engineering Library, in the back of the Cowell room lab.

The Education Department copier is located in McHenry 3118 (Student and Faculty mailroom). Students are provided access to the mailroom during normal business hours: M-F, 8-5pm. There are also copy machines

available for use in the McHenry Library, located on the 2nd Floor InfoCommons, and one copier around the corner from the elevator on both the third and fourth floors.

INFORMATION TECHNOLOGY SERVICES (ITS)

For assistance with doctoral office computers and printers, UCSC email, MYUCSC student portal, etc. students will need to contact the ITS office. There are three different ways students can receive support from the ITS office.

- Online - <http://itrequest.ucsc.edu> or by email - help@ucsc.edu. IT Request tickets can still be submitted online or via email 24 hours a day. Support staff will check tickets multiple times per day.
- Phone 459-HELP (9-4357). FRIDAYS - this number will be directed to voicemail that will be checked hourly.
- Walk-in Kerr Hall 54 remains open M-F from 8AM – 5PM.

You will login to the online ITS help system with your CruzID and Gold password, the same password you use for eCommons, MyUCSC, and the Campus Directory. If you haven't set your CruzID Gold password yet and would like to do so, please visit: <https://cruzid.ucsc.edu/>

Visit the Division of Graduate Studies website <http://graddiv.ucsc.edu/splash/> for additional information regarding campus resources, academic policies, academic advising, learning resources and workshops, Internship and career development, leadership development opportunities, socio-cultural activities, and more.

REGULAR AND EMERGENCY FACILITIES MANAGEMENT

If you notice a problem with the facilities, i.e. elevator not working, plumbing problem, odd smells in the building, etc. please report it to the facilities department at (831) 459-4444 (if you're using a campus phone, you can dial 9-4444). For more information on Emergency Management, please visit: <http://emergency.ucsc.edu/procedures>

PROGRAM OVERVIEW

PROGRAM DESCRIPTION

Our goal in the Ph.D. in Education program is to support graduate students to become creative scholars who engage in research and practice focused on the educational needs of students from linguistic, cultural, economic, and other groups that have historically not fared well in our nation's public schools. To achieve this goal, our program applies tools and perspectives from a range of disciplines including psychology, anthropology, sociology, philosophy, linguistics, and cognitive science. It focuses research and theoretical analysis on the practice of classroom teaching, and it provides research experiences in K-12 classrooms with diverse student populations. It also focuses research on social, economic, political, and cultural issues impacting schooling and life outcomes for diverse populations.

Our program prepares students for research and teaching positions in colleges and universities, as well as for positions in schools, government agencies, non-profit policy and advocacy organizations, and other public and private institutions. The program requires full-time enrollment as a graduate student.

Recognizing the growing awareness that education must be studied in sociocultural contexts that reflect the increasing diversity of today's society, coursework and apprenticeship experiences often focus on topics such as the following:

- Diversity as a value in education
- Equity issues in learning and teaching
- Language learning and use as it emerges through social interaction inside and outside of schools
- How language and culture are implicated in learning and teaching
- Cognitive studies of learning and teaching in content areas such as mathematics, science, and reading
- The social, economic, political, and cultural structures and institutions that impact schooling, teaching, and learning

PROGRAM OF STUDY

The course requirements in the Ph.D. program are directed toward establishing a foundation of theory and knowledge in education and training for conducting theoretically important empirical research. In general, all students are expected to be active in conducting both collaborative and independent research throughout their graduate careers, leading up to the completion of a Ph.D. dissertation.

Students work closely with individual faculty members throughout their graduate careers, and each student **must** be associated with an Education Department faculty member, who serves as the Faculty Academic Advisor and research sponsor. In addition to their Faculty Academic Advisor, students work with other faculty members who serve on their Second Year Project, Qualifying Examination, and Dissertation Committees.

FACULTY ACADEMIC ADVISOR

First-year Faculty Academic Advisors are assigned at the time of admission. Upon entering the Ph.D. program, students consult with their Faculty Academic Advisor to develop an integrated program of study that corresponds with their interests and goals and that includes formal course work, seminars, independent studies, teaching, and research. It is essential that every graduate student have a Faculty Academic Advisor.

We encourage students to broaden their horizons about possible research interests, and we recognize that in some instances students may find their new interests match better with a different faculty member than their original advisor. Students wishing to change Faculty Academic Advisors should seek out a new advisor, and ask this faculty member if he or she will serve as Faculty Academic Advisor. The change becomes official only after a "Change of Advisor Form" is signed by the former advisor, the new advisor, and the Graduate Director, and is filed with the Graduate Advisor. The Change of Advisor forms are located in the graduate student office, McHenry 3170, and are available on line at <http://education.ucsc.edu/academics/phd-info/Education%20Department%20Student%20Forms.html>

Should a situation arise where a student wishes to separate from her/his advisor but has no new advisor, either the department Chair or the Graduate Director will serve temporarily as the interim Faculty Academic Advisor. The deadline for finding a new advisor is at the discretion of the program, but the interim advisor can serve for no more than two quarters or until the end of the current academic year, whichever comes first.

If the student has not secured a new Faculty Academic Advisor during this period, the program will recommend to the Graduate Division that the student immediately be placed on probation. If the student does not obtain a Faculty Academic Advisor within one quarter of being placed on probation, the program will recommend that the student be dismissed from graduate study at UCSC. Students in good standing can petition for an exception if special circumstances seem to warrant an extension of the deadline for finding a Faculty Academic Advisor. The role of the interim advisor is to serve as the official conduit of information between the department and the student, including completion of the annual review process.

INTERDISCIPLINARY FOCUS

In recent years, the program formally operated within specializations or concentrations to approach education research and practice in *interdisciplinary and collaborative ways*. We believe that the complex interconnectedness of topics in education requires a flexible, holistic, interdisciplinary program. Since 2008, we have utilized an organizational structure that provided five focal areas of study or concentrations:

- Social and Cultural Contexts of Education
- Learning and Teaching
- Teachers and Teacher Development
- Language, Literacy, and Culture
- Science and Mathematics Education

These concentrations are fluid, with permeable boundaries and overlapping resources, and they do not represent permanent program structures. The interdisciplinary nature of our program encourages students to move among concentrations as they take courses and develop research related to both their own interests and the interests of the professors in our program. It is expected that by the time of graduation, students will have developed deep expertise in education generally, and specifically in relation to their dissertation study.

Social and Cultural Contexts of Education

We take an expanded view of education that focuses on children and youth within both community and school settings and that attends to the complex interrelations between schooling and the social, cultural, historical, political, and economic contexts within which schools operate. Drawing from disciplinary and transdisciplinary methodologies, our macro-level focus bridges research, policy, and practice in order to understand how children's experiences in schools and communities shape their educational, social, economic, and political opportunities. Our work includes attention to the dynamics of globalization and the ways in which migration and immigration impact children's opportunities to learn and to participate in society.

Learning & Teaching

Recognizing that learning takes place outside as well as inside classrooms, and in groups of peers as well as when experts assist novices, we focus on understanding how learning is enabled by the resources of persons and artifacts available in the situations in which people engage jointly in activities and interaction. From this socio-cultural perspective, we explore how parents, teachers and other educators organize and support learning opportunities. We particularly encourage an inquiry orientation on the part of both learners and teachers and a dialogic approach to the co-construction of knowledge and exploration of its implications for effective and responsible action.

Teachers & Teacher Development

We focus on multiple, often overlapping research and practice topics related to teachers, teacher education, and teacher development such as the histories, contexts, and workforce contours of teaching and teachers; the

lives, work, and careers of teachers from entry to retirement; university and alternative teacher preparation programs and practices; teacher assessment and accountability; and the varied roles of teachers in school reform and education policy.

Language, Literacy, and Culture

We believe that teaching, learning and schooling are always mediated by language practices. From fine-grained looks at talk and language practices to larger examinations of socio-political and historical contexts, this concentration considers multiple dimensions of language and literacy in educational settings. Particular domains include bilingualism, language policy, reading and writing instruction, vocabulary, academic language, sociolinguistics and first/second language acquisition. Our goal is to prepare researchers, teachers and educational leaders who are simultaneously equipped and committed to leveraging the power of language and literacy in service of a more democratic society inside and outside schools.

Science and Math Education

We examine Science and Mathematics learning and teaching within the multiple contexts of classroom, school, family, and community. We are particularly concerned with understanding the educational needs of students from linguistic and cultural groups that have historically not fared well in our nation's public schools. Our core mission integrates theory and practice as we are committed to research that will improve Science and Mathematics learning/teaching for this student population.

Concentration faculty groups have a "convener" whose responsibilities include serving as a liaison among the concentration faculty, the Graduate Director, and each individual student's advisor. The conveners call meetings of and/or communicates electronically with the faculty for such purposes as recommending doctoral courses, developing concentration requirements, making recommendations for action on student petitions concerning these requirements, and preparing materials for PhD Information Night and Visit Day.

Ph.D. DEGREE REQUIREMENTS

SUMMARY TABLE OF DEGREE REQUIREMENTS

COURSE NUMBER AND NAME	TYPE	WHEN TAKEN
Core Courses (30 units)		
EDUC 261 Thinking, Learning, and Teaching ¹	Core (can be counted as L&T Concentration)	Before Advancement to Candidacy (AC hereafter)
EDUC 262 Social and Cultural Contexts of Education	Core (can be counted as SCCE Concentration course)	Before AC
EDUC 235 Introduction to Educational Inquiry	Methods	Year 1
EDUC 236 Intro to Quantitative Methods in Educational Research	Methods	Before AC
EDUC 237 Intro to Qualitative Methods in Educational Research	Methods	Before AC
EDUC 2__ Advanced Methods (A course in a different dept might count as an Adv. Methods course. This is at the Advisor's discretion.)	An Advanced Methods course (can be counted toward a Concentration course if applicable)	Before AC
Professional Development Courses (22 units)		
EDUC 269ABC (Pro-seminar) First-year Professional Development seminar-2 units/quarter	Pro-seminar	Year 1
EDUC 293A or EDUC 293B Research Apprenticeship (Minimum of 5 units)	Research Apprenticeship	Year 1 or 2 (Recommended Y1; required before AC)
EDUC 270 ABC Professional Development seminars-2 units/quarter	Pro-seminar	Year 2
EDUC 294 Second Year Project (Minimum of 5 units)	Research Apprenticeship (2 nd year project)	Year 2
Concentration Courses (30 units)		
EDUC ___ Concentration course ² (Minimum of four in any one concentration)	Concentration	Before AC
EDUC ___ Concentration course (Minimum of four in any one concentration)	Concentration	Before AC
EDUC ___ Concentration course (Minimum of four in any one concentration)	Concentration	Before AC
EDUC ___ Concentration course (Minimum of four in any one concentration)	Concentration	Before AC
EDUC/Other ___ Elective/concentration course ^{3 4}	Elective/Concentration	Before AC
EDUC/Other ___ Elective/concentration course	Elective/Concentration	Before AC
Other Degree Requirements		
One TAship Education or Teaching Internship in Education	Other	Before AC
Attendance at all Department-sponsored colloquiums	Other	Years 1 and 2
Second Year Project Oral Presentation	Other	End of spring quarter in Year 2 (Required Before AC)
Conference or Grant Proposal	Other	Before AC

¹ A student may count EDUC 261 or 262 toward a relevant four concentration-course requirement but must still take 6 courses (i.e., Concentration Courses, Electives) beyond the Core Courses.

² Concentration courses will be cross-listed when appropriate. Students may claim up to two (or, in rare cases, three) concentrations. Students may petition DPC for an independent study to count as a concentration course, but this is expected only in cases where sufficient course offerings for the student do not exist. Four concentration courses alone will not demonstrate expertise in a concentration. However, **in conjunction with independent readings, research work, Qualifying Exam papers, and other experiences, a concentration designation (or two) will be defended and awarded during the Qualifying Exam.**

³ These two additional Elective/ concentration courses can count as concentration courses, or can be advanced methods courses, or courses from other departments/divisions. This is left up to Advisor's discretion.

⁴ Students are encouraged to take courses beyond the minimum required, and—therefore—teaching faculty (and 2nd yr project readers) are encouraged not to overload the students with an amount of work that cannot reasonably be completed by students taking multiple courses. It is expected that students will take **Pro-seminar plus 3 courses** each academic quarter until advancement to candidacy

Core Courses

Ph.D. students are required to take at least six foundational (or “core”) courses. Generally, these courses introduce students to the central theoretical and empirical questions in the field and to conducting education research; in addition they support students in developing their career trajectory. A number of these courses focus on research methods and methodologies that apply across multiple career possibilities. The Advanced Methods courses should relate specifically to the particular research approach the student intends to utilize for her or his dissertation and beyond. Most non-core courses count for meeting requirements in more than one concentration, and students should work closely with their Faculty Academic Advisor to develop a program of study that both meets the various program requirements and prepares them for their chosen career path. Students, with the approval of their Faculty Academic Advisor, can petition the Doctoral Programs Committee for consideration of substituted courses for specific requirements, regardless of whether those courses are offered inside or outside of the Education Department.

Advanced Methods Courses

Ph.D. students are required to take at least one Advanced Methods course, but they should seriously consider taking even more in order to prepare adequately for their research career. The following are examples of Advanced Methods Courses that the Education Department has offered recently (exact offerings vary from year to year based on availability of faculty members to teach them):

- 251- Analysis of Activity and Interaction in Educational Settings
- 252- Hermeneutics of Education
- 253- Research Design in Science and Mathematics Education
- 254- Critical and Alternative Paradigms in Education Research
- 255- Intermediate Quantitative Methods
- 256- Advanced Qualitative Analysis in Education Research

Students should also investigate course offerings in other departments that can provide methodological preparation, and based on the recommendation and approval of the student’s Faculty Academic Advisor, it may be appropriate for students to both fulfill and go beyond the Advanced Methods requirement by taking one or more methods related courses in other departments.

It is the joint responsibility of the student and Faculty Academic Advisor to discuss options for the advanced methods course and to plan for and choose the best option. During the annual review, it is the Faculty Academic Advisor’s responsibility to sign the Student Planning Sheet indicating that the student has met the advanced methods course requirement, and to enter the course information on the form after the advanced methods course has been completed.

ADDITIONAL REQUIREMENTS IN SCIENCE AND MATHEMATICS EDUCATION (SMED)

Along with the completion of all coursework and other requirements for the Ph.D. in Education, the Science and Mathematics Education Concentration includes these **four concentration courses**:

1. One “**Introductory**” course (ED 228 or ED 230 taken during year 1)
2. One “**Cognition**” course
3. One “**Equity**” course
4. One “**Elective**” course

Students in the Science & Mathematics Education (SMED) Concentration are required to take the “Introductory” concentration course (either ED 228 or ED 230) during their first year and at least one concentration course during their second year.

When there are not sufficient numbers of students for these courses to be offered, students can fulfill these requirements through independent studies with either their Faculty Academic Advisor or approved by their Faculty Academic Advisor but taken with another faculty member.

COLLOQUIUM ATTENDANCE

To aid in the development of their research programs, **students are required to attend department colloquia during their first and second years in the Ph.D. program.** Colloquium attendance for Ph.D. students is a part of the course requirements for the First and Second Year Professional Development Seminars (EDUC 269ABC and EDUC 270ABC). In the twice per quarter colloquia, graduate students and faculty present research plans, research-in-progress, and completed research for constructive criticism. Outside speakers are also invited to present formal colloquia on their research.

RESEARCH APPRENTICESHIP

All students are required to participate in a research apprenticeship during the first or second year of study under the guidance of their Faculty Academic Advisor or another Education department faculty sponsor. The research apprenticeship can be fulfilled through work as a Graduate Student Researcher (GSR), participation in a faculty-led research group, or another kind of substantive contribution to a joint project with a faculty member. Any requests for faculty sponsors outside of the Education department will be evaluated by the DPC on a case-by-case basis.

The research apprenticeship should meet the requirements for a 5-credit course. Students may either enroll in 293B for 5 units or they may participate in the research apprenticeship over three quarters of 2-credit courses (293A). To enroll, students complete a Ph.D. Student Independent Study Petition (available in McHenry, Room 3170 and on-line at [http://education.ucsc.edu/academics/phd-info/Education Department Student Forms.html](http://education.ucsc.edu/academics/phd-info/Education%20Department%20Student%20Forms.html)) and attach an outline of the proposed work for the apprenticeship. Petitions must be signed by

- the Faculty Academic Advisor
- the faculty sponsor if different than the Faculty Academic Advisor
- the Graduate Advisor

Upon approval and submission to the Graduate Advisor, students will be given a course number with which to register. We recommend that students begin the apprenticeship in Year 1 so that they are prepared to do their Second Year Research Project in Year 2. Students must have completed the research apprenticeship in order to advance to candidacy.

SECOND-YEAR RESEARCH PROJECT AND PAPER

Students are required to complete a small independent research project by the end of their second year. It will be carried out under the close supervision of the Faculty Academic Advisor, but the student will assume major responsibility for all aspects of the project. The second-year paper should reflect original data collection and/or analysis, as well as a substantial literature review and discussion of the theoretical implications of the research. This paper may be an extension of work begun in the first year or a report of new research undertaken during the second year.

Alternative Second Year Project

If the student has already completed a research Master's degree thesis equivalent to the Second-Year Research Project, as determined by Faculty Academic Advisor and the DPC, the student and the Faculty Academic Advisor may design an appropriate alternative project that advances the student's research

development. To pursue this option, the student must first request the Faculty Academic Advisor to submit to DPC a written recommendation to waive the Second Year Project, based on her/his review of the thesis. The Alternate Second Year Project Approval Form should be attached to this request.

Faculty committee: The student selects two readers from among the Education Department faculty for the second-year paper with the guidance and approval of the Faculty Academic Advisor, who typically is the First Reader.

Project proposal: Working with the Faculty Academic Advisor (or whoever is the First Reader) and Second Reader, each student prepares a second-year project proposal and brief project abstract.

Proposal due date: The proposal approval form and a project abstract should be filed with the Graduate Advisor no later than the *last day of instruction in Fall Quarter of Year 2*. Both the Faculty Academic Advisor (or other First Reader) and the Second Reader must sign the form, indicating that the proposal has been approved.

Oral presentation: Students are required to report on their second-year project at an Education Department research presentation event, usually held near the end of spring quarter of Year 2. Students who are conducting an alternative second-year project are also required to report on their work during this event. Students interested in watching previous oral presentations can check out a disc from the Graduate Advisor, in McHenry 2176.

Due date for the Second-Year Project Paper: Students are strongly urged to complete the second year project and project paper before the end of Year 2. However, for those needing more time, the latest date for submission of the second year paper is the first day of instruction in Fall Quarter of Year 3. The project paper, which should be prepared in APA style, reports on the second year project. Students submit drafts of the paper to their Faculty Academic Advisor (or other First Reader) and their Second Reader. Once approved, the Faculty Academic Advisor (or other First Reader) and the Second Reader sign the second-year project approval form which is located on the education website: [http://education.ucsc.edu/academics/phd-info/Education Department Student Forms.html](http://education.ucsc.edu/academics/phd-info/Education%20Department%20Student%20Forms.html). This form must be submitted to the Graduate Advisor for filing. Students might be encouraged to further revise the second year paper for publication in an appropriate professional journal.

Notes: The satisfactory completion of the second-year research project and paper is a requirement for the M.A. degree (see section below on M.A. requirements). The second-year project must also be completed before a Qualifying Examination committee can be approved.

TEACHING (TA) REQUIREMENT

Because the skills required for good teaching—the ability to articulate ideas, provide cogent explanations, support and participate in substantive discussions, and listen attentively and assess/discern someone else’s understanding—are fundamental to education, the Education Ph.D. Program emphasizes teaching experience. Students are required to complete at least one quarter of teaching: one TAship in Education (or some other Department, with the approval of the student’s Faculty Academic Advisor) or a Teaching Internship prior to advancement to candidacy (or demonstrate comparable teaching experience in Education, or a related field, at the university level).

Teaching assistant training is mandatory and provided for all graduate students prior to their first assignment. The department will notify students when TA Training will occur; it is generally scheduled before the

beginning of fall quarter. (Note: Students who plan to T.A. in winter or Spring Quarters should attend the Fall Quarter training session.)

In addition, graduate students who have advanced to candidacy can apply to design and teach their own one-quarter lower-division course (courses above this level must receive CEP or Graduate Council approval). Approval to teach a course must be given in advance by the student's Faculty Academic Advisor and the Education Department Chair.

TEACHING ASSIGNMENTS AND RESPONSIBILITIES

A Teaching Assistantship is a half-time appointment. The total commitment is approximately 20 hours per week (the maximum is an average of 20 hours per week). Included in this total are TA trainings, formal contact hours in class, lab and discussion sections, time spent grading papers, attending lectures, preparing for teaching and office hours with students.

Teaching Assistants will be evaluated by their undergraduate students. Evaluations are now conducted on-line electronically by the University. TAs should very strongly encourage their students to complete the evaluations so that they have a performance record to review with their Faculty Academic Advisor and to submit as part of their job search materials.

Teaching Internship (in lieu of a TAship in Education)

This 2-unit course is an opportunity for a student to work with a faculty member who is teaching an undergraduate course. The students have reduced responsibilities in comparison with a TAship, and are not responsible for final grades or evaluations or holding sections—and will not have access to the grading portals—and the workload is limited to only 2-3 hours per week plus class meeting time. The student is able to receive apprenticeship into perspectives about and practices of teaching undergraduate courses: assisting with the instructor on lesson planning, class instruction, and assessing some student work. This internship cannot be repeated for course-credit. Students interested in pursuing this option should speak with their Faculty Academic Advisor and download the independent study form on the education website: [http://education.ucsc.edu/academics/phd-info/Education Department Student Forms.html](http://education.ucsc.edu/academics/phd-info/Education%20Department%20Student%20Forms.html)

QUALIFYING EXAMINATION

After satisfying all formal course and research requirements, a student must take a two-part Qualifying Examination (QE): preparation of a written file and engaging in a three-hour oral examination. The QE is intended to assess a student's **depth and breadth of knowledge** in her or his focal areas of study and a student's **competence to carry out the proposed dissertation research**. This is an important milestone since, among other things, it signals the completion of all required coursework and the declaration of a field of scholarship. Students, in consultation with the Faculty Academic Adviser, should begin planning for the QE during their second or third year while completing course requirements. We expect students to schedule their QEs for sometime during the third year or beginning of the fourth year. Campus policy, which follows both Graduate Division and Academic Senate regulations, states that **normative time requires students to complete their QEs before the end of the fourth year**. Extension beyond the fourth year requires approval from the Graduate Division.

It is **very important** to follow each step in preparing for your QE, so please refer to the following "Check-List" when you are beginning to prepare for your QE defense. Please note that one missed step could result in a "Breach of Contract" with the Graduate Division, in which case a student would be required to go through the entire QE process again. This stringent University regulation is meant to ensure the proper process is used.

Filling in the following checklist is not mandatory, but rather the checklist is offered as a way to track the student's completion of the requirements and it provides a recommended roadmap of how to proceed to insure the requirements are met.

Qualifying Examination Checklist

- | <i>Student initials</i> | <i>Advisor initials</i> | <i>Date</i> | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. _____ | _____ | _____ | Discussed with and gotten approval from the Faculty Academic Advisor the QE committee membership and chair (who cannot be the student's Faculty Academic Advisor) and QE date. Talked to potential committee members and chair and secured their agreement to serve. Put forward committee nomination form, which includes the proposed defense date, to the Graduate Advisor to submit to Graduate Division. ^{1 2} |
| 2. _____ | _____ | _____ | Established list of research areas and/or reading list, specific topics of 2 QE papers, and plan for writing the dissertation prospectus. |
| 3. _____ | _____ | _____ | Drafts of both QE papers and dissertation prospectus submitted to Faculty Academic Advisor, commented on by Faculty Academic Advisor, and subsequent revisions discussed with Faculty Academic Advisor. |
| 4. _____ | _____ | _____ | Student scheduled room, arranged for equipment, notified QE committee of date, time, and place—and when to expect the QE papers. |
| 5. _____ | _____ | _____ | Fill out the QE Committee Nomination Form ³ , and turn in to the Graduate Advisor, at least 30 days prior to defense date. The Education Department and Graduate Division must approve each committee. |
| 6. _____ | _____ | _____ | Drafts of all three papers submitted to committee members for their consideration and feedback. (Must occur at least two weeks prior to QE event, and preferably earlier, so that Committee members whose feedback will be substantial or who have concerns about the student's ability to complete the QE have sufficient time to read the papers and contact the Faculty Academic Advisor well in advance of the QE event. Committee members [other than Faculty Academic Advisor] may or may not offer written feedback prior to the meeting; they may choose to wait until the QE event to share their feedback on the three papers.) |
| 7. _____ | _____ | _____ | Informal check-in with Faculty Academic Advisor to review structure, decorum, procedure of the QE event. |
| 8. Students must bring the following forms to their Qualifying Exam: | | | |
| 1. Report on Qualifying Examination form | | | |
| 2. Nominations for Dissertation Reading Committee form ³ | | | |
| 9. Afterwards: Once the QE has been completed/passed, the QE chair submits the completed and signed Report on QE form to the Graduate Advisor. The student will turn in the Nominations for Dissertation Reading Committee form to the Graduate Advisor. Students will be charged the Advancement to Candidacy fee through their student portal. | | | |
| 10. Students need to set a date for their 3-hour dissertation proposal meeting, and write their dissertation proposal. ⁴ | | | |

¹ A student's QE committee, consists of four people: a chair (cannot be the Faculty Academic Advisor, and must be a tenured member of the Education Department), the student's Faculty Academic Advisor, a tenured faculty member from outside the Department, and typically one other Education Department faculty member (need not be tenured).

² The "Committee Nomination of Ph.D. Qualifying Examination" form is located on the Grad Division's website. It is mandatory to turn this form in 1 month prior to the exam date for Grad Division approval.

³ These forms are available on the Graduate Division's website: http://graddiv.ucsc.edu/student_affairs/forms.php#enrollment

⁴ NOTE: The Dissertation proposal must be completed/approved within two full quarters of advancing to candidacy. Normative time for part-time and full-time students to complete the dissertation after advancing to candidacy is three years.

Timetable

Students will generally be expected to take the qualifying exam by the end of the third year, although some students may be ready earlier and others may need longer to prepare. **A student who has not advanced to candidacy by the end of four calendar years after entering the program (irrespective of leaves) is not considered to be making satisfactory progress and will be recommended for probation unless there are strong extenuating circumstances.**¹

A student must be registered as a graduate student in the quarter that the QE is taken.

For more specific information about the QE regulations, students should refer to the Graduate Studies Division "Handbook." (see *Academic Regulations*).

The time frame for preparing for the QEs will vary according to the student's preparatory experience and pace with which each student progresses through the program. It is recommended that students begin the research for one of their QE position papers during the second year of the program. **All three papers (two position papers plus a dissertation prospectus) must be completed and approved for committee examination by the student's Faculty Academic Advisor before the student takes the oral exam.** (Note that approval of the papers indicates that the student is ready to move forward to the QE, NOT that the student has passed the QE or is no longer in need of future revisions.) Preparation for the QE normally takes about a year, including one or two summers.

Pre-qualifying Review

Preparation for the QE includes the following steps, referred to as the pre-qualifying review. This review consists of the preparation of three papers, two of which must be position papers on theoretical topics. The third is a dissertation prospectus.

Position papers

Each position paper should

- Critically examine a particular body of literature and demonstrate the student's ability to use the literature to defend a position
- Come to some conclusion about what is known on the topic
- Identify gaps in the literature
- and/or pose questions or hypotheses that might serve as the basis for future research

It is recommended that the topics relate to the student's proposed dissertation. In writing the position papers, students should strive to find a balance between (a) an accurate review of the various perspectives on the chosen topic and (b) an expression of their own well-supported views on the topic.

Position papers are not simply open-ended literature reviews. A review of relevant literature is a crucial part of the paper, but the delineation of what constitutes the *relevant* literature can only be determined by having a clear grasp of both the broad outlines of the field or theme of the review and the deep structure of the issues and arguments. In other words, the position paper must develop and defend a coherent position or argument as it relates to the established scholarship on the topic. It is anticipated that each position paper will be approximately the length of a professional article (typically 25-35 pages).

¹ For students who have been approved for part-time status due to family or medical needs (see Family Leave section of Handbook), the clock moves at half-time **prior to** advancing to candidacy. For students who have been approved for a Leave of Absence (LOA) due to family or medical needs, the clock stops. In all cases, students should advance to candidacy by the end of six years to remain in good academic standing.

Students are expected to work closely with their Faculty Academic Adviser, as well as other members of the QE committee, to determine properly focused topics and to develop an extensive reading list for each topic. Each member of the QE committee should approve topics and reading lists before the position papers are drafted. When students submit draft papers to members of the QE committee for their review and feedback, they can reasonably expect that faculty members will take no more than two to three weeks to “turn around” the materials submitted. Students should not expect “instant feedback” at the last minute.

Dissertation prospectus

The third paper is a dissertation prospectus, which is a preliminary version of the dissertation proposal. It should be 12 to 15 pages in length (excluding references and appendices). The dissertation prospectus is designed to demonstrate a student’s competence in research design and methodology, as well as to introduce the student’s own dissertation research plans and their potential significance.

The prospectus should include

- brief discussion of the student’s relevant prior work (second-year project, pilot studies, prior research findings)
- an introduction to the dissertation work (context, research goals, hypotheses and methodology)
- a brief presentation of the theories, strategies, study design, and analytical approaches that will guide the dissertation research.

It should locate the student’s dissertation plans inside existing literature and research, but does not need to offer its own fully developed literature review. The prospectus is not a dissertation proposal, although it is hoped that it will provide grounding for the development of a subsequent dissertation proposal. Yet, it is recognized that further inquiry may result in the subsequent development of a dissertation research proposal that may depart significantly from the prospectus. Students are expected to work closely with their Faculty Academic Adviser in developing the prospectus, as well as with proposed members of the dissertation reading committee, if they are known at that point. Typically the dissertation readers are selected from the QE Committee, but this is not a requirement.

Qualifying Examination Committee

The examination committee consists of at least four members including the student's Faculty Academic Adviser. One of the four members must be either an outside tenured faculty member in a UCSC department other than Education or a tenured non-UCSC faculty member in an appropriate discipline and whose work has particular relevance to the topics of the examination. The other two members will usually be from the Education department, with at least one being a tenured faculty member. **A tenured Education Department faculty member who is not the student's assigned Faculty Academic Adviser must serve as the Chair of the committee.** If a student wishes to nominate a committee member who is not affiliated with UCSC, then the student must get the approval of their Faculty Academic Adviser, and then provide a copy of the proposed member’s CV along with the QE Committee Nomination form. The department shall forward both documents onto the Graduate Division for approval.

Students should consult with their Faculty Academic Adviser as to the composition of the committee. One good way to begin the process of putting together a committee could be to write a paragraph about each of the proposed topics and then present the topics and preliminary reading lists to potential committee members. If these faculty members agree to serve, they then may add to the reading list. They may also offer feedback on draft position papers, if they wish.

Students must submit the list of proposed Committee members, who have agreed to serve, to the Education Department’s Graduate Advisor **at least 30 days before the intended date of the QE.** The Graduate

Director and Faculty Academic Advisor must approve the Committee's composition before it is submitted to the Dean of Graduate Studies for final approval. Once the Committee is approved by the Dean, any changes in membership must be resubmitted for approval to the Graduate Dean.

Scheduling the Qualifying Examination

The chair of the QE committee in consultation with the student's Faculty Academic Advisor should determine when a student is ready for the oral examination. **The student must be enrolled during the quarter he/she takes his/her QE. If the student takes his/her QE during the summer, then he/she must be enrolled in the previous spring quarter.** It is the student's responsibility to give all members of the QE Committee copies of reading lists, the two position papers, and the dissertation prospectus at least two weeks before the date of the qualifying exam, assuming it is scheduled during the academic year. It is also the student's responsibility to schedule the date and room for the QE. Due to faculty schedules, it is advisable to set this date well in advance, and to select dates when faculty members are on-duty.

Oral Examination

The oral examination is a three-hour meeting in which the student presents and defends his/her work to the Committee. Although the Committee will decide on the form of the oral exam, it typically begins with a brief (15-20 minute) presentation by the student outlining key points in the position papers and describing the proposed research. The meeting will then normally move to a detailed discussion of the student's file.

The QE Exam is open to all faculty members. At times, other Ph.D. students are invited to attend, but may do so only with the permission of both the Faculty Academic Advisor and the examinee.

Toward the end of the oral exam, the student will be asked to leave the exam room. At this point the Committee will review the entire QE file (orals and written) and decide on one of three actions: pass, conditional pass (requiring revisions to written papers to be submitted according to a specified timetable), or no pass/fail. A student who fails the QE may request a second (and final) examination.

Examination Results

Following the examination the student will receive a copy of the "Report on Qualifying Examination" prepared by the Committee Chair for the Graduate Division. Also following the exam and the completion of any revisions, the student is required to submit a copy of his/her QE file to the Graduate Advisor in the Education Department.

ADVANCEMENT TO CANDIDACY

To advance to candidacy for the Ph.D., a student must have

- Completed all course requirements
- Completed a Second-Year Research Project and Paper
- Passed his/her Qualifying Examination
- Completed a TAship or Teaching Internship in Education
- Completed a Conference or Grant Proposal
- Cleared all incompletes from his/her record

When the student passes the QE, the student and QE Committee chair must submit to the Graduate Advisor the following

- Report on Qualifying Exam form (signed by all Committee members, with Committee comments compiled and completed by the QE Chair)
- Nomination for Dissertation Reading Committee form (approved by the Graduate Director)

When the Graduate Advisor receives the above documents, these materials will be forwarded to the Graduate Division for final approval.

Advancement to Candidacy takes effect on the first day of the quarter following the receipt of the QE Report, the Dissertation Reading Committee form, and the Advancement to Candidacy fee¹ in the Graduate Studies office. The student will receive an email from the Graduate Studies office confirming his/her Advancement to Candidacy.

DISSERTATION PROPOSAL

Timeline for Proposal Preparation and Defense

Within two quarters of advancing to candidacy (barring extenuating circumstances), a student is required to prepare and then defend before her/his dissertation committee a dissertation proposal.

Dissertation Proposal Defined

The dissertation proposal intends to meet two objectives: offer a clear, coherent, and systematic research plan to be followed; and demonstrate scholarly competence in the student's area(s) of study. The proposal is expected to be 20-25 pages in length (excluding references and appendices). It may be a refined and elaborated version of the prospectus presented as part of the qualifying exam. It should describe all the relevant details regarding research questions or hypotheses, significance of the topic, conceptual framework, literature review, research methods, plans for data analysis, and a proposed schedule to completion of the project. The proposal should include a title page and one-page abstract (maximum 400 words).

Once the proposal has received the approval of the Faculty Academic Advisor for it to be reviewed by the Dissertation Committee, the student should give a finished draft to all Dissertation Committee members. It is the student's responsibility to schedule a date, time, and room for the proposal defense (a two-hour block of time should be scheduled). Copies of the proposal should be distributed to Committee members at least two weeks before the defense. During the oral defense, the student will usually give a brief (15 minute) overview of the proposed topic and then answer questions from the faculty Committee about the plan of research. In most cases, the faculty will offer ideas and suggestions for improving the research plan.

Following approval of the proposal, Dissertation Committee members sign the Dissertation Proposal Approval Form. The form plus a copy of the dissertation abstract are submitted to the Graduate Advisor for filing.

Students will normally defend their dissertation proposal in the beginning of their fourth year. Students who have not received signed approval for their dissertation proposal by the end of two quarters after advancing to candidacy or by the end of five years (whichever comes first) will be recommended for probation, barring extenuating circumstances.

Checklist of Student's Responsibilities Prior to Proposal Defense

- Discuss with Faculty Academic Advisor and recommend potential dissertation committee members (please note that changes can be made to the original committee selection made at the qualifying exam)

¹ The Advancement to Candidacy fee is currently \$90, but this fee is subject to change. The current amount will be printed on the bottom of the most current Report on QE form, located on the Graduate Division's website: http://graddiv.ucsc.edu/student_affairs/forms.php - enrollment

- ❑ Establish date for dissertation proposal defense (must be successfully completed no more than 2 quarters after passing the qualifying exam)
- ❑ Draft of proposal approved by Faculty Academic Advisor for Committee review and sent to Committee members at least 2 weeks prior to defense

DISSERTATION

A dissertation based on original research is required. The Ph.D. dissertation is a sophisticated, scholarly contribution to some area of education. An acceptable dissertation meets the following criteria to the satisfaction of the candidate's Dissertation Reading Committee:

- Is an original study that reports on a thorough analysis of data collected by the author around a researchable problem;^{1/5}
- Draws on established theoretical domains/foundations, while simultaneously moving the theoretical landscape forward;
- Sufficiently attends to methodologies and methods appropriate to the student's research questions(s);²
- Presents a meticulous analysis which offers a transparent path of inference and visibly supports all claims with appropriate evidence;
- Seeks to produce knowledge that is in some way generalizable to larger audiences and/or education contexts;
- Demonstrates expertise in the field education;
- Is coherently organized, well written and appropriately cited.

The traditional dissertation has been described as “a unified work with a single theme, including an introduction and literature review, a description of methods and procedures used, a presentation of results and a concluding discussion of the meaning of the results” (Council of Graduate Schools, 1991, p. 12). This format is acceptable for the dissertation requirement. However, Ph.D. candidates in education are additionally offered the option of a three-article dissertation format. This is the submission of three related papers of journal-article length—all deriving from one original research study—each of which is considered ready, or near ready, for submission to recognized high quality peer-reviewed journals. The papers—submitted as “chapters”—would most likely be accompanied by some kind of introductory chapter that documents the overall research program from which the papers came, a concluding chapter that synthesizes implications and extended meanings of the study, and appendices describing methods, research procedures and data particulars.

The particulars regarding what distinguishes the three article-length chapters from each other, the extent to which each is connected and separate, and to which audience(s) they might be addressed are left up to the candidate and his or her Faculty Academic Advisor and Reading Committee. In such matters the guide should be the student's topic and method, the student's expected professional goals, and the dissertation criteria listed above.

¹ Not all problems in education are researchable. Problems that can be solved by a mere descriptive exercise are not appropriate for the Ph.D. dissertation. Acceptable problems are those that (a) pose a puzzle to the field at a theoretical, methodological, or policy level; (b) make analytical demands for solution, rather than mere cataloging or descriptive demands; and/or (c) can yield to a reasonable research methodology.

⁵ A theoretical dissertation can also be written, in which case the ‘data’ would itself be comprised of theory.

² We hold that participant observation is a reasonable research methodology but, as such, is bound to its accepted conventions, limitations, and the need for evidence-based support.

Dissertation Reading Committee

Students advanced to candidacy will normally have a Dissertation Reading Committee (DRC) composed of at least three faculty members: two of those faculty members will be from the Education Department and the third will be a tenured faculty member from another department). It is understood that this outside member will not be required to regularly read drafts of the proposal and dissertation or regularly meet with the student, but will be expected to participate in the Proposal Hearing and the Dissertation Defense and read occasional drafts of the student's written work. Students, in consultation with their Faculty Academic Advisors, may prefer to move forward with an alternative DRC membership if they believe their circumstances would be better met with a different DRC membership composition.

The Dissertation Oral Exam (or “Dissertation Defense”)

After the final draft of the dissertation has been completed and submitted to the Reading Committee, students must defend the dissertation in an oral exam. This meeting will normally provide the occasion for the student and Committee members to discuss the final project and to celebrate the completion of the student's graduate career. The meeting also provides students with useful suggestions for possible publication of the dissertation.

There might be occasions, especially in the summer if a student is taking new employment and moving away, where it is nearly impossible for all the members of a Dissertation Reading Committee to get together for this final meeting for the dissertation defense. When this situation arises, it is still useful for students to meet with as many Committee members as possible and/or to participate in a conference call. Students should set up this final meeting. If, under extreme circumstances, the final dissertation meeting must be waived, it is the responsibility of the Chair of the Dissertation Reading Committee, not the student, to get agreement for this waiver from all members of the Committee.

Dissertation Format

Please see Graduate Division's Graduate Student Handbook for details about the format for the dissertation.

Submitting the Final Manuscript and Graduation

Students will follow the directions for preparing and submitting their final dissertations that are outlined in the *Dissertation and Thesis Preparation Guidelines*, which is published by the UCSC Division of Graduate Studies and available at http://graddiv.ucsc.edu/student_affairs/pdf_student_affairs/Diss_Guidelines2009.pdf Students will be responsible for the cost of copying and binding and/or preparing electronic storage of dissertations. Students must provide an electronic copy of final dissertation to the Graduate Advisor before receiving department approval for their degree.

Filing for the Ph.D. Degree

To be awarded the Ph.D. at the end of a particular quarter, the student must file by the beginning of the third week of that quarter her/his intentions to complete all degree requirements by the end of that quarter. The signed final copy of the dissertation must be submitted to the Graduate Division by the end of the ninth week of the quarter. Since these dates are approximate, the student should check with the Academic Calendar¹ for the exact dates: <http://reg.ucsc.edu/calendar/>

¹ see information listed under “Announcing Candidacy for Degree”

Dissertation Checklist

Communicate early and often with your Faculty Academic Advisor regarding the status of your dissertation and your plans and timing for defending.

- If you plan to use the filing fee status, you must submit the application to the education department Graduate Advisor no later than the first week of the quarter (committee signatures are required on this document)

- Submit Application for Degree at the beginning of the quarter, to the Education Dept. Graduate Advisor (your defense date should be 2-3 weeks before the deadline to submit all requirements for degree)

- Order regalia if you're planning to participate in the campus commencements (online link available on Grad Division's website)

- Register to participate in commencements (online link available on Grad Division's website)

- Request a meeting room for your dissertation defense -- edphd@ucsc.edu

- Send your committee a copy of your complete draft (they should receive a copy at least one month prior to your defense date)

- Bring a copy of the title page to your defense, make sure all members sign this page in black ink

- Complete all edits to your committee's satisfaction

- Make an appointment with the Director of Graduate Student Services, Kris West, to check your formatting: kwest@ucsc.edu

- Submit the signed title page to the Graduate Division's office (original signatures are required; cotton paper is no longer required)

- Submit your dissertation online

- Take the survey, and submit all other online requirements (all requirements are listed on the Graduate Division's website)

SUGGESTED TIMELINE FOR PROGRAM MILESTONES

Year 1

Coursework
Colloquium attendance
Annual Review

Year 2

Coursework
Colloquium attendance
2nd Year Project Proposal
2nd Year Project Research and Paper
Annual Review

Year 3

Remaining coursework
Qualifying Exam (*preferably end of 3rd year*)
Annual Review

Year 4

Qualifying Exam (*required by end of 4th yr*)
Dissertation Proposal/Hearing
Annual Review

Year 5

Dissertation work
Defend Dissertation (*potentially by end of 5th year*)
Annual Review (if not defending dissertation)

Year 6

Defend Dissertation (*preferably by end of 6th year*)
Annual Review (if not defending dissertation)

Year 7

Defend Dissertation (required by end of 7th year)

PETITIONING TO CHANGE A PROGRAM REQUIREMENT

If special circumstances occur, students may petition to substitute a class or modify a program requirement. Modifying a requirement usually occurs only when a student has already met a particular program requirement through previous coursework or graduate training. Students need to submit a completed Petition for Exception form 6 weeks prior to the quarter in which the course they are petitioning begins. No substitution is considered for approval until the completed Petition for Exception form is filed with the Graduate Advisor. All substitutions for core courses or core requirements must be approved by the Faculty Academic Advisor and the DPC.

REQUEST FOR AN EXTENSION OF A DEADLINE

If special circumstances occur that prevent a student from meeting the deadline for completing a requirement specified in this handbook, the student may petition for an extension. The petition must explain the special circumstances and specify the date by which the requirement will be completed. The petition must be signed by the student, the Faculty Academic Advisor, and submitted to the Graduate Advisor, who will bring the documents to the next Doctoral Programs Committee meeting for final review and approval.

DESIGNATED EMPHASIS

Doctoral students in education may obtain a Designated Emphasis (DE) in another subject area on their education Ph.D. diploma (e.g. Sociology). The Designated Emphasis (DE) is equivalent to a graduate minor, and generally involves the cooperation of two degree-granting programs. The program that provides the courses and training in the subject of the emphasis is called the *offering program*. A program whose students utilize the courses and training from the emphasis in its degree program is called the *coordinating program*. **Students should consult with their Faculty Academic Advisor prior to pursuing a DE.**

The offering of Designated Emphasis (DE) programs will be noted in the *General Catalog*. The DE requirements will be specified under the offering program's description. Programs may wish to include in their catalogue descriptions the option of pursuing designated emphases and point students towards suggested possible emphases, according to disciplinary affinity and program history.

The elements of a Designated Emphasis (DE) are as follows:

- 1) Requirements will typically include more than one of the following elements:
 - a. Course work in the offering program
 - b. Offering program faculty membership on qualifying or thesis committee
 - c. Significant writing, research, teaching, presentation, or production in the discipline or offering program
- 2) The requirements for the DE will be set by the emphasis-offering department.
- 3) The coordinating department will approve student requests for the DE annotation through departmental graduate approval procedures, and the emphasis-offering department will certify completion of the ED requirements.
- 4) The DE is a formal credential, and records will be kept of it on the student's transcript in the registrar's office and on the student's diploma. The words used will be "a degree awarded in *Education with an emphasis in _____*".

[Any change to the approved requirements of a designated emphasis must be re-approved by the Graduate Council]

REQUIREMENTS FOR THE M.A. DEGREE

Students are not admitted into the program to pursue only the Masters degree. However, students may be awarded the M.A. degree in Education as part of their studies for the Ph.D. Students wishing the M.A. degree must:

- complete a minimum of three quarters residency
- complete EDUC 235, 237, 269ABC, 270ABC, 293A or 293B, and 294
- complete a satisfactory second-year research project and paper
- complete a minimum of 60 graduate course units

- receive a positive review of a dossier containing the student's work to date

Normally this occurs at the end of the student's second year. Students seeking an M.A. degree are to refer to the guidelines set out by the Division of Graduate Studies for filing for a degree as well as complete the M.A. degree application form and submit it to the Education Department Graduate Advisor. Please see the Academic and Administrative Calendar for the deadline to announce for an M.A. degree and complete all requirements (see information listed under, Announcing Candidacy for Degree).

GRADING POLICY

SATISFACTORY/UNSATISFACTORY GRADING

All graduate students in graduate or undergraduate courses will be graded Satisfactory, Unsatisfactory (S/U) or Incomplete (I). Graduate students also have the option of receiving a letter grade of A, B, C, D, or F in most courses. The grades of A or B shall be awarded for satisfactory work. Grades of C or D will not satisfy any course requirement for a graduate degree at UCSC. A grade of U or F requires immediate resolution or the student will be brought up for review before the Education Department ladder faculty.

LETTER GRADE OPTION

You may select the letter grade option for a course on the MYUCSC student portal. For instructions on how to select the letter grade option, refer to the Registrar's website <http://reg.ucsc.edu> Select *the FAQs for Students* link.

REPEATING COURSES

Graduate students may repeat a course in which they earn a grade of C, D, F, or U. Degree credit for a repeated course will be granted only once, and the most recently earned grade will be used to determine whether a degree requirement has been met.

INCOMPLETE GRADES

The Education Department does not allow "Incompletes" in its first year Ph.D. courses and strongly discourages the use of "Incompletes" in other Education graduate courses. We also strongly recommend that Ph.D. students in Education not request incomplete grades for courses taken outside the Department.

We understand that an "Incomplete" may be appropriate in some instances, particularly in cases of serious medical or personal emergency. In such cases, the Department strongly urges all Ph.D. students to submit the required coursework to the instructor before the end of the 6th week of instruction in the Quarter following the issuing of an "Incomplete" grade. In any case, per University policy, if the course work is not completed within one calendar year, the "Incomplete" grade will automatically revert to a "Fail" (F).

Failure to complete coursework in a timely manner can severely hamper a student's progress toward the degree and will reflect unfavorably on his/her performance during scheduled periodic reviews (see sections below on Academic Progress and Annual Reviews). For example:

- The current status of “Incomplete” grades is a factor in the annual review of a student’s dossier, and a favorable review and recommendation for continuance in the program by the faculty review committee is conditional upon the timely completion of all outstanding coursework.
- No student is allowed to advance to Candidacy with outstanding “Incomplete” grades on his/her transcript.
- Any student who allows an “Incomplete” grade to revert to an “F” is subject to immediate review by the Department. Receiving an “F” in an Education course is considered potential grounds for dismissal from the program.

NARRATIVE EVALUATIONS

Instructors are no longer required to provide students with Narrative Evaluations for graduate courses, although some instructors may still write evaluations for students. These outline the subject of the course and the criteria by which your performance was evaluated, assessing the strengths and weaknesses of your work. Strict rules govern what can and cannot be mentioned in Narrative Evaluations. For example, notes on personality and personal habits are excluded, as is mention of illness or personal problems occurring while a student is enrolled in a course. A booklet of guidelines for Narrative Evaluations is available on the Registrar’s website.

The Education Department faculty members teaching doctoral courses will include on their syllabus, and discuss with students at the beginning of each quarter, their practices concerning the following: (a) written feedback on student work throughout the quarter (and when students should expect to receive that feedback), and (b) the use of narrative evaluations (e.g., whether faculty members intend to write narrative evaluations for all students, whether they will write them if students request them). No later than three weeks after a student has submitted a written assignment, instructors should provide substantive, written feedback that represents an intellectual engagement with the student’s work.

If you think a particular Narrative Evaluation is an inaccurate reflection of your performance in a course or includes inappropriate information, you should first consult the instructor, requesting specific changes in the wording. If this does not result in a mutually satisfactory outcome, consult the Graduate Director and the Department Chair. Finally, cases may be appealed to the Committee on Narrative Evaluations, a standing Committee of the Academic Senate.

GENERAL ACADEMIC POLICIES

ACADEMIC STANDING

A duly registered graduate student is considered to be in good standing so long as

- a) A student who has NOT advanced to candidacy must undertake a minimum of two upper division or graduate level courses per quarter and passes a minimum of five 5-credit courses toward a terminal degree or certificate by the end of each academic year
- b) A Student who HAS advanced to candidacy must undertake an pass at least one course per quarter, usually Thesis Research, OR

Alternatively, for both students not advanced to candidacy and those who have advanced to candidacy:

- c) The student's department or committee of studies determines that she or he is making satisfactory academic progress toward a terminal degree or certificate, AND
- d) The student's academic progress shall be reviewed annually by the student's Faculty Academic Advisor, committee of studies, and DPC. The results will be reported to the Dean of Graduate Studies and to the Financial Aid Office no later than May 31.

ACADEMIC PROBATION

Education Department Policies Pertaining to Academic Probation

Occasionally students are unable or unwilling to complete their academic work in a satisfactory manner. When this occurs, the Education Department has the option to recommend to the Dean of the Graduate Division that the student be placed on academic probation and to terminate a student from the graduate program if the terms of the academic probation are not met.

Probation occurs only rarely and in slow steps.

The first step is a warning letter from the Faculty Academic Advisor and the Graduate Director indicating where the problems lie and providing a clear timetable of what must be done to return to good standing. The student has the option to meet with the Department Chair or the Vice Chair to discuss his/her situation.

If the student fails to meet the goals set out in the warning letter, or to remove the problems set out in the warning letter, the following steps are then taken:

- The faculty members in the student's area of concentration must meet and decide if they wish to recommend to the Chair that s/he recommend to the Graduate Dean that the student be placed on academic probation.
- The Chair can follow the faculty recommendation as closely or as loosely as s/he wants in the department's recommendation to the Graduate Dean. Normally, the faculty recommendation to the Chair would occur toward the end of a quarter and the chair would write to the Dean at the close of the quarter so that the Dean might have a letter ready for the student at the start of the next quarter.

Graduate Division Policies Pertaining to Academic Probation

A student whose academic progress is judged not satisfactory will be placed on academic probation until such time (one academic year, maximum) as her or his progress has become satisfactory once again and the Dean of Graduate Studies has been so informed in writing by the Graduate Representative of the student's department.

Students on academic probation are not eligible for merit fellowship support and will receive lower priority for academic appointments at UCSC (including Teaching Assistant, Teaching Fellow, Graduate Student Researcher, etc.). Special justifications will be required to appoint probationary students so long as there are any other students in good standing in the program who lack financial support.

A student whose academic progress has been found not satisfactory in two successive annual reviews will be subject to dismissal from the University. A full-time student who has been **enrolled in the same graduate program for four calendar years without advancing to candidacy for the Ph.D.** is not considered to be making satisfactory progress and will be placed on academic probation until advancement is achieved.

A student who has been **advanced to candidacy for more than three calendar years** is not considered to be making satisfactory academic progress and may be placed on probation for up to one academic year by the student's department.

Students on probation will continue to be eligible for institutional, state, and federal need-based assistance for up to one academic year to support their efforts to make up satisfactory academic progress shortfalls.

A student who fails to register promptly following expiration of an approved leave of absence is not in good standing. The usual term for a leave of absence is three academic quarters, and all requests to extend or renew a leave must be approved in advance by the DPC and Dean of Graduate Studies.

Only students in good standing are eligible for leaves of absence. Students who are neither registered nor on an approved leave of absence are not in good standing. Only students in good standing are eligible to use the Filing Fee.”

[Approved by the UCSC Graduate Council on 6/8/00]

ANNUAL REVIEW

To comply with the regulations above, the department conducts an annual review for each student. Each Ph.D. student submits an annual Academic Progress File during spring quarter and each concentration reviews their students with an overall review by the DPC or Director of Doctoral Programs.

Please meet with your Faculty Academic Advisor to go over this file during the first week of April.

Instructions for students who have not advanced to candidacy

1. Student Planning Sheet (provided to student by the Graduate Advisor). Meet with your Faculty Academic Advisor to go over this plan for next year. The Student Planning Sheet will contain course and degree requirements fulfilled by the Student. It is the responsibility of Student and Faculty Academic Advisor to correct any errors on the Planning Sheet before returning to the Graduate Advisor.
2. Current Academic CV (model provided via email by the Graduate Advisor)
3. Student Self-Report on Progress
This is a short (2-3-page) report that (a) reflects on the past year, including an evaluation of your achievements and a discussion of intellectual progress you've made as an academic through research, teaching and coursework; and (b) provides a statement of research goals for the coming year. Both the advisors and students should review any TA evaluations for the current year. The evaluations remain under the supervision of the Department Manager. It is not necessary to make an appointment, instead students and faculty may stop by to review evaluations anytime during normal business hours (M-F, 9-12 pm and 1-4 pm).
4. Financial Support form (provided to student by the Graduate Advisor)
This form details financial support provided to the student for the current year
5. Dossier of Final Papers
The dossier should include all final papers prepared for courses in the past 3 quarters: the spring quarter from the previous academic year and the fall and winter quarters from the

current year. Papers must include **faculty comments**. NOTE: Students should arrange with their advisors to have their papers returned to them.

6. Unofficial Transcripts (provided to student by the Graduate Advisor)

Instructions for students who have advanced to candidacy

1. Current Academic CV

2. Student Self-Report on Progress

This is a short description (1-2 paragraphs) of progress on your dissertation, other research, teaching, presentations given, and other professional activities.

3. Financial Support form (provided to student by the Graduate Advisor)

In accordance with Graduate Council policy, the department must report the results of its annual review to the Dean of Graduate Studies and to the Financial Aid Office no later than May 31.

The review process is designed to support and assist students to be ready for their Qualifying Examination (QE), usually taken at the end of the third year of study and to prepare students for professional careers where CV's and personal statements are updated on a yearly basis.

The review is meant to help students and their advisors see their progress toward becoming mature researchers and teachers. Students will be evaluated as being on-track (developing as one would expect for their stage of training), needing improvement (in which case specific steps will be recommended for working on the problem area), on probation (in which case specific goals and deadlines will be given that a student must meet to remain in academic good standing), or recommended for termination from the Ph.D. program (which occurs only after the stated goals and deadlines have not been met during an earlier period of probation).

The DPC, with the advice from faculty members knowledgeable about the student's area of study, decides that students will (1) continue in the program and prepare for the QE exam, (2) complete the course work and Second Year Project for the M.A. degree and then leave the program, or (3) leave the program at the end of the Spring Quarter.

First-year students who are recommended not to continue beyond the M.A. degree may submit an appeal to the DPC in Year 2 based on new work. All recommendations for dismissal can be appealed to the Dean of Graduate Studies.

An Annual Review of Student Progress report signed by the Faculty Academic Advisor and the Graduate Director or Department Chair will be placed in each student's file, and given to each student at the end of the review cycle. We also recommend that students talk with their Faculty Academic Advisor about the contents of their evaluation report. Any changes in what students are expected to do as a result of their conversation with their Faculty Academic Advisor should be put in writing and communicated to the graduate director and the Graduate Advisor

ENROLLMENT AND LEAVE POLICIES

ENROLLMENT POLICY

The expectation is that Ph.D. students in Education will be enrolled as full-time students (at least twelve units in Years 1 and 2, and at least ten units in each year following) every quarter (Fall, Winter, Spring) until they have advanced to candidacy. Once a student has advanced to candidacy, five units is considered full-time and allows students access to University resources (e.g., faculty, library, and internet). There is, however, the exception of *filing fee status* (see below).

TIME TO DEGREE AND NORMATIVE TIME

Full-time doctoral students are expected to complete their degree objectives within the following maximum time frames:	
MILESTONE	NORMATIVE TIME
Advance to Candidacy	End of Year 3, Department suggested deadline ¹ End of Year 4, campus deadline
Time to Degree (Receive PhD degree in Education)	End of Year 6, Department suggested deadline ² End of Year 7, campus deadline

Part-time doctoral students are subject to the same provisions as full-time students, except that satisfactory progress toward degree completion is measured at a minimum of one course per quarter or three courses per academic year, and the maximum time frame is prorated accordingly:	
MILESTONE	NORMATIVE TIME
Advance to Candidacy	¹ Normative-time-clock will count at half time for part-time students and will therefore be calculated on a case-by-case basis.
Time to Degree (Receive PhD degree in Education)	² After advancement to candidacy, a part-time doctoral student has up to 3 years in which to earn their degree. A student who has AC, but doesn't earn the degree within 3 years, must petition the Dean of Graduate Studies for an approval of extension in normative time.

¹ Per campus policy, a full-time student who has been enrolled in the same graduate program for four calendar years without advancing to candidacy for the Ph.D. is not considered to be making satisfactory progress and will be recommended for academic probation until advancement is achieved.

² Per campus policy, a student who has been advanced to candidacy for more than three calendar years is not considered to be making satisfactory academic progress and will be recommended for academic probation for up to one academic year by the student's department.

FILING FEE STATUS

(per Graduate Council policy)

Students may apply to use the filing Fee the quarter they wish to submit their dissertation to fulfill the requirements for the award of the doctoral degree. This status is used in lieu of registration to maintain the relationship between the student and the University for the express purpose of filing the dissertation. In order to be eligible for filing fee, a student must have been either on an approved leave of absence or registered in the previous quarter.

A student using the Filing Fee should submit the application for Filing Fee, signed by all members of the Reading Committee to the department Graduate Advisor by the deadline stated in the Academic and Administrative Calendar. These signatures signify that all members have read the dissertation and believe that the candidate will need to make only minor revisions and will submit the completed work by the end of the quarter. The department Graduate Advisor will forward the following to the graduate division on the deadline stated in the Academic and Administrative Calendar:

1. Application for Degree

2. Application for Filing Fee

Both applications can be downloaded from the Graduate Division's website: http://graddiv.ucsc.edu/student_affairs/forms.php#enrollment

A candidate on filing fee is not eligible to use University facilities (library, laboratory facilities, or faculty time except for the reading of the dissertation), nor is the student eligible for financial support (GSR, TA, Fellowships or need based financial aid).

A student who does not complete the dissertation must register as a student the quarter they re-apply to graduate. **Students may use the filing fee only once.**

LEAVE OF ABSENCE

(per Graduate Council policy)

All students are strongly encouraged to maintain continuous registration so as to make steady progress toward the degree. A student wishing to apply for a Leave of Absence (to take effect at the beginning of the next academic quarter after applying) must complete and submit the Leave of Absence application form before the beginning of the quarter for which leave is requested. The signatures of the student's Faculty Academic Advisor, the Graduate Director, and the Department Chair are required. Typically, requests for leave of absence will be reviewed by the DPC before being approved.

- Only students in good standing are eligible for an approved Leave of Absence. A student on Academic Probation must ordinarily repair all deficiencies in order to qualify for a leave.
- Leaves of Absence will be granted for sound educational purposes, health reasons, financial problems, and family responsibilities. Other reasons will require extra justification.
- The maximum term for an approved Leave of Absence is three academic quarters. Students on leave are required to report their plans to the Graduate Division at least once a year.
- A request to renew a Leave of Absence must be submitted in advance to the Graduate Dean; substantial justifications and department approval will be required to obtain renewal.

- **While on a Leave of Absence, a student is not permitted the use of University facilities, including department faculty and staff assistance.**
- All financial aid (including Teaching Assistantships, Graduate Student Research-ship positions, and fellowships) terminates when a student is on a Leave of Absence. If a student accepts any University employment, staff or academic, while on a Leave of Absence, it must be reported to the Division of Graduate Studies (*see Academic Progress; Withdrawal from the University*).

PART-TIME ENROLLMENT (FOR DOCTORAL CANDIDATES CONDUCTING FIELDWORK)

A part-time graduate student is one who has approval to enroll for one-half of the full-time course load

- 5 units for students who have not advanced to candidacy
- 2 units for students who have advanced to candidacy

The enrollment units are commensurate with amount of time student will receive from faculty and staff.

Part-time students pay the full Student Services Fee, one-half of the Tuition, and the full amount of all other campus fees including the Health Insurance Fee. To apply for part-time enrollment, a student must fill out a *Request for Part-Time Status* form, available on the Division of Graduate Studies website graddiv.ucsc.edu. The student's Faculty Academic Advisor, the Graduate Director, and the Dean of Graduate Studies must sign the form. Please note that there are other university-level differences for part-time students. For example, student health insurance must be requested by the student and paid for prior to the start of the quarter. For further information, consult the *Graduate Student Handbook* (*select the Academic Regulations link at the Graduate Division's main website, <http://www.graddiv.ucsc.edu>*)

IN-ABSENTIA ENROLLMENT

Students whose research or study requires that they remain outside the State of California for an entire quarter may qualify for a reduction of the University Fees. In-absentia Registration allows graduate students to take research or coursework leaves outside of California and remain enrolled in the University while paying 15 percent combined Tuition and Student Services Fees.

[These fees were approved by the UC Regents at the July 2009 Regents meeting.]

FAMILY AND MEDICAL LEAVE POLICY

In order to support Ph.D. students in caring for families (e.g., childbirth, adoption, elder care, infant care, family illness), or student medical needs, the Education department will approve a petition to the Graduate Division for up to two one-year extensions to normative time (one prior to advancement to candidacy and one after).

- For students who have been approved for a leave of absence due to family needs (e.g., childbirth, adoption, elder care, infant care, family illness), or student medical needs, the clock will stop.
- For students who have not yet advanced to candidacy, and have been approved for part-time status due to family needs (e.g., childbirth, adoption, elder care, infant care, family illness), or student medical needs, the clock moves at half time.
- In all cases students should advance to candidacy by the end of five years to remain in good academic standing.

Note: The student and her/his advisor must petition DPC for a modified academic plan at the time family leave is requested, or if continuing as a full-time student in advance of the quarter or year that the extended time is requested for family reasons.

RESIDENCY

UNIVERSITY REQUIREMENTS

The minimum university residency requirement for a M.A. degree at UCSC is three quarters. The minimum residency for a Ph.D. degree is six quarters. To receive a Ph.D. degree from UCSC, you must be registered at the Santa Cruz campus for at least 3 of the 6 quarters. A minimum of one quarter in residence is required between advancement to candidacy and the awarding of the degree.

CALIFORNIA RESIDENCY

After one year, non-resident students (out-of-state students) should apply to become California residents. Foreign students are not eligible to become California residents.

GRADUATE STUDENT EMPLOYEE TITLES AND EMPLOYMENT OPPORTUNITIES

OVERVIEW OF EMPLOYMENT POLICIES

A graduate student may work up to 50% (20 hours/week) during the fall, winter, and spring quarters. This maximum percentage of time applies to all of a student's campus positions. For a student to work more than 50% time during an academic quarter, the department must gain the Dean of Graduate Studies approval prior to the student working beyond 50% time. A graduate student may work 100% (40 hours/week) between the fall, winter, and spring quarters and during the summer.

A student should never begin any type of campus work until s/he has received official word from the university that his/her appointment has been processed and finalized. In most cases, the Social Sciences Division will send the student employee an official email notifying them of the employment terms. When Education Doctoral students are appointed as a Graduate Student Research (GSR), s/he will be appointed at step 2 prior to Advancing to Candidacy. Once an Education Doctoral student has Advanced to Candidacy, s/he will be appointed as a GSR, step 3. Note that Education Doctoral students will be appointed at these steps regardless of the division or research unit appointing the Education Doctoral student. In other words, Education Doctoral students cannot be appointed below step 2 or above step 3.

WHEN FEES ARE COVERED

When a Graduate Student is employed as a Teaching Assistant (TA), GSR, Associate In, or Teaching Fellow at a minimum of 25%, the grant (GSRs) or department (TAs, Associate In, or Teaching Fellow) must pay the student's quarterly fees. All of the student's quarterly fees are paid when s/he is appointed as a GSR. In

contrast, the Education Dept's TAs are always appointed at 50% which covers all of the quarterly fees **minus** the Campus Fees. A student employed as a TA will be responsible for his/her Campus Fees.

Students working as GSRs should inquire with the Faculty Principal Investigator (PI) as to whether or not his/her fees will be covered by the GSRship. In some cases, PI's must appoint their GSR at 24.99% instead of 25% because their grant does not have sufficient funds to pay for a GSR's salary and fees. The 24.99% appointment indicates that a GSR will pay the student's salary as a GSR and that his/her fees will not be covered by the GSRship.

NON-REPRESENTED STUDENT ACADEMIC TITLES

Information on Non-Represented Student Academic Titles can be found at the following link:

http://apo.ucsc.edu/academic_policies_and_procedures/cappm/700411.htm

Graduate Student Researcher (GSR)

A Graduate Student Researcher is a registered graduate student appointed to assist in performing research related to the student's degree program in an academic department or research unit under the direction of a faculty member or authorized Principal Investigator. The student must be in good academic standing and making satisfactory and continuous progress toward the degree.

Tutor

A Tutor is registered undergraduate or graduate student who works with individual students or small groups of students to assist them in understanding course concepts, discovering solutions to problems, modeling study strategies, developing methods for independent work and preparing for upcoming exams. A Tutor shall not be given the responsibilities customarily accorded a Teaching Assistant.

Reader

A Reader is a registered undergraduate or graduate student employed to render diverse course-related services, which will normally include the grading of student papers and examinations. A Reader shall not be given the responsibilities customarily accorded a Teaching Assistant. (Please refer to APM 420 for more information)

REPRESENTED "ACADEMIC STUDENT EMPLOYEE" (ASE) TITLES

Information on Represented Academic Student Employee Titles can be found at the following link:

http://apo.ucsc.edu/academic_policies_and_procedures/cappm/700411.htm

The term ASE is used to refer to "Academic Student Employee." The term "Academic Student Employee" is used on the Santa Cruz Campus to refer solely to the titles of Associate In, Teaching Assistant and Teaching Fellow.

Teaching Assistant

A Teaching Assistant is a registered graduate student, chosen for excellent scholarship and for promise as a teacher, and serving an apprenticeship under the active tutelage and supervision of a regular faculty member. Hiring an undergraduate student as a Teaching Assistant is an exception to normal practice. The relevant unit

must first ensure that no qualified graduate student is available. Then the relevant unit must obtain approval from the Academic Senate Committee on Educational Policy (CEP). Once approved by CEP, the undergraduate student may be appointed as a Teaching Assistant in the title code 2311 and thereby is covered by the terms and conditions of the MOU for the ASE bargaining unit. They are therefore eligible for the University's Partial Fee Remission Program for the Educational and Registration Fees. Classification and pay rates for undergraduate Teaching Assistants do not differ from those of graduate Teaching Assistants.

Associate In _____

An Associate In _____ is a registered graduate student with a Master's degree or equivalent training, with at least one year of teaching experience, and who has been chosen because of competence to conduct the entire instruction of a group of students in a lower division course under the general supervision of a regular faculty member.

Teaching Fellow

A Teaching Fellow is a registered graduate student who has advanced to candidacy for the doctorate, or otherwise has achieved appropriate professional maturity, and who has been chosen because of competence to conduct the entire instruction of a group of students in a lower division course under the general supervision of a regular faculty member.

EDUCATION DEPARTMENT TASHIPS

TA ASSIGNMENTS AND RESPONSIBILITIES

A Teaching Assistantship (TAship) is a half-time appointment. The total commitment is approximately 20 hours per week (the **maximum** is an average of 20 hours per week). Included in this total are: TA trainings, formal contact hours in class, lab and discussion sections, time spent grading papers, attending lectures, preparing for teaching and office hours with students.

TAs will be evaluated by their undergraduate students. TA evaluation forms for this purpose will be distributed directly to the instructor, not the graduate student TA(s), at the end of each quarter. The instructor should distribute the TA evaluation forms during the last class unless there are mandatory sections, in which case the instructor has the prerogative of giving the evaluations to the TAs to distribute on their last day of section.

TAs will assign one of their undergraduate students the responsibility of collecting the evaluation forms at the end of class, and bring them to the Education Department. After all class requirements are met and grades are completed, TAs can schedule an appointment to review their evaluations.

TA APPLICATION PROCESS

TA applications are provided to all eligible graduate students on an annual basis. Applications returned by the deadline to the department are then forwarded to the appropriate faculty member(s) for review.

Although the Department Chair is ultimately responsible for appointing TAs, our department practice has been for instructors to select TAs for the courses that they will be teaching. In addition, at times the

Department is obligated to provide TAs for students who have been awarded particular kinds of university-wide fellowships.

The Education Department recognizes that TAs are an increasingly valuable (and scarce) resource and encourages course instructors to consider a number of factors when selecting TAs. Along with students' qualifications (expertise, experience, etc.) to teach the course, the department recommends that instructors consider factors that will facilitate opportunities for a wide range of students to serve as TAs (students' other sources of funding, number of consecutive quarters that a student has held a TA position, etc.).

TA OFFER LETTER/APPOINTMENT

Those students who are selected for TAs are notified by the department in writing and are provided an informal offer of employment. However, it is the Division of Social Sciences that emails the student a formal appointment offer. The student must formally accept the offer of employment by replying to the divisional email. Failure to accept the employment offer by the indicated deadline will terminate the official appointment.

TA PERFORMANCE AND EVALUATION

Any TA who receives less than satisfactory final evaluations from her/his students will be required to work closely with a faculty mentor during the next TA assignment. Continuing access to TAs will depend upon improvement.

TAs may view their teaching evaluations by contacting the Administrative Coordinator at edhr@ucsc.edu. Please note that the evaluations cannot leave the Education Department's main office. Therefore an appointment is necessary to ensure that office space (i.e. the Academic Coordinator or Department Manager's office) is available for the student to sit down and review his/her evaluations.

Note: Previously assigned TAs may be withdrawn if a student is placed on academic probation. During the selection process for TAs, students who are placed on academic probation receive a lower priority for TA assignment.

MAINTAINING CONFIDENTIALITY

Take note that graduate students (TAs) are NOT to store exam or grade information on any hard drives of shared computers. ***Student information is to remain confidential.*** Shared computers include those found in the McHenry student office, room 3170.

GRADUATE STUDENT EMPLOYEES: MAXIMUM QUARTERS OF EMPLOYMENT

Per campus policy, the total length of time a student may hold any one or a combination of the following titles may not exceed four years (12 quarters): Reader, Teaching Fellow, Teaching Assistant, Associate in _____. Under special circumstances, an exception may be granted for additional appointments beyond 12 quarters. System-wide regulations does not permit graduate student appointment beyond 18 quarters.

Note that this policy doesn't apply to GSRships

FINANCIAL SUPPORT

OVERVIEW

It is the student's responsibility to secure funding for graduate studies. Over the course of students' enrollment in the graduate program, students' typically fund their education with some combination of the following: TAs, GSAs, UCSC graduate fellowships, scholarships or fellowships from outside sources, loans, personal savings, family income, and support from other individuals (e.g. extended family members). When possible, first year students are supported with UCSC graduate fellowships, which typically cover part of a student's expenses for the first year only. Beginning in the student's first year, he or she is strongly encouraged to apply for TAs in college core courses and in other departments on campus. Students are also encouraged to seek and apply for outside funding from government agencies, private foundations, and industry, and to plan alternative financing should none of these opportunities become available.

The Education Department will forward to students notices of TA openings, GSAs, UCSC fellowships, and outside funding opportunities. Students should also discuss with their Faculty Academic Advisors strategies for securing funding opportunities within and beyond UCSC. **It is important to note, however, that the availability of all funding sources, including TAs, GSAs, and graduate fellowships, varies from year to year based on a variety of economic factors, and therefore neither the Education Department nor UCSC can guarantee funding for any particular amount or length of time.**

Please visit the Division of Graduate Studies website under financial aid for a comprehensive list of available fellowships for doctoral students. <http://graddiv.ucsc.edu/aid/fellowships.php>

ACQUIRING EXTERNAL FUNDING

The Division of Social Sciences offers assistance in searching for appropriate scholarships and fellowships. For more information, please contact:

Ashlee A Tews, J.D.
Government Grants Coordinator
Division of Social Sciences
1156 High Street
Santa Cruz, CA 95064
tel: 831.459.1644
email: ashleeac@ucsc.edu

DEPARTMENT FELLOWSHIPS AND GRANTS

When funding is available, the Education Department offers competitive Blue and Gold Fellowships, awarded to students based on merit (in scholarship, teaching, and service). The amount of the Fellowship depends on funding available; past Fellowships have typically been approximately \$500. When these funds are available, the department distributes the applications during Spring Quarter. Further information regarding these fellowships will be provided at the time in which the department announces the fellowship application process in the spring.

Also depending on availability of funding, the Education Department offers a one-time \$500 dissertation grant to help students defray costs associated with completing the dissertation. Application materials for this grant, if available, will be distributed in Spring Quarter.

IMPORTANT NOTE: To be eligible for either the Blue and Gold Fellowship or the Dissertation Grant, students must have been enrolled as a full or part time student during Fall Quarter of the year in which they are applying (i.e. students who were on leave Fall Quarter are not eligible to apply).

CAMPUS RESOURCES

Academic Calendars

<http://reg.ucsc.edu/>

AIS/MYUCSC FAQs page

<http://registrar.ucsc.edu/faqs/students/index.html>

<http://its.ucsc.edu/myucsc-help/using-myucsc.html>

Campus ID Cards

http://slugstore.ucsc.edu/ePOS/this_category=84&store=721&form=shared3/gm/browse.html&design=721

Course Catalogue, Doctoral course numbers: educ 235 – educ 299

<http://registrar.ucsc.edu/catalog/programs-courses/course-descriptions/educ.html>

CruzMail Account Set-up & Information

http://its.ucsc.edu/service_catalog/cruzmail/

Campus Directory (Faculty/Staff/Students)

<http://www.ucsc.edu/tools/people.html>

Student Fees

<http://reg.ucsc.edu/Fees/fees.html>

Financial Aid & Scholarship information

<http://www2.ucsc.edu/fin-aid/>

The University of California, Santa Cruz, makes a strong effort to provide financial support to graduate students who are making normal progress in their program of studies. This support may be in the form of a fellowship, a graduate student research-ship, or a teaching assistant-ship, depending on the availability of funds. Certain kinds of support are awarded on the basis of academic merit, and others are granted on the basis of need. Graduate students are encouraged to apply for both kinds.

Graduate Division

<http://www.graddiv.ucsc.edu/>

Graduate Division Student Handbook

<http://graddiv.ucsc.edu/regulations/handbook/index.php>

Health Insurance

The UC Regents mandate that all students be covered by a health insurance plan. All full and part-time undergraduate and graduate students are automatically enrolled in and charged for the University of California Student Health Insurance Plan (UC SHIP) unless they choose to submit an on-line insurance waiver confirming they have comparable health insurance coverage.

Health Center FAQs: <http://www2.ucsc.edu/healthcenter/billing/faqs.shtml>

For more information, please feel free to contact the Student Insurance Office at 459-2211 or visit their website at

<http://www2.ucsc.edu/healthcenter/>

Information Technology Services (ITS) Help Desk & Information

<http://its.ucsc.edu/ais/help/students/>

Phone: (831) 459-4357

Email: helpdesk@ucsc.edu

When sending an email for help with MyUCSC the subject line should read: "Student". In the body of your email Include a full description of the problem, your full name, a phone number your user ID used to sign into MyUCSC (not your log-in)

Library Information

<http://library.ucsc.edu/> OR <http://cruzcat.ucsc.edu/> OR <http://library.ucsc.edu/services/study-rooms>

Parking and Bus Pass Information

<http://www2.ucsc.edu/taps/> & <https://basweb.ucsc.edu/application2013/>

Student Business Services

<http://sbs.ucsc.edu/>

Before contacting Student Business Services regarding a bill, be sure to always first check the portal (my.ucsc.edu) for account information. An electronic copy of your bill is available on the Portal each month you have charges due. Paper Billing statements are mailed monthly to the billing or mailing address you provide. It is the Student's responsibility to maintain current billing and mailing address information using the MyUCSC Portal.

For billing questions:

General Information (831) 459-2107

Financial Counseling (831) 459-4699

Student Organization Advising & Resources (SOAR)

<http://soar.ucsc.edu/>

Fellowships and Grants

Division of Social Sciences, Weekly list of Grant Opportunities

<http://socialsciences.ucsc.edu/research/grant-opportunities/index.html>

AUGUST:

American Association of Hispanics in Higher Education (AAHHE)

<http://www.aahhe.org/OutstandingDissertationsCompetition.aspx>

NSF Doctoral Dissertation Research Improvement Grants

<http://www.nsf.gov/funding/>

SEPTEMBER:

Kauffman Dissertation Fellowship Program

<http://www.kauffman.org/research-and-policy/kauffman-dissertation-fellowship-program.aspx>

NSF Doctoral Dissertation Research Improvement Grants

<http://www.nsf.gov/funding/>

UC Mexus Grants for Dissertation Research

http://www.ucmexus.ucr.edu/funding/grant_dissertation.html

American Educational Research Association Dissertation Grants

<http://www.aera.net/grantsprogram>

OCTOBER:

American Educational Research Association (AERA)

<http://www.aera.net/AboutAERA/AwardsandHonors/tabid/10190/Default.aspx>

Spencer Dissertation Fellowships Program

http://www.naeducation.org/NAED_080200.html

Wenner-Gren Dissertation Fieldwork Grants

http://www.wennergren.org/programs/programs_show.htm?doc_id=367834&attrib_id=13232

American Council of Learned Societies, Mellon/ACLS Dissertation Completion Fellowships

<http://www.acls.org/grants/Default.aspx?id=512>

Mellon Fellowships for Dissertation Research in Original Sources

<http://www.acls.org/programs/DCF/>

NOVEMBER:

Social Science Research Council-International Dissertation Research Fellowship

<http://www.ssrc.org/fellowships/idrf-fellowship/>

Ford Foundation Dissertation Fellowships

http://sites.nationalacademies.org/pga/FordFellowships/PGA_047959

American Council of Learned Societies, Fellowships for East European Studies

<http://www.acls.org/programs/comps/>

Institute for Humane Studies Fellowships

<http://www.theihs.org/humane-studies-fellowships>

Pacific Rim Research Program Grants

<http://pacrim.ucsc.edu/>

NSF Doctoral Dissertation Research Improvement Grants

<http://www.nsf.gov/funding/>

Presidential Management Fellowship

<http://www.pmf.gov/>

DECEMBER:

United States Institute of Peace, Jennings Randolph Program for International Peace

<http://www.usip.org/grants-fellowships/jennings-randolph-peace-scholarship-dissertation-program>

**Proposals and inquiries may be submitted to the designated program officer at any time throughout the year. The proposal development and review process is ongoing with final decisions made by USIP's Board of Directors approximately five times per year.*

JANUARY:

NSF Doctoral Dissertation Research Improvement Grants

<http://www.nsf.gov/funding/>

David Boren Fellowship

http://www.borenawards.org/boren_fellowship/how_apply.html

Arizona State University Bisgrove Postdoctoral Scholars Program

<http://graduate.asu.edu/bisgrove>

The Clark Foundation Community Graduate Fellowship

<http://www.theclarkfoundation.org/>

FEBRUARY:

Foundations For Change: Thomas I. Yamashita Prize

<http://crsc.berkeley.edu/foundations-change-thomas-i-yamashita-prize>

Jack Kent Cooke Foundation Scholarship

<http://www.jkcf.org/scholarships>

Harry Frank Guggenheim Foundation Dissertation Grants (Feb. 1)

<http://www.hfg.org/df/guidelines.htm>

NSF Doctoral Dissertation Research Improvement Grants

<http://www.nsf.gov/funding/>

MARCH:

NSF Doctoral Dissertation Research Improvement Grants

<http://www.nsf.gov/funding/>

Penn Predoctoral Fellowships for Excellence Through Diversity

<http://www.upenn.edu/almanac/volumes/v58/n24/diversity.html>

Wenner-Gren Dissertation Fieldwork Grants

http://www.wennergren.org/programs/programs_show.htm?doc_id=367834&attrib_id=13232

JULY:

NSF Doctoral Dissertation Research Improvement Grants

<http://www.nsf.gov/funding/>

AUGUST:

NSF Doctoral Dissertation Research Improvement Grants

<http://www.nsf.gov/funding/>