

**UNIVERSITY OF MASSACHUSETTS AMHERST
SCHOOL OF EDUCATION**

**ADVISING GUIDELINES
FOR THE
DOCTORAL DEGREE**

INTRODUCTION

This booklet provides doctoral students with helpful information about procedures in the doctoral degree process. It is designed to enhance the quality and consistency of advising, ensure equity and integrity in the degree process, and promote continuous progress toward completion of the degree.

The School of Education offers a variety of academic concentrations leading to the Doctor of Education (Ed.D.) degree. The School Psychology Concentration leads to the Doctor of Philosophy (Ph.D.) degree. A goal of these concentrations is to contribute to the preparation of education leaders and scholars in all educational settings.

There are six major steps to the doctoral degree:

1. Admission and Assignment of Initial Advisor
2. Formation of Guidance Committee and Development of a Proposed Program of Study
3. -- Formation of Comprehensive/Qualifying Examination Committee
- Preparation for the Completion of Comprehensive/Qualifying Examination
4. Formation of Dissertation Committee
5. Completion of Dissertation Proposal
6. Preparation for and Completion of the Dissertation and Oral Examination

Graduate School regulations, requirements, and administrative processes which affect your progress toward receipt of the degree are found in the Graduate School Bulletin (http://www.umass.edu/grad_catalog/education/cags.html) and the Graduate School Handbook. These publications are available on line at www.umass.edu/gradschool/handbook. Refer to those documents for information, regulations, and procedures concerning enrollment status, statute of limitations, grading policy, academic average for graduate degrees, satisfactory or reasonable progress, maximum credit loads, course withdrawal, incomplete, grades, academic dismissal, transfer of credits, leave of absence, program fee, off-campus fee, and readmission.

The guidelines that follow provide information which reflect elements unique to the School of Education (www.umass.edu/education) or items which have proven especially helpful to School of Education graduate students.

Within the framework of the University Graduate School regulations and with the advice and approval of a guidance committee, students plan academic programs of study which include two consecutive semesters of full-time study (Residency Requirement). To ensure a successful doctoral concentration, students are advised to follow the ADVISING CHECKLIST carefully and complete the doctoral forms that are benchmarks of progress toward the degree.

For further clarification of graduate procedures and processes, please contact the Graduate Programs Office at 413-545-2506.

GENERAL ACADEMIC GUIDELINES

Doctoral concentrations

A doctoral concentration leads to the highest degree awarded in the profession. Students should carefully plan their academic program of study during the early part of their second semester with the help of a faculty guidance committee. Previous academic work and professional experience should be considered in planning academic goals and scholarship.

A program of study will consist of:

- a minimum of 36 semester hours of course work (excluding 18 hours for the dissertation) beyond the Master's degree, with the exception of Research & Evaluation Methods & School Psychology programs, (or a sound rationale for less) and include:
 - a specialization consistent with an academic concentration's

focus and goals;

- **School of Education competencies** and/or course work in each of five areas:
 - *human development,*
 - *social issues/justice,*
 - *pedagogy (facilitation of learning),*
 - *philosophy of education, and*
 - *research*

The research competency usually is shown through two or more research or modes of inquiry courses.

Residency Requirement

As indicated in the **Graduate School Bulletin**, a minimum of one academic year as a full-time graduate student in residence at the University is required. The residency year must consist of two consecutive semesters, either a fall/spring or a spring/fall sequence. **The summer session cannot be considered for residency.**

In order to qualify for full-time status, a student must:

- be enrolled for nine or more credits per semester, either in regular graduate courses, Doctoral Dissertation Credits (899), or in some combination of both, *or*
- petition from Chairperson to GPD if less than 9 credits, and working on comps, proposal or dissertation.

To be in residence, a doctoral student must:

- complete two consecutive semesters of 9 credits each. Dissertation credits can be used to fulfill this residency requirement.

Statute of Limitations

The statute of limitations is the period within which all degree requirements must be completed. Generally, doctoral students are given four years to complete their concentration if they have a master's in a similar field, and six years if they do not.

The School of Education Graduate Program Director may grant extensions for doctoral students totaling no more than two years if the student is making adequate academic progress. In instances where a student has already received an extension of two years, the Graduate Program Director must make a formal recommendation to the Graduate Dean with justification for requiring more time.

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Students whose statute of limitations expires will receive a letter from the Graduate School informing them of the deadline to apply for an extension. To apply for an extension, a student should write to their Committee Chairperson (i.e. that is, advisor), stating the rationale for the extension and outlining their academic progress to date. This correspondence should include a time line projecting the month and year each remaining part of the program will be completed (comprehensive examination, dissertation proposal, and final oral defense). The Chair must then endorse this request and forward it to the Graduate Programs Office (Room 123, Furcolo Hall) one week before the Graduate School deadline.

Grading System

Only the following letter grades can be given to graduate students: A, A-, B+, B, B-, C+, C, F. These grades carry the following numerical equivalents for purposes of

computing cumulative averages: A=4.0, A-=3.70, B+=3.30, B=3.0, B-=2.7, C+= 2.30, C=2.0, F=0.

Dissertation Credits

Doctoral students are required to register for at least 18 dissertation credits. These are usually taken after the successful completion of the comprehensive examination. A maximum of nine (9) dissertation credits may be taken during any one semester. You may find that registering for dissertation credits during the summer session is cost effective. **(It should be noted that summer session registration will not fulfill the residency requirement.)** Dissertation credits are recorded on the transcript by the Graduate School with the grade of IP (In Progress) until the degree is completed by, at which time they will be converted to SAT (Satisfactory).

Leave of Absence

Graduate students who request a leave of absence must petition the Graduate Program Director through their Committee Chairperson who, in turn, provides justification for the request to the Graduate Dean. If the Dean grants a leave of absence, the student's statute of limitations is extended appropriately.

A student on leave of absence must maintain continuous enrollment by paying the Program Fee every semester during the leave. A student on leave relinquishes their full-time status and will lose their deferred status on any outstanding student loans.

Program Fee

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Graduate students not enrolled for any course credits, but who are candidates for a degree, must pay a Program Fee each semester (excluding summer terms) for continuous registration until the degree for which the student has been accepted has been formally awarded. Deadline for payment of this fee is one week after the first day of classes. Any student who does not pay this fee by the appropriate deadline, and later seeks readmission or applies for graduation, must pay the accumulated program fees plus a readmission fee. Students seeking readmission must file a written request, endorsed by their Committee Chairperson and Graduate Program Director, with the Graduate Dean.

Receiving a M.Ed. Degree or a C.A.G.S. en Route to the Doctorate

Most doctoral students already have a Master's degree at the time of admission for doctoral study. Doctoral students who do not have a Master's degree may file for the

degree after the completion of the credit hour requirement for their program. To satisfy doctoral requirements, a minimum of 36 semester hours beyond these courses is required.

Doctoral students may also file for a C.A.G.S. after the completion of 30 semester hours beyond the Master's degree. Students who can document that the C.A.G.S. is required for career advancement (e.g., certification or salary grade change) may apply for a C.A.G.S. by completing the C.A.G.S. paperwork and submitting it to the Graduate Program Director. Doctoral students who terminate doctoral study after they complete at least 30 credit hours may apply for a terminal C.A.G.S.

DOCTORAL FORMS: PURPOSES AND EFFECT

D-1 Advising Information.

Form D-1 assures that each student meets with an advisor, receives appropriate academic advising, and receives and reviews appropriate catalogs, handbooks, guidelines, rules and regulations. The signed form is used by the Graduate Programs Office to open a student file and enter student information on the computer data base.

D-2 Formation of Guidance Committee and Proposed Program of Study.

Form D-2 establishes the doctoral Guidance Committee and records a proposed program of study.

In effect, it is an academic plan developed by the student and his/her committee. The Form D-2 will be reviewed prior to the scheduling of the Comprehensive Exams to assure that requirements agreed upon have been satisfactorily completed.

Any additional documents which are required by individual concentrations should also be attached to Form D-2.

Form D-2 must be submitted by the end of the second semester of study in the concentration.

D-2A Amendments to Program of Study.

Forms D-2A should reflect any changes and Guidance Committee approval. It is used by the Graduate Programs Office to record the approved changes in Form D-2. Since the Program of Study is a proposed plan, there may be changes or revisions.

D-3 Committee Membership/Comprehensive Qualifying Examination Committee.

Form D-3 is used to establish the student's Comprehensive Examination Committee and to record the information in both student and faculty data bases.

This committee should be established and convened prior to completion of formal course work. Committee members may be changed but note that students have found it very helpful to have a committee membership which carries through all six phases of the degree process.

D-4 Announcement of Comprehensive/Qualifying Examination.

Form D-4 verifies the completeness of coursework, content of the exam, and represents a public notice in the School (via the Beacon, the School of Education weekly bulletin) that the examination is to take place. Publication deadlines require that the announcement be submitted at least two weeks prior to the examination.

D-5 Results of the Comprehensive/Qualifying Examination.

Form D-5 notifies the School and Graduate School of the results of the examination.

D-6 Formation of Dissertation Committee.

Form D-6 establishes the student's Dissertation Committee. Form D-6 is used by the School and Graduate School to review the academic appropriateness of the membership and the Graduate Faculty Status of the members, and to record the information in the student and faculty data bases.

The Dissertation Committee is composed of two faculty members from the School of Education (usually from the student's department), and one faculty member from UMASS Amherst, outside of Education. Students should check with the Graduate Program Office to verify each faculty member's graduate faculty status. Excerpts from page two of the Form D-6 will be published in the Beacon. Form D-6 should be completed at the time of or soon after completion of the Comprehensive Exam.

D-7 Dissertation Proposal Approval.

Form D-7 notifies the Graduate School that the student's proposal has been approved and that committee members have agreed to review and evaluate the proposed research. Two copies of Form D-7 and the proposal are transmitted for review and processing: one to the School of Education and one to the Graduate School. The approved proposal must be on file for seven (7) months before the final oral defense may be scheduled. After the submission of a completed dissertation proposal, the student is considered a doctoral candidate.

D-7A Human Subjects Review Questionnaire.

Form D-7A informs the Human Subjects Review Committee of the nature of the proposed research. It also assists students in making methodological plans concerning types of interventions that are acceptable. Forms D-7A and D-7B

may be submitted prior to the submission of the dissertation proposal.

D-7B Dissertation Proposal Human Subjects Review Approval and Appendices.

Form D-7B and Appendices are to assure the Graduate School that a human subject's review has been completed and the proposed research conforms to University Guidelines for Human Subjects Research.

D-8 Announcement of Final Oral Examination.

Form D-8 notifies the Graduate School and the University when and where the examination is to take place, that all committee members will attend the examination, and that the committee members agree that the dissertation is complete and ready for presentation. Form D-8 must be filed four weeks prior to the oral defense. Both the School of Education and the Graduate School publish scheduled oral examinations.

D-9 Results of Final Oral Examination.

Form D-9 informs the School of Education and the Graduate School of the results of the examination. When successfully completed, the student proceeds with final required revisions of the dissertation, schedules an exit interview, and completes the Graduate School protocols associated with receipt of the degree and graduation.

D-10 Change of Committee Membership.

Form D-10 is used at any stage of the doctoral process to change the composition of the student's committee. Form D-10 indicates that the new member has agreed to serve and that the previous member agreed to withdraw from the committee. The Graduate and Programs Office and the Graduate School use the information to revise appropriate data bases.

Appendix:

- A. Memo from Human Subjects Review Committee**
- B. Memo from School of Education Human Subjects Review Coordinators regarding CITI training**
- C. Registration Form for Un-Sponsored Human Subjects Research**
- D. Memo from Human Subjects Review Coordinators regarding Appropriate Informed Consent**
- E. Sample Informed Consent Letter**
- F. Review of Research Proposal Informed Consent Form**

We recommended that you keep a copy of all forms for your files.

ADVISING CHECKLIST

- _____ Meet with assigned concentration advisor once a semester.
- _____ Review your academic concentration's requirements as well as School and Graduate School requirements. Graduate School regulations and requirements which affect your degree concentration are found in the following documents: Graduate School Bulletin, Graduate School Handbook, and Typing Guidelines for Master's Thesis and Doctoral Dissertations. All documents are online at:
http://www.umass.edu/gradschool/students_information_forms.htm
- _____ Review doctoral concentration requirements and process.
- _____ Complete and file **Form D-1** with the Graduate Programs Office (Room 123, Furcolo Hall) by the end of the first semester.

Selection of Chairperson and Guidance Committee and Development of a Program of Study

- _____ Chairperson and two committee members agree to work with you, all of whom must have graduate faculty status at UMass Amherst.
- _____ Meeting to plan program of study and complete **Form D-2**.
- _____ Confirm with your Guidance Committee that you plan to:
- complete a minimum of 36 semester hours of work beyond the Master's degree or have a sound documented rationale for less;
 - develop competencies in five areas: human development, social issues/justice, pedagogy (facilitation of learning), philosophy of education, and modes of inquiry (research);
 - complete an area of specialization consistent with your academic concentration's focus and goals; and
 - complete at least two research or mode of inquiry courses.

- _____ File one copy of signed **Form D-2** with the Graduate Programs Office (Room 123, Furcolo Hall) before the end of your second semester.
- _____ Satisfactorily complete course work agreed to on **Form D-2** or amend the program where appropriate (see **Form D-2A**).
- _____ Complete with the Graduate Programs Office the process of approval of credits taken while on non-degree status during the first year.
- _____ Clear all incomplete grades or amend the program of study to reflect courses taken to replace the incompletes. Incomplete/F grades carried for an extended time indicate the student is not making satisfactory progress in the program.
- _____ Residency requirement completed or planned. Check with your committee chairperson or Graduate Programs Office.
- _____ Identify your Comprehensive Examination Committee. All committee members must have permission to serve with Graduate Faculty Status at the University of Massachusetts or through the Five Colleges. At least two members must be from the School of Education with the Committee Chairperson being from your department. Please check with the Graduate Programs Office (Room 123, Furcolo Hall).

Preparation for and Completion of the Comprehensive/Qualifying Examination

- _____ Committee members agree to serve. (At this point, you could choose to have a completely new committee, yet you must assure the Graduate Program Director that membership on the new committee is consistent with your academic concentration as reflected through **Form D-2**.)
- _____ Secure committee agreement on the proposed form and content of the examination. One portion of the examination will ensure that the doctoral student has a comprehensive knowledge of their field. The second portion will ensure an in-depth understanding of their specializations.
- _____ File **Form D-3** (committee membership) with the Graduate Programs Office (Room 123, Furcolo Hall).

- _____ Necessary papers and/or other materials prepared and submitted to committee members for review.
- _____ Transcript showing completed program of study available for committee and Graduate Programs Office review. Attach to **Form D-4** along with an outline of the comprehensive examination.
- _____ File completed **Form D-4** (Announcement of Comprehensive/Qualifying Examination) **at least two weeks prior to the examination.**
- _____ Upon successful completion of the **Comprehensive Examination**, file two copies of **Form D-5** (Results of Comprehensive Examination) with the Graduate Programs Office (Room 123, Furcolo Hall).

Preparation for and Completion of the Dissertation Process

- _____ In consultation with your concentration advisor, identify the Dissertation Committee. All members of your Dissertation Committee must have active Graduate Faculty Status at the University of Massachusetts Amherst or through the Five Colleges. Two of the faculty nominated must be from the candidate's Department. One member must be appointed from outside the School of Education but within the University of Massachusetts Amherst. Please check with the Graduate and Undergraduate Programs Office (Room 123, Furcolo Hall).
- _____ Complete **Form D-6** (Formation of Dissertation Committee) and file two copies with the Graduate Programs Office (Room 123, Furcolo Hall).
- _____ Register for Dissertation Credits (minimum of 18 credits), but no more than 9 per semester.
- _____ Complete Human Subjects Review - **Form D-7A**, Questionnaire – **Form D-7B**, CITI Training documentation, IRB Registration form, Informed Consent Letter, Abstract, and submit to the Graduate and Office (Room 123, Furcolo Hall). These forms must be approved **before** research commences.
- _____ Committee reviews, guides, and approvals of the proposal.

- _____ Complete a Research Proposal.
- _____ Submit **Forms D-7, D-7A, D-7B, Appendices**, and other required forms.
- _____ Submit **two** signed copies of the proposal along with **two signed copies of Form D-7** (Dissertation Proposal Approval) to the Graduate Programs Office (Room 123, Furcolo Hall).
- _____ Review copy of Graduate School Dissertation Guidelines.
- _____ Research completed and dissertation written.
- _____ Seven month rule acknowledged. The Graduate School requires a minimum of seven [7] months between approval of the dissertation proposal and scheduling the final oral defense. (This rule may be waived in extenuating circumstances with a petition initiated by your committee chairperson, directed to the Graduate Program Director who will request a waiver from the Graduate School.)
- _____ Draft dissertation submitted to all committee members for review and consultation.
- _____ Final oral defense scheduled.
- _____ Submit two copies of **Form D-8** (Announcement of Final Oral Defense) **at least three (3) weeks** prior to the planned defense to Graduate Programs Office (Room 123, Furcolo Hall). Attach a copy of the final draft of the dissertation.
- _____ Prepare the Signatory Page for your dissertation following the guidelines from the Graduate School on Acid-Free Paper to take with you to the Final Oral Examination. Normally your committee members will sign (*in black ink only*) at this time and your Chair will withhold his/her signature until the final corrections are completed.
- _____ ORAL EXAMINATION SUCCESSFULLY COMPLETED before the end of the sixth year in the program.
- _____ Submit two copies of **Form D-9** (Results) and signed signature pages to Graduate Programs Office (Room 123, Furcolo Hall).

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- _____ Required modifications completed.

- _____ Complete the Degree Eligibility Form (the Office of Degree Requirements will send this form to you or it is available in the Graduate Programs Office) and submit it to the Graduate Programs Office (Room 123, Furcolo Hall) **at least one week before the Graduate School's published deadline.**

- _____ Submit original and one copy of the final dissertation to the Office of Degree Requirements in the Graduate School (Room 534, Goodell Building) before the graduation deadline, along with other required pages, forms, and fees as outlined in their Doctoral Degree Checklist.

Doctoral Form D-1

ADVISING INFORMATION

Please Print or Type:

_____ **Student's Name** _____ **SPIRE ID Number**

_____ **Local/Cell Phone #** _____ **E-Mail Address**

Advisor: _____ **Concentration:** _____

I have reviewed the doctoral process with _____ who will serve as my Initial Advisor until the formation of my Guidance Committee.

_____ **Student's Signature** _____ **Date**

_____ **Advisor's Signature** _____ **Date**

_____ **Graduate Program Director**
School of Education _____ **Date**

Current Home Address:

Daytime Telephone #: (_____) _____

Please file with the Graduate Programs Office (Room 123, Furcolo Hall) before the end of the

student's first full semester of study.

Doctoral Form D-2

**FORMATION OF GUIDANCE COMMITTEE AND
PROPOSED PROGRAM OF STUDY**

Please Print or Type:

_____ **Student's Name** _____ **SPIRE ID Number**

_____ **Local/Cell Phone #** _____ **E-Mail Address**

Advisor: _____ **Concentration:** _____

DEGREES EARNED:

_____ Degree _____ Institution _____ Dates

_____ Degree _____ Institution _____ Dates

_____ Degree _____ Institution _____ Dates

GUIDANCE COMMITTEE APPROVAL:

FULL NAME AND TITLE

SIGNATURE

_____ Committee Chairperson _____

_____ Committee Member _____

_____ Committee Member _____

_____ Date Submitted

Doctoral Form D-2, continued

PROGRAM OF STUDY: List all courses you will take in your doctoral program of study (include descriptive title for Independent Study), and School of Education Competencies (*see list below).

Department & Course Number	Title	Credit	Professor	School of Education Competency Areas Addressed

* School of Education competencies and/or course work in each of five areas:

- A. human development,**
- B. social issues/justice,**
- C. pedagogy (facilitation of learning),**
- D. philosophy of education, and**
- E. research**

Please attach a list of course work and experiences which are prerequisite to or related to the doctoral program, and have been taken prior to admission.

Some concentrations have special processes and procedures for planning the program of study. Follow those processes and attach the completed materials, in addition to the above chart, but not in place of it.

Semesters in which residency requirement (two consecutive semesters of nine credits each) will be satisfied (Fall/Spring or Spring/Fall sequence, Summer Session will not fulfill this requirement): Semesters / Year(s) _____.

Doctoral Form D-2, continued

GOALS FOR YOUR PROGRAM OF STUDY:

Student's Signature

Current Local Address

Approved:

Graduate Program Director

NOTE TO STUDENTS: Before the end of your second semester in the program, please submit one copy to the **Graduate Programs Office** (Room 123, Furcolo Hall) after the Guidance Committee has approved the proposed program of study.

**SCHOOL OF EDUCATION
GRADUATE PROGRAMS OFFICE**

D -2 STUDENT SURVEY

Please return this completed survey to the Graduate Programs Office (Room 123, Furcolo Hall) with your completed **Doctoral Form D-2** (Formation of Guidance Committee and Projected Program of Study) Form.

SECTION 1:

1. Current Semester: Fall _____ Spring _____ Summer _____ Year: _____

2. Academic Concentrations:

Admitted After September 1997

- Child & Family Studies
- Education Policy & Leadership
- Language, Literacy & Culture
- Mathematics & Science Education
- Research & Evaluation Methods
- School Psychology
- Social Justice Education
- Teacher Education & School Improvement

3. Sex: Female _____ Male _____

4. Ethnicity: White _____ African-American _____ Hispanic _____
Native-American _____ Cape Verdean _____ Asian or Pacific Islander _____

5. Nationality: U.S. Citizen _____ Nonresident Alien _____

6. Status: Full-Time Student Working on Graduate Assistantship _____
Full-Time Student Working Outside Academic Program of Study _____
Part-Time Student _____

D-2 Student Survey - continued

SECTION 2:

Please rate your academic experience (circle the number corresponding to your rating) using the scale below. Leave items blank if they are not applicable.

	1–Very Poor	2–Poor	3–Satisfactory	4–Good	5–Very Good	
Recruitment/Application Process						
a. Quality of Brochures and Recruitment Information	1	2	3	4	5	
b. Clarity of Admission Requirements and Process	1	2	3	4	5	
c. Strength of Student Body	1	2	3	4	5	
Orientation and Initial Advising						
d. Quality of Initial Orientation to Academic Requirements	1	2	3	4	5	
e. Helpfulness of Information on University Resources	1	2	3	4	5	
f. Adequacy of Assistantship/Financial Aid Information	1	2	3	4	5	
g. Welcoming Climate for New Students	1	2	3	4	5	
h. Faculty Direction in Initial Course Selection	1	2	3	4	5	
Courses and Curriculum						
i. Quality of Doctoral Courses	1	2	3	4	5	
j. Quality of Supervised Practica and Internships	1	2	3	4	5	
k. Quality of Instructors	1	2	3	4	5	
l. Breadth of Doctoral Courses	1	2	3	4	5	
m. Accessibility of Instructors	1	2	3	4	5	
n. Availability of Courses (Scheduled Often Enough)	1	2	3	4	5	
o. Availability of Courses (Scheduled at Appropriate Times)	1	2	3	4	5	
p. Rigor of Courses	1	2	3	4	5	
Academic Advising						
q. Academic Advisor (Availability)	1	2	3	4	5	
r. Academic Advisor (Advice on Courses)		1	2	3	4	5
s. Academic Advisor (Professional Mentoring)	1	2	3	4	5	
t. Academic Advisor (Direction of Projected Program of Study)	1	2	3	4	5	
Graduate Programs Office						
u. Clarity of Written Advising Information	1	2	3	4	5	
v. Helpfulness of Written Information	1	2	3	4	5	
w. Helpfulness of Web-based Information	1	2	3	4	5	
x. Helpfulness of Graduate & Undergraduate Programs Office	1	2	3	4	5	

Please comment on any of your ratings, especially areas rated "Very Poor" or "Poor".

D-2 Student Survey - continued

SECTION 3:

A. What have you found to be particularly valuable/useful?

B. What suggestions do you have for program improvement?

C. In addition to UMass Amherst, where did you apply to for doctoral study?

D. Why did you choose UMass Amherst?

E. Knowing what you know now, would you enroll in your present program of study at UMass Amherst? Yes _____ No _____ Please explain:

SECTION 4:

Initial Advisor:

Guidance Committee Chair:

D-2 Student Survey - continued

Expected Graduation Date: _____

Doctoral Form D-2A

AMENDMENTS TO PROGRAM OF STUDY

Please Print or Type:

_____ **Student's Name** _____ **SPIRE ID Number**

_____ **Local/Cell Phone #** _____ **E-Mail Address**

Advisor: _____ **Concentration:** _____

Since the Program of Study (Form D-2) is a proposed program of study, there may be changes or revisions. Use this form to reflect changes and approval.

Drop: _____
Course # Title

Add: _____
Course # Title

Drop: _____
Course # Title

Add: _____
Course # Title

Reason for Change(s):

Committee Chairperson

Date

Please file with the Graduate Programs Office (Room 123, Furcolo Hall).

Doctoral Form D-3

**COMMITTEE MEMBERSHIP
COMPREHENSIVE/QUALIFYING EXAMINATION COMMITTEE**

Please Print or Type:

_____ **Student's Name** _____ **SPIRE ID#**

_____ **Local/Cell phone #** _____ **E-Mail Address**

Advisor: _____ **Concentration:** _____

The members whose signatures appear below have agreed to serve as my comprehensive/ qualifying examination committee. *They have met as a group with me to discuss a plan for the form and content of the examination.

FULL NAME AND TITLE	SIGNATURE
_____ Chairperson	_____
_____ Committee Member	_____
_____ Committee Member	_____
_____ Committee Member	_____

*All three committee members must be faculty with Graduate Faculty Status (check with Graduate Programs Office). If you have four members, the fourth may be a doctoral student who has passed his/her comprehensive examination. This committee is usually composed of the original Guidance Committee plus one faculty member or School of Education doctoral student. However, at this point you have the option to change committee members or chairperson.

_____ Student's Signature	_____ Approved: Graduate Program Director
_____ Date	_____ Date

Please file with the Graduate Programs Office - Room 123, Furcolo Hall.

Doctoral Form D-4

ANNOUNCEMENT OF COMPREHENSIVE/QUALIFYING EXAMINATION

Please Print or Type:

_____ **Student's Name** _____ **SPIRE ID Number**

_____ **Local/Cell Phone #** _____ **E-Mail Address**

Advisor: _____ **Concentration:** _____

The following represents the plan for the form and content of my Comprehensive Examination, Committee approval of the plan, and an approved schedule.

You must attach the following to this form:

1. An outline of the proposed format for the comprehensive examination (papers, outlines, demonstrations, etc.). Do **not** attach comps paper(s).
2. A transcript showing completed program of study, available on SPIRE. **If incompletes appear on the transcript, attach a memorandum from the Committee Chair indicating when the course(s) will be completed or justification for removing the course(s) from the program of study.**

My comprehensive examination will take place at (time) _____, on
(date) _____, in (room and building) _____.

Committee Approval:

Committee members who have approved the plan and agreed to attend:

FULL NAME AND TITLE	SIGNATURE
_____ - Chairperson	_____
_____ - Committee Member	_____
_____ _Committee Member	_____
_____ - Committee Member	_____

Approved:

_____ **Graduate Program Director** _____ **Date**

This form must be filed with the Graduate Programs Office (Room 123, Furcolo Hall) at least **two weeks** before the comprehensive examination.

Doctoral Form D-5

RESULTS OF COMPREHENSIVE/QUALIFYING EXAMINATION

Please Print or Type:

_____ **Student's Name** _____ **SPIRE ID Number**

_____ **Local/Cell Phone #** _____ **E-Mail Address**

Advisor: _____ **Concentration:** _____

From: Chairperson of Comprehensive Examination Committee

To: Dean of the Graduate School via the Graduate Program Director,
School of Education

A comprehensive examination was administered to the above named candidate on (date of examination) _____. It was the decision of the Committee that she/he:

_____ **PASSED** _____ **FAILED** _____ **OTHER (EXPLAIN)**

FULL NAME AND TITLE	SIGNATURE
_____ - Chairperson	_____
_____ - Committee Member	_____
_____ _Committee Member	_____
_____ - Committee Member	

Approved:

_____ _____
- Graduate Program Director Date

The original and a copy are to be filed with the Graduate Programs Office - Room 123, Furcolo Hall.

Doctoral Form D-6

FORMATION OF DISSERTATION COMMITTEE

Please Print or Type:

_____ **Student's Name** _____ **SPIRE ID Number**

_____ **Local/Cell Phone #** _____ **E-Mail Address**

Advisor: _____ **Concentration:** _____

TO: Dean of the Graduate School via the Graduate Program Director,
School of Education

The three members of the Graduate Faculty (one of whom must be from the University of Massachusetts Amherst and outside the School of Education and outside the discipline of Education) signed below, have agreed to serve as my Dissertation Committee and will attend the oral defense.

FULL NAME AND TITLE	DEPARTMENT	SIGNATURE
_____ Chairperson	_____	_____
_____ Committee Member	_____	_____
_____ Committee Member	_____	_____
_____ Student's Signature		_____ Date

Approved:

_____ Graduate Program Director _____ Date

NOTE: Be sure to attach page two and return both pages when you file this form. The original and one copy are to be filed with the Graduate Programs Office Room 123, Furcolo Hall).

Doctoral Form D-6, continued

Proposed Dissertation Title:

Statement of Problem*:

Proposed Approach to the Problem:

Current Home Address: _____

Local/Cell Phone #: () _____

(Please append any further information which would clarify this proposed dissertation and the composition of the proposed committee.)

***The Statement of Problem should be kept brief as it is published in the School of Education bulletin, the *Beacon*.**

Doctoral Form D-7

DISSERTATION PROPOSAL APPROVAL

Please Print or Type:

_____ **Student's Name** _____ **SPIRE ID#**

_____ **Local/Cell phone #** _____ **E-Mail Address**

Advisor: _____ **Concentration:** _____

TO: Dean of the Graduate School via the Graduate Program Director,
School of Education

The three members of the Graduate Faculty, who signed below, have approved the attached dissertation proposal.

FULL NAME AND TITLE	DEPARTMENT	SIGNATURE
Chairperson	_____	_____
Committee Member	_____	_____
Committee Member	_____	_____

_____ **Student's Signature** _____ **Date**

Approved:

_____ **Graduate Program Director** _____ **Date**

NOTE: You must submit the original and one copy of your dissertation proposal, each

signed on the title page by the members of your dissertation committee, along with the signed original and copy of this form and forms D-7A and D-7B to the Graduate Programs Office (Room 123, Furcolo Hall) before the end of the fifth year in the program and before formal work on the dissertation is undertaken. This proposal must be filed and accepted at least seven (7) months before the final oral defense may be scheduled.

**SCHOOL OF EDUCATION
GRADUATE PROGRAMS OFFICE**

D-7 STUDENT SURVEY

Please return this completed survey to the Graduate Programs Office (Room 123, Furcolo Hall) with your completed **Doctoral Form D-7** (Dissertation Proposal Approval) Form.

SECTION 1:

1. Current Semester: Fall _____ Spring _____ Summer _____ Year: _____

2. Academic Program of Study:

Admitted After September 1997

- Child & Family Studies
- Education Policy & Leadership
- Language, Literacy & Culture
- Mathematics & Science Education
- Research & Evaluation Methods
- School Psychology
- Social Justice Education
- Teacher Education & School Improvement

3. Sex: Female _____ Male _____

4. Ethnicity: White _____ African-American _____ Hispanic _____

Native-American _____ Cape Verdean _____ Asian or Pacific Islander _____

5. Nationality: U.S. Citizen _____ Nonresident Alien _____

6. Status: Full-Time Student Working on Graduate Assistantship _____
Full-Time Student Working Outside Academic Program of Study _____
Part-Time Student _____

D-7 Student Survey - continued

SECTION 2:

Please rate your academic experience (circle the number corresponding to your rating) using the scale below. Leave items blank if they are not applicable.

1–Very Poor 2–Poor 3–Satisfactory 4–Good 5–Very Good

Dissertation Proposal Development

a. Applicability of Research Course Work		1	2	3	4	
						5
b. Academic Advisor (Guidance on Proposal Development)	1	3	4	4	5	
c. Academic Advisor (Professional Mentoring)	1	2	3	4	5	
d. Contributions of Dissertation Committee	1	2	3	4	5	
e. Accessibility of Dissertation Committee Members	1	2	3	4	5	
f. Satisfaction with your Dissertation Proposal	1	2	3	4	5	

Graduate Programs Office

g. Quality of Human Subjects Review	1	2	3	4	5	
h. Clarity of Written Advising Information	1	2	3	4	5	
i. Helpfulness of Written Information	1	2	3	4	5	
j. Helpfulness of Web-based Information	1	2	3	4	5	
k. Helpfulness of Graduate & Undergraduate Programs Office	1	2	3	4	5	

Please comment on any of your ratings, especially areas rated "Very Poor" or "Poor".

SECTION 3:

1. What have you found to be particularly valuable/useful in the dissertation proposal process?

D-7 Student Survey - continued

2. What suggestions do you have for improving the proposal process?

3. Knowing what you know now, would you enroll in your present program of study at UMass Amherst? Yes _____ No _____ Please explain:

SECTION 4:

Dissertation Committee Chair: _____

Expected Graduation Date: _____

Doctoral Form D-7A

DISSERTATION PROPOSAL HUMAN SUBJECTS REVIEW APPROVAL

Please Print or Type:

_____	_____
Student's Name	SPIRE ID#
_____	_____
Local/Cell phone #	E-Mail Address

Chairperson: _____ **Concentration:** _____

Proposed Dissertation Title:

Statement 1. The research proposed in this dissertation proposal will not involve the use of human subjects; therefore, review by the Human Subjects Review Committee is not necessary.

Signed: _____
Chairperson of Dissertation Committee

Statement 2. The research proposed in this dissertation proposal involves a substantially large sample and the data will only be reported in aggregate, making individual subject identification highly improbable. Subjects will be informed of their rights in accordance with University guidelines as outlined in the memorandum on surveys but written consent will not be required. **Please attach a copy of your survey.**

Signed: _____
Chairperson of Dissertation Committee

Signed: _____
**for the School of Education
Human Subjects Review Committee**

Statement 3. This is to certify that this proposal was reviewed by the School of Education Human Subjects Review Committee on (date) _____ and was determined as meeting University guidelines for the use of

human subjects in dissertation research.

Signed: _____
for the School of Education
Human Subjects Review Committee

Doctoral Form D-7B

HUMAN SUBJECTS REVIEW QUESTIONNAIRE

Please Print or Type:

Student's Name	SPIRE ID#
Local/Cell phone #	E-Mail Address
Advisor: _____	Concentration: _____

Please answer the following questions:

1. How will human participants be used?

2. How have you ensured that the rights and welfare of the human participants will be adequately protected?

3. How will you provide information about your research methodology to the participants involved?

4. How will you obtain the informed voluntary consent of the human participants or their legal guardians? **Please attach a copy of your consent form.**

5. How will you protect the identity and/or confidentiality of your participants?

Attach an abstract of your proposal.

MEMORANDUM

From: The Human Subjects Review Committee

To: School of Education Doctoral Students and Other Researchers

Subject: Doctoral Form D-7A: Human Subjects Review and Informed Written Consent Form

Among the notions central to research with humans are the following three:

1. Participation in research is voluntary;
2. Voluntary participation is based on being informed; and
3. The researcher must guard against making participants vulnerable.

Federal guidelines and University of Massachusetts policy indicate that in order to act consistently with the above notions, in most cases when researchers wish to do research using human participants, the researcher must seek the informed written consent of the participants.

Unless the Chair of your committee signs Form D-7A saying that you are not working with human participants, in most cases you must develop an informed consent form which meets the following guidelines.¹ The Human Subjects Review Committee will review your consent form with these guidelines in mind.

The Written Consent Form:

1. Indicates:
 - a. Who the researcher is;
 - b. What the researcher proposes to do; and
 - c. For what purpose.
2. Informs the participants of any risks they may be taking by participating.
3. Informs the participants of their rights:
 - a. Their right to withdraw from part or all of the study at any time; and
 - b. Indicates position on the right to review material.

¹These guidelines are taken from Chapter 6 of *Interviewing as Qualitative Research*, by I.E. Seidman (New York: Teachers College Press), 1991.

Doctoral Form D-7A, continued

4. Informs the participants about how names will be used:
 - a. Clear on whether the researcher will seek to protect the participants' identity or not; and
 - b. Clear on pseudonyms or other steps taken to protect identity.
5. Informs participants on:
 - a. How results will be disseminated; and
 - b. Is it reasonable on projected benefits.
6. Indicates that participants are free to participate or not without prejudice.
7. Provides for consent to appropriate adults in the case of children.
8. Deals with other issues of concern specific to the research project.

These guidelines should assist you in developing a written consent form. To further assist you, an example of a written consent form and a memorandum concerning what might be appropriate for questionnaire and survey studies are included. Use the above guidelines and the examples to guide you in developing a written consent form appropriate to your research project.

If you wish further guidance, doctoral students may consult with the Human Subjects Review Committee.



MEMORANDUM

DATE: August 25, 2006

FROM: School of Education Human Subjects Review Coordinators

TO: Doctoral Students Using Human Subjects Research Methods

RE: CITI Training (Collaborative University Institutional Review Board Training Initiative)

When you submit your Human Subjects Review materials (**Doctoral Forms D-7A and 7B, Consent form and Abstract**) to the Graduate Program Office, you must also submit documentation of having taken the on line course, which is a requirement of the University Institutional Review Board.

You can access this site at the following address: umass.edu/research/comply/citi.html

You only need to complete the following 3 modules:

- 1) Introduction
- 2) Historical and Ethical Perspectives
- 3) Informed Consent

Please attach a printout showing that you have completed these modules and add it to your Human Subjects materials.

Thank you.



**Research Affairs, 517 Goodell
Voice: 413-545-3428 Fax: 413-545-3754**

Registration Form for Un-sponsored Human Subjects Research

The University Human Subjects Policy states that non-funded faculty and student research may be reviewed by local human subjects review boards in the Schools and Colleges. These boards have the responsibility and authority to review, approve, disapprove, exempt or require changes in research activities involving human subjects. (Stipends and fellowships provided to a student by or through the University are not considered funding for research.)

If pending legislation becomes law, the Institutional Review Board (IRB), which currently oversees human subject use in sponsored projects, will have oversight of all human subjects research, sponsored and un-sponsored. The only change for now is that the IRB will maintain a log of all human subjects' research activity being conducted by University of Massachusetts personnel including un-sponsored projects. The IRB therefore asks you to complete this form for IRB records.

Please contact Nancy Swett at 545-3428 if you have any questions or comments.

To Be Completed By Investigator:

Investigator name (please print) _____

Your position on campus (undergraduate, graduate student, postdoc, faculty, staff) _____

Faculty advisor name for student projects (please print) _____

Department _____ Expected duration of project: _____

Project Title: _____

To be completed by your Local Human Subjects Review Board:

Review board (Dept., School or College): _____

Review level (exempt, expedited, full): _____ Approval date: _____

This review was conducted according to the guidelines in the University Human Subjects Policy.

Signature of Local Review Board Chair Name (please print) _____

MEMORANDUM

From: The Human Subjects Review Coordinators
To: Doctoral Students Doing Survey or Questionnaire Studies
Subject: Appropriate Informed Consent

When do you need to get individual written consent of your participants when you are collecting data by means of a questionnaire or a survey?

If you are doing research in which a survey instrument or questionnaire is a means of your obtaining data and the questionnaire depends on your participants' written response in their own words, then individual written consent from the participant is most likely necessary. The guidelines for your written consent form are described in our preceding memorandum.

If your survey instrument or questionnaire solicits information that is controversial or sensitive and could in any way make your participant vulnerable, you should secure individual written consent.

If your questionnaire or survey asks for identifying information about your participants, such as name, address, telephone number, place of work or study, or other information that could lead to the identification of your participants, then you should solicit individual written consent.

If your sample is small and because of that small size your participants are potentially identifiable, you should secure individual written consent.

If any one of the above conditions apply to your research approach, you must secure the individual written consent of your potential participants.

When do you not need to get individual written consent of your participants when you are collecting data by means of a questionnaire or a survey?

If you are doing research in which a survey instrument or questionnaire is a means of obtaining data, you may not have to solicit individual written consent from your participants if all the following characteristics describe your questionnaire or survey:

- The survey is a true/false, multiple choice, or fill in the blank type of survey. It does not rely on the language of the participants.

Appropriate Informed Consent, continued

- The participant's responses to the survey would not make him or her vulnerable in any way. No risk is involved in the participants' completing and submitting the survey or questionnaire.
- The results of the survey are to be reported in the aggregate and not by individual. Individual participants in the study would not be identifiable.

If all the above conditions describe your research, you do not have to secure individual written consent. If any one of these conditions does not apply, then you most likely have to secure individual written consent from each participant.

If you are surveying students or teachers in a school or a system or other members of an organization or institution, you may have to secure the consent of the appropriate officer or administrator of that organization in order to conduct the survey.

Even if you do not need to get individual written consent of your participants, you will still have an ethical obligation to inform your participants about the following:

- Who you are and how you can be contacted;
- The nature of your research;
- What rights your participants have, for example, to withdraw from part or all of the study at any time, or to review the results;
- That you will not use their names in the study;
- That participation in the study is voluntary and their decision to participate or not to participate will in no way be prejudicial to them; and, finally,
- Children below the age of 18 must have the consent of their legal guardians to participate.

The way to inform your participants about these conditions is to address them in an introductory paragraph to your questionnaire or survey instrument or in a cover letter. The final sentence of the introductory paragraph or cover letter should be something like: "Your informed consent to participate in the study under the conditions described is assumed by your completing the questionnaire and submitting it to the researcher. Do not complete the questionnaire or hand it in if you do not understand or agree to these conditions."

*When you submit **Form D-7A**, include a copy of your introductory paragraph or cover letter.*

If you have questions about whether your survey or questionnaire requires anything beyond the introductory paragraph we are suggesting above, please contact your dissertation chairperson or a member of the Human Subjects Review Committee.

SAMPLE INFORMED CONSENT LETTER

STUDY OF THE UNIVERSITY OF MASSACHUSETTS AMHERST
FACULTY'S KNOWLEDGE OF DISABILITIES,
EXPERIENCE WITH EDUCATING STUDENTS WITH DISABILITIES,
AND ATTITUDES THAT FACULTY POSSESS TOWARDS
STUDENTS WITH DISABILITIES

CONSENT FOR VOLUNTARY PARTICIPATION

I volunteer to participate in this qualitative study and understand that:

1. I will be interviewed by [interviewer's name] using a guided interview format consisting of seven questions.
2. The questions I will be answering address my views on issues related to disability awareness training for faculty of my college or school at the University of Massachusetts Amherst. I understand that the primary purpose of this research is to identify activities that will effectively increase faculty awareness of disability.
3. The interview will be tape recorded to facilitate analysis of the data.
4. My name will not be used, nor will I be identified personally, in any way or at any time. I understand it will be necessary to identify participants in the dissertation by position and college affiliation (e.g., a Department Head from the College of Engineering said).
5. I may withdraw from part or all of this study at any time.
6. I have the right to review material prior to the final oral exam or other publication.
7. I understand that results from this survey will be included in [your name] doctoral dissertation and may also be included in manuscripts submitted to professional journals for publication.
8. I am free to participate or not to participate without prejudice.
9. Because of the small number of participants, approximately twelve, I understand that there is some risk that I may be identified as a participant of this study.

Researcher's Signature

Participant's Signature

Date

Date

Human Subjects Review Committee Review of Research Proposal Informed Consent Form

The Human Subjects Review Committee will review your Informed Consent Form using the following guidelines. **Please return this blank form with your Human Subjects' materials:**

Name of Researcher:

Date:

Title of Project:

Does the consent form accomplish the following:	Yes	No	Partially
<ol style="list-style-type: none"> 1. Indicates: <ol style="list-style-type: none"> 1. What the research is; 2. What the researcher proposes to do; and 3. For what purpose. 2. Informs the participants of any risks they may be taking. 3. Informs the participants of their rights: <ol style="list-style-type: none"> 1. Their right to withdraw from part or all of the study at any time; and 2. Indicates position on the right to review material. 4. Informs the participants about how names will be used: <ol style="list-style-type: none"> 1. Clear on issue of anonymity; and 2. Clear on pseudonyms or other steps taken to protect identity. 5. Inform participants on: <ol style="list-style-type: none"> 1. How results will be disseminated; and 2. Is it reasonable on projected 			

benefits.						
Does the consent form accomplish the following:						
6. Indicate that participants are free to participate or not without prejudice.						
7. Provide for consent of appropriate adults in the case of children.						
8. Other issues or concerns (use back of page).						

Decision of Committee: (circle appropriate decision)

Accept

Accept with Revision

Revise

Comments: (use back of page as appropriate)

Signature of Member of the Committee: _____

Doctoral Form D-8

ANNOUNCEMENT OF FINAL ORAL EXAMINATION

Please Print or Type:

Student's Name **SPIRE ID Number**

Local/Cell Phone # **E-Mail Address**

Advisor: _____ **Concentration:** _____

To: Dean of the Graduate School via School of Education Graduate Program Director

My final oral examination (on the dissertation and other topics) will take place:

at: _____ (time)	on: _____ (date)	in: _____ (room number & building)
---------------------	---------------------	---------------------------------------

Chairperson of Dissertation Committee: _____

Title of Dissertation:

All members of the Dissertation Committee will attend the examination and agree that the dissertation is complete and ready for presentation.

_____ Chairperson's Signature	_____ Candidate's Signature
----------------------------------	--------------------------------

Date Submitted: _____

Approved:

Graduate Program Director

IMPORTANT: The original and a copy of this form, along with a copy of the final draft (including abstract, table of contents, bibliography and footnotes) must be filed with the Graduate Programs Office (Room 123, Furcolo Hall), **at least three (3) weeks** prior to the oral

defense. If seven months have not elapsed since the submission of the proposal, a request from the Chair for a waiver should be attached. **THIS DEADLINE MUST BE OBSERVED.**

Doctoral Form D-9

RESULTS OF FINAL ORAL EXAMINATION

Please Print or Type:

_____ **Student's Name** _____ **SPIRE ID Number**

_____ **Local/Cell Phone #** _____ **E-Mail Address**

Advisor: _____ **Concentration:** _____

FROM: Final Oral Examination Committee

TO: Dean of Graduate School via the Graduate Program Director,
School of Education

This is to inform you that a final oral examination for the Ed.D./Ph.D. degree was administered to the above named candidate on (date) _____. Members of the committee, their votes and decision are recorded below.

SIGNED:	DISSERTATION COMMITTEE	VOTE
	FULL NAME AND TITLE	
	_____ Chairperson	_____
	_____ Committee Member	_____
	_____ Committee Member	

() PASS () FAIL

APPROVED:

Graduate Program Director

Immediately after the examination, the original and a copy of this form are to be filed with the Graduate Programs Office (Room 123, Furcolo Hall). Candidates should obtain a copy of the Graduate School's degree deadlines available in the Office of Degree Requirements (Room 534, Goodell Building).

Doctoral Form D-10

CHANGE OF COMMITTEE MEMBERSHIP

Please Print or Type:

_____	_____
Student's Name	SPIRE ID Number
_____	_____
Local/Cell Phone #	E-Mail Address

Advisor: _____ **Concentration:** _____

I wish to change the composition of my committee which is currently composed of the following:

	FULL NAME AND TITLE
TYPE OF COMMITTEE:	_____
<input type="checkbox"/> Guidance	Chairperson
<input type="checkbox"/> Comprehensive	_____
	Committee Member
<input type="checkbox"/> Dissertation	_____
	Committee Member

	Committee Member

I wish to make the following change(s):

	FULL NAME AND TITLE	SIGNATURE
DROP	_____	_____
ADD	_____	_____
DROP	_____	_____
ADD	_____	_____

APPROVED (signatures):

_____	_____	_____
Committee Chairperson	Student's Signature	Graduate Program Director

Please note the reason for change of committee:

The original and one copy are to be filed with the Graduate Programs Office (Room 123, Furcolo Hall).