Student Handbook
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March 1, 2012

Greetings from UMass Dartmouth!

I write this brief letter to introduce the Doctoral Program in Education Leadership and Policy Studies at the Department of Education Leadership at the University of Massachusetts Dartmouth. Our doctoral program has been designed to prepare future practitioners and scholars who will work as professors, researchers, administrators, or executives in leadership roles in a variety of institutional settings. These may include schools, universities, federal and state departments of education, national and state professional organizations, and non-governmental agencies. Graduates of this program will be committed to transforming students and institutions alike in pursuit of a more ethical, just and fair society and to improving educational achievement in environments that are dynamic, interactive, culturally diverse, and democratic. Consistent with our mission as a research university, the doctoral program aims to prepare individuals capable of understanding global contemporary dynamics as well as leading systemic transformations that promote learning and improve educational attainment in schools.

To accomplish the above the proposed program is driven by a set of beliefs, namely that human growth and development are transformative lifelong pursuits; that schools are political and cultural artifacts of local and global contexts; that diversity strengthens organizations; that while transformative leadership implies individual and team work that stimulates differences, it is also driven by moral and ethical imperatives; and that one can only have an impact globally if one is capable of making a difference locally.

What we propose is an innovative academic program structured with two degree tracks, namely the Doctor of Education (EdD) and the Doctor of Philosophy (Ph.D.). Students in this interdisciplinary program will be closely advised by faculty throughout their first two years and onward through the completion of the dissertation and defense. An individual’s professional goals will help delineate a reasoned choice about which terminal degree to pursue - either the EdD or Ph.D. track. Both tracks represent a
considerable body of knowledge and each provides an academic credential with multiple career and professional opportunities.

Our faculty have expertise in areas such as Educational Leadership and Policy Studies, Curriculum Theory and Development, Critical Theory, Qualitative and Quantitative Methods, Southern Theory, Educational Policy and the Law, Equity and Educational Finance, Collective Bargaining, K-20 Administration, Language Policies, Literacy and Social Studies Education, Critical Literacy, Critical Theory, Economic Development, Policy Formation, Regional Economic Development, Performance Measurement.

Students in our program will benefit from coursework that is challenging and stimulating. The program emphasizes high-quality research that often results in student presentations of their findings at professional conferences as well as publication of their research in peer-reviewed journals.

In considering the University of Massachusetts Dartmouth for your graduate studies, I strongly encourage you check our faculty web pages at [http://www.umassd.edu/seppce/departments/educationalleadership](http://www.umassd.edu/seppce/departments/educationalleadership) We suggest you apply online by going to [www.umassd.edu/graduate](http://www.umassd.edu/graduate). The graduate program application deadline is **March 31st**. If you have any additional questions about our program, please contact me any time.

Sincerely,

Joao Paraskeva, Ph.D.
Program Director
jparaskeva@umassd.edu
Purpose of the Handbook

The purpose of the handbook is to introduce you to the structure of the program and make you aware of all regulations governing your studies and relationship with the department. In addition to this handbook, students in the Educational Leadership Department are advised to consult the 2011-2012 UMASS Dartmouth Graduate Catalog available at the following website:


Mission of the Educational Leadership Department

Consistent with the University of Massachusetts Dartmouth’s mission as a public regional research university, the Department of Education Leadership (hereafter DEL) was founded in the Fall of 2011. DEL’s major political scope is to assume a leading role both nationally and internationally in preparing a new generation of education leaders and policy analysts, highly prepared in educational leadership and policy studies who could exercise critical transformative leadership committed to social and cognitive justice.

We believe that education should be a place that cultivates humanity, a place that fosters the ‘ability to imagine the experiences of another’; a locus that emphasizes the ability to think critically, the ability to transcend local loyalties and to approach world problems; a place that fosters creativity and the formation of a holistic citizen. We believe that education and educational institutions should be driven by leaders and not by managers. Given the current global crises with a profound devastating impact in our region, we maintain that the flourishing of a democratic society relies on a democratic educational system capable of a critical balance between the need to sustain a strong economy and the preparation of a more holistic citizen. We claim educational leadership and policy studies as contested political terrains profoundly coded with ethical, moral and spiritual dimensions. DEL offers a critical transformative doctoral program in Education Leadership and Policy Studies designed to produce future practitioners and scholars who will work as professors, researchers, administrators, or executives in leadership roles in a
variety of institutional settings. Graduates of this program will be committed to transforming students, institutions and their contexts in pursuit of a more ethical, just and fair society and to improving educational achievement in environments, that are dynamic, interactive, culturally diverse, and democratic. The doctoral program aims to prepare individuals capable of understanding global contemporary dynamics as well as leading systemic transformations that promote learning and improve educational attainment in schools. Our program prepares future education leaders quite sentient of the need for advocacy leadership. We claim that there is no authentic education with a lack of basic social needs for the massive majority of society. In so doing – and aligned with the more recent and insightful research in the field – our program calls for a collaborative and critical transformative leadership, one that encourages an open practice capable of creating the caring and authentic culture as well as empowering teachers, students, parents and the community. To accomplish the above, the proposed program is driven by a set of beliefs, namely that human growth and development are transformative lifelong pursuits; that schools are political and cultural artifacts of local and global contexts; that diversity strengthens organizations; that while transformative leadership implies individual and team work that stimulates differences, it is also driven by moral and ethical imperatives; and that one can only have an impact globally if one is capable of making a difference locally. DEL is oriented by a set of principles regarding critical transformative Educational Leadership and Policy Studies. Such principles are the vivid result of an ample and heated participatory debate among faculty, administrators, superintendents, principals, teachers, parents, social activists and community in general. Both the department and the doctoral program were built with them and not for them. Here we also express our sincere gratitude to them.

**Principle 1**

**Education is a political act.**

Accordingly, the education policies produced at all levels of government (local, state, federal, and international) reflect the political struggles and power dynamics inherent in our society. DEL explores these varying dynamics and influences and develop future
school leaders and scholars in the field of public education who are actively aware and engaged with these complex and layered interactions.

**Principle 2**
**Education leadership and policy understands and claims education as a public good.**
Of vital importance to our society and the collective good is the nature and quality of the education we provide our children. Moreover, a recognition that education envisions leadership and policies that ensure that every child receives an equal educational opportunity to maximize their potential. In this way, education as a public good is promoted.

**Principle 3**
**Educational leadership and policy places the educational system within the dynamics of ideological production.**
As such, it recognizes that there are policies and curriculum decisions and choices that reflect certain ideological leanings that, when reproduced, can perpetuate inequalities in the education system. These ideological leanings are not always obvious. These ideologies reflect existing power imbalances. Therefore, recognition of these ideological underpinnings – and the reasons for their perpetuation – are crucial understandings in developing educational leadership and policy.

**Principle 4**
**Educational leadership and policy acknowledge power and privilege and argues for a new conception of power.**
Certain interests and ideologies can carry a disproportionate amount of power in education systems and society in general. An understanding of the above-mentioned principles necessitates a shift in power to rectify imbalances that manifest in the education system and greater society. Accordingly, educational leadership and policy must reflect this need and attempt to re-calibrate the power balances.
Principle 5

Educational leadership and policy recognizes education and schools as critical transformative agencies.

Despite the power imbalances inherent in educational systems, it is understood that these agencies may be changed from within and by those who have heretofore been disadvantaged by the existing mechanisms and struggles. Moreover, in recognizing this, it is understood that schools and education are part of a set of agencies and constructs that, together, require reformation to mitigate against existing power imbalances.

Principle 6

Educational leadership and policy is an intellectual and moral craft that articulates individual and collective purposes.

We understand educational leadership and policy as moral undertaking grounded on critical intellectual trajectories that seek a critique and transformation of dominant structures. We emphasize the need to articulate individual and collective aims to attain purposes related with equity and excellence.

Principle 7

Educational leadership and policy is a commitment to democratize democracy.

We perceived educational leadership and policy as committed to a praxis of democracy as an unfinished process, a reality that is not solely to be theorized in relation to ordinary political structures, but that must be extended to civil society and culture.

Principle 8
Educational leadership and policy understands that the struggle for social justice is a struggle for cognitive justice. De-centering dominant paradigms requires the perpetual inclusion of epistemological diversity. This would signify the inclusion indigenous knowledge(s), counter-histories, and methodologies. Educational leadership and policy seeks an understanding of leadership that is not bounded to individualism but rather through an analytical lens that centralizes power politics, interactions, and the context through which these dynamics operate.

**Principle 9**

Educational leadership and policy understands that global challenges needed to be won locally. Educational leadership and policy understands the importance of transformation of the local context while not abstracting the intricate relationships between the local and global.

**Principle 10**

Educational leadership and policy fosters indigenous knowledges, counter-histories, and methodologies. Educational leadership and policy fosters not only a critique of existing institutions and social, political, and economic arrangements; it also opens up an analytical lens towards alternative possibilities.

**Principle 11**

Educational leadership and policy is community ‘engagement.’ Educational leadership and policy is committed to the engagement of leadership and policy studies within and beyond the boundaries or organizational settings. It fosters transformative partnerships with community and society by and large.

**Principle 12**
Educational leadership and policy understands schools as spaces that cultivate humanity.
Therefore, to this end, it promotes efforts to develop critical thinking, an understanding that schools are part of a complex web of institutions in a global society, and appreciation of different perspectives beyond one’s own.

Faculty of Educational Leadership (contact and areas of interests)

João Paraskeva
Professor – Ph.D., University of Minho, Portugal (2004)
Chair of the Educational Leadership Department
Program Director Educational Leadership and Policy Studies EdD PhD

Mark Paige
Assistant Professor
Ph.D., University of Wisconsin – Madison (2011)
Specializes in Law and Education, Public Finance and Collective Bargaining

Ricardo D. Rosa
Assistant professor
Ph.D., University of Wisconsin – Madison (2011)
Specializes in Curriculum and Instruction, Language Policies, Literacy and Social Studies Education.

Ismael Ramirez-Soto
Dean, School of Education, Public Policy & Civic Engagement
Ed.D., University of Massachusetts Amherst (1984)

Clyde Barrow
Chancellor Professor - Director of the Center for Policy Analysis
Ph.D., University of California Los Angeles (1984)
Specializes in Massachusetts Public Policy, Policy Formation, Higher Education Policy, Gaming Policy, and Regional Economic Development.

Michael Goodman
Associate Professor – Chair of Public Policy Department
Ph.D., Boston University (2000)
Specializes in Economic Development, Demographic Analysis and Housing Policy, and is Co-Editor of MassBenchmarks, the journal of the Massachusetts Economy published by the UMass Donahue Institute in collaboration with the Federal Reserve Bank of Boston.

João Rosa
Associate Professor
Ph.D., University of Wisconsin – Madison (2006)
Specializes in Curriculum and Instruction, Critical Theory, Critical Literacy, Applied Linguistics and Language Policies, and Disenfranchised Communities.

Matthew Roy
Professor, Assistant Provost and Director of the Center for Civic Engagement
Ph.D., University of Rhode Island (1995)
Specializes in leadership Studies and Management, Service Learning, and Organizational Behavior

Staff of Educational Leadership

Traci Almeida
Graduate Admissions Coordinator

Elaine Andrade
Administrative Assistant, Educational Leadership Department
**Student Representative (from the Graduate Student’s Association)**

One student will be appointed by peers in their respective cohort to serve as a liaison in faculty meetings and other departmental governing structures. The student will participate in most matters pertaining to the department, but will be asked to not take part in respective conversations that pertain to student confidentiality or matters deemed sensitive by the faculty of the department.

**Program Overview**

The doctoral program in Educational Leadership and Policy Studies prepares future practitioners and scholars who will work as professors, researchers, administrators, or executives in leadership roles in a variety of institutional settings. The program, designed to be completed in four years, gives students the opportunity to earn either an Ed.D. or Ph.D.

It is a critical and transformative leadership and policy studies program, which will enable a new generation of professional practitioners and scholars to become:

- Highly trained in educational policy and management who could exercise critical transformative leadership.
- Committed to transforming students and institutions alike in pursuit of a more ethical, just and fair society and to improving educational achievement in environments that are dynamic, interactive, culturally diverse, and democratic.
- Capable of understanding global dynamics who can lead systemic transformations that promote learning and improve educational attainment in schools.
Distinctive Program Features

The program is driven by a set of beliefs, namely that human growth and development are transformative lifelong pursuits; that schools are political and cultural artifacts of local and global contexts; that diversity strengthens organizations; that while transformative leadership implies individual and team work that stimulates differences, it is also driven by moral and ethical imperatives; and that one can only have an impact globally if one is capable of making a difference locally.

The Educational Leadership and Policy Studies program is distinctive in the following ways:

- It combines different fields of study and disciplines to break with traditional epistemological boundaries to better address contemporary local and global challenges.
- It blends theory and practice, grounds itself in campus core values, recognizes as essential the creation and nurturing of community-school environments, and supports the development of innovative pedagogy and of critical transformative leadership.
- It draws on highly qualified, interdisciplinary faculty and staff resources and consolidates internal and external operating resources.
- It allows the campus to focus new academic programming on a specific niche area that may help meet pressing local and regional needs in Education.
- It creates the opportunity for stronger partnerships and collaborations within the campus, within the university system, and with other higher education and community partners in the region.

Degree and Certificate Options

Students enter the program seeking either a Doctor of Education (Ed.D.) or a Doctor of Philosophy (Ph.D.).
Admission Requirements and Application Procedures

Requirements for Consideration

- Bachelor or Master’s (preferred) with a G.P.A of 3.0 (or equivalent) from an accredited program institution in Education or a field appropriate as preparatory work for doctoral studies in education or public policy. Students are required to submit official transcripts from all post-secondary institutions attended so that a determination can be made regarding the nature of preparatory course work and the student’s successful completion of it.

- 2 years of teaching and/or administrative experience in a public or private educational institution in the United States or abroad. Preference will be given to those with 3 or more years of experience in administration.

- A personal statement describing the student’s drive, research and teaching interests, career goals, work and academic experiences.

- At least one academic or professional writing sample that has been submitted for college credit or addressed to a third party in a professional context.

- Applicants should also include any documentation that may demonstrate their potential to succeed in the program (e.g. a curriculum vitae, a student or professional portfolio, contributions to specific research or civic engagement projects in their individual capacity or as a member of a group published or submitted articles, conference presentations, etc.).

- Three letters of recommendation from people who have worked closely with the applicant in an academic or professional setting concerning the applicant’s abilities and performance relevant to his/her potential as a researcher, executive leader, or change agent in organizations delivering educational services.
Official results from Graduate Record Examination (GRE) or GMAT (Graduate Management Admission Test).

International applicants from a country whose native language is not English must provide evidence of English proficiency as indicated by acceptable scores on the TOEFL with a minimum of 600 (PBT), or 250 (CBT); of the IELTS with a minimum overall band score of 6.5 with no individual band below a 6.0.

Steps in the Admissions Process

Verification by the Graduate Admissions Office that the application is complete and that all of the required supporting materials have arrived. Active consideration of an application does not begin until all of the required information is available.

Initial Review and Routing. The Department Chair conducts an initial review of each completed application and its supporting materials, then routes the dossier to prospective advisors in the area’s of study that best fit the applicant’s statement of purpose.

Review by faculty from the applicant's intended area of study within the Department. Faculty from the applicant's intended area of study within the Department review applications routed to them and decide whether the application warrants final review by the Departmental Admissions Committee. When an area of study within the department recommends that an applicant be admitted, it also identifies a faculty member who would be willing to serve as temporary graduate advisor and whose expertise matches the applicant’s intended area of emphasis. If no faculty member is persuaded by the application to serve as graduate advisor, an applicant will be refused admission. Support by an area of study together with willingness of a faculty member to serve as graduate advisor is a necessary condition for admission. It is not, however, a sufficient condition for admission because the following steps, which are also necessary, remain.
- **Review by the Departmental Admissions Committee.** The Departmental Admissions Committee reviews each applicant for whom a graduate advisor has been identified. In some cases, the prospective advisor may be invited to meet with the Committee (if the advisor is not already a member of the committee). The committee’s review culminates in a recommendation either to admit or to deny admission. This recommendation is then presented to the full faculty of the Department.

- **Concurrence by the Graduate Admissions Office.** The culminating step in admittance to doctoral study occurs when The Graduate School concurs with a recommendation from the Department that an applicant be admitted. It is rare for The Graduate School to deny admission to an applicant recommended by the Department, but admission is not final until the Graduate School has acted.

**Possible Admissions Outcomes**

- **Admit with full standing.**

- **Admit on probation.** Students who are admitted on probation are expected to attain a 3.50 GPA on the first nine (9) credits of on-campus graduate-level courses, at which time they are automatically removed from probation.

- **Deny admission.** An applicant may be denied for a variety of reasons including but not limited to: low grades, poor writing, low test scores, low facility in English, weak background in coursework or experience in education and educational organizations, lack of space in the intended area of focus, an intended focus incompatible with either the mission of the Department or the strength of current faculty, lack of student funds (usually applies to International students), or lack of departmental funds.

- **Accepted students** will receive a letter from the Graduate Admissions Office informing him or her of admission. The letter cites the faculty member who has
agreed to serve as graduate advisor. (If the need to change to a new advisor should subsequently arise, a student should obtain a Change of Advisor Agreement form from the Department of Educational Leadership Office and return it, signed, to that office.)

**Current UMD Doctoral Students Seeking Admission**

A student who has already been admitted to Ph.D. degree study by some other department at UMass Dartmouth may seek admission to the Ph.D. degree program in the Department of Educational Leadership. To do this, the student must submit all the requirements for consideration (see above), a “change of major” form from the graduate school.

Prior admission to a doctoral program in another department on the UMass-Dartmouth campus does not automatically guarantee admission to the Department of Educational Leadership. All credentials must be processed and evaluated according to the Department’s established admissions criteria and procedures for admission.

Graduate courses already satisfactorily completed as part of a graduate program in the other department, or departments, are not automatically transferred to meet departmental requirements. Such courses must first be evaluated by faculty from the student's intended area of study in the Department of Educational Leadership and the departments Admissions Committee.

**Transfer Courses**

Transfer courses must receive prior approval from the Educational Leadership Department’s Admission Committee. Special circumstances involving licensure will be considered first by the department and may be forwarded to the School of Education, Public Policy, and Civic Engagement’s (SEPPCE) Licensure Coordinating Committee (LCC), which functions as an advisory committee on such matters.
Courses can only be transferred if: (1) taken at the graduate level, (2) carry a grade of B or better, and (3) not have been used for a prior degree. Please refer to the Graduate Catalog for complete information on “transfer” courses. Students interested in transferring graduate courses must petition the faculty in writing and provide all necessary documentation (e.g., official transcripts showing courses and syllabi for courses being considered). Registration for an Independent Study may be required in some cases involving credit transfer.

Course Load Requirements

- The Department of Educational Leadership functions on the basis of a cohort model. Students follow the same course schedule and move through the program as one group at the same pace until they reach their elective credit hours and dissertation stage. This cohesiveness allows our doctoral students to draw multidisciplinary insights on leadership from the diverse members of their cohort. The doctoral cohort model also allows students to build relationships that extend beyond the classroom to provide opportunities for encouragement, professional networking and academic research.

- The course load in the fall and spring is 7 credits, which includes classes and a colloquium. The course load in the summer is 6 credits.

- Doctoral candidates become dissertators when they have completed the core and elective course requirements for the Ph.D. degree and passed the Comprehensive examination. To register with dissertator status for the first time, a student must have fulfilled all requirements for dissertator status prior to the beginning of the academic term. Continuous registration requirement: Dissertators who have otherwise completed all required coursework and attempted all research credits must register each academic semester for "continuation" status (zero credits) until the Ph.D. is awarded. In the 2012-13 academic year, the program continuation fee is $250.00 per semester.
Ph.D. and Ed.D. Program of Studies Overview

The program is structured with a common core and two degree tracks, namely the Doctor of Education (Ed.D.) and the Doctor of Philosophy (Ph.D.). Students in this interdisciplinary program will be closely advised by faculty throughout their first two years and onward through the completion of the dissertation and defense. An individual’s professional goals will help delineate a reasoned choice about which terminal degree to pursue - either the EdD or Ph.D. track. Both tracks represent a considerable body of knowledge and each provides an academic credential with multiple career and professional opportunities. Specifics of each degree track follow below.

The doctoral program consists of 82 credits, 40 of which are a common core of courses and colloquia designed to introduce students to the fundamentals concerning educational leadership and policy as agents of change, delve into critical issues of policy and management, and develop their knowledge of research designs, tools and methodologies (Years 1 and 2). The remaining 42 credits are devoted to advanced doctoral coursework, colloquia, and dissertation seminars to support and guide the production of the final dissertation and defense (Years 3 and 4).

The Ed.D.

The EdD program is a cohort-based program designed to analyze and address issues important to practicing school leaders and to acquaint them with the scholarship that can help them to do so. It highlights job-embodied and solution-driven applications, providing students with necessary tools and information to apply in their daily professional lives as educators and leaders. Specifically, the Ed.D. program provides students with the knowledge and skills to:

1. Formulate and design solutions to complex policy and administrative problems akin to educational practice.
2. Use quantitative and qualitative data as a basis for school improvement.
3. Administer schools in a legally and ethically transparent manner.
4. Examine educational phenomena from multiple perspectives.
5. Produce theory-driven inquiry independently.
6. Become capable of disseminating their research to multiple audiences.
7. Conceptualize and write an original research project in the field with deep social and cultural commitments.

The Ph.D.

The Ph.D. program is for students who want to combine a strong base of theoretical knowledge with an individualized focus to analyze policy in and about PK-12, postsecondary and adult learning environments. It is a program focused on the analysis of educational structures and systems, and the critical analysis of educational policy. The Ph.D. program will provide students with the knowledge and skills to:
1. Understand the context within which they practice as researchers, policy analysis and decision makers.
2. Explore the philosophical foundations underlying educational inquiry.
3. Examine educational phenomena from multiple perspectives.
4. Produce theory-driven inquiry independently.
5. Present and discuss the findings of their research to multiple audiences.
6. Plan educational research and policy analysis from ethical perspectives.
7. Conceptualize and write an original research project that represents their contribution to the field of Education.

Course List

Plan of Study

Common Courses - Year 1

In Year One students start by exploring educational leadership and public policy in theoretical environments, addressing concepts, principles, and practices associated with effective leadership and sound management of individuals, groups, teams, and organizations. Students are introduced to educational leadership and management as a transformative practice as well as to relationships between education and schooling from
various social, institutional, economic, and cultural perspectives. They gain a historical and philosophical understanding of change in American education. This leads them to study with a more clinical eye how our educational system has been designed, implemented and the various ways in which it has been, is, and could be evaluated.

Two colloquia are provided in order to engage the faculty and students in conversations with invited scholars and practitioners from well-known or emerging fields. While colloquia topics change from semester to semester, responding in real time to real problems and emerging trends in education, their focus is on the intersection of politics and education and on critical issues (what is new, what is controversial) concerning leadership, teaching and learning. The colloquia are open to other faculty and practitioners in the region so that these can serve as professional or academic forums. The colloquia also engage the faculty and students in the program in an active dialogue and build community. The colloquia are a hallmark of this program.

**Course Sequence**

**Summer**

- Introduction to Educational Leadership and Public Policy
- Organizational Behavior in Educational Settings

**Fall**

- Transformative Educational Leadership
- Social, Historical and Philosophical Foundations of American Education
- Colloquium I – Politics and Education

**Spring**

- Research Methods I: Methods and Design
- Design and Evaluation of Educational Systems
- Colloquium II – Critical Issues in Teaching and Learning
Year 2

The curriculum in Year Two starts with the study of the relationship among educational policy, practice and the law. Coursework surveys the rights and obligations of students, parents, teachers and administrators as well as explore systemic issues related to the equal protection of the law, equity and adequacy. Coursework also explores ways to improve organizational effectiveness, develop analysis and research expertise, and master the demands of change. This is followed by an examination of various complex issues and problems confronting school leaders today related to public financing education and shaping the future of public education. During this year students learn about statistical analysis and will then spend another semester developing an independent policy research project and submit in writing a cogent research report under the faculty supervision. A second set of two colloquia, the first one focused on innovations in instructional design and educational technology and the second focused on issues and strategies to promote parental and civic engagement in schools, further expands students' knowledge base and socialization as scholars/practitioners. At the end of Year Two, students take a written comprehensive examination. An oral examination is also held in which students defend arguments and positions expressed in their written exams. Results from this examination, along with students’ research reports and e-portfolios, help the Graduate Program Committee determine who will be admitted to the next stage of the doctoral program and which degree track will be chosen.

Course Sequence

Summer
• Law and Education
• Human Resources and Change Management in Education

Fall

• Public Finance in Education
• Research Methods II: Statistical Analysis
• Colloquium III - Innovations in Instructional Design & Technology

Spring

• Research Methods III: Applied Research
• Integrative Seminar
• Colloquium IV – Promoting Parental and Civic Engagement in Schools

*Years 3 and 4*

In Years Three and Four, the doctoral tracks differ in content and focus. In essence, the EdD track is directed more towards educational practice and the application of theory and research, and the Ph.D. track is more research-theory policy oriented. In both cases, students enroll in at least four dissertation seminars and are assigned specialized advisors to help them conceptualize, organize, write and finish their dissertations.

*The EdD Track*

In Years Three and Four, students in the EdD program analyze how to select and use data to impact school improvement. They have the opportunity to critically reflect on ethical issues inherent to the practice of educational leadership; to examine special topics that may be of particular interest (regionalization of services, for example); to study the law of school choice as well as the minority achievement gap and its importance in contemporary educational reform initiatives. They may opt instead to examine the relationship among educational trade associations, accreditation agencies, and unions vis a vis collective bargaining and educational reforms. Students may choose to deepen their understanding around issues of diversity and identity as well as the role educational leaders may be able to play in addressing issues of class, race, gender, or of disability and equity. By doing so, students in the EdD track will be encouraged to explore, experience,
interact with and interpret authentic school-based problems (in some cases the problems emerging from within their own schools) as well as contrasting their schools with others throughout the region and state. Appropriately contextualized and integrated with the earlier research methods courses, Ed. D. students expand their research knowledge through coursework focused on performance measurement and evaluation. Two additional colloquia provide an opportunity to debate key aspects of leadership and school reform initiatives, particularly those regarding limits, opportunities and challenges of leadership practices at the school and district levels.

**Course Sequence (Year 3)**

**Summer**
- Internship or Advanced Seminar Elective
- Dissertation Seminar I

**Fall**
- Internship or Using or Analyzing Educational Assessment Data for School Improvement
- Performance Measurement
- Colloquium V - Leadership and Change at the School Level

**Spring**
- Advanced Seminar Elective
- Dissertation Seminar II
- Colloquium VI - Leadership and Change at the District Level

**Course Sequence (Year 4)**

**Summer**
- Advanced Seminar Elective
- Colloquium VII - School Improvement Plans

**Fall**
- Dissertation Seminar III
- Thesis
Spring

- Dissertation Seminar IV
- Thesis

*The Ph.D. Track:*

Students start by studying the political economy of American Urban Education as well as exploring the relationship between educational policy and the law and its impact on disenfranchised groups and subaltern communities. Students also study change and innovation in contemporary policy and reform in American Education, as well as the interplay among globalization, democracy and education. They have the opportunity to learn about critical curriculum theory and inquiry, consider the ideological foundations of national educational systems, and explore the foundations of citizenship education, work and emancipation in American Education. Following their research methods pathway, Ph.D. track students focus on program evaluation and alternative ways of thinking about research processes (e.g. Indigenous Knowledges and Research Methodologies). A set of colloquia create additional opportunities for students to debate contemporary educational policy within a global context and critically examine language planning (typically a key governmental function) in the United States, using examples and cases from elsewhere such as Canada, Australia, Eastern Europe, and Asia.

*Course Sequence (Year 3)*

Summer

- Dissertation Seminar
- Advanced Seminar Elective

Fall

- Political Economy of Urban Education
- Research Methods IV: Program Evaluation
- Colloquium V – Global Contexts in Education Policy

Spring

- Advanced Seminar Elective
- Dissertation Seminar III
- Colloquium VI - Global Challenges, Local Demands and Solutions

**Course Sequence (Year 4)**

**Summer**

- Advanced Seminar Elective
- Colloquium VII - Language Planning and Education

**Fall**

- Dissertation Seminar IV
- Thesis

**Spring**

- Dissertation Seminar V
- Thesis

**Complete List of Current Classes**

**Common Courses: Years One and Two**

Introduction to Educational Leadership and Public Policy  
Organizational Behavior in Educational Settings  
Transformative Educational Leadership  
Social, Historical and Philosophical Foundations of American Education  
Design and Evaluation of Educational Systems  
Law and Education  
Human Resources and Change Management in Education  
Public Finance in Education  
Research Methods I: Methods and Design  
Research Methods II: Statistical Analysis  
Research Methods III: Applied Research  
Colloquium I – Politics and Education  
Colloquium II – Critical Issues in Teaching and Learning  
Colloquium III – Innovations in Instructional Design & Technology  
Colloquium IV – Promoting parental and Civic Engagement in Schools  
Integrative Seminar

**EdD: Years Three and Four**

Using or Analyzing Educational Assessment Data for School Improvement  
Performance Measurement
Colloquium V – Leadership and Change at the School Level
Colloquium VI – Leadership and Change at the District Level
Colloquium VIII – School Improvement Plans
Dissertation Support Seminars I–IV
Internship
Thesis

Advanced Seminar Electives (3)

Ethics, Literature and Leadership in Education
Special Topics in Educational Leadership
Trade Associations, Unions, Collective Bargaining and Educational Reform
Diversity, Identity and Educational Leadership
Democracy and Education: Lessons from the Practice
The Law of School Choice
Educational Reform, Accountability and the Achievement Gap

Ph.D.: Years Three and Four

Political Economy of Urban Education
Research Methods IV: Program Evaluation
Colloquium V Global Contexts in Education Policy
Colloquium VI – Global Challenges, Local Demands and Solutions
Colloquium VII – Language Planning and Education
Dissertation Support Seminars I-IV
Thesis

Advanced Seminar Electives (3)

Law, and the Education of Disenfranchised Groups and Subaltern Communities
Contemporary Policy and Reform in American Education
Critical Curriculum Theory and Inquiry
Globalization, Cosmopolitanism, Democracy and Social Justice in Education
Education, Work and Emancipation
Indigenous Knowledge and Methodologies
Educational Reform, Accountability and the Achievement Gap

Independent Study

Course requirements for the doctoral degree are considered “minimum” requirements. In consultation with the dissertation chair/advisor, a doctoral student may arrange for an independent study to fulfill a course requirement, to be part of additional courses beyond
the minimal degree requirements, or to help further their skills and professional interests. Independent study should be used sparingly.

**Graduation Requirements**

Completion of 82 Credits, 40 of which are a common core of courses and colloquia designed to introduce students to the fundamentals concerning educational leadership and policy as agents of change, delve into critical issues of policy and management, and develop their knowledge of research designs, tools, and methodologies (Years 1 and 2). The remaining 42 credits are devoted to advanced doctoral seminars, colloquia, and dissertation seminars to support and guide the production of the final dissertation and defense (Years 3 and 4).

- Achieving a cumulative 3.0 GPA or higher
- Passing the written and oral Comprehensive Exam
- Successfully defending a final dissertation
- Depositing the dissertation in the UMD Library

**Conference Submission Requirement**

Students in the Department of Educational Leadership are urged to submit papers to major educational conferences, and to present formal papers (or poster sessions?) in at least two conferences.

**Membership in a Major Educational Organization Requirement**

Students in the Department of Educational Leadership are urged to seek membership in a major educational organization (example: American Educational Research Association – AERA) and at least one specific educational organization related to the area of interest (example: National Association for Bilingual Education).

**Paper Reviews Requirement**
Students in the Department of Educational Leadership are urged to seek a service-oriented appointment to review papers either for an educational organization/conference or an educational journal.

**Advisor-Advisee Structure**

Students are expected to finalize their decision about who will serve as their major-professor/advisor by the end of the first year of doctoral course work. By this point, students should have developed more clarity regarding research trajectory, goals, and working style in a Ph.D. program. Students are, therefore, in a better position to select a compatible advisor. Students must officially declare their advisor by signing an Advisor Selection Form through the Department’s office. The advisor and Department Chairperson or Graduate Program Director must agree to the selection.

**Financial Information**

The University of Massachusetts Dartmouth has several financial programs to assist graduate students with the cost of advanced studies. These programs apply to degree-seeking, matriculated students only.

In order to apply for any financial aid you need to complete the Free Application for Federal Student Aid (FAFSA), which can be found online at [http://www.fafsa.ed.gov/](http://www.fafsa.ed.gov/). Graduate students are not eligible for federal or state grant programs.

For the most up-to-date information on the financial aid process and scholarship opportunities, please visit the UMass Dartmouth Financial Aid web site at [http://www.umassd.edu/financialaid/](http://www.umassd.edu/financialaid/).

Students considering an award should fill out and submit a form. The form can be accessed on the following web site: [http://www1.umassd.edu/graduate/financial.cfm](http://www1.umassd.edu/graduate/financial.cfm) or can be found in the Department of Educational Leadership Office.
Graduate Assistantships

Graduate assistantships come in a variety of forms -- teaching, research, or administrative -- depending on the student's abilities as well as on the resources and needs of the academic departments. They are awarded with respect to the student's field of study and are competitive, given to applicants with stronger records who will best meet the department's needs. All awards are recommended by the department and college and made through the Office of the Associate Provost for Graduate Studies. Continuation of assistantships will be determined by the department and college and will be contingent upon the student maintaining an acceptable grade record and making satisfactory progress toward the degree. Performance in the assistantship and the availability of funds are also criteria for continuation.

Applicants request consideration for an assistantship on the graduate application for admission form. Because the graduate program faculty and department recommend assistantship appointments, students who want further information about eligibility and the types of assistantships should contact the academic department concerned.

Only individuals who have been offered graduate admission, and who register for full-time status, are eligible for assistantships. In some cases, funding may be late to develop; in other cases, one may have been placed on a waiting list for an assistantship. If you find yourself in this situation, we recommend that you apply for need-based or non-need-based loans or work-study in a timely fashion, before waiting to learn for sure about the assistantship award.

The stipends offered vary widely depending on qualifications and the student's academic program. Academic year assistantship stipends at the master's level in 2009-2010 ranged from $6,000 to $25,000 (full-time rate, academic year). Some students, especially doctoral students, may also receive summer support earning an additional stipend. UMass Dartmouth's graduate assistantships that extend from half-time to full-time are accompanied by a full waiver of tuition, and a full, partial or no reduction of the
Curriculum Support Fee dependent upon the terms of the appointment. Graduate assistants pay the same fees that others pay.

A full-time graduate assistant is required to work 20 hours per week for the assistantship; part-time assistantships require a minimum of 10 hours of work per week.

**Selection of Graduate Assistants**

The quantity of assistantships may fluctuate each year and is dependent on available funding. Inquiries about available assistantships should be made to the Department Chair. Selection criteria used for awarding graduate assistantships include research interests and/or teaching qualifications, and maintaining a 3.0 cumulative GPA. An interview may be required before awarding an assistantship.

For assistantship renewal a current graduate assistant must be in good standing with the University. A student on academic probation is not in good standing, and will be subject to loss of his or her assistantship. For assistantship renewal, a current graduate assistant must be making satisfactory progress toward an advanced degree.

**Fellowships**

**Distinguished Doctoral Fellows** annually receive a $24,000 stipend plus full tuition and Curriculum Support Fee waivers. Their support is guaranteed for 4 years post-bachelor’s or three years post-master’s degree (subject to enrolling full-time, maintaining a 3.5 GPA, and making satisfactory progress). These awards will be issued only to outstanding applicants.

**First Year Doctoral Fellows** receive one year of support that includes a stipend of $16,000 plus a full tuition and Curriculum Support Fee waiver. Like the Distinguished Doctoral Fellowships, these will be awarded only to strong applicants who enroll full-
time, maintain a 3.5 cumulative GPA, and make satisfactory degree progress. The goal is for the fellows to have one year to focus on course work while they seek out a research advisor who can support their remaining studies.

**External Fellowships and Support:** Graduate students at the University of Massachusetts Dartmouth who are enrolled in degree programs and are directly supported by a national funding agency (such as the Fulbright Scholar Program or the National Science Foundation) or research funds from another academic institution are usually eligible for a tuition waiver and an adjustment of the curriculum support fee to the in-state level; however, adjustments vary dependent upon the award and students who have secured external support are encouraged to contact the Associate Provost for Graduate Studies to confirm the waiver benefits they would receive if admitted. The Associate Provost for Graduate Studies will make final determination of eligibility for a waiver and the amount of the waiver.

**Students in the Department of Educational Leadership** will qualify for fellowships only during the third year of study and beyond. Students must apply for departmental fellowships and submit a letter of recommendation from their respective faculty advisor. The awards committee comprised of faculty in the Educational Leadership Department will make final determination.

**Student Loans**

The majority of financial aid for graduate students is in the form of loans. The William D. Ford Federal Direct Loan programs provide loan funds to eligible students. Students who demonstrate financial need are considered for the subsidized direct loan. Students who do not qualify for the need-based loan will be considered for the unsubsidized direct loan. Very needy graduate students are also considered for the University Scholarship, comprising a waiver of the curriculum fee. Federal Work Study funds are limited and only on-time applicants are considered. Application for all aid programs is by completing the Free Application for Federal Student Aid (FAFSA). Graduate students are not eligible for federal or state grant programs.
Early application is strongly encouraged. The priority filing date is for FAFSA materials to be received at the Federal processor by March 1st of each year with UMass Dartmouth included in the list of schools. The UMass Dartmouth Title IV school code is 002210.

Students must be admitted to a degree program before eligibility can be determined for financial aid. However, in spring those who are still prospective graduate students are encouraged to submit the FAFSA even before the admissions decision is received. We recommend mailing your FAFSA by February 15th to ensure priority consideration. Students will need to reapply for financial aid each year.

In order to maintain eligibility for financial aid, students must be enrolled at least half time, be in good academic standing with the university, and be making satisfactory progress toward their degree (the specific standard is stated in the chapter on Academic Regulations).

Students who wish to apply to receive aid while on Program Continuation status must complete the appropriate forms, which can be obtained at the University Student Enrollment Center or at Financial Aid Services.

**Need-Based Financial Aid**

Students requesting need-based financial assistance must complete and mail the Free Application for Federal Student Aid (FAFSA). This form is available in local libraries and high schools, also the Financial Aid Services Office, Foster Administration Building (phone 508-999-8632), where the members of the staff are happy to answer questions and offer other forms of help. Some applicants for aid are selected for verification; those selected will be required to submit documentation in support of their application and/or aid award. Please note that outside resources including tuition and fee exemptions can affect other aid, including loans.

Early application for financial aid is encouraged. The FAFSA should be mailed by February 15 for the fall semester and September 15 for spring semester entry. The Financial Aid Office will process applications throughout the school year for any
available funds; however, qualified students who mail the FAFSA by the recommended dates will receive priority consideration. Students need to reapply for financial aid each year.

To qualify for assistance, a graduate student must be enrolled at least half-time in a degree program. Awards are calculated according to the student's course load, whether half-time or full-time, by criteria established in the graduate academic regulations. Students receiving financial assistance will need to notify Financial Aid Services of any changes in their registration or enrollment status, and are advised to consult the Financial Aid Services promptly about any anticipated changes that might affect their aid eligibility. Only students who have received formal, degree-seeking admission to the university are eligible to receive university financial aid.

Students who withdraw from the university before 60% of the semester is completed will have their Federal financial aid eligibility recalculated in direct proportion to the length of the enrollment. The percentage of time the student remained enrolled is that student’s percentage of dispersible aid for the semester. A student who remains enrolled beyond the 60% point earns all aid for the period. Withdrawal is recorded by the Office of the University Registrar in accordance with UMass Dartmouth withdrawal policies. More complete information is available from the Financial Aid office or web site.

To qualify for federally funded programs (Federal Work-Study, Perkins Loan, Subsidized and Unsubsidized Direct Loan), students must be citizens, or permanent residents, of the United States; have a valid social security number; be registered with selective service if required, and sign a statement of educational purpose. Please note that financial aid funds are not disbursed to one's account until after the drop/add period. If you are expecting a refund, you will not receive a check until late September for the fall semester and late February for the spring semester. Please plan accordingly.

Reasonable Academic Progress for Financial Aid Eligibility In order to maintain eligibility for financial aid, students must be in good academic standing with the University and be making satisfactory academic progress; students should consult the
graduate academic regulations of the institution. The following minimum schedule of academic credits must be completed for a graduate student to maintain eligibility for university financial aid:

<table>
<thead>
<tr>
<th>Academic years completed</th>
<th>Number credits successfully completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>9</td>
</tr>
<tr>
<td>2</td>
<td>18</td>
</tr>
<tr>
<td>3</td>
<td>27</td>
</tr>
<tr>
<td>4</td>
<td>36</td>
</tr>
</tbody>
</table>

Satisfactory financial aid progress standards may be waived for students who can demonstrate mitigating circumstances, such as extraordinary physical, psychological, or medical problems. Each case will be reviewed, as appropriate, by the Director of Financial Aid.

**Loan Options**

**Federal Perkins Loan**

The Perkins Loan is available to qualified students in any class at the University of Massachusetts Dartmouth. Graduate students who clearly need financial aid for meeting educational expenses may be eligible for loans under the Perkins Loan program.

An eligible graduate student may borrow to a maximum of $5,000 per academic year or $30,000 in total, including any previous Perkins Loans. Payment of principal and interest on these loans is deferred until after withdrawal or graduation from the university. The loan carries a low fixed interest rate of 5%.

**Direct Stafford Loan**

These student loans are government insured loans. Changes in federal law as of 01 July 2012 make graduate students ineligible for subsidized Stafford loans. Subsidized loans are issued based on need, with no interest charged while the student is enrolled. Repayment starts after
graduation or when a student drops below half time at the university. Unsubsidized loans carry interest from the time of disbursement.

Generally, an eligible graduate student may borrow a maximum of $8,500 per academic year in subsidized Stafford loans, up to $65,500 in total including graduate and undergraduate subsidized loans. Amounts can be increased by the addition of unsubsidized loans. There are limits to the total debt you may have outstanding from all Stafford loans, undergraduate and graduate.

To be considered for Direct and FFEL Stafford Loans, students need to file the FAFSA.

**Student Employment**

On-campus part-time work opportunities are available in the various departments, offices, and agencies of the university. Some forms of employment are awarded based on demonstrated need, but others are available to any qualified student. In addition, the university can assist students in locating part-time work off campus. Although some work assignments are funded through moneys provided by financial assistance, the student work program is administered through the Student Employment Office (phone 508-999-8647).

**Need-based student employment** is available through the university's participation in the Federal Work-Study program administered by the U. S. Department of Education. To be eligible for the Work-Study program, a student must be accepted for admission or be in good standing if currently enrolled. A student must have demonstrated need by submitting the FAFSA application, through the Office of Financial Aid. Approved students are guaranteed a certain level of work-study support but must still have the required personal qualifications and skills for the specific work-study assignment to be undertaken. The Student Employment Office handles the process of application and appointment to work-study jobs.

**Non-need-based employment** opportunities are provided through a variety of departmental part-time positions. These are positions offered by the academic or non-
academic departments of the University to students who desire to work and meet the qualifications for the position but do not meet federal work-study financial need requirements. Information about departmental positions is available in the various departments and through the Student Employment Office, which handles the details of application and appointment.

**Part-time employment** may also be available in private businesses or homes, corporations, and industries in the area. The Student Employment Office maintains a listing and referral service for such positions.

**Other Sources of Support**

Special fellowships and scholarships of various sorts may be available through individual departments or through external sources. Departments have scholarship funds that graduate students may receive. Some fellowships and scholarships are available from governmental or private institutions and organizations, often for special purposes such as supporting research or enabling graduate students to study abroad.

Interested applicants and students should first explore opportunities that might be available in their academic department through faculty and administrators involved in research or service activities that might have opportunities for compensated graduate student participation. Then, it is advisable to spend time in the reference room of the university library, where standard information references can be found about external scholarship and fellowship sources. Finally, for certain types of programs, such as federally-funded programs, the University's Office of Research Administration can help provide information and assistance with practical details in the application process (Foster Administration Building, Room 001; phone 508-999-8953).

**Graduate Student Travel**

The University of Massachusetts Dartmouth is committed to assisting graduate students in their endeavors to share their research results with the broader academic community. The presentation of their research, scholarship and creative activity at regional, national,
and international professional meetings is important. In addition, it is essential that the University be represented at important professional meetings.

In order to enable as many graduate students as possible to present their work at a professional meeting, the maximum amount for meetings is $500 per fiscal year. There will be no limitations to the amount of meetings a student attends, or if the meeting is international or domestic so long as the total amount awarded during the fiscal year (July 1 – June 30) does not exceed $500.

The Travel Grant Application must first be submitted to the Graduate Program Director for her/his review and verification. After the signature of the Graduate Program Director, the application needs to be forwarded to the Department Chair and to the Dean of the School of Education, Public Policy and Civic Engagement for their endorsement before it is sent to the Office of the Associate Provost for Graduate Studies for final review and budget approval. To provide for adequate time for proper review and budget planning, applications should be submitted to the Graduate Program Director as early as possible and at least 60 days prior to the proposed travel. The applicants will be notified in a timely manner of the decision of funding. In order to track expenditures, it will be necessary to forward original travel receipts to the Office of Graduate Studies for reimbursement authorization.

The Travel Grant Application may be accessed at the following address: 
http://www1.umassd.edu/graduate/administration.cfm.

**Leave of Absence**

A student may request of the Department Chair a leave of absence for a period no longer than one calendar year, subject to specific limitations for that graduate program. The approval of the Department Chair should be forwarded to the Graduate Office through the College Dean. A second year of leave may be granted in exceptional circumstances. Students on leaves of absence who exceed their stipulated time on leave will be
considered to have withdrawn and so will be subject to the re-admission procedures. Likewise, students who discontinue studies without an approved leave of absence will be subject to applying again for admission.

Students seeking a Leave of Absence must submit a Leave of Absence form, which may be found at: [http://www1.umassd.edu/graduate/administration.cfm](http://www1.umassd.edu/graduate/administration.cfm).

**Assessment of Student Progress**

The program faculty, to ensure adequate progress is being made toward degree completion, evaluates students annually. In addition to academic reasons, students may be dismissed from the program for lack of progress, particularly at the stage of dissertation writing.

**Examinations**

**The Ph.D. / EdD Comprehensive Examination**

The Comprehensive Examination for the Ph.D. provides evidence that the student has reached a highly advanced level of scholarship and conceptual development in an area of specialization and related areas indicative of sufficient background and readiness for original research. The examination is tailored to the individual preparation and experience of the student. The examination provides the student a vehicle for synthesizing and interpreting what has been learned and for preparing for the research work to come.

Successful completion of a Ph.D. Comprehensive examination is required for all doctoral degrees in the Department of Educational Leadership and indicates that, in the judgment of the faculty and/or doctoral committee, the doctoral student can think analytically and creatively, has a comprehensive knowledge of the field, knows how to use academic resources, and is deemed capable of completing the dissertation.
The Comprehensive Examination is structured into the Integrative Seminar. The major advisor and members of the Comprehensive Examination committee, who may consult with the student, determine the content of and options for the Comprehensive Examination. The content and options may vary from area to area, so students are encouraged to discuss Comprehensive Examination options with the major advisor early in their program.

The Comprehensive Examination is designed to be a demonstration of scholarly competence in one or more areas represented by the Department of Educational Leadership. Three questions are posed in the examination. Typically the questions center on 1.) methodology, 2.) the student’s area of focus and 3.) the committee’s choice. All scholarly references must be provided. It is expected that students will have a strong grasp of the references utilized.

The examination is prepared and graded by the student's Comprehensive Examination Committee, which is chaired by the student's advisor. The Comprehensive Examination Committee is composed of at least three professors; two must be from the Department of Educational Leadership (including the advisor, who serves as chair). It is customary for students to discuss with committee members the area(s) to be covered in the examination, but the questions to be answered shall not be known to the student prior to the formal beginning of the examination.

The examination may take one of two forms: (1) a "sit-down" examination over a period of eight hours a day for two days or (2) a "take-home" examination over a period of time to be determined by the committee (ordinarily, two weeks). An oral component is also required. The Comprehensive Examination is prepared by the student's Comprehensive Examination Committee, which is chaired by the student’s graduate advisor and is composed of at least three professors, a majority of whom must be from the Department of Educational Leadership. If the student has passed the examination, the Graduate Program Chair signs the Comprehensive Exam warrant and forwards it to the Graduate
If a student wants more information about the appraisal of his or her exam, it is usually best if the chair of the Comprehensive Examination Committee explains the ratings and interprets the notes made by committee members. If the chair of the Comprehensive Examination Committee is unable or unwilling to provide such explanation and interpretation, the Graduate Program Coordinator will provide the student with a photocopy of the committee’s rating sheets.

A student who fails all or part of the examination may, at the discretion of the original Comprehensive Examination Committee, be given a second opportunity. Whether a re-test is to be allowed and the conditions under which it will be allowed are determined by that committee and reported in writing to the student and the Graduate Program Office. A student may have no more than two opportunities to pass the Comprehensive Examination.

A student who has not passed the Comprehensive Examination within five years after formal admission to the Ph.D. program must apply anew to the Graduate Program Committee for readmission to the Ph.D. program.

When and How to Take the Comprehensive Exam

Scheduling the Comprehensive Examination

The Comprehensive examination may be scheduled at any time that is mutually agreed upon by the student, the Advisor, and the Comprehensive Examination Committee, so long as the Application for Comprehensive Examination Form is submitted to the Graduate Program Office at least three weeks prior to the issuance of the exam to the student. However, for the student to receive the financial advantage of registering with
dissertator status during the following semester or summer session, the Comprehensive Examination Committee must have made its report to the Graduate Program Office by the add/drop deadline for that semester or summer session. Because members of the Comprehensive Examination Committee may not be able to meet this deadline during breaks between academic terms, students who agree to schedule their Comprehensive Examination near the end of a term or between terms expose themselves to the risk that they will not receive dissertator status during the upcoming term.

To be eligible for the Comprehensive Examination, the student must have:

1. Filed an Application for Comprehensive Examination with the Graduate Program Office a minimum of three weeks prior to the examination date that has been agreed upon by the committee and the student.

2. Satisfied all course work requirements.

3. Removed all incomplete grades.

4. Obtained a warrant from the Graduate School to take the examination. This warrant is requested by the Department of Educational Leadership after the completed Application for the Comprehensive Examination has been received and the aforementioned requirements have been met.

**Dissertation**

**Selection of a dissertation committee**

The Ph.D. dissertation committee includes the dissertation advisor and no fewer than two additional committee members. The dissertation committee may include faculty members from another institution of higher education or qualified non-university professionals, with approval of the department and relevant dean. The majority of committee members and the dissertation advisor will be permanent members of the UMass Dartmouth faculty.
By consenting to serve on the committee, the members agree to guide the candidate’s dissertation research and writing. The student consults with the committee and apprises them of the research progress at regular intervals.

**Admission to Candidacy for the Ph.D. Degree (Dissertator Status)**

The completed warrant constitutes a formal application for admission to candidacy for the Ph.D. degree. An applicant will be admitted to candidacy when s/he has: (1) passed the Comprehensive Examination in his/her major field and (2) presented the title or special field of the proposed dissertation, approved by the advisor. The applicant is admitted to candidacy when his/her application (warrant) has been filed with the Dean of the Graduate School.

**Residency Requirement and Time Limit**

The Department of Educational Leadership functions in a cohort model and would therefore meet the requirements set forth below given the course programming. The stipulations below have been encoded into the graduate school’s Ph.D. requirements to clarify the regulations governing extenuating circumstances.

1. Residency requirement. All Ph.D. students must complete two consecutive semesters as full-time students. Full-time student status is usually defined as taking a minimum of 9 credits of course work or dissertation per semester. Students with research or teaching assignments in two consecutive semesters automatically qualify, independent of course load.

2. Satisfactory Academic Progress. As must all graduate students at UMass Dartmouth, doctoral students must maintain satisfactory academic standing. Doctoral students must also complete program requirements at the appropriate point - such as filing the program of study, taking the qualifying examination, filing a research proposal, scheduling the comprehensive examination, scheduling the dissertation defense, or producing final copies of the dissertation.

3. Credit longevity. Doctoral students must complete all requirements for the degree within **seven years of being accepted to the program.** In extenuating
circumstances, a student may appeal to the relevant dean for relaxation of this requirement.

4. A student must be currently enrolled in the university in order to defend the dissertation and to present it for acceptance in final form. Graduate students who continue to work on a dissertation after completing their formal course requirements must remain in “continuation” enrollment status for every semester in which they work on it, until it is completed, including the semester in which final approvals are given for library submission and graduation. These students register for Program Continuation at the registrar’s office and pay in lieu of tuition and regular fees a fee for each semester that they are in that status. Those who must interrupt progress toward their degrees should seek formal leave of absence. If a student neither requests a leave of absence nor registers for “continuation,” it is presumed that the student has abandoned pursuit of the degree; such a student must apply for re-admission to resume work for the degree.

**Dissertation Requirement**

The doctoral dissertation constitutes a substantial part of the work toward a Ph.D. degree, and it is a culmination of all other activities. It is the result of the student's creative efforts under the guidance of a Dissertation Committee (consisting of members of the Dissertation Proposal Committee and two additional readers) with potential additional advice from other faculty consultants. The purpose of the Dissertation Committee is to enable the student to make effective use of departmental and University resources in the planning and conduct of his/her research. It is a committee of three or more members with the Advisor serving as chair, and it must have a majority of UMass-Dartmouth faculty members. The Educational Leadership Department Chair, on recommendation from the student and the Advisor, appoints it.

**Dissertation Proposal**

A detailed dissertation proposal must be approved and filed with the Graduate Program Office at least one semester prior to the final oral examination and
no later than two years after completing the Comprehensive examination. A completed and approved dissertation proposal is a requisite for embarking upon data collection for the dissertation. Approvals are required from both the Dissertation Committee and (if relevant) the Institutional Review Board for the Protection of Human Subjects. Early in the process of contemplating a dissertation proposal, doctoral students should familiarize themselves with Education IRB Policies and Guidance and Step-by-Step Instructions for Obtaining IRB Approval for Human Subjects Research. Please consult <http://www.umassd.edu/research/grants/>. You will also find a copy of IRB forms in the appendices.

**Human Subjects Research**

**Role of the Institutional Review Board for the Protection of Human Subjects (IRB)**

The IRB is responsible for protecting the rights and welfare of human subjects in research conducted by all members of the campus community. Research is defined as an activity that is a systematic investigation designed to develop or contribute to general knowledge. The IRB ensures the safe and ethical treatment of all human subjects and is guided by the ethical principles regarding all research involving humans as subjects set forth in the Belmont Report and by federal requirements. Federal requirements for the protection of human subjects can be found in the Code of Federal Regulations in Title 45, Part 46; the Belmont Report has been captured in the code. The University of Massachusetts Dartmouth will meet the requirements set forth in Title 45, Part 46 of the Code of Federal Regulation (45 CFR 46) for all research without regard to source of funding, including internally funded research and research conducted by students. The IRB must review and approve all work to be done with human subjects prior to the work commencing. Work completed without approval cannot be published. Ongoing work must be reviewed by the IRB on at least an annual basis. Any changes in protocol including renewals must also be approved by the IRB prior to implementation. The regulations also deal with specific sensitive populations and acceptable exemptions. Exemptions must also be approved by the IRB. The Office of Research Administration should be contacted at any time an
investigator is not sure the research involves human subjects as defined by the code, or is considering a change in protocol.

For more information contact the Office of Research Administration:

http://www.umassd.edu/research/grants/.

Dissertation Defense-Final Examination and Procedures

Students must present a satisfactory oral defense of the dissertation.

The oral defense is chaired by the dissertation advisor and is open to the university community. Students who do not successfully defend a dissertation are allowed one additional defense.

A Requirements for Theses and Dissertations manual prepared by the Graduate Studies Office gives full instructions on the process and requirements for a dissertation. It is posted on the graduate web page <http://www1.umassd.edu/graduate/>, After the dissertation committee gives approval to begin the final preparation stage, the candidate will prepare one signatory page that shows the signatures of at least the following: the thesis committee members, the department chairperson, the Dean of the School/College, and the Associate Provost for Graduate Studies.

Two copies of the final, approved dissertation will be deposited in the UMass Dartmouth library collection, bound for the permanent collection at the student’s expense.

The dissertation will receive grades of IP (in progress) until its completion and final approval by the major department. If never completed, IP remains the grade of record. Upon approval, a permanent grade will be given (according to the approved grading system for that program) and the title of the dissertation clearly stated on the student’s transcript. If desired by the major department and approved by the dean of the School/College, the thesis may be designated as “distinguished” and so noted on the
student’s transcript. The posting of graduation and awarding of the degree occur after completion and approval of the dissertation.

Students are expected to submit dissertations for microfilming by University Microfilms International and for abstracting in Dissertation Abstracts International. Students will complete agreement forms for microfilming as one step in the final dissertation approval process in the Office of Graduate Studies.

**Standards, Problems, and Appeals**

Should students not be able to register for a class you need, he/she may contact the program area secretary. They have the capability to bypass the system and register students for courses. Professors do not have this ability, but will need to grant approval. Should a class be listed as full, students may still be able to take it. It requires speaking to the professor prior to classes starting and having them sign an add slip.

**Grade Point Average and Grades**

The academic records of all students are reviewed at the end of each semester, including the summer term by the Department’s faculty. Students must maintain a cumulative grade point average (GPA) of at least 3.0 on all graduate courses taken for a letter grade of A-F. Grades that have no numerical equivalent are excluded from this computation.

Grades are determined and assigned by instructors according to the definitions indicated below. Each student’s academic achievement and the eventual fulfillment of degree requirements are reflected in the transcripts, which are updated at the end of each semester.

UMass Dartmouth’s grading system include plus and minus grades, which are used in computing grade point averages.
The grading system—as applicable for graduate study—includes the following letter grades and quality points:

**A Excellent**

<table>
<thead>
<tr>
<th>Quality Points:</th>
</tr>
</thead>
<tbody>
<tr>
<td>A+ 4.000</td>
</tr>
<tr>
<td>A 4.000</td>
</tr>
<tr>
<td>A- 3.700</td>
</tr>
</tbody>
</table>

**B Good**

<table>
<thead>
<tr>
<th>Quality Points:</th>
</tr>
</thead>
<tbody>
<tr>
<td>B+ 3.300</td>
</tr>
<tr>
<td>B 3.000</td>
</tr>
<tr>
<td>B- 2.700</td>
</tr>
</tbody>
</table>

**C Satisfactory**

<table>
<thead>
<tr>
<th>Quality Points:</th>
</tr>
</thead>
<tbody>
<tr>
<td>C+ 2.300</td>
</tr>
<tr>
<td>C 2.00</td>
</tr>
</tbody>
</table>

*C (not C-)* is the lowest grade acceptable for graduate credit.

**C-, D, F Unsatisfactory/Failure**

<table>
<thead>
<tr>
<th>Quality Points:</th>
</tr>
</thead>
<tbody>
<tr>
<td>C- 1.700</td>
</tr>
<tr>
<td>D+ 1.300</td>
</tr>
<tr>
<td>D 1.000</td>
</tr>
<tr>
<td>D- 0.700</td>
</tr>
<tr>
<td>F 0</td>
</tr>
</tbody>
</table>

No credit awarded toward degree, but reflected in G.P.A.

**F(I)**

Quality Points: 0
An F assigned for failure to complete a course within a year after the assignment of an “I” notation.

**W**
Official withdrawal by the student from a course after the Add/Drop period, and up to the completion of tenth week of the semester. No credit awarded. W grades do not affect a student’s GPA.

I

Work Incomplete. May be given only in exceptional circumstances at the instructor’s discretion and at the student’s request made no more than 48 hours after the final examination or last class. The student must be passing at the time of the request or must be sufficiently close to passing for the instructor to believe that upon completion of the work the student will pass the course. If the work is not completed within a year of recording of the “I,” the grade will become an F(I). “I” grades cannot be changed to W.

P/F or CR/NC

Passing/Failing or Credit Received/No Credit. Grades applied in a graduate course such as thesis, project, or dissertation that does not assign letter grades of A-F, and that is so identified in the course description. Indicates satisfactory completion of course requirements.

IP

In Progress. Notation used in certain courses to indicate that academic progress covers more than one term; e.g., that a grade will be assigned on the completion of the task involved. This grade is used when students continue their work on a graduate thesis, project, or dissertation beyond one semester. The “IP” notation is replaced upon receipt of the official grade. Until or unless replaced by an official grade, the notation “IP” will remain on the transcript.

NR

Grade not reported by instructor at time of grade processing—a temporary mark only.

AU

Audit. Registration and permission of Instructor are needed for auditing, submitted to the Registrar’s Office no later than the end of the add-drop period. This notation is used when no examinations, evaluation, or credit are involved.
Change of Grade

Whether for a one- or two-semester course, the grade received at the end of each semester stands as the final grade for the semester. For certain special coursework (e.g., thesis, research, dissertation) in which it is extremely difficult to assess academic progress on the basis of one term, the notation “IP” (In Progress) is used. The “IP” notation is replaced upon receipt of the official grade, or remains as the final grade.

Grade change/correction requests must occur within one year from the date that the grade was placed on the student’s record. In extreme and exceptional cases, on request of the student, the instructor and the appropriate college dean may authorize changes in grades, which are over one year.

Grade Appeal

Grade appeals are pursued through a formal process, which is conveyed in the university’s Grade Appeal Policy. It is available on the Web and in the offices of the college deans, at the Academic Advising Center, and at the Office of the Provost/Academic Affairs. The following paragraphs summarize the grade appeal process.

Students and faculty should make every effort to resolve questions about grades without seeking a formal grade appeal. Grade Appeal is a last resort. A grade appeal will be pursued only if there is a valid basis and evidence.

What Can Be Appealed

A. Only final course grades may be appealed.
B. Grades may be appealed that are alleged to be caused by:
1. Unfair and unequal application of grading standards or applying grading criteria to one student or some students in a manner that treats them differently.
2. Unfair or unannounced alteration of assignments, grading criteria, or computational processes.
3. Computation dispute about calculation of a final grade or its transmission to the Registrar.
4. Failure to document a finding of plagiarism that results in a punitive final grade. Definitions of appropriate kinds of documentation are provided by the Academic Ethics Committee in their Plagiarism Policy report approved in April 2004.

Grade Appeal Officer

A faculty member is identified as the Grade Appeal Officer, who serves students and faculty as an ombudsperson for grading issues. S/he provides students and faculty with someone to “go to” with questions relating to grading fairness and process; provides the first level of adjudication when issues related to grading arise between students and faculty by conducting an informal investigation of the issue and suggesting a non-binding solution where possible; and serves as facilitator for a formal grade appeal process when one is to occur.

At the beginning of a course, students have a right to be told what and how much work will be required and the detailed basis of grading in the course. Any modifications must be communicated clearly and in a timely manner.

Rights Concerning Grading Practices

Both during a course and at its end, students have a right to know how their work was evaluated and the bases for the calculating of scores and grades. If an instructor is no
longer available, the department chairperson is responsible to facilitate this communication. In matters of grading, the chairperson can act for a faculty member who is no longer working at UMass Dartmouth.

Faculty has a right to judge their students’ academic work. Others’ judgments will not be substituted.

**Timing of a Formal Appeal**

A formal appeal is submitted in writing to the Grade Appeal Officer explaining the basis and providing the evidence for the formal appeal, with copies to the faculty member and to the faculty member’s department chair. This must be done within the first 20 class days of the following semester, excluding summers, or within 25 working days from the date that the grade is made available to the student by the Registrar’s office, whichever is later, or by a specific later date set by the Grade Appeal Officer.

**Academic Ethical Standards**

All UMass Dartmouth students are expected to maintain high standards of academic integrity and scholarly practice. The University does not tolerate academic dishonesty of any variety, whether as a result of a failure to understand proper academic and scholarly procedure or as an act of intentional dishonesty.

A student found guilty of academic dishonesty is subject to severe disciplinary action, which may include expulsion from the University. Refer to the Student Handbook and Student Judicial Code for due process. A high standard of academic integrity promotes the pursuit of truth and learning and respect for the intellectual accomplishments of others. These are values that are fundamental to the mission of this University. Such values are undermined by academic dishonesty.

Academic dishonesty is defined as attempting to obtain academic credit for work that is not one’s own. Examples include: (1) copying another student’s answers on an examination; (2) obtaining, or attempting to obtain, the answers to an examination in
advance; (3) submitting a paper that was written by someone else; (4) submitting a paper that includes phrases, sentences and paragraphs that were copied verbatim, or almost verbatim, from a work written by someone else, without making this clear without indicating that these words were someone else’s through the use of quotation marks or other appropriate citation conventions; (5) collaborating on a homework assignment when this has been expressly forbidden by the professor; (6) using unauthorized materials in completing assignments or examinations; (7) submitting the same paper for more than one class without the express permission of the instructors involved. This list of examples should not be considered exhaustive.

This definition of academic dishonesty applies to information submitted in other forms besides paper. Submitting a project of a musical or artistic nature where all or part of the project is someone else’s work, without acknowledging this fact, constitutes academic dishonesty. Submitting computer files that do not represent one’s own work is also considered to be academic dishonesty; examples of computer-based academic dishonesty would include submitting a computer program or text file created by someone else as one’s own, or submitting the output of a computer program written by someone else, and claiming to have written the program that generated the output.

For all forms of academic dishonesty, students who knowingly allow other students to use their work are themselves considered to be academically dishonest. Examples would include students who knowingly allow other students to copy their exam answers, and students who give papers that they have written to other students so that the other students can submit them for credit.

A faculty member is appointed by the Faculty Senate to act as an Academic Ethical Matters Facilitator. This individual will offer advice to both students and faculty about the issues involved in penalizing academic dishonesty, and the process of appealing such penalties.

Penalties assessed by faculty members for academic dishonesty generally consist of a reprimand, a requirement to resubmit the work in a more acceptable form, a lowering of a
grade, failure in the course in which the alleged infraction took place, or a combination of these.

Instead of (or in addition to) assessing such penalties, a faculty member may refer the matter to the UMass Dartmouth Student Judiciary. Decisions made by the Student Judiciary may be appealed to the University Appellate Board.

**Academic Probation**

Upon completion of 9 hours of graduate course work, a graduate student will be placed on academic probation when his/her cumulative GPA falls below 3.0. A student will be allowed to continue graduate study in subsequent semesters if each semester’s grade point average is 3.0 or greater. Upon achieving a cumulative GPA of 3.0, the student will be removed from probationary status.

**Dismissal**

If a student is on academic probation, the Dean of the Graduate School will terminate the degree or non-degree status if the student’s semester GPA falls below 3.0 in a subsequent semester. When the particular circumstances are deemed to justify continuation, and upon recommendation of the Department and approval of the Dean of the Graduate School, a student on probation whose semester GPA is below 3.0 may be allowed to continue on a semester-by-semester basis.

Dismissal of a graduate student by a department or program is accomplished by consultation with the Graduate School and a written notice to the student from the department, with a copy to the Graduate School.

**Academic Honesty**
Academic integrity is a responsibility of all members of the academic community.

**Plagiarism**

Students shall not plagiarize. Plagiarism is using the intellectual property or product of someone else without giving proper credit. The undocumented use of someone else’s words or ideas in any medium of communication (unless such information is recognized as common knowledge) is a serious offense subject to disciplinary action that may include failure in a course and/or dismissal from the university. Some examples of plagiarism are:

- Using without proper documentation (quotation marks and a citation) written or spoken words, phrases, or sentences from any source.

- Summarizing without proper documentation (usually a citation) ideas from another source (unless such information is recognized as common knowledge).

- Borrowing facts, statistics, graphs, pictorial representations, or phrases without acknowledging the source (unless such information is recognized as common knowledge).

- Submitting work, either in whole or in part, created by a professional service and used without attribution (e.g., paper, speech, bibliography, or photograph).

Students involved in collaborative research to avoid questions of plagiarism should exercise extreme caution. If in doubt, students should check with the major professor and the Dean of the Graduate School about the project. Plagiarism will be investigated when suspected and subject to discipline if established.

**Appeals Process**
Normally, grievances should be handled first at the department level through the student’s academic advisor and the Department Chair. Further appeal may be made to the dean of SEPPCE and the Graduate Council through the Graduate School.

Appeals may involve the interpretation of and adherence to university, college, and department policies and procedures as they apply to graduate education and the issuance of grades based on specific allowable reasons stipulated in the Graduate Council Appeal Procedure.
Appendixes

A. Application for IRB Research Proposal Review

UNIVERSITY OF MASSACHUSETTS DARTMOUTH

Institutional Review Board

APPLICATION FOR REVIEW

Topics to Address in the Research Proposal

Use this template to provide a description of your research proposal. All applications for review should contain the following information, presented in paragraphs prefaced by the number of the item and the underlined descriptive phrase. When not applicable, DO list the heading and then indicate N/A. This form and the UMD IRB application should be completed and submitted to Andrew Karberg, Office of Institutional Compliance – ATMC 217F.

Please note that if this study is part of an NIH funded grant proposal, you will need to attach ONE copy of the complete grant proposal, in addition to the information requested below.

I. Title
II. Investigators (co-investigators)
III. Hypothesis, Research Questions, or Goals of the Project

IV. Background and Significance:
   Describe relevant background literature to support the rationale for doing this study. This rationale should provide sufficient information to justify the study. It should be limited to no more than two to three pages. Cite appropriate references.

V. Research Method, Design, and Proposed Statistical Analysis:
   Provide a brief overview of your research methodology and design and your proposed analysis of the research data.

VI. Human Subject Interactions
   A. Identify the sources of potential participants, derived materials, or data. Describe the characteristics of the subject population such as their
anticipated number, age, sex, ethnic background, and state of health. Please describe whether some or all of the participants are likely to be vulnerable to coercion or undue influence, and if so, what additional safeguards are included to protect their rights and welfare. Identify the criteria for inclusion and/or exclusion. Explain the rationale for the use of special classes of participants whose ability to give voluntary informed consent may be in question. Such participants include students in one’s class, people currently undergoing treatment for an illness or problem that is the topic of the research study, people who are mentally retarded, people with a mental illness, people who are institutionalized, children, prisoners, pregnant women, etc. When do you expect human subject involvement in this project to begin and when do you expect it to end? Explain how you will have access to a population that will allow recruitment of the required number of participants within the proposed recruitment period.

If the participants are prisoners or residents of correction facilities, the composition of the IRB must be augmented by a prisoner’s advocate. Please inform the IRB if this applies to your project.

If some of the potential participants or the parents of child participants are likely to be more fluent in a language other than English, the consent forms should be translated into that language. Both English and the other language versions of the form should be provided, with one language on one side of a page and the other on the other side of the page. Specify here your intentions with respect to the languages of the consent forms.

B. Describe the procedures for the recruitment of the participants. Append copies of fliers and the content of newspaper or radio advertisements. Explain here any incentive (financial, gifts or other items of value) that will be given to persons who identify or refer subjects for enrollment. If potential participants will be screened by an interview (either telephone or face-to-face) provide a script of the screening interview.

If the potential participants are members of a group that may be construed as stigmatized (e.g., spousal abusers, members of support groups, people with AIDS, etc.) your initial contact with the potential participants should be through advertisements or fliers or through people who interact with the potential participants because of their job duties. These people may describe your study to the potential participants and ask them to contact you if they are interested in talking to you about the study.

C. Describe the procedure for obtaining informed consent. If you do not plan to obtain active written consent, specifically point this out and explain why not. Include the consent form(s) for review. Children
(people under 18) need parental consent to participate in studies. Participants between 7 and 17 should be given an opportunity to assent to their participation. (See Sample Assent Forms for Children).

D. Research Protocol. What will you ask your participants to do? When and where will they do it? How long will it take them to do it? Describe the type of research information that you will be gathering from your subjects, i.e., the data that you will collect. Append copies of all surveys, testing materials, questionnaires, and assessment devices. Append copies of topics and sample questions for non-structured interviews and focus group discussions.

E. How will you protect the privacy and confidentiality of participants? Privacy can be defined in terms of having control over the extent, timing, and circumstances of sharing oneself (physically, behaviorally, or intellectually) with others. Confidentiality pertains to the treatment of information or data that an individual has disclosed in a relationship of trust with the expectation that it will not be divulged to others in ways that are inconsistent with the understanding of the original disclosure. Note that ensuring privacy of participants is different from confidentiality of data.

F. Discuss the procedures that will be used to maintain the confidentiality of the research data. Specifically, how will data be stored to ensure that it is secure and remains confidential? How will the investigator handle that data? If the subject’s responses are taped and the tape can be linked to a participant because his or her name is on an audiotape or because the tape is a videotape, precautions must be taken. These safeguards include storing the tape in a secure place (file cabinet in a locked office), limiting access to the tape to the researcher and his or her associates, and destroying the tape, if it is reasonable to do so, after it has been transcribed or the information on it has been coded. Describe the disposition of the tapes in the consent form. If the tapes are to be retained after the study is completed and they have been analyzed, explain the rationale for doing so in the proposal and state that they will be retained in the consent form.

G. Please describe your research resources. Discuss the staff, space, equipment, and time necessary to conduct research and how these needs are met. Explain how you will adequately inform all persons assisting with the research about the protocol and their research-related duties and functions. Please include a description of the proximity of any resources such as emergency facilities, emergency care or medical / psychological care, and any support services. If the study necessitates Environmental Health & Safety (EHS) or Institutional Biosafety Committee (IBC) oversight and approval please describe here.
H. Study-specific costs and compensation: If providing compensation to participants, will it be prorated? If so, describe the prorated amounts and schedule. If compensation is provided but will NOT be prorated, explain WHY. If you are providing any type of treatment to the subjects, will the treatment be provided free of charge? Explain. If an agency/3rd party is paying for ADDITIONAL treatment for the subjects (such as lab tests, biopsies, or x-rays) briefly describe by listing the agency/party responsible for payment. Who (or which agency) will pay for the specific medications used as part of this study for treating participants?

VII. Describe any potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Describe alternative and potentially less risky methods, if any, that were considered as possible methods and why they were not used. If the research methods impose risks on the subjects, include evidence that may justify their use (such as previous experience with the procedures). Most studies pose some degree of risk, even though the risk may be minimal. For example, one common risk is the loss of the confidentiality of the participants’ responses.

One risk that may arise in studies with children or interviews with parents about their children is the risk that you may acquire information about familial child abuse. If you acquire this information, you are required to report it to the Department of Children and Families, 1-800-792-5200. If your study is likely to result in responses that may suggest child abuse and you do not provide anonymity to the respondents, you must inform the parents in the consent form (and the child in the assent form) that you are legally required to report this information. Research data can be subpoenaed by a court of law, so questions about illegal activities such as drug use place respondents at risk unless the participants’ responses are anonymous. A Certificate of Confidentiality can eliminate the risk of having one’s data subpoenaed.

Describe the procedures for protecting against (or minimizing) any potential risks and include an assessment of their effectiveness. For all research involving human subjects research, you should understand what is meant by an “unanticipated problem” in relation to your study. Note that you are required to complete an Unanticipated Problem Form and promptly submit to the IRB office in the event that such an incidence occurs. In some cases, studies that are greater than minimal risk, involve greater than minimal risk interventions or devices, include vulnerable populations, your sponsor and/or the IRB will require inclusion of a data safety monitoring plan (DSMP).

If the study involves a procedure that introduces a physical risk, specify arrangements for providing medical treatment if it should be needed. If the study involves a procedure that introduces a psychological risk, such as the recall of a traumatic event,
specify arrangements for providing psychological treatment if it should be needed. If participants need ancillary resources as a consequence of taking part in the research (e.g., psychological counseling, or emergency treatment), explain how these will be made available. Please state whether or not you will provide payment for physical or psychological harm if it is incurred.

If your study involves deception, describe the procedures for debriefing the participants.

VIII. Describe and assess the potential benefits to be gained by participants (if any) and the benefits that may accrue to society in general as a result of the planned work. Discuss the risks in relation to the anticipated benefits to the participants and to society.

IX. Indicate the specific sites or agencies involved in the research project. Will the data collection for this study take place at UMD? Please list department, building, or site below. Please list location(s) such as agencies or school districts below and indicate the number of subjects per site. If data collection takes place at any site off campus, please include: contact information for the site; whether the site has an IRB (if the site’s IRB has approved the research, please attach their approval letter; Indicate whether the site granted permission to conduct the research there. Demonstrate that PI has the resources and facilities necessary to conduct proposed research. These agencies may include school districts, day care centers, nursing homes, etc. Include, as an attachment, approval letters from these institutions or agencies on their letterhead. The letter should grant you permission to use the agency’s facilities or resources; it should indicate knowledge of the study that will be conducted at the site. If these letters are not available at the time of IRB review, approval will be contingent upon their receipt.

X. If the project has had or will receive review by another IRB, indicate this. Attach a copy of this approval to this application or submit it to the IRB secretary of the IRB when you receive it. The UMD IRB will usually accept the versions of consent forms that have been approved by IRBs affiliated with hospitals or medical schools, or by the site where the research will be conducted.

B. IRB Application

UMD IRB APPLICATION
Instructions: Questions are in bold. Required items are specified with an asterisk. Question specific instructions are provided in parenthesis () and italic. Please indicate your responses following each question. Prior to approval of this application, every person listed must complete ethics/compliance training using citiprogram.org. The Principal Investigator accepts responsibility for the training of all personnel associated with this study. PIs must complete this application and the document titled IRB Research Proposal. Completed applications and documents should be sent to Andrew Karberg, Office of Institutional Compliance – 217F ATMC.

* 1. IRB Project Title:
   Grant Title:
   (List the IRB project title. For funded research: If project is funded and the grant title is different from the project title, please list both titles here).

* 2. Please Indicate the Level of Review your Application Requires
   ___ Full Board
   ___ Expedited (see expedited category numbers) 45 CFR 46.110
   ___ Exempt (see exempt category numbers) 45 CFR 46.101 (b)
   (Studies that involve the audio or video recording of subjects CANNOT be submitted as Exempt).

3. Prior IRB Review: (If this Study has had prior IRB review, outside of UMD, please describe by listing each approval/review and the institutions. Do not confuse this with Continuing Review at UMD. Please submit approval letters for IRB review from institutions other than UMD).

4. Student Research: (Please indicate if this is STUDENT research. Student research requires IRB approval unless it is a project designed to train students in the conduct of research without being designed to develop or contribute to generalizable knowledge. If the student research is for training purposes please use the Class Project Review Form (Coming Soon). If the PI is a student, a Faculty Sponsor must be listed. The faculty sponsor agrees to supervise and mentor the student PI.)

* 5. Principal Investigator's (PI) Information: (Name, Address, Telephone, Email - All correspondence about the study will be sent to the PI's official address or email address on file with the University).

* 6. Principal Investigator's Department/Research Unit:

7. Key Researchers/Investigators: (Name, Dept. (or address if not UMD employee), email. As a guide, list people who will "contribute in a substantive way to the scientific development or execution of the project" (co-investigators, consultants, projects managers, etc.).)
8. Research Assistant/Project Coordinator: (If needed, use this space to list the names for other people who either are involved in or have a need to know about this study and that a protocol is being submitted for IRB approval. Examples of types of people to list here are research assistant or project coordinator. Individuals listed here do not have signatory responsibility; they are additional contacts for communication regarding the study).

9. Conflict of Interest:
(An investigator is said to have a conflict of interest whenever the PI or IRB member, his or her spouse, or dependent child falls under any of the following conditions (indicate any that apply)):

___ Is an investigator or sub-investigator on the protocol (IRB members only, not applicable to PI's);

___ If the IRB member, the member's spouse, or dependent children are involved in the conduct of research;

___ Has entered into a financial arrangement with the sponsor or agent of the sponsor, whereby the outcome of the study could influence the value of the economic interest;

___ Acts and officer, director, or agent of the sponsor;

___ Has any equity interest in the sponsor or agent of the sponsor that when aggregated for the investigator or member and the investigator's or member's spouse and dependent children of $10,000 or greater as determined through reference to public prices (e.g., NYSE or NASDAQ), any amount if the value cannot be determined through references to public prices, or 5% of the equity of the sponsor;

___ Has received payments or other considerations from the sponsor that when aggregated for the investigator or member and the investigator's or member's spouse and dependent children of $10,000 or greater;

___ Has identified him or her self for any other reason as having a conflict of interest.

Do you or does UMD hold a patent or license for any material, object, invention, or process used in the study or do you intend to file a patent application at a later date?
___ No ___ Yes

If there is a sponsor for the study, do you own equity or financial interest in the sponsor, give presentations for the sponsor, serve as a consultant to the sponsor, or work in any capacity for the sponsor (such as board member, officer, etc.)?
___ No ___ Yes
To the best of your knowledge, do any of the Key Personnel listed on this study have a conflict of interest associated with this study?
__ No  __ Yes
Please list any other possible conflicts of interest:

(The following section requests brief answers on topics that you must cover in detail in your research Proposal, consent forms, and other supporting documents. Completing this section does NOT relieve you of the responsibility to cover these issues in detail in your Research Proposal or any other supporting documents.)

*10. Types of participants involved in this study:

__ UMD FACULTY/STAFF
__ MINOR CHILDREN (UNDER AGE 18)
__ MENTALLY/PSYCHOLOGICALLY IMPAIRED
__ PREGNANT WOMEN OR FETUSES
__ PHYSICAL ILLNESS/INJURY/DISABILITY
__ PRISONERS
__ UMD STUDENT
__ OTHER - If selected, list all participant types:

11. If the participants are students, is the investigator/researcher their instructor or advisor?  __ No  __ Yes  __ Some may be but not selected on that basis

12. If the participants are employees of UMD, are they directly supervised by the investigator?  __ No  __ Yes

* 13. Subject Age Range: (If the study subjects will be just one age, fill in the same age for both minimum and maximum. Estimate to the best of your knowledge.)
minimum age:
maximum age:

*14. Gender of subjects:  __ Male  __ Female  __ Both  __ Transgender
If you are using only one gender population, please mark one of the following:
__ Only the gender selected has the condition (gender specific)
__ Other, please describe:

* 15. Does the study require that the subjects be recruited from one or more specific races/ethnicities?  __ No  __ Yes, please specify:  __ White  __ Black  __ Hispanic  __ Asian  __ Native American  __ Other:
Reason for specific race/ethnicity:
__ The condition being studied occurs only in the selected group(s);
__ Other, please specify:
*16. How many subjects do you plan to enroll in your study? If using an existing dataset, list the number of subjects in the dataset. (If there is more than one group, please indicate number of groups and number of individuals per group. Your study will need to be amended PRIOR to INCREASING enrollment size from number given here).

* 17. Time required of each subject: (ESTIMATE and round up to the nearest unit. Ex: record 1 hr a week for 5 years as 260 hours and describe as necessary).

18. Check any of the following items YOU will be ASKING THE SUBJECTS TO PROVIDE on research forms or in response to research questions (this question pertains to data YOU are collecting): __ Name __ Phone number __ Address __ Social Security #
Please specify any other information you're collecting that may identify the subjects:

* 19. HIPAA Regulations: Use of Protected Health Information (PHI):
(PHI is defined under HIPAA as health information transmitted or maintained in any form or medium that:

- Identifies or could be used to identify an individual;
- Is created or received by a healthcare provider, health plan, employer or healthcare clearinghouse; and
- Relates to the past, present or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present or future payment for the provision of healthcare to an individual.

Health-related information is considered PHI if any of the following are true:

- The researcher obtains it directly from a provider, health plan, health clearinghouse or employer (other than records relating solely to employment status);
- The records were created by any of the entities listed above and the researcher obtains the records from an intermediate source which is NOT a school record or an employer record related solely to employment status; OR
- The researcher obtains it directly from the study subject in the course of providing treatment to the subject.

Health-related information is not considered PHI if the researcher obtains it from:

- Student records maintained by a school;
- Employee records maintained by an employer related to employment status; OR
- The research subject directly, if the research does NOT involve treatment.)

As part of this study, do you:
Collect PHI from subjects in the course of providing treatment/experimental care?
__ No __ Yes

Have access to PHI in the subjects' records?
__ No __ Yes
If yes to A or B above, complete and attach the HIPAA FORM (email OIC to request form).

* 20. Will the subjects be recorded with audio or video equipment? __ No __ Yes (Federal regulations stipulate that studies involving the use of audio or video equipment may be reviewed at the expedited level or higher).

21. Will students from a class or set of classes, who are to be research subjects, receive class credit or bonus points for participation? __ No __ Yes
   If yes, will the alternative options for getting class credit be explained in full to the students in the consent form or in other material given to the students such as the course syllabus?
   __ No __ Yes

* 22. Are you using controlled substance(s) in this study? __ No __ Yes - please list the DEA number and expiration date (mm-dd-yyyy):

23. If individuals with diseases or conditions are to be specifically included, is there a potential for direct benefit to these subjects?
   __ No __ Yes - please explain:

24. If individuals with diseases or conditions are to be specifically included AND if the study involves a treatment for their disease or condition, please explain how that treatment will differ from standard care that they would ordinarily receive, or already receiving, i.e., procedures already being performed for diagnostic or treatment purposes.

* 25. Will any medical procedures (such as lab tests, biopsies, or x-rays, etc.) be performed for the subjects? __ No __ Yes - briefly describe:

26. Are there specific medications that MUST be used to meet the requirements of this protocol? __ No __ Yes, please list them:

27. If the study uses medical devices not approved by the FDA, you must describe measures taken to ensure they are used only by qualified personnel and only on participants:

* 28. Do you agree that sufficient resources, staff, necessary equipment, and time necessary to conduct the research exist? __ No __ Yes

29. Are women of childbearing potential to be included in this study? __ No __ Yes
   If so, is a pregnancy test required? __ No __ Yes - please state who will pay for the test:
* 30. This item is divided into three sections (A, B, and C) all pertaining to subject CONSENT. You must fill out either Part A, B, or C.

If the study consent plans are for . . .

- **WRITTEN, SIGNED, INFORMED CONSENT**, answer item A
- **WAIVER OF DOCUMENTATION OF CONSENT - NO SIGNED CONSENT, BUT A WRITTEN COVER LETTER THAT DESCRIBES THE STUDY OR FULL VERBAL INFORMED CONSENT**, answer item B
- **A COMPLETE WAIVER OF INFORMED CONSENT - NO DESCRIPTION, OR ONLY BRIEF ORAL DESCRIPTION OF RESEARCH PROVIDED TO PARTICIPANTS**, answer item C

A. WRITTEN, SIGNED, INFORMED CONSENT:

Is the language in the document appropriately matched to the comprehension level of your intended subjects? __ No __ Yes

Will the document be provided in language(s) other than English? __ No __ Yes
If yes, please describe:

Will you be providing subjects a copy of their consent document? __ No __ Yes

Does your document in any way ask or imply that subjects are waiving any right or releasing you from any liability? __ No __ Yes

Who will PROVIDE informed consent?
__ the subject
__ the subject's parent or guardian
__ Other, please explain:

Who will OBTAIN informed consent?
__ the Principal Investigator/Researcher
__ key personnel/co-investigator
__ Other, please explain:

Is the language in the document appropriately matched to the comprehension level of your intended subjects? __ No __ Yes

Will the document be provided in language(s) other than English? __ No __ Yes
If yes, please describe:

B. WAIVER OF DOCUMENTATION OF CONSENT - NO SIGNED CONSENT, BUT A WRITTEN COVER LETTER THAT DESCRIBES THE STUDY OR FULL VERBAL INFORMED CONSENT.

(An IRB may waive the requirement for the investigator to obtain a SIGNED consent form for some or all subjects if it finds all statements in ONE category to be true. Read each set of items carefully and check one of the sets (verifying that this study meets each
requirement in one of the sets) - then check the statement requesting a waiver of SIGNED consent. (Please note that the IRB must formally approve this waiver)).

__ The research presents no more than minimal risk; AND
__ The research involves procedures that do not require written consent when performed outside of a research setting (45 CFR 46.117; 21 CFR 56.109(c)(1)).

OR
__ The principal risks are those associated with a breach of confidentiality concerning the subject's participation in the research; AND
__ The consent document is the only record linking the subject with the research; AND
__ This study is not FDA regulated (45 CFR 46.117).

__ Request for waiver of signed documentation of consent (waiver of signed consent)
Please describe the rationale for your waiver request:

Please provide a written script of the information provided orally, if any. (You should submit a document containing this information with your application and research protocol).

C. A COMPLETE WAIVER OF INFORMED CONSENT
NO DESCRIPTION, OR ONLY BRIEF ORAL DESCRIPTION, OF RESEARCH PROVIDED TO PARTICIPANTS.

(According to 45 CFR 46.116(d), an IRB may waive or alter some or all of the requirements for informed consent if all conditions (below) are met. Read each item carefully and check (verifying that this study meets each requirement) - then check the statement requesting a COMPLETE waiver of consent. (Please note that the IRB must formally approve this waiver)).

__ The research presents no more than minimal risk to subjects;
__ The waiver will not adversely affect the rights and welfare of subjects;
__ The research could not practicably be carried out without the waiver;
__ Whenever appropriate, the subjects will be provided with additional pertinent information after they have participated in the study; AND
__ This study is not FDA regulated (45 CFR 46.117).

__ Request for COMPLETE waiver of Informed Consent
Please describe the rationale for your waiver request:

* 31. Is there a person (other than the Principal Investigator) or a group that will be responsible for reviewing unanticipated problems and other issues related to the safety of the study? __ No __ Yes

* 32. Is this a multi-site study where you are the lead investigator or the University is the coordinating center? __ No __ Yes - If yes, please describe how you will manage
information that may be relevant to the protection of research participants, such as reporting of unspecified problems, protocol modifications, and interim results:

* 33. Is there financial or material support for this study? __ No  __ Yes
   (If this grant is NIH, submit a Certificate of Consistency.)
   If yes, please indicate the type of sponsorship and whether it has been obtained or is pending:

* 34. Will the study provide reimbursement of the subjects' expenses? __ No  __ Yes
   Please state amount:

* 35. Will compensation be provided? __ No  __ Yes

Additional Documentation:
Remember to submit additional documentation with your application. At a minimum, you must provide the research proposal and the consent form.
Examples of Additional Documentation include:

• 1) Research Proposal (required) *
• 2) Questionnaire
• 3) Cover Letter
• 4) Email Recruitment Message
• 5) Site Letter (if off campus)
• 6) Grant Proposal (DHHS)
• 7) Prior IRB Review Letter
• 8) Consent Form (req'd unless waived)
• 9) Survey
• 10) Recruitment Flyer
• 11) Telephone Script
• 12) HIPPA Form
• 13) Certificate of Consistency (DHHS)
• 14) Other Documentation

SIGNATURES:

_________________________________________  _______________________
*PI Signature  *Date

_________________________________________

Faculty Sponsor / CO-PI Signature  Date