

Student Handbook
Doctoral Program in Education
Annette Caldwell Simmons School of Education
and Human Development

Southern Methodist University

Last Updated: December 10, 2012

1 Introduction

1.1 Welcome

Welcome to the doctoral program in Education at SMU. Our program offers a strong foundation in empirical research, pedagogy, and educational leadership. We believe that your experience in our program will be a positive one, and that it will lay the groundwork for professional success in your career of choice.

Sincerely,

The Doctoral Committee
Annette Caldwell Simmons School of Education and Human Development
Southern Methodist University

Dr. Paige Ware, Associate Professor, Doctoral Program Director and Committee Chair
Dr. Stephanie Al Otaiba, Professor
Dr. Leanne Ketterlin-Geller, Associate Professor
Dr. Patricia Mathes, Texas Instruments Professor
Dr. J. Kyle Roberts, Associate Professor
Dr. Peter Weyand, Professor
Dr. Paul Yovanoff, Professor

1.2 About this Handbook

This handbook is a comprehensive guide to the policies, procedures, and requirements for obtaining a Ph.D. in the Annette Caldwell Simmons School of Education and Human Development (SEHD) at SMU. Please take time to familiarize yourself with the handbook, as it contains information that will be of importance to you throughout your doctoral program. At the end of the handbook you will find a form to sign indicating that you have read the information provided here.

The information in this handbook is current as of August 5, 2012. We will make every effort to provide you further details about program requirements; in addition, updates to our requirements will be posted on the SEHD website.

Although this handbook provides a complete guide to our program, as a graduate student at SMU you must comply with the general policies and procedures of the university, as well as with those of the SEHD. Essential information about program deadlines, graduate student policies, and procedures are available online at <http://smu.edu/education/teachereducation/graduate/phd.asp>. It is your responsibility to review this information.

1.3 Program Vision

The doctoral program in education prepares students to understand, evaluate and conduct research in education that will contribute to the improvement of student learning, teaching practices, services to special populations, and, ultimately, to the improvement of all levels of education. The program's distinctive vision is to respond to the need for educational leaders who can provide data-based recommendations for educational policy and innovative new teaching and assessment practices

2 Administration and Advising

2.1 Administration

The Ph.D. program in Education at SEHD houses all Ph.D. programs in the SEHD. Although a student may conduct his/her study in various specializations within the School, all of the requirements for the Ph.D. outlined in this handbook apply. For information about policies pertaining to particular specializations, students should visit the web site affiliated with that specialization and/or their advisors. Should there be any aspect of mediation the student requires, he or she should report to the Doctoral Program Director to seek a resolution.

2.2 Advising

Students must have a SEHD faculty advisor at all times. The Ph.D. Director will serve as the interim advisor upon admission into the program. Each student must in the first semester identify a major advisor who will mentor the student throughout his/her doctoral program. All tenured faculty are eligible to serve as the student's advisor or dissertation chair, and tenure-track faculty can serve as co-chairs. Other full-time faculty members are eligible to serve as dissertation committee members. In the final two years of the program, the dissertation chair is the student's advisor. Each student must confer with his/her advisor at least once per semester for the duration of the program. The major advisor must be identified by December 1st of the fall semester of the first year. However, students retain the right to switch advisors given written permission from the new advisor and the department chair. With the assistance of their advisors (and dissertation committees, as discussed under the dissertation requirement), students develop a Program of Study tailored to their particular needs. Note that new advisors may or may not require an amended set of courses or activities within the Program of Studies.

All students share the same set of core program requirements. Requirements for the doctoral degree encompass coursework, qualifying exams, advancement to dissertation, major area defense, evidence of teaching competency, evidence of presentation competency, evidence of publication competency, a professional portfolio, a dissertation, and an oral dissertation defense. Each of these requirements is described in detail below. Decisions pertaining to student progress are made by the advisor/dissertation-chair and committee (see the Degree Requirements and Timelines sections for details).

Students should also feel free to raise questions and concerns with their advisor or dissertation committee members. An appeal concerning any decision made by the advisor and/or dissertation committee may be brought to the chair of the doctoral program who will render a final decision upon consultation with the SEHD doctoral committee. Please note that the SEHD doctoral committee consists of the faculty listed on page 1 of this document, and is not the same as the student's dissertation committee, although individual faculty members may serve on both committees. Concerns related to a specific course (e.g., assignments or grades) should be brought to the Department Chair after first consulting with the instructor of that course.

2.3 Program of Studies Form

Each student will complete a Program of Studies Form by the end of the first semester. Each student works with his or her advisor to draft and complete the Program of Studies Form at this link: <http://smu.edu/education/teachereducation/graduate/phd.asp>.

2.4 Transfer Credits

Transfer credits are usually given to 3-semester-hour graduate courses (or equivalents). Requests for transfer credits should be reviewed with the advisor then submitted to the Ph.D. director by December 1st of the first year. Students might be required to provide a written description, syllabus, or other documentation of the course content and credit hours. Exceptions to the usual guidelines on transfer credits should be submitted in writing to the Doctoral Program Chair who will obtain the advice and consent of the Doctoral Committee. The Doctoral Committee will make the final decision and submit a recommended action to the Dean, as well as to the SMU registrar's office. A total of up to 24 transfer credit hours may be requested; however all requests may not be approved.

3 Degree Requirements

Following is a complete list of requirements for obtaining the Ph.D. in Education at SMU. Students pursuing a specialization in Applied Physiology should consult Appendix A for requirements. For all other specializations, students should consult the information provided on the specialization website or their advisor.

3.1 Coursework

Doctoral students must complete a minimum of 60 credit hours of coursework. A grade of B- or better is required for each class. If a grade lower than B- is obtained in a particular class, the student's advisor will develop, in conjunction with the doctoral committee, a remediation plan that may include retaking the class or taking a different class. Required coursework beyond the core courses is to be determined at the discretion of the student advisor.

Ordinarily, students must enroll in 9-12 hours of coursework (i.e., three-four courses) per semester for the first two years of the program. Any courses in subsequent years must be approved by the advisor.

3.2 Qualifying Exams

Qualifying Exam #1: Literature review in the content area. In consultation with their advisors, students develop a qualifying exam question and submit it by May 1st to the Ph.D. committee chair. The paper must be completed independently and should provide a substantial review of empirical work in the topic area of the student's choice. Final papers are due on August 15th of the second year of the program to the Ph.D. Director over email. The doctoral program will provide students with information about the format and content requirements in their first year. At least 2 faculty members will rate the paper using the Qualifying Exam Grade Report Form.

Qualifying Exam #2: Research methods exam. The research methods exam will consist of a take-home exam to be completed under conditions outlined in the exam itself. Students typically have 2 months to complete the exam. Details will be provided. The exam takes place between October and January of the second year of the program.

Qualifying Exam #3: Statistics exam. Students will take a proctored, cumulative exam of the statistical methods covered in a sequence of three statistics courses. The exam will take place on the SMU campus and will be scheduled for mid-February of the second year of coursework.

Within three weeks of submission of a qualifying exam response, students may be required to revise their exam response or to take a new exam question. In such cases, students will have only one opportunity to successfully resubmit a revised or new exam response. Students who do not turn in an acceptable resubmission within three weeks after it is requested will not be able to continue in the program.

3.3 Major Area Paper and Defense

Once all three qualifying exams have been successfully completed, students can begin their Major Area Paper (MAP). The content of the MAP is determined in consultation with the student's advisor. The MAP consists of an extensive literature review and synthesis, which will usually serve as the literature review chapter for the dissertation. Advancement to candidacy does not occur until this paper and an accompanying oral defense are completed. Any exceptions to the timeline and decisions about the scope of the paper will be determined in consultation with the student's advisor.

The final MAP must be orally defended. Students must submit the final draft of the MAP a full two weeks before the oral defense. Revisions will not be requested in this two-week period but can be requested at the culmination of the MAP oral defense. The student's advisor and MAP committee (which often becomes the dissertation committee if the student advances to candidacy) will determine the acceptability of the MAP and the oral defense immediately after the oral defense. If needed, revisions to the paper will be requested in writing by the advisor within 2 weeks of the defense, and the timeline for subsequent revisions will be established by the committee. APA format, as specified in the most recent addition of the Publication Manual of the American Psychological Association, is required for the MAP.

The MAP defense is approximately 90 minutes in length as follows: (30-minute presentation of the topic & 60-minute discussion of the topic with the full committee). Suggested organizational formats for the defense should be discussed with the dissertation advisor as appropriate to the topic (e.g., organize topically with a synthesis of pivotal developments and gaps in the research base). The presentation and discussion should be thorough, substantive, and professional. Committee members will agree to key questions that ensure the student has a thorough grasp of the content covered and of the research base.

3.4 Advancement to Candidacy

The phrase “advancement to candidacy” describes the phase in which students have successfully completed the above core requirements and are eligible to begin dissertation-related work. Advancement takes place if the student has successfully completed all three qualifying exams, the MAP and its defense, and maintained a minimum GPA of 3.0. Once these prerequisites have been met, the student qualifies for advancement to the dissertation phase and must complete the necessary forms:

- Establishment of the Doctoral Committee Form. Students must identify their dissertation committee. The committee consists of the student’s chair/advisor and three other full-time faculty members, at least one of whom must be outside of the department in which the student resides. The chair must be a tenured (tenure-track faculty members can co-chair) in SEHD.
- Advancement to Candidacy Approval Form. Plans for a dissertation topic should be discussed with the dissertation chair. It is recommended that students have a pre-prospectus meeting to discuss their intended scope of project, their timeline, and their questions about IRB forms. Upon approval, the student may begin the prospectus.

Upon completion of the forms, the student can begin work on the Dissertation Prospectus (see 3.5). Please note that advancement is not guaranteed. Students who do not successfully complete all coursework, qualifying exams, and a successful MAP defense will not be advanced to candidacy, and will consequently not be able to continue in the program. At the discretion of the doctoral committee, an alternative degree may be considered (see Educational Specialist Degree under section 6 below). Also, note that advancement does not guarantee the awarding of a doctorate. The student who has been advanced to the dissertation phase must successfully complete all remaining requirements.

3.5 Dissertation Prospectus and Defense

The prospectus is a detailed research design of the intended dissertation project and often becomes the methods chapter of a dissertation. It should consist of a brief literature review, a description of methods for the dissertation research, any accompanying appendices with relevant instrumentation, and a timeline for completing the research. Students submit the prospectus to the dissertation committee at least two weeks in advance of the scheduled oral defense of the prospectus. After the oral defense, the dissertation committee will provide written approval of the prospectus after conferring with the student and evaluating any requested revisions. Research involving human participants requires institutional approval by an Institutional Review Board (IRB). Plans for obtaining IRB approval should be submitted at this time.

3.6 Dissertation

The SEHD Doctoral Program policy for dissertation style is the APA (American Psychological Association) style, as specified in the most recent edition of the Publication Manual of the American Psychological Association. The exception is that the dissertation conforms to the traditional dissertation format in Education, with tables and figures embedded in text rather than separated. Also, dissertations must conform to the format and content requirements of the SEHD Dissertation Guide: <http://smu.edu/education/teachereducation/graduate/phd/forms.asp>.

3.7 Dissertation Defense

Each student must submit the final dissertation to his/her committee at least two weeks before the scheduled oral defense date. The dissertation committee must give written approval (email) to schedule an oral defense. This oral defense is a professional presentation of the dissertation and its findings to the committee. Students are encouraged to discuss preparation for the defense with their committees prior to the dissertation defense. The committee may meet separately at the beginning of the oral defense to exchange comments or expectations. The committee will judge the acceptability of the oral defense and the written dissertation and may require revisions of portions of the dissertation. If the revisions are extensive, the dissertation chair may be required to sign approval of changes before the dissertation is finally approved. The student must have each committee member sign a written Dissertation Approval Form.

The dissertation will need to be submitted to the SEHD through a formal, time-constrained process. Steps required for graduation are detailed in the box below. It is the student's responsibility to be aware of the SMU deadlines for graduation and to follow these steps.

1. File an ACG for anticipated graduation date: <http://smu.edu/graduate/files/ACG.pdf>
You can check each year the deadline for this, but it is typically in January for May graduations: <http://smu.edu/graduate/deadlines.asp>
2. Ensure that you have filed all appropriate documentation in your permanent file.
3. Check your transcript on ACCESS for any incompletes
4. Have your committee sign the *approval page* when you have successfully defended your dissertation.
5. Complete the final administrative requirements:
 - a. Create an account to electronically upload your dissertation: <http://dissertations.umi.com/smu> (Choose "Traditional" on the publishing. Also, be sure that your final dissertation PDF does *not* contain signatures. You will include the approval page, but use a copy that has the names of the committee/advisor with no signatures).
 - b. Create a PDF and pay the required fee of \$17 (in 2012).
 - c. Complete and return surveys (1 internal survey attached and one from SED) and 1 flash drive or CD with your complete dissertation to the Ph.D. program
 - d. Check and update demographic information on ACCESS

4 Competencies

4.1 Teaching Competency

Each student must serve as a teaching assistant (TA) for at least one course offered by the SEHD. Students cannot serve as TA for courses offered by other Schools or Colleges within SMU without prior permission from the Advisor and Ph.D. Director.

The recommended path for completing the teaching competency is for doctoral students to select a Masters-level course that complements their area of interest and to register in the course as a PhD-level independent study (not as a Masters-level 6000 class). The following guidelines should be followed:

- Instructor of record agrees to meet regularly with the student
- Instructor of record agrees to submit a formal letter and an evaluation rubric for the student's portfolio after completion of the semester
- Student must take a leadership role in teaching at least 9 but no more than 12 hours of class
- Student must participate in some (but not all) aspects of assessment of the Masters-level students
- Both student and instructor of record attend all classes, except in extenuating circumstances (e.g., conferences or out-of-town work-related travel)
- Student must produce a statement of teaching philosophy at the conclusion of the teaching competency requirement

Alternative scenarios to the above recommendation can be approved through a written request by the student's advisor and student, which will pass through the PhD committee. Alternatives include, but are not limited to, conducting a teaching competency through either a paid teaching experience in a summer course or in the third year of the program, or developing an alternative independent study that focuses on course development.

4.2 Presentation Competency

Students will be active in research throughout the program, beginning with their work on research grants (see Financial Aid section) and culminating in their own independent dissertation research. They must submit, have accepted, and present a paper at a professional organization chosen in consultation with their advisor. Students must submit to the Ph.D. Director written evidence of this competency (photocopy or print-out of their name in the conference book or email confirmation from the organization).

4.3 Publication Competency

Students must demonstrate that they are familiar with the processes for submitting manuscripts for publication. They must submit one manuscript to an academic journal (usually in the final year). It must be submitted but not necessarily accepted for publication. The paper can be single-

authored or co-authored, and the student need not be the first author. The paper must have been submitted during the period in which the student is enrolled in the SEHD doctoral program, and the journal chosen for submission must be approved by the student's advisor. Copies of the submitted paper, cover letter, and confirmation of receipt by the journal must be filed with the program. Because of the unpredictable nature of journal-article reviewing, acceptance of the manuscript for publication is not required (but is obviously desirable). Refer to the APA manual for information regarding authorship guidelines.

If submitting the dissertation for publication as evidence of this competency, students must submit it to a peer-reviewed journal after discussing journal options with the dissertation advisor. Please note that this option may not be preferable if defending close to graduation, as the time to revise the dissertation for journal-length manuscript submission can be lengthy.

5 Timeline

Students are required to complete their course of study in seven years from the date of first beginning the program. Students are then allowed to petition for an additional three years to complete coursework and the dissertation. At the end of the seventh year, students who wish to continue in the program must obtain permission from the SEHD doctoral committee on a semester-by-semester basis in order to continue. Students are required to show evidence that they are making adequate progress by consulting with their advisor on each milestone step, and, in most cases, by obtaining the signature of the dissertation advisor. If milestones are delayed for any reason, the student must submit a written statement of explanation and description of progress during the period of delay on an annual basis to maintain standing in the program.

Students are required as part of their coursework to take the following core courses:

7311: Quantitative Statistics for Educational Research
7312: Intermediate Quantitative Statistics in Education
7314: Advanced Multivariate Statistics
7302: Quantitative Research Methods I
73xx: Quantitative Research Methods II
7305: Qualitative Research Methods
7315: Designing Learning Environments
7313: Measurement & Assessment I
7320: Measurement & Assessment II
73xx: Program Evaluation
7119/7301: Synthesis & Integration/Proseminar

All other coursework needs to be approved by the student's advisor and should, when possible, be determined by December 1st of the first year and laid out in the program of study. There are two sets of deadlines in the dissertation phase of the program: fixed deadlines (see Table 1) and individual deadlines (Table 2). If students wish to complete their dissertation in their third year, they must adhere to the deadlines set out in these tables and work closely with their advisor.

Table 1: Fixed Deadlines in the Doctoral Program

Submission	Date	Process	Doc.
Year 1			
Approved transfer credits	Dec. 1	Meet with advisor; submit to Ph.D. Director	Signed form
Approved course of study	Dec. 1	Meet with advisor; submit to Ph.D. Director	Signed form
Progress report	Dec.	Meet with advisor and supervisor for mid-year review	Email conf.
Approved doctoral advisor	Dec. 1	Student makes choice and approaches potential advisor	Email conf.
Assigned: Qualifying exam 1	May 1	Student meets with advisor to draft question; committee makes recommendations & final approval within 2 weeks	Email conf.
Year 2			
Submitted: Qualifying exam 1	Aug.15	Submit to Ph.D. Director scoring within 3 weeks	Email
Qualifying exam 2	Oct/Jan	Student receives question from Ph.D. committee	Email
Proctored: Qualifying exam 3	Mid Feb.	Student takes proctored exam	Computer lab
Completed: 60 hours of coursework	Mid May	Grades received	http:/ access

Table 2: Individual Timelines* in the Doctoral Program

Submission	Date	Process	Doc.
3-Year Graduation Plan			
Begin Major Area Paper (MAP)	Mar. 15 YR 2	Meet with advisor to finalize topic	Email
Oral defense: MAP	Aug/Sept YR 3	Submit MAP 2 weeks prior to defense	Signed form
Oral defense: Prospectus (consider pre-prospectus meeting) (ensure IRB in process)	Sept/Oct YR 3	Submit prospectus to committee 2 weeks prior to defense	Signed form
Teaching competency Presentation competency Publication competency	Prior to dissertation defense	Submit documentation to Ph.D. chair	Letter/ form of evidence
Oral defense: Dissertation	Latest: early	Submit dissertation to	Signed

	April YR 3	committee 2 weeks prior to oral defense	form
Dissertation checklist	Latest: mid April	Meet with Ph.D. Director to confirm all steps met	Signed form
3+Year-Graduation Plan			
Begin Major Area Paper (MAP)	May 15 YR 2	Meet with advisor to finalize topic	Signed form
Oral defense: MAP	YR 3	Submit MAP 2 weeks prior to defense	Signed form
Oral defense: Prospectus (consider pre-prospectus meeting) (ensure IRB in process)	YR 3	Submit prospectus to committee 2 weeks prior to defense	Signed form
Teaching competency Presentation competency Publication competency	Prior to dissertation defense	Submit documentation to Ph.D. chair	Letter/ form of evidence
Oral defense: Dissertation	YR 4	Submit diss. to committee 2 weeks before defense	Signed form
Dissertation checklist	YR 4	Meet with Ph.D. Director to confirm all steps met	Signed form

- Note. Faculty are not always available in the summer. Develop a work plan in accordance with your committee's availability.

6 Financial Aid/Research Fellowship

Funding for doctoral students is provided through research grants or other fellowships and is dependent on current funding through federal and other agencies. During the 9-month academic year, each student is required to work an average of 20 hours per week as a graduate research assistant (GRA). Students must log the number of hours worked per day and the nature of the work, and have their logs signed by the supervisor (project coordinator) who oversees the grant. As compensation for this work, no tuition is charged, and students earn monthly income.

Each incoming student will be assigned to a particular research grant. Every effort will be made to assign students to grants related to their own interests. In general, students should be available to work on grant-related activities every day of the week during school hours when they are not in class. A student's work schedule will be determined by the supervisor who oversees the grant. Students and grant supervisors can be flexible about scheduling.

Students on research fellowships follow the staff calendar for vacation days and time off. The following information about official staff holidays for the 2012-2013 academic year has been taken from the SMU website: <http://smu.edu/registrar/Calendar/calendar12-13.asp>

“Offices of the University will be closed on September 3, 2012; November 22-23, 2012; December 24, 2012-January 1, 2013; January 21, 2013; March 29, 2013; May 27, 2013.”

In addition to these official holidays, fellowship recipients have 10 days that they can take for personal leave, vacation, or illness. Students and supervisors should discuss the process they

want to follow for requesting this time off. Generally, grant-related research begins in mid August and continues through mid May of each year. Travel time counts toward the 20-hour per week research requirement, and students are compensated for mileage at a standard rate determined by the university.

7 Education Specialist Degree

The Ed.S. degree is not a guaranteed option, but rather one that is offered at the discretion of the advisor and doctoral committee. Students who do not wish to advance to candidacy (see 3.5) can apply for this terminal degree. The Ed.S. requires the following: (a) passing qualifying exams, (b) completing 60 semester hours, (c) completing the MAP and defense, (d) presenting at a conference, and (e) submitting an acceptable professional portfolio.

8 Signature Form

I have read this handbook carefully and understand the requirements for a Ph.D. in Education at SMU. I understand my rights and responsibilities as a doctoral student, and will seek additional information if I have questions or concerns.

Name (printed) _____

Signature _____

Date _____

Please return this sheet to:
Dr. Paige Ware
Doctoral Program Chair
P.O. Box 750455
Dallas, TX 75275-0381

Appendix A: Applied Physiology/Biomechanics

7.1 Admission Requirements

The following materials are required when applying for admission to the doctoral program:

1. Transcripts of Baccalaureate and Master's degrees (if completed) with a recommended GPA of 3.0 or above.
2. A minimum GRE score of 1100, obtained within the past five years. A score of at least 1200 is recommended.
3. A statement of purpose (3-4 pages including description of your background, interests, graduate work, experience in education, and goals for the future).
4. Three letters of recommendation.
5. TOEFL scores (if the student's native language is not English).
6. An interview with an SEHD faculty member conducted after applications are completed (if needed).

Timeline Milestones in the AP/Biomechanics Doctoral Program

Milestone Activity	Date Submitted	Advisor Signature
Transfer Credits Approved	December 1, YR 1	Yes
Program of Studies Form Approved	December 1, YR 1	Yes
Form Dissertation Committee	March 15, YR 2	
Qualifying Exams	April 15, YR 2	
Begin Dissertation Prospectus	May 1, YR 2	
Submit Dissertation Prospectus to Committee (two weeks prior to oral defense)	Sept 15-Dec 15, YR 3	
Approval of Prospectus	Sept 15-Dec 15, YR 3	
Submit Dissertation to Committee	March 1, YR 4	
Oral Defense of Dissertation	March 15, YR 4	

7.2 Committee

By the middle of the Spring semester (March 15) of Year 2, if not sooner, students must identify their dissertation committee. The committee consists of the student's chair/advisor and three other full-time faculty members, at least one of whom must be outside of the department in which the student resides. The outside member can reside outside the Simmons School and SMU. The chair must be a tenured or tenure-track faculty member in SEHD. Plans for a dissertation topic should be approved by the dissertation chair by May of Year 2. Upon approval, the student may begin the prospectus.

7.3 Proposed Timeline

Timeline in the AP/Biomechanics Doctoral Program

Time	Fall	Spring
Year 1	EDU 7302 Advanced Quantitative Research Methods EDU 7311 Quantitative Statistics for Educational Research	EDU 7312 Intermediate Quantitative Statistics
Year 2	EDU 7501 Research Tutorial in Biomechanics	EDU 7502 Research Tutorial in Physiology
Year 3	Doctoral Research	Doctoral Research
Year 4	Dissertation Research	Dissertation Research

7.4 Qualifying Exams

Students must successfully complete an oral qualifying exam. The qualifying exam is based on doctoral course content and area-specific content identified by doctoral committee members in accordance with the students needs. Exam questions will be drawn from broad areas identified by committee members prior to the exam date. Students who do not pass the oral qualifying exam will be allowed one opportunity to retake the exam once. Failure to pass the second exam will result in discontinuation and removal from the program.

7.5 Dissertation

The dissertation is journal format and must include three or more articles that have been submitted or accepted for publication at competitive peer-reviewed journals.

- Chapter 1 - Introduction
- Chapter 2 - Manuscript 1
- Chapter 3 - Manuscript 2
- Chapter 4 - Manuscript 3

In this format, the Introduction serves as a vehicle for the student to identify common themes across all three manuscripts as well as the identification of research that spawned the development of the manuscripts. Due to the journal format style, specific formatting follows the guidelines of the targeted journal.