Standards for Reporting on Humanities-Oriented Research in AERA Publications
American Educational Research Association

Preamble

Standards for Reporting on Humanities-Oriented Research in AERA Publications has been developed to complement AERA's Standards for Reporting on Empirical Social Science Research in AERA Publications.

The purpose of providing standards for humanities-oriented research in education is to assist researchers who are preparing manuscripts that are humanities oriented, editors and reviewers who are charged with evaluating such manuscripts for publication, and readers of humanities-oriented publications who are interested in learning from and building on such work. An additional aim of these standards is to educate newcomers and others in the broader education research community who may not be familiar with humanities-oriented genres or with the purposes, goals, and methods of humanities-oriented research. This additional aim is particularly important because humanities-oriented research in education has a long history and continues to play a unique and indispensable role.

In adopting these standards, AERA emphasizes that they are intended to provide a framework of expectations providing guidance for writers, readers, reviewers, and editors, rather than to define the conduct of humanities-oriented research, to specify its acceptable modes or formats, or to suggest that acceptability can be determined through application of a checklist of guidelines and procedures. As is also true in the Association's Ethical Standards and Standards for Reporting on Empirical Social Science Research in AERA Publications, the term standards is understood to be sufficiently broad to encompass the kind of flexibility and judgment in application that evaluating humanities-oriented research requires.

The main body of this document has two sections. The first describes humanities-oriented research in terms of its primary methods, purposes, and content as well as its inherent controversies. Although certain qualities and characterizations explicit in this report overlap with those of the Standards for Reporting on Empirical Social Science Research in AERA Publications (henceforth referred to as the Social Science Standards), at the most general level the conception of humanities-oriented research in education is usefully distinguished from the conception of empirical research in education that is presumed in the Social Science Standards. The two differ with respect to the questions and issues they take up and the questions and issues they leave largely to other investigators.

The second section specifies standards for humanities-oriented research in AERA publications. Seven standards, each with a series of substandards that explicate and elaborate the major standard, are set forth: (1) significance, (2) methods, (3) conceptualization, (4) substantiation, (5) coherence, (6) quality of communication, and (7) ethics.

I. The Domain of Humanities-Oriented Research

a. What Is Humanities-Oriented Research in Education?

The term humanities-oriented is intended to capture a constellation of familiar education research genres used in domains such as history or philosophy, for which the Social Science Standards are clearly not suited, and also to include emergent approaches to education research not as readily identifiable with traditional humanities disciplines. Because the term has no history of usage, it possesses a relatively high degree of open texture. It is difficult, for example, to decide whether to classify as humanities-oriented instances of policy analysis with a significant normative dimension. Thus, the use of this document by authors, editors, and reviewers will evolve over time and is intended for scholarship grounded primarily in the humanities.

The National Endowment for the Humanities (NEH) provides guidance in defining the domain of research to which these standards apply. The first two categories of humanities-oriented research in education described below are adapted from NEH’s definition of the humanities. The third category is adapted from the specific charge of the AERA Council in calling for the development of this set of standards. For the purposes of these standards, the term “humanities-oriented research in education” includes, but is not limited to, the following:

(1) studies of education in which the issues identified and methods employed fall within the purview of traditional humanities disciplines such as linguistics, literary theory, history, jurisprudence, philosophy, and religion;

These reporting standards were adopted by the Council of the American Educational Research Association in January 2009. The Council extends its thanks to the AERA Task Force on Standards for Reporting on Humanities-Oriented Research in AERA Publications for quality work and breadth of consultation in the preparation of draft standards for Council consideration. The Task Force Members were Tom Barone, Marilyn Cochran-Smith (Chair), Kenneth Howe, Linda Perkins, Tom Popkewitz, Gerald Strofe (ex officio), and Lynda Stone.
(2) studies of education that have a relatively heavy interpretive-theoretical emphasis that fall within the general purview of social science disciplines such as cultural studies and some branches or subdisciplines of cultural anthropology, sociology, economics, and political science; and

(3) an array of other approaches to studies in education such as critical, arts-based, and narrative that are not exclusively identified with any particular discipline but that more closely resemble the general methods of the humanities relative to the methods articulated in AERA’s Social Science Standards.

b. Purposes of Humanities-Oriented Research in Education

Throughout its history, the central purpose of humanities-oriented research has been the exploration and understanding of forms of human existence. In pursuit of this general purpose, humanities-oriented research undertakes investigations into the relationships among reason and emotion, the ethical life, the good life, the just society, the characteristics of the good citizen, and concepts of self, knowledge and its grounds, and the arts and their appreciation. Humanities-oriented research in education explores these issues within the specific domain of education, as in how reason and emotion are represented in school practices or what role education plays and ought to play in the formation of the citizenry.

Woven into the fabric of humanities-oriented research in education, as in humanities-oriented research more generally, are various forms of criticism intended to problematize unrecognized assumptions, implications, and consequences of various kinds of educational practice, policy, and research, as well as to challenge what these approaches take for granted as beyond questioning. In this way, humanities-oriented research in education is often intended to foster dissonance and discomfort with conventional practice and, in some cases, to suggest alternatives.

Exemplars of understanding the concerns that constitute the core of humanities-oriented research are found in traditions across historical contexts—from the ancient texts in Confucian, Buddhist, and Taoist traditions in Asia, to ancient Kemetic and other philosophical traditions in Africa, to similar traditions across Indigenous communities in the Americas—in each case providing texts through which critical examinations of the human condition have affected how communities organize traditions for learning and development. The European humanities have their roots in the classical Greek idea of paideia, a form of general education designed to prepare young men for citizenship. The Renaissance humanists distinguished studies in the humanities from studies of divinity. By the 19th century, the humanities had come to be identified with a domain of intellectual activity distinct from the sciences and, by the 20th century, a domain distinct from the social sciences as well. Many of the debates surrounding education in the Western world have been influenced by this evolving European tradition, and many contemporary conversations have to do with expanding the traditions on which we draw.

c. Content of Humanities-Oriented Research in Education

Humanities-oriented research in education asks questions about how and why education transpires in the way it does, the purposes and interests it may serve (intended or not), and the consequences that result. Topics typically are ripe with value dimensions—political, ethical, and/or aesthetic—which are often an explicit focus of investigation, critique, and recommendations for improvement. Although its values dimensions are ever-present, humanities-oriented research does not always make judgments about what is good or bad or make recommendations about how things can be improved. For example, some humanities-oriented research is intended to illuminate educational processes or phenomena by providing insightful and sometimes provocative portrayals of them and their origins, without proffering judgments. By contrast, other humanities-oriented research takes a normative approach, in which questions of value are directly pursued and the researcher argues an explicit position about the need for fundamental changes in the methods and aims of education.

d. Methods of Humanities-Oriented Research in Education

Humanities-oriented research in education attempts to gain an understanding of the explicit and implicit messages and meanings of education, to point out the tensions and contradictions among them, and to compare and critique them on ethical or other value-oriented grounds. A prominent feature of humanities-oriented research in education is its use of interpretive methods, broadly construed, which investigate the history, meanings, beliefs, values, and discourses that human beings employ in the production of social life. Specific kinds of interpretive methods and the other methods that augment them vary substantially across the spectrum of humanities-oriented research in education.

e. Empirical Aspects of Humanities-Oriented Research in Education

Humanities-oriented research seeks to examine the role of education in human existence through experience and observation. In pursuit of this general purpose, humanities-oriented research is empirical. Because much education research in the social sciences is also empirical, there is overlap between the two domains, and the standards appropriate for evaluating humanities-oriented research in education complement and sometimes overlap with AERA’s Social Science Standards. James Coleman’s celebrated work on educational inequality provides an illustration. Coleman first investigated the inputs and outputs of public schools vis-à-vis race and subsequently pursued an analysis of the implications with respect to different conceptions of equal educational opportunity. The first part of this work—a large-scale survey, regression analysis, and case studies—would be quite appropriately evaluated in terms of the Social Science Standards. These standards would be inappropriate, however, for evaluating the conceptual emphasis of his study in which Coleman argued that the concept of equal educational opportunity should be interpreted in terms of equal educational outcomes rather than the more commonplace equal inputs. This argument was made on philosophical grounds and drew significant attention from philosophers who appraised it on those grounds.

Coleman’s work on equality of educational opportunity is useful for illustrating how humanities-oriented research in education is linked to empirical research on education, as
conceptualized in the Social Science Standards. However, humanities-oriented research, especially in education, is often more seamless, as is the case in much historical and philosophical research in education, for example. Whereas the Coleman example separates phenomena and conceptual methods, humanities-oriented research often looks to the overlapping and dialogic qualities between what is studied and the conceptual categories implicitly or explicitly guiding the study.

These two examples represent two ways of addressing the “empirical” and also point to the intellectual diversity of humanities-oriented research attended to in the standards outlined in this document.

g. Controversy Within Humanities-Oriented Research

Controversy is inherent in the broad, value-laden questions that humanities-oriented education research asks, and the answers to these questions typically are uncertain and provisional. Adding to the potential for controversy, humanities-oriented research in education frequently opens to critique, explicit or implied, the larger social, cultural, economic, and political contexts in which educational institutions and practices are embedded. Critical traditions in curriculum theory are illustrative of this role, as are revisionist history and poststructuralist analysis of educational phenomena and policies. Controversy in interpretation and understanding of educational phenomena is a permanent feature of the dynamic scholarly conversations in which humanities-oriented researchers engage.

h. Reflective Education Research

An important kind of humanities-oriented research that merits special comment is “reflexive education research,” or education research that takes education research itself as its object. This category encompasses multiple approaches and styles of reasoning. The issues explored here fall into at least two categories: (1) an analytic category, which divides into two overlapping subcategories, methodological-epistemological and moral-political; and (2) a genealogical category, which investigates the historical and epistemological sources that form what has come to be considered received knowledge about education.

The first of the analytic categories asks questions about the meanings and relationships among central research concepts, such as “interpretation,” “understanding,” “qualitative,” and “quantitative,” as well as “scientific,” “bias,” “objective,” “subjective,” “representation,” and “technical rationality.” This category also considers overlap and disagreement about methodologies, traditions, and representations such as postpositivism, poststructuralism, pragmatism, arts-based research, feminism, and critical theory.

The second analytic category consists of questions about the nature of value commitments in education research, research ethics, and the politics of knowledge, or the complex relationships among power, politics, research methodology, and knowledge production.

The genealogical category questions the very distinctions inherited as the “common sense” of research that frames the controversies described above. This category investigates the relationship between epistemology and ontology, how these change in historically contingent ways, and how initial epistemological conceptions and assumptions persist in subsequent conceptions.

Education researchers are committed to positions in each of these two broad categories, if only implicitly, and the nature of their commitments affects what they investigate as well as how they go about it.

II. Standards

One of the prominent features of humanities-oriented research in education is its wide variation in genre, form, and format. To accommodate this variation, the standards designated here are general. Two features deserve emphasis: (1) The appropriateness of any of the standards is contingent upon the purpose and rhetorical form and structure of the particular scholarly work that is under review for publication; and (2) not every standard is applicable or appropriate for every piece of humanities-oriented scholarly work in education.

In addition to attending to these general standards for humanities-oriented research in education, authors of manuscripts intended for publication in AERA journals should take into account the standards for publication employed in their specific areas of scholarship, such as history, philosophy, and so on. Specific disciplinary standards should also be applied by a subset of the reviewers for a given manuscript who have appropriate specific
expertise, adjusted as appropriate for AERA journals’ more general audience.

1. SIGNIFICANCE

Humanities-oriented research in education occupies various and sometimes overlapping scholarly spaces; within the boundaries of formal disciplines, at the intersection of two or more humanities disciplines, and in interaction with the research traditions represented in the Social Science Standards. Thus the problems and methods of humanities-oriented research are formulated and produced in relation to multiple and interdisciplinary literatures. This bringing together of different spaces in the formulation and production of research may be viewed as joining conversations in which issues related to education and schooling are addressed. Contributing to these conversations involves drawing upon and integrating available literatures and may involve engaging scholarship from different fields of research to illuminate the particular problem at hand. However, it is important to note that works employing feminist, poststructuralist, postcolonialist, arts-based, and some other humanities-oriented approaches are often designed explicitly to explore new paths to the production of informative education research texts and thus often depart from the orthodoxies found within other disciplinary traditions.

1.1 Significance of Topic. The topic of the manuscript should be significant to the scholarly community in one or more of the following ways: is timely and important; addresses an issue that has been neglected; is intrinsically interesting or edifying; fills a gap in current knowledge; and/or raises significant questions about extant knowledge.

1.2 Appropriateness of Topic. The topic of the manuscript should be appropriate (significant) to the themes and audience of the AERA journal to which it is submitted.

1.3 Use of Scholarly Literature. The manuscript should demonstrate familiarity with and mastery of current literature relative to the topic. In some humanities-oriented research, this is accomplished by a literature review akin to the approach associated with the AERA Social Science Standards. More typically, however, familiarity with and mastery of the literature is manifest in its integration into the overall research representation.

1.4 Scholarly Contribution. The manuscript should make a clear scholarly contribution, which can take different forms, including joining and advancing a conversation within its existing boundaries, radically redirecting a conversation, and trenchantly disregarding or speaking back to elements within the prevailing research culture.

2. METHODS

Humanities-oriented research in education employs a broad range of methods that are typically described as interpretive, qualitative, and conceptual but may also include quantitative methods. The specific methods employed depend on the area of humanities-oriented research in question as well as different strands within areas.

In general, humanities-oriented research is much less likely to explicate research methods in a separate section of a manuscript than is research that fits with the conception of empirical research considered in AERAs Social Science Standards. This difference is due in part to tradition. But it is also due to the character of much humanities-oriented work, in which varied, open-ended methods are embodied within the portrayals and discussions of the phenomena under study.

2.1 Identification of Methods. Authors of humanities-oriented manuscripts should take into account the broad range of research methods to be accommodated and the relative difficulty in meaningfully separating the execution of methods from the other dimensions of humanities-oriented studies of education. Authors should also be attuned to the audiences of AERA journals and should craft their manuscripts to be as explicit about methods as the rhetorical form and structure of their work permits.

2.2 Appropriateness of Methods. Where appropriate, explanation of methods may include explanation of how they are suited to accomplishing the overall aims, conceptualization, and design of the work.

2.3 Execution of Methods. The particular methods employed in a work should be applied in a manner that is effective in terms of the particular criteria that apply to those methods.

3. CONCEPTUALIZATION

A manuscript should provide a conceptualization of the work that brings its topic(s) and method(s) together in terms of a discipline, school, tradition, emergent approach, or specifically tailored conceptual framework. As indicated previously, much humanities-oriented research is relatively seamless with respect to topics under investigation and methods employed. Humanities-oriented researchers often do not explicate the specific conceptualization their work exemplifies. For example, they may provide a genealogical or feminist or pragmatist analysis without an explicit indication that they are working within such a framework. As in the case of methods, this lack of explicitness is often quite appropriate in specialized publications, but also as in the case of methods, authors of humanities-oriented manuscripts for AERA publications should be attuned to the need to be relatively explicit about the conceptualization of their work in communicating with AERA’s more general audiences.

3.1 Identification of Perspective. The perspective, scholarly tradition, school, and/or conceptual framework and the methods employed should be made explicit, consistent with the rhetorical form and structure of the manuscript.

3.2 Identification of Aims. The aims of the inquiry should be made explicit, consistent with the rhetorical form and structure of the manuscript.

3.3 Conceptualization of the Inquiry. The conceptualization and design of the inquiry should be suited and adequate to accomplishing the aims of the work.

3.4 Scope and Limits of the Inquiry. The scope and limits of the inquiry should be stated explicitly, where appropriate, and should align with the perspective, aims, and conceptualization of the inquiry.
3.5 Use of the Scholarly Literature. The manuscript should make effective and accurate use of the relevant scholarly literature in its conceptualization, particularly with respect to identifying its perspective and aims.

4. SUBSTANTIATION

Substantiation may mean establishing the warrant for arguments, the adequacy of interpretations, or the credibility and usefulness of a portrayal of educational phenomena for raising significant questions or prompting exploration of new possibilities. The standard of substantiation varies in what it requires of a particular manuscript, depending on that manuscript’s conceptualization, including any theoretical framework, as well as its methods. In all cases, the standard of substantiation requires the careful selection of various materials (the scholarly literature, archival evidence and documentation, appropriate examples, empirical data collected by the author) for inclusion in the manuscript that support its proffered portrayal or argument.

4.1 Warrant/Credibility. Substantiation is achieved in two general ways, which are not necessarily exclusive: (1) by establishing that the knowledge claims and arguments pertaining to representations and explanations of educational phenomena are warranted, and/or (2) by providing interpretations and portrayals of educational phenomena that are credible, persuasive, and/or effectively interrogatory.

4.2 Use of Scholarly Literature. Manuscripts should make judicious, effective, and accurate use of the relevant scholarly literature in supporting their portrayals or arguments when appropriate, whether in a particular section of the manuscript devoted to reviewing the literature or through the weaving of references to the literature within the arguments or portrayals of the text.

4.3 Use of Empirical Evidence and Other Intellectual Resources. Manuscripts should, as appropriate, include observational data, archival evidence and documentation, and other intellectual resources (e.g., thought experiments, evocative imagery, or artful reconfigurations of educational phenomena) in supporting their portrayals or arguments.

4.4 Critical Qualities. Manuscripts should demonstrate a critical self-awareness on the part of authors regarding their own perspectives. As appropriate, manuscripts should buttress their portrayals or arguments by anticipating and responding to objections, counterexamples, and counterarguments.

5. COHERENCE

The standard of coherence is closely related to the standards of significance, explication of methods, and conceptualization. However, while the standards of significance and methods focus on how cogently a manuscript formulates its plan or design, coherence, like substantiation, focuses on the effectiveness of a manuscript in accomplishing its aims. The standard of coherence requires effectively encompassing methods, data, and other intellectual resources, as appropriate, within a given framework or tradition. Coherence relates to the skilled application of the principles and procedures of reasoning and meaning construction in different traditions.

5.1 Internal Coherence. Internal coherence involves the use of compelling confirming and disconfirming evidence to enable readers to understand and/or re-experience educational events, concepts, value systems, or issues in comprehensible and illuminating ways. The various elements of a text should be internally coherent in that they fit with the inquiry’s topics, aims, methods, and conceptualization.

5.2 External Coherence. The inquiry should be externally coherent. That is, it should exhibit an awareness of, and, as appropriate, engage alternative or competing cultural, social, political, or intellectual perspectives.

6. QUALITY OF COMMUNICATION

The purpose of the quality of communication standard is to promote clarity through attention to an author’s presentation and writing style, including choice of title, abstract, and headings.

Clarity of presentation is essential for effectively reporting all types of education research. However, clarity is especially important in preparing manuscripts in the humanities-oriented tradition because words and ideas themselves—their political meanings, other contextual connotations, and their historical usage—are often central to the exploration of educational phenomena and often are used in specialized ways. Generally, tables and graphs are not used to summarize or explain the findings of humanities-oriented research in education, increasing the burden placed on clarity of presentation and writing. In addition, because humanities-oriented research in education is often multidisciplinary, manuscripts must be accessible to readers in the several disciplines referenced. For AERA publications aimed at a general scholarly audience, it is important that authors consider the possible need to explain or translate terms or references that are commonplace within their own disciplines or theoretical approaches.

Authors of humanities-oriented publications must pay special attention to selection of titles for their journal articles. With some modes of humanities-oriented research, it is common for titles to involve turns of phrase or artistic representations designed to call attention to unexamined assumptions or to highlight critical aspects of social phenomena. Although titles like these may be freighted with meaning in the context of a particular discipline or a full manuscript, they may fail to fully inform readers about the subject matter.

6.1 Clarity of Manuscript for the Intended Audience. Humanities-oriented research prepared for AERA journals, or for other journals intended for a nonspecialty audience, must be especially attentive to the clarity of writing and the possible requirement to translate or illustrate central concepts likely to be unfamiliar to general readers.

6.2 The Title of the Manuscript. The title should convey what the article is about and use terms that facilitate its discovery through electronic indexing and searching.

6.3 The Abstract. When an abstract is called for by a journal, it should provide a summary of the article that is self-contained, concise, and accurate. Presentation of the
abstract should be in accordance with the format and structure required for the AERA publication. Although the “structured abstract” movement has gained momentum in the education research community, structured abstracts are often inappropriate for humanities-oriented research. However, if appropriate, abstracts should identify the question or problem addressed, describe the mode of analysis or methods of interpretation, name the conceptual orientation of the study, and state conclusions and implications.

6.4 Headings and Subheadings. Headings and subheadings should make clear the logic and structure of the manuscript and facilitate readers’ comprehension of central points in the line of reasoning.

7. ETHICS

AERA has issued a set of ethical standards for the conduct of research to which its members and those who participate in all AERA programs, including publishing, are expected to adhere (see Ethical Standards at http://www.aera.net/AboutAERA/Default.aspx?menu_id=90&id=222). It is assumed that authors seeking publication in AERA journals are familiar with and adhere to these general ethical standards. In addition, the AERA Social Science Standards describes ethical dimensions of empirically oriented social science research and spells out standards that derive from those dimensions that also apply to humanities-oriented research. Authors and reviewers of humanities-oriented education research manuscripts are expected to be familiar with and adhere to these. This document refers specifically only to ethical issues that are directly relevant to humanities-oriented research.

One purpose of humanities-oriented research in AERA publications is to broaden conversations about the forms that education research may take and the purposes it may serve. Part of this aim is based on recognition of the fact that for some forms of humanities-oriented research, such as philosophical analysis of an influential education construct or an arts-based analysis of an educational phenomenon, there is no distinction in time or space between “conducting” and “reporting” research. Thus consideration of ethics in humanities-oriented research entails far more than standards for “reporting” research. Ethics is integral to, and woven into, the entire scholarly enterprise.

Traditionally, research ethics has concerned conduct among persons. In humanities-oriented research, this conduct may be direct or indirect. Direct conduct concerns fidelity between researchers and participants as well as with fellow researchers. Matters of ethics include, but are not limited to, fair treatment of all participants, adherence to agreements regarding privacy and confidentiality, and appropriate presentation and representation of perspectives. Indirect conduct involves integrity of scholarship, including but not limited to appropriate uses of sources and accurate citation of others’ ideas and research.

Where appropriate, manuscripts should indicate the ethical decisions that shaped how an inquiry was designed or undertaken and how texts and other data were organized, maintained, and analyzed in line with confidentiality guarantees and data protection plans. This discussion should include considerations with respect to informed consent, confidentiality agreements, and any incentives offered for participation. In instances where researchers altered descriptions or combined data into composite portraits to mask the identity of locations, institutions, or individuals, these decisions should be described.

Humanities-oriented research is expected to reflect the highest standards of ethical practice with respect to both human participants and the execution of professional conduct and judgment. Humanities-oriented research should represent the work of the authors with appropriate attribution to others and without plagiarism or misappropriation of the writing or ideas of others. When appropriate, conclusions should be open to further analysis. Funding sources or other sources of support that may raise issues of conflict of interest should be noted.

7.1 Human Consent/Access to Information. All manuscripts should honor human consent agreements and any other agreements pertaining to gaining access to the research site or to texts, text analogues, and artifacts, including but not limited to transcriptions of talk, visual representations, graphical displays, and archival data that could inadvertently compromise guarantees of anonymity and/or the confidentiality of information. When Institutional Review Board (IRB) approval is relevant, it should be explicitly stated that a given inquiry was carried out in accordance with IRB approval.

7.2 Perspectives and Voice. Ethical and political issues involved in the presentation, representation, and analysis of data that are relevant to evaluating the research should be acknowledged within the text or within appended or footnoted material, as appropriate. Ethical issues related to authorship, ownership, and voice should be acknowledged, where appropriate. The issues of power involved in whose versions of events are privileged and who decides which events or aspects are included and/or omitted should be acknowledged. It should be clear how participants’ perspectives were respected and honored.

7.3 Bias. An important characteristic of much humanities-oriented research in education is that it directly takes on questions related to values, morals, and ideals based on the assumption that no research (and no researcher) is neutral when it comes to values. Humanities-oriented research should describe any potential conflicts of interest that could influence the analysis, such as sponsorship or funding by a party with a vested interest, and the researcher’s perspective should be acknowledged in the research, as appropriate.

7.4 Evidence/Reasoning. Texts, text analogues, artifacts, visual representations, and archival data should be maintained in such a way that other researchers who understand the purpose and procedures of the research could understand how evidence was used to make claims or follow the line of reasoning that led to the researcher’s conclusions.

7.5 Funding/Sponsorship. Funding support should be acknowledged in a publication note, where appropriate. In special circumstances, where sponsors cannot be acknowledged by name, a description of the nature of the sponsor should be provided.