

DISSERTATION HANDBOOK

**Doctor of Education
in Educational Leadership**

**School of Education
Union University
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CHAPTER 1

INTRODUCTION

Purpose

All graduate-degree granting institutions are committed to assisting graduate students and faculty members to meet the goals of consistency, logical organization, attractiveness, and correctness in scholarly writing. This manual is designed to provide guidance to the doctoral candidate in the preparation of the doctoral dissertation according to the requirements of the Ed.D. Program in Educational Leadership. This document describes the steps of the dissertation process, offers sample forms, and presents the program's form and style requirements with examples. The candidate is responsible for ensuring that each of those steps and style requirements is followed and that all required submissions are made by the specified deadlines in Appendix C.

Because this information is essential and subject to change, and because the candidate is responsible for adhering to all of it, candidates should become familiar with it and resolve any questions with their chairs before proceeding with their dissertation work. Clear understanding and adherence to the following will make the dissertation process smoother for all concerned.

Ethics of Dissertation Research

The primary responsibility for ensuring ethical conduct throughout the dissertation process, and ethical treatment of subjects, lies with the doctoral candidate and the dissertation chair. Since conferral of a graduate degree implies personal integrity and knowledge of scholarly methods, there are three areas in which graduate students should be particularly cautious: (a) proper acknowledgment of cited works, (b) the use of copyrighted material, and (c) approval to conduct research involving human subjects.

Merriam-Webster Dictionary defines plagiarism as “to steal and pass off (the ideas or words of another) as one's own” (<http://www.merriam-webster.com/dictionary/plagiarism>). Any material taken from another source must be cited and documented, and in no case should one present another person's work as one's own. Extreme caution should be exercised by students involved in collaborative research to avoid questions of plagiarism. If in doubt, students should check with the dissertation chair and the graduate program director about the issue. Plagiarism will be investigated when suspected and prosecuted if established.

If copyrighted material is used in a limited way, permission to quote usually need not be sought. If, however, extensive material from a copyrighted work is to be used such that the rights of the copyright owner might be violated, permission of the owner must be obtained. In determining the extent of a written work that may be quoted without permission, the student should consider the proportion of the material to be quoted in relation to the substance of the entire work. In no case should a workbook, exercises, standardized test, answer sheet, survey, or similar material considered to be consumable be copied and included in a dissertation without written permission.

The publisher usually has the authority to grant permission to quote excerpts from the copyrighted work or can refer requests to the copyright owner or designated representative. The copyright owner may charge for permission to quote. Permissions should be credited with the acknowledgments, and the source should appear in the reference section of the manuscript.

Compliance with federal regulations governing the use of human subjects, animal care, radiation, legend drugs, recombinant DNA, or the handling of hazardous materials in research is monitored by a number of federal agencies. Because of these regulations, research compliance is another area of importance to graduate students and to the conduct of their research. All research conducted at Union University involving human subjects must be approved by the University's Institutional Review Board (IRB) before the actual research begins. Forms required by the IRB along with detailed information may be obtained from the IRB's web site (<https://www.uu.edu/research/irb>).

The candidate completes and submits an IRB application to the dissertation chair, who submits it after reviewing it to the Institutional Review Board on behalf of the student. All IRB resources can be found at <https://www.uu.edu/research/irb>. The IRB determines the level of review that is needed (exempt, expedited, or full) and initiates the appropriate review process for that level. The IRB communicates the results of the review to the student and to the dissertation chair. Note: The best-case scenario to achieve exempt status is to include only pre-existing/archival data in the research investigation. Under exempt status, there should be no use of inventory scales, questionnaires, or interviews to collect any information for the purpose of clarifying, validating, or answering any questions, hypotheses, or data analysis.

Graduate programs in education at Union University are designed to provide, within a service-oriented Christian environment, quality graduate study opportunities to meet the educational needs of students. The mission of the School of Education states, “With Christ as our center, we develop educational leaders whose mission is to transform lives.” In line with this mission, the goal of the graduate program, as well as the student's dissertation committee, is to ensure that a dissertation is produced that will reflect credit and academic integrity on the student, the student’s committee, the department, and the graduate program.

Other Documents

For style issues not dealt with specifically in this handbook, students should use the most recent edition of the *Publication Manual of the American Psychological Association* (APA). To ensure that dissertation proposals are approved by the Union University Institutional Review Board (IRB), candidates should obtain, read, and understand the latest version of the IRB guidelines for submitting research protocols at <https://www.uu.edu/research/irb>.

CHAPTER 2

DISSERTATION PROCESS

The dissertation is an original and scholarly research contribution to the candidate's chosen area of specialization. It should demonstrate competent application of appropriate research procedures and ethical guidelines in the investigation of a significant problem or issue chosen by the candidate with the guidance of the candidate's dissertation chair and committee.

The Research Process

The research process in the doctoral programs can be seen as a continuum of three years (or tiers) that includes three scholarly works: Tier 1 includes the development of a Qualifying Paper or an extensive literature review; Tier 2 includes the development of the Dissertation Proposal; and Tier 3 includes conducting the research study and development of the Dissertation itself. Students in the P-12 School Administration doctoral program in EDR 707 Leadership Research Seminar complete the Qualifying Paper, a literature review that is presented in the Qualifying Paper Symposium. Students in the Higher Education doctoral program complete the Qualifying Paper in EDR 750 Higher Education Research. This qualifying paper is an extensive review of literature (a minimum of 30 sources) based on seminal and current literature in Educational Leadership. Half or more of this literature will be based on primary sources that are current within the last five years. The topic for review may or may not be coincidental with the dissertation topic.

The Proposal

The dissertation proposal is developed as a part of EDR 712 Dissertation Seminar/EDR 751 Dissertation Research in Higher Education in collaboration with the dissertation chair and research committee. The Proposal comprises the first three chapters of the dissertation. The second chapter of the Proposal, the Review of Literature, contains a minimum of 40 references, half or more of which are primary sources and dated within the last five years, and a minimum of 40 pages.

The Dissertation

The Dissertation is completed during registration in EDR 790 Dissertation, after the doctoral student has achieved candidacy. Candidacy is achieved upon the successful completion of all course work, the approval of a Dissertation Proposal, and the passing of the Comprehensive Examination. During this period, doctoral candidates will add significantly to the first three chapters that constituted the former Proposal, especially Chapter 2, Review of Literature. The Dissertation is based on an extensive literature review that relies upon primary sources for an empirical research foundation. Most of the literature added to the Dissertation after Proposal approval will be primary sources. Primary sources describe empirical research studies, those that were conducted first-hand by the original researcher(s). During EDR 790, the doctoral candidate will complete the research study as described in the research methods in Chapter 3, report findings and results in Chapter 4, and discuss conclusions and implications of the findings in Chapter 5.

Submission of Article/Paper for Publication or Presentation

The Ed.D. student must submit a paper, written by the student with guidance from the dissertation chair, for publication or professional presentation during enrollment in the Ed.D. program. Upon accomplishing this requirement, each student must submit proof of the submission of the article/paper and the chair's approval signature to the program coordinator (see form, Appendix A-4). Validated verification of official submission must be on file before the student will be permitted to defend his/her dissertation. It is the student's responsibility to complete this requirement. Information concerning the processes involved in article or paper submission should be discussed with the dissertation chair.

The Proposal Development Process

The approval process for dissertations is a necessary part of the overall process of developing the research and the final written description of that research. The sequence below is the one normally followed. Students should not attempt significant variations from this sequence.

Selection and Approval of the Dissertation Committee

The doctoral learning community is created by the dynamic of faculty working with students in coursework, seminars, and doctoral processes. The dissertation committee chair and committee members are an integral part of this scholarly community where students, chairs, committee members, seminar instructors, and research design and statistics instructors collaborate to ensure quality inquiry and writing.

The candidate's doctoral dissertation chair and committee are responsible for guiding the student in all steps of the dissertation process, including the finalization of a topic for the dissertation research, approval of the dissertation proposal, and the approval of the completed

dissertation and oral defense. The chief responsibility for this guidance lies with the dissertation committee chair.

Under the direction of the director of the Ed.D. Program, a dissertation committee consisting of a chairperson and two other members will be selected. The dissertation committee chairperson shall be a full-time graduate faculty member from the School of Education or an adjunct graduate faculty member in the School of Education with special knowledge and expertise. The chair will be assigned by the program director during EDR 707 (P12 concentration) or in EDR 750 (Higher Education concentration). The remainder of the committee is comprised of two other members: (a) one full-time or adjunct graduate faculty member from Union University (assigned by the program director); and (b) an outside committee member (recommended by the student), one who is not a faculty member at Union University, who has earned a terminal degree, and who has a research interest in the dissertation topic. This outside committee member is recommended by the student during EDR 712 (P12) or EDR 751 (HE) and must be approved by the program director (see Appendix A-1). Instructors of EDR 710 Intermediate Statistics, EDR 720 Research Methods and Design, EDR 725 Advanced Statistics and Design (P12), and EDR 708 Qualitative Inquiry in Education (HE) serve as ad hoc members of each dissertation committee as consultants in the area of statistics and research design. Instructors of the doctoral seminars play a supporting role and serve as resources, as well, in this scholarly community.

Arrangements for the selection of the committee chair are typically made during Tier 1 of the student's program. Chair selection is based on the chair's research interests as they relate to the student's research focus. Further, students should finalize topics that may develop into the

proposal topic as a result of collaborating with the appropriate entities (i.e., school districts, higher education institutions) and the research seminar instructors. The program director will assign a dissertation chair during Tier 1.

The dissertation chair is a pivotal person in the dissertation process, determining when each section of the candidate's work is ready to be reviewed by all committee members. Meetings of all committee members are decided upon by the chair and arranged by the student with the approval of the chair. The oral defenses are directed by the chair. Students in the literature review development courses as well as those in the proposal development courses shall meet with their chairs at least one time in each sequence, unless otherwise arranged with the dissertation chair.

The candidate's dissertation committee supports, guides, and directs the dissertation experience. The committee's primary function is to provide written or oral feedback on various drafts of the candidate's dissertation chapters and to ensure that a scholarly product is the result. Committee members provide invaluable time and effort to a candidate's dissertation experience; therefore, committee members should be given completed drafts at least two weeks in advance to allow appropriate time for review before providing feedback. Students must make the changes recommended by committee members before the next meeting with the chair or committee or before submitting another draft.

Proposal Development

The dissertation proposal is a detailed plan of the proposed dissertation study and consists of Chapters 1, 2, and 3 of the dissertation. Doctoral students develop a proposal while taking dissertation seminars, research methods and design courses, and statistics courses. As the

research proposal is developed, the student should give attention to the selection of data-gathering instruments and to obtaining permissions that will be necessary for the completion of the proposed research. See Appendix G for the dissertation rubric offering guidelines and criteria for writing Chapters 1, 2, and 3.

Structure of the Literature Review. Students should use the “funnel” approach to structure the review of literature (i.e., general to specific). Begin the review with a discussion of the historical and general theoretical bases for the topic and end with empirical studies of primary sources closely related to the study. Primary sources describe research conducted by the original researcher (i.e., first-hand, original research). Within this structure, headings and subheadings should be used. Each section and subsection should contain empirical research from primary sources (there may be a few exceptions where only secondary sources may be found). Begin with a synthesis statement or paragraph concerning the research contained within the heading. Next, discuss the individual studies in detail (i.e., the sample, instrument, procedures for data collection, and findings). Then, close the section with a conclusion that is an evaluation of the literature. As a result, each heading or section should begin with a synthesis of the reported research, followed by analyses of that research, concluding with an evaluation or summary of that research.

Primary vs. Secondary Sources. The literature review should contain primary sources. Primary sources describe empirical research studies, those that were conducted first-hand by the original researcher(s). The literature review contains a minimum of 40 references, half or more of which are primary sources and dated within the last five years, and a minimum of 40 pages.

Secondary sources are rarely appropriate in a dissertation; however, it is appropriate to use books written by experts in the field of study. Do not use secondary sources that summarize the empirical studies of others (e.g., as cited in).

Overuse or Misuse of Direct Quotes. A limited number of direct quotes may be judiciously used if restricted for emphasis, effect, or authoritative support. For the most part, the review of literature should be a synthesis of the source material, a paraphrase, primarily presented in the candidate's own words. The use of too many quotations implies a lack of mastery of the topic.

List of Components. See the templates developed for the dissertation.

Proposal Submission and Approval Process

Before beginning the required dissertation research, the student must submit a research proposal (Chapters 1-3 of the dissertation) to the dissertation committee members for their approval. An approved dissertation proposal serves as an important contract between the candidate and the dissertation committee, describing how the proposed dissertation research should proceed. Any subsequent departures from that contract must be approved by the dissertation committee.

Review of the Research Review Panel

All School of Education students who propose to conduct research must have Chapter 3 of the Proposal reviewed by the Research Review Panel (RRP) before the proposal approval meeting. Each student will submit Chapter 3 of the research proposal to the RRP and meet with the panel of faculty members to receive additional feedback or suggestions for improvement. Chairs are highly encouraged to attend the panel discussion with the student. Students will

receive feedback related to three concerns: Major Concerns, Minor Concerns, and Editorial Concerns. For Minor and Editorial Concerns, the student and Chair may consider these concerns in revising Chapter 3; however, the student does not have to go through RRP again and may move forward with scheduling proposal approval meeting. If there are Major Concerns, the student must address the major concerns and re-submit Chapter 3 to the RRP for review and may not move forward with proposal approval meeting. Once the student has received RRP approval, the student may then move forward with proposal approval meeting.

Proposal Methodology and Statistical Design Approval

Ed.D. students are required to follow a methodology and statistical design approval process beginning at the proposal preparation stage. Step one is to meet with the Research Review Panel, as described earlier, for feedback on Chapter 3. Next, after making suggested revisions, the student will obtain the approval signature of the Research Review Panel representative and the student's chair on the Proposal Methodology and Statistics Approval form (Appendix A-2) and submit the form to the graduate office to schedule the proposal approval meeting.

It is the student's responsibility to maintain and submit the Methodology and Statistics Approval form at the mandated time. Forms must be submitted to the program office, fully completed with all signatures, prior to defense.

The Proposal Approval Meeting

When the dissertation chair determines that the proposal is ready for approval, the student will work with the chair and committee members to schedule a Dissertation Proposal Approval Meeting. See Appendix C for an overview of the proposal approval meeting.

In collaboration with the dissertation chair and all committee members, the student will schedule the virtual approval meeting and will provide the Zoom link to all committee members. The Proposal Methodology and Statistics Approval Form (Appendix A-2) must be completed and received by the Program Office prior to scheduling the proposal approval meeting. Subsequently, the student will prepare and provide the Dissertation Proposal Approval Form (Appendix A-3) for the committee after successful defense of the proposal. The committee may choose to approve the proposal as written, approve the proposal upon specific changes indicated by the committee, or disapprove the proposal. If changes are required, the student is responsible for making all necessary changes immediately and submitting the revised proposal to the chair. The chair holds the responsibility of ensuring that all changes have been made. Upon submission of a satisfactory proposal to the chair, the student will complete the Dissertation Proposal Approval Form (Appendix A-3) with all signatures indicating full committee approval. The approved proposal form (Appendix A-3) must be on file before the student registers for dissertation hours and begins the research study.

As stated previously, all students and university faculty and staff who propose to conduct research involving human subjects must have prior approval from the Institutional Review Board.

Comprehensive Examination

Upon completion of all coursework with at least a 3.2 GPA, students receive clearance to take the comprehensive exam.

Written Comprehensive Examination

In the written comprehensive examination, students respond to three questions chosen from coursework within the Program of Study. Questions are chosen from courses from the three components of the program: Leadership Issues, Leadership Practice, and Leadership Research, with the exception of the LSR program. Students are supplied the course name and a topic prompt for each question approximately two weeks prior to the written exam. Students are given four hours to respond to each question during the 10 days timeframe to complete each question. All responses are generated in the university's learning management system.

A course instructor writes the comprehensive exam question for each course and serves as initial evaluator of the response unless the instructor is no longer employed by the university. If a course chosen for comprehensive examination has been transferred from another institution, the student may request that an alternate course be selected by the Program Director. The responses will be graded *Pass or Not Pass*. The evaluators are given two weeks to complete the assessment of the exams. The Program Director will inform the student and dissertation chair of the results of the written examination. If successful on the comprehensive examination, the student achieves Candidacy, provided the dissertation proposal has been approved, and may register for dissertation hours.

If the student is unsuccessful on the written exam, not passing at least one of their three responses, the student with one failed response may choose to retake that part of the exam (with a different question) in the term following the first attempt of comprehensive exams. A student with two failed responses may choose to retake the whole exam (three different questions) a year later. If successful on the second attempt, the student achieves Candidacy (provided the dissertation proposal has been approved) and may register for dissertation hours the following

semester. If unsuccessful on the second attempt, the student is dismissed from the program immediately. No student will be allowed more than one retake. A student with three failed responses on the first attempt of comprehensive exams will be dismissed from the program immediately.

Admission to Doctoral Degree Candidacy

A student must have degree candidacy status as well as IRB approval before beginning the doctoral research. A student will be admitted to degree candidacy status only when the following conditions have been met: (a) successful completion of all pre-dissertation course work with a minimum grade point average of 3.2; (b) submission of a dissertation proposal that has been approved by the student's dissertation committee; and (c) successful completion of the written comprehensive examinations.

Should a student not achieve candidacy by failing to file an approved proposal before the deadline for registering for dissertation hours, the student may petition the dean for permission to register for EDU 751 Proposal Development, a doctoral level course that offers the student within one dissertation term the opportunity to complete the proposal. Following proposal approval and achievement of candidacy, the student may register for dissertation hours in the next dissertation term.

Approval of the Institutional Review Board (IRB)

After the proposal is approved by the dissertation committee, the candidate must receive IRB approval before conducting the research study. Therefore, after implementing suggestions from the Research Review Panel, the candidate will submit all IRB paperwork, required information, and related materials (e.g., copies of instruments, permission forms, informed

consent letters, etc.) to the dissertation committee chair. The chair will review the application materials for accuracy and thoroughness of content and will forward them to the IRB for consideration. After IRB action, the application materials are returned to the student with copies sent to the dissertation chair. Once the application is approved by the IRB, permission from other agencies should be obtained immediately.

There are three levels of IRB review, which are determined by the level of potential risk to the human subjects. First, ***full board review*** is required when there is more than minimal risk to subjects, vulnerable populations are involved, invasive procedures are used, or experimental devices are involved in the research. Research proposals requiring full board review are considered at the regular monthly meetings of the IRB.

Second, ***expedited review*** may take place when there is no more than minimal risk to the human subjects. Expedited review requires research approval by the IRB chairperson or by one or more experienced reviewers.

Third, some types of research conducted with human subjects are ***exempt*** from full IRB review because the research does not pose physical, social, or ethical risks to the subjects.

Exempt status is determined and approved by the IRB chairperson or reviewer after receiving the student's IRB application. The best-case scenario to achieve exempt status is to include only pre-existing/archival data in the research investigation. Under exempt status, there should be no use of inventory scales, questionnaires, or interviews to collect any information for the purpose of clarifying, validating, or answering any questions, hypotheses, or data analysis.

Completion of the Research and Dissertation

Candidacy status allows the student to register for dissertation hours offered in increments of 1-4 semester hours each semester. The candidate should complete the research as it is described in the approved research proposal, working closely with the chairperson of the dissertation committee in all stages of the research. Dissertation students should meet with their chairs at least monthly, creating a timeline for the completion of the dissertation research and written document. The timeline should contain specific times that the student will meet with the chair during the dissertation process. Students should establish how the dissertation chair prefers to communicate, whether in person, by phone, by email, by video conferencing, or a combination. Students should always schedule appointments and not assume the chair can accommodate a drop-in session. Students should make the changes recommended by chairs and committee members before the next meeting or before submitting a subsequent draft and, as a professional courtesy, should allow for a two-week response time from the chair or any committee member during the entire development and writing process.

The dissertation should reflect scholarly writing that is edited and follows APA writing and grammar guidelines and mechanics of style. Dissertations that do not follow these guidelines will not be accepted. Good writing and editing are primarily the student's responsibilities. All drafts should be edited and exhibit work that is considered publish-ready. The student is required to seek the services of a professional editor who is familiar with APA guidelines, proper grammar usage, and scholarly writing characteristics. (See subsequent section for more details about professional editors.) Chairs and committee members are readers and will offer editing suggestions; however, the student should not leave it to the chair to edit the writing in detail.

The concluding step comes at the completion of the full research study. The student will submit Chapters 4 and 5 of the dissertation to the Program Director for review and the Dean's review. This final approval must be obtained before the candidate is allowed to schedule and defend the dissertation research.

Completion of the Dissertation

The candidate may begin the dissertation research only after the proposal is approved and submitted to the graduate office concurrently with the Dissertation Proposal Form (A-3) used to gather electronic signatures of approval and after having received approval from the IRB. Then in accordance with the plan described in the candidate's approved dissertation proposal, consistent with the guidelines of the IRB, the doctoral *Dissertation Handbook*, and under the close guidance of the dissertation chair and committee, the candidate shall conduct the dissertation study, analyze and interpret the data, draw conclusions, and prepare, chapter by chapter, a dissertation manuscript that complies with all steps and guidelines detailed in this *Dissertation Handbook* and as guided by the dissertation rubric (Appendix G). The required format and specifications must be used in writing the manuscript, and the student should use the latest edition of the *Publication Manual of the American Psychological Association* as a guide unless otherwise noted in this document.

Use of Professional Editor. The School of Education maintains a list of approved editors and will pay the approved editor for the first two hours of editing. The student should request the list of editors from the graduate office and contact the editor personally to get on the editor's schedule in advance of required deadlines for submission. This review would take place after Chair approval and prior dissertation committee review for final defense.

Use of Outside Consultants. The student should work closely with the dissertation chair in an ongoing dialogue, as well as the dissertation committee, during the writing of the dissertation to ensure the committee's approval of the final product. The use of outside consultants may be allowed at the discretion of the chair. However, candidates will be responsible for demonstrating their own thorough understanding of all aspects of their dissertation. The use of outside consultants for proposal writing or for writing dissertation sections is expressly prohibited.

Time Limitations. All doctoral students must maintain continuous enrollment status until graduation. If encountering extreme extenuating circumstances inhibiting continuous enrollment, the student should contact the Program Director to discuss a limited leave of absence.

All requirements for the doctoral degree must be completed within seven years from the first semester of enrollment in the doctoral program. Students needing more than seven years to complete the degree must petition the dean of the College of Education for a limited time extension.

Grading of EDR 790 Dissertation. Students enrolled in EDR 790 Dissertation shall meet with their chairs face-to-face or by online contact at least one time per term of registration in order to be considered for the Progress in Research (PR) grade indicating adequate progress is being made. The program director will request verification from the chair that the requirement has been met and a grade of PR is appropriate.

Approval of the Final Dissertation

The candidate shall deliver copies of the entire completed dissertation manuscript to all committee members, allowing at least two weeks review time for feedback. When the chair, in collaboration with committee members, approves the final draft of the dissertation for defense, a copy of the dissertation and signed Format Checklist (Appendix A-5) must be submitted to the Office of the Dean of the College of Education.

The final draft of the dissertation should be a clean, edited copy that is free of errors. It is the responsibility of the candidate to proofread and edit the dissertation and to have the dissertation typed according to the requirements of the current dissertation handbook and the *Publication Manual of the American Psychological Association*. Any typographical errors or failures to adhere to margins, pagination, or other style requirements of the committee or graduate school shall make the dissertation unacceptable for final approval. The dissertation defense cannot be scheduled until permission is received from the dean's office. Permission to defend will not be granted until the dissertation is in final draft form.

Deadlines for submission of the dissertation for final approval are charted in Appendix B for each graduation opportunity offered by Union University. It is suggested that students and committees plan to submit earlier than the deadline to give ample time for corrections if necessary. The final draft must be received by the dean's office by the respective deadline in order for the candidate to defend the dissertation and adhere to the timeline for graduation. To submit the final draft to the dean's office, students should email the final draft to the program director who will deliver it to the dean's office for review. Recommended timelines students should try to achieve for each graduation are provided as guidance in Appendix B.

The candidate may schedule the dissertation defense only when permission has been granted from the dean's office. In collaboration with the chair, the candidate has the responsibility of scheduling the defense with all committee members and for requesting the defense be calendared by the dean's office at least one week in advance of the defense date by using the Announcement of the Dissertation Defense Form (Appendix A-6). In addition, the student must inform the program director of the defense date and location as well as the title of the dissertation at least one week in advance of the defense. The dissertation defense must be held by the published deadline in Appendix B in order to adhere to the timeline for graduation.

The dissertation defense is a time when students are allowed the opportunity to present the findings of their study in an open forum and to discuss specific aspects of the study in a closed session with the committee. See Appendix D for an overview of the dissertation defense meeting. The student should prepare the Dissertation Defense Approval form (Appendix A-8) for the defense.

The oral dissertation defense shall be led by the dissertation committee chair. Faculty members of Union University and current doctoral students are invited to attend the presentation. Doctoral students are strongly encouraged to attend at least one defense prior to their own.

Guests are dismissed upon completion of the presentation. The committee shall then ask questions and discuss the dissertation with the candidate. Following the question-and-answer session, the chair shall direct the candidate to leave the room to allow for the committee's deliberation. The committee may choose to approve the dissertation as is, approve the dissertation upon submission of specified changes, or disapprove of the dissertation. The committee should provide detailed directions for the candidate if the dissertation requires

changes or is not acceptable. The candidate should make needed changes to the dissertation within one week from the time of the defense and resubmit the edited copy to the chair. The chair may require less time dependent upon the nature of the corrections. The chair has the responsibility of ensuring that all requested changes have been made.

At the conclusion of a successful defense, committee members will certify approval of the dissertation by signing the Dissertation Defense Approval form (Appendix A-8) provided by the student. The Dissertation Defense Approval form will be forwarded to the program director and dean for signatures and will be filed in the student's permanent file. The dissertation manuscript will then need to be submitted to ProQuest Publishing by the candidate. Instructions for submitting to ProQuest will be given to the student after the dissertation has received final approval. The ProQuest Publishing information will be provided by the EdD Program Office.

Submission of Article/Paper for Publication or Professional Presentation

Another requirement prior to defense approval is submission of a research article for publication or professional presentation. The student should consult with the chair to determine the most appropriate method of fulfilling this requirement and file the required form with attached documentation in the graduate office (see Appendix A-4).

Submission to ProQuest Publishing

The Union University School of Education requires all doctoral candidates to submit their dissertations to ProQuest for publication and distribution. The reason for this is that the School believes, and its mission reflects, that knowledge should be shared. Granting ProQuest the right to publish and distribute the dissertation does not change the author's rights as copyright holder.

The EdD Program Office will supply ProQuest publishing information to candidates at the time of final approval by the dean's office.

Graduation

Graduation is a momentous occasion when the doctoral candidate receives his or her diploma and doctoral hood. The regalia worn by doctoral candidates are unique in that three velvet chevrons are displayed on the sleeves of the gown along with a velvet stripe down the front. Mortarboard caps are worn with a gold tassel. No other cap is acceptable until after the degree is conferred.

The candidate will purchase the cap, gown, and hood. The hood is not worn until the hooding ceremony on stage during commencement. Only regalia (cap, gown, and hood) purchased from Union's approved supplier are allowed at graduation to ensure uniformity for the ceremony. Honor cords signifying membership in Kappa Delta Pi are permitted to be worn, but no other hoods, collars, or stoles will be permitted.

CHAPTER 3

ELEMENTS AND STYLE

Preliminary Pages

The descriptions of the dissertation's preliminary pages are listed below in the order of appearance in the manuscript. Figure 1 also shows the sequence and numbering scheme of the various manuscript parts. Samples of preliminary pages are found in the Templates.

Approval Page

The submitted copy of the dissertation must have an Approval Page. The student's name used on the Approval Page and Title Page must be the formal name under which the student is registered at the institution. The names of administrators, faculty, and committee members should be typed formally with the name first, followed by the degree credentials (i.e., John D. Smith, Ed.D.; *not* Dr. John D. Smith). The Approval Page is not numbered, nor is it counted in the numbering sequence.

Title Page

The title page is assigned Roman numeral "i," although the number does not appear on the page (see Figure 1 for details of numbering and sequencing of manuscript). The date used is the month and year of graduation. The student's name must appear as he or she is registered at the institution. The wording and format of the page must be exactly as shown in Appendix A-1.

Copyright Page (optional)

Students may choose to register a copyright for an additional fee. This page is included only if the manuscript is being formally copyrighted. Copyrighting is the responsibility of the student.

Figure 1

Arrangement of Dissertation Components

<i>Dissertation Components</i>	<i>Page Assignment</i>
Approval Page	No page number assigned

Title page	Small Roman numeral (Assigned, not typed)
------------	--

*Copyright page	Small Roman numeral (Typed)
*Dedication page	
Acknowledgments	
Abstract	
Table of Contents	
List of Tables (if 5 or more)	
List of Figures (if 5 or more)	
List of Symbols and/or Abbreviations (if needed; may be included as an appendix)	

Body of manuscript (divided into chapters or sections; must include introduction, review of literature, methods, results, and discussion)	Arabic numerals, starting with 1
Separation sheet	
References	
Separation sheet (if an appendix or appendices follow)	
*Appendix	

Parts preceded by an asterisk (*) are optional; all others are required.
--

Dedication Page (optional)

If the student wishes to dedicate the manuscript, the dedication statement is included at this point.

Acknowledgments Page

This page is used to thank those who have helped in the process of obtaining the graduate degree, particularly the dissertation committee members, faculty, and others. Permissions to quote copyrighted material are acknowledged here, as well as acknowledgments for grants and special funding.

Abstract

Each dissertation submitted to the dean's office must have an Abstract. The Abstract should be the last component written in order to provide an overall perspective for the reader. Although the content of the Abstract is determined by the student and dissertation committee, the following information is appropriate: (a) a short statement concerning the area of investigation, (b) a brief discussion of methods and procedures used in gathering the data, (c) a condensed summary of the findings, and (d) conclusions and implications reached in the study. Type the Abstract itself as a single paragraph in block format (without paragraph indentation) and do not include section headings or citations. Although the word maximum is 350, the Abstract should be concise.

Table of Contents

The Table of Contents is an outline of the dissertation text and back matter. Preliminary pages, sometimes called front matter (abstract, list of tables, and so on) should not be included in the Table of Contents. Students should list all chapter headings and major divisions, worded

exactly as printed in text. The level of heading should be consistent; for example, if the subordinate-level subheadings from one chapter are listed, then the subordinate-level subheadings from all chapters should be listed. Each level of subheadings should be indented below the higher-level headings. The Table of Contents should be double-spaced consistently. Tab leaders should be used to connect each heading with its page number.

The Table of Contents must include chapter titles, major headings within the chapters, References, and the Appendix(ces), if any. Page numbers given for the References section and Appendix should be those assigned to the separation sheet preceding each of those items. No preliminary pages with Roman numerals are included in the Table of Contents; the Table of Contents entries start with page 1 of Chapter 1. For Appendices, indicate the title of each Appendix, and include the same levels of headings (if applicable) as for the text. The number of the separation/title page for each Appendix is the one that should appear in the Table of Contents. Numbers in the Table of Contents should correspond with page sequence in the text.

List of Tables/List of Figures

If there are five or more tables and/or five or more figures, a List of Tables and/or Figures must be included. There must be a separate list for tables and a separate list for figures. Any tables or figures appearing in the Appendix are also included in the appropriate list. Each title must be different from the other titles, and all titles must be entered in the lists and worded exactly as they appear on the table or figure. This includes the information up to the first terminal punctuation. Additional explanatory information need not be included on the list.

List of Symbols/List of Abbreviations/Nomenclature

The title of this material should reflect its content and may be included to define specialized terms or symbols. This information may also be placed in an Appendix.

Text

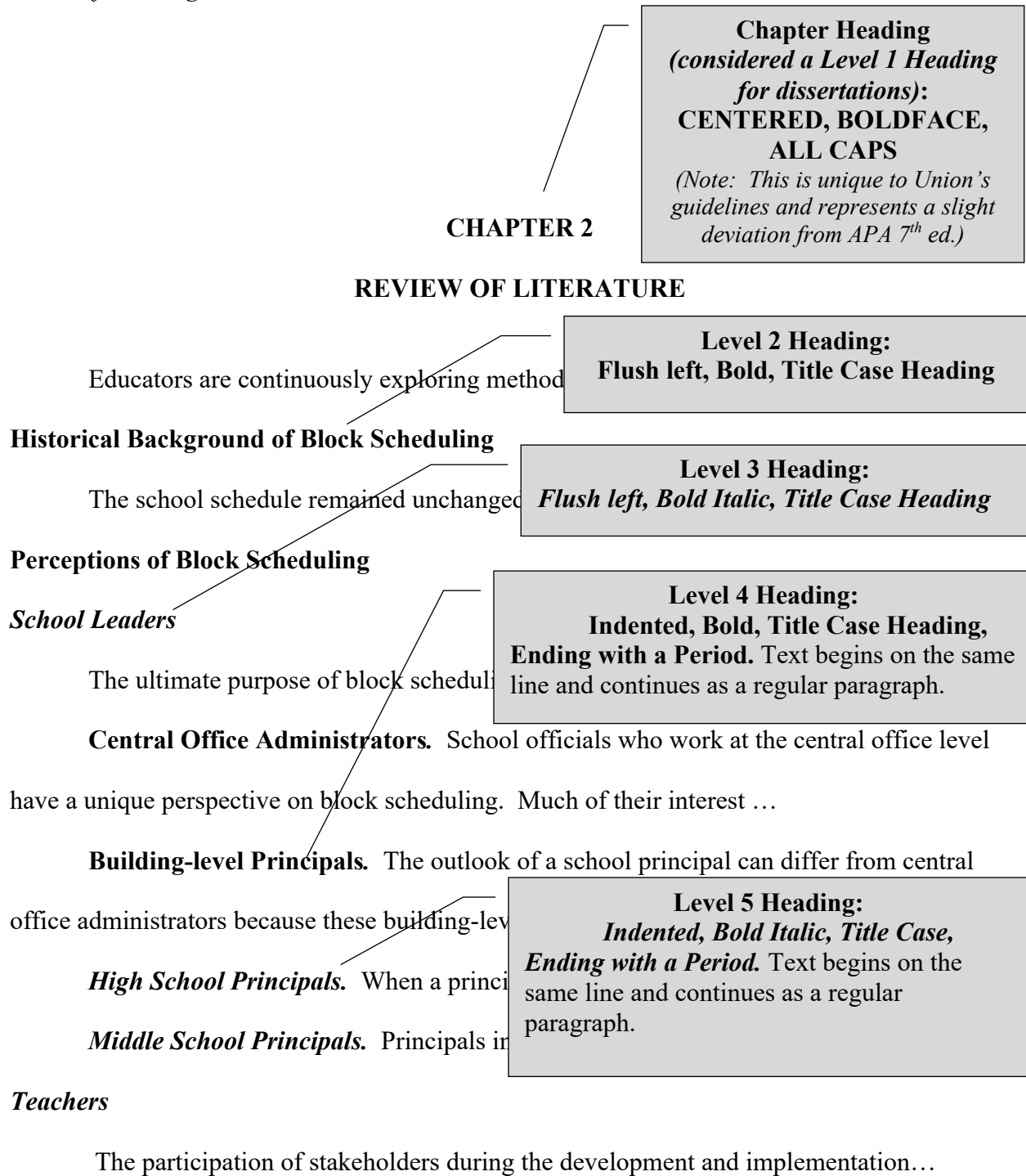
For the purposes of this discussion, “text” is used as a generic term to refer to the main body of the dissertation. Samples of dissertation components may be found in the Appendices.

Divisions

When the text is divided into sections and subsections, the author should identify these sections and subsections with headings. Levels of headings should be logical and consistent throughout the text. Figure 2 illustrates several commonly used levels of headings.

Figure 2

Levels of Headings



Chapter titles are considered Level 1 headings that are printed in boldface all uppercase letters (call caps). The student should use the Level 2 heading when only one level is used in text. Level 2 and Level 3 headings should be used when two levels of headings are utilized in text. Level 2, Level 3, and Level 4 headings are used when three levels of headings are utilized. Note: “Avoid having only one subsection heading within a section, just like an outline; use at least two subsection headings within a section, or use none” (APA, 2020, p. 47). For example, in an outline, a primary section numbered Roman numeral I, may be divided into at least an A subsection and a B subsection, or none at all, but never a lone A subsection. There must be at least two subsections or there will have been no subdivision of the section at all.

References within Text

The reference citation format of the latest edition of the *Publication Manual of the American Psychological Association* (APA) is considered the official style of the School of Education for citing sources and providing references. Examples showing the use of the APA referencing style are provided on the sample pages in the Appendices; however, a more complete set of examples can be found in the current *Publication Manual of the American Psychological Association*.

Although footnotes normally will not be used to cite sources, an explanatory footnote or reference note may, at times, be necessary. Footnotes in text generally are used as content supplements of copyright permission acknowledgments for the reprinting of tables or figures. All other types of copyright acknowledgments should appear in the reference section and on the Acknowledgments Page. In most cases, information found in content footnotes would be better served within the text.

Tables and Figures

Numbering

Tables and figures should be numbered consecutively from the beginning of the text to the end using Arabic numerals – for example, Table 1, Table 2, and Figure 1, Figure 2.

Numbering for both should follow the APA formatting style, with the table or figure number appearing above the table in bold font.

Titles

Although they are included within the text, tables and figures are considered to be entities and, therefore, must be titled independently. Titles must be descriptive of the contents, and no two tables or figures should have precisely the same title. Titles are placed at the top of tables and figures, one double-spaced line below the table/figure number, in italics, using title case.

Placement within the Body of the Manuscript

Tables and figures should be referred to by number, not by such expressions as “the following table.” Each table or figure should be placed within the text at the first opportunity *after* it is mentioned. If the table or figure is more than one-half page in length, it should appear on the page immediately following the page on which it is first mentioned. If a table or figure is less than one-half page in length, it may appear on the same page where it is first mentioned. However, it must follow its first mention in the text, be separated from the text by an extra line space, not be continued on the following page, and it must be in numerical order with respect to other tables or figures. Ideally, if a table or figure is on the same page as text, it should appear at the top or at the bottom of the page.

Large Tables and Figures

To accommodate large tables or figures, it is sometimes necessary to orient them horizontally on the page. If this is done, the margins and page numbers must be consistent with the rest of the text. It may also be necessary to separate a long table onto two or more pages. If this is necessary, care should be taken to assure that the location of the separation is logical and does not obscure the information in the table. When it is necessary to continue a long table or figure onto other pages, the complete title should be given on the first page. Subsequent pages would contain the remainder of the table or figure and the designation, Table X (continued).

Format

Several examples of tables and figures, illustrating the normal format, are provided in the sample pages and in the APA manual. The format used must be consistent throughout the text.

Font

The font used in a table should be the same as the font used in the text; however, the size of the font may differ, depending on the “fit” of the information within the margins.

Since a figure is considered to be an illustration, print that is a part of the figure can be in any sans serif font, provided it is legible. The figure title must be in the same font as is used in the text.

References

The dissertation must include a complete list of references cited in the text. The reference list is preceded by a numbered separation page with the word REFERENCES typed in bold face capital letters, centered within the left and right margins, and located one double space above the

vertical center of the page. The heading REFERENCES is also typed in bold face capital letters on the first page of the reference list.

Every source citation within the text must have a corresponding entry in the reference list. Similarly, every entry in the reference list must correspond to at least one citation of that source in the text. There must be an exact match between text citations and reference list entries with respect to the spellings of author names, the order of the names when there are multiple authors, and the date of the publication. References are listed in alphabetical order and formatted as required by the current *Publication Manual of the American Psychological Association*.

In the sample pages, there is an example of a reference list containing a variety of types of references. However, for a more comprehensive list of examples, the student should consult the current *Publication Manual of the American Psychological Association*.

Appendices

All appendices must be preceded by a numbered separation page with the designation centered within the left and right margins and located one double space above the vertical center of the page. The heading APPENDIX or APPENDICES is typed in bold face capital letters. All formatting rules applicable to the text also apply to the appendices. Exceptions may include commercial instruments and other documents approved by the dissertation committee chair.

Contents of Completed Dissertations

Although each dissertation may have its unique characteristics, the writer should expect a finished manuscript to contain the elements in the following list. Exceptions to these elements may be suggested by the dissertation committee wherever appropriate; however, the student

should be sure that all exceptions from the elements listed have been cleared with the dissertation committee chair.

Approval Page

Title Page

Copyright Page (optional)

Dedication Page (optional)

Acknowledgments Page

Abstract

Table of Contents

List of Tables (if five or more tables)

List of Figures (if five or more tables)

Body of Text

CHAPTER 1 INTRODUCTION

Historical Perspective or Context

Rationale for Choice of Research Problem

Statement of the Problem and Purpose of the Study

Significance of the Study

Research Questions

Definition of Terms

CHAPTER 2 REVIEW OF LITERATURE

Introduction to the Literature Review

Identification of Theoretical Framework(s) Relevant to the Problem—Describe and critique the theoretical framework(s) and cite major sources.

Review of the Research Literature Relevant to the Problem—Present an up-to-date, research-based, systematic, and thorough review of literature. Synthesize research literature findings, identify larger themes, inconsistencies and/or relevant patterns. Critique previous research with confirming and opposing viewpoints. Minimum of 40 pages with minimum of 40 references, half or more of which are primary sources within the last 5 years.

CHAPTER 3 METHODOLOGY

For Quantitative Study:

Statement of Purpose and Introduction

Reintroduce the study's purpose, including research problem and questions.

Description of the Study

Selection of Subjects and Participants—Identify participants and provide rationale for their selection; describe sampling methods

Research Design Description—Describes the specific design of the study based on being qualitative, quantitative, or mixed-methods

Collection and Treatment of Data—Describe procedures for sample recruitment, informed consent, maintaining data. Describe steps taken during data collection and any interventions initiated plus a rationale for any intervention.

Instrumentation—Include Description of Instrument with Rationale, Validity, and Reliability Information

Statistical Methods/Data Analysis—Write each question individually, and, after each, describe the test to be used to analyze the collected data. Justify

the test choice by identifying the independent and dependent variables and what information will be gained after the use of the test.

Limitations

Timeline

For Qualitative Study:

Introduction – Describe how the research design derives logically from the problem or issue statement.

Design – Describe and justify which tradition or research design is used, and explain why other likely choices would be less effective.

Research Questions – Questions and sub-questions must be answerable, few in number, clearly stated, and open-ended.

Context – Describe and justify the context for the study

Ethics – Explain step-by-step measures for ethical protection of participants and describe procedures for gaining access to participants.

Role of Researcher – Describe role of researcher in terms of past/current professional roles at the setting, past/current professional relationships with participants, and how these relationships are likely to affect data collection. Describe researcher's experiences or biases related to the topic.

Participants – Specify appropriate criteria for selecting participants. Justify the number of participants, balanced with depth of inquiry (the fewer the participants the deeper the inquiry per individual).

Data Collection – Explain in detail the data collection procedures and justify choices about which data to collect. Describe how and when the data were collected and recorded. Data collected must be appropriate to answer the questions posed in relation to the qualitative tradition chosen.

Data Analysis – Articulate how and when the data were analyzed and describe procedures for dealing with discrepant cases. Describe any software program used in the analysis. Describe the coding procedure for reducing information into categories and themes, as well as the data analysis procedures after coding.

Validity – Use appropriate and specific methods to address validity or trustworthiness (e.g., member-checking).

Assumptions, Limitations, Scope, and Delimitations – Provide descriptions for facts assumed to be true but not actually verified, enumerate potential weaknesses of the study, and describe the bounds of the study.

CHAPTER 4 RESULTS/ANALYSIS

For Quantitative Study:

Introduction—Reintroduce purpose of the study, including research problem and question(s), and transition to the results.

Analysis of Data—Describe actual steps taken during the data analysis process such data clean up, outliers, elimination of responses etc. A brief overview of each statistical analysis used for each research question should be provided.

Presentation of Results—Report the findings based on the SPSS output using the statistical numbers to address each research question.

Interpretation of Findings—Describe what the findings mean directly related to your study. Interpret what the findings actually mean. Statistical number reporting should not be used in this section.

Limitations of the Study—Describe the limitations and delimitations of your study.

For Qualitative Study:

Introduction—Reintroduce purpose of the study, including research problem and question(s), and transition to the results.

Analysis of Data—Describe actual steps taken during the data analysis process. Include discrepant cases and non-confirming data in the findings. Describe the systems used for keeping track of data and emerging understandings (research logs, reflective journals, cataloging systems). Include discrepant cases and non-confirming data in the findings.

Presentation of Results— Build the findings logically from the problem and research design and present findings in a manner that addresses the research question.

Interpretation of Findings—Describe what the findings mean directly related to your study. Support by data the patterns, relationships, and themes described as findings. Account for all salient data in the findings.

Limitations of the Study—Describe the limitations and delimitations of your study. Discuss the Evidence of Quality showing how this study followed procedures to assure accuracy of the data (i.e., trustworthiness, member checks, triangulation, etc.). Show the appropriate evidence in the appendices (sample transcripts, researcher logs, field notes, etc.). Note: This discussion may appear in Chapter 5 rather than Chapter 4.

CHAPTER 5 CONCLUSIONS AND DISCUSSION

Introduction—Reintroduce purpose of the study including research problem and question

Conclusion & Discussion of Findings—Briefly and concisely discuss major findings/outcomes. Conclusions/summaries should be appropriate and linked to findings/outcomes. Situate findings in larger context. Relate the findings to research literature from Chapter 2 and to the theoretical framework.

Implications for Practice—Make suggestions that could/should be implemented in practice linked to the findings/outcomes.

Recommendations for Future Research—Make recommendations for future research based on limitations of the study (aspects that were not included in the study) and/or new findings from your study that fills gaps in the literature.

Closing summary

References

Appendix

CHAPTER 4

PHYSICAL SPECIFICATIONS

At the time the manuscript is submitted to the Dean's office to receive approval to defend, the student must submit the Format/Appearance Checklist (Appendix A-5) signed by the student and research chair ensuring that the document is error free and conforms to all formatting guidelines of the *Dissertation Handbook* and the current *Publication Manual of the American Psychological Association*.

Font Size and Type

The body of the text shall be set in 12-point Times New Roman font.

Alignment

The text shall be typed flush left, creating an uneven right margin. An exception to this rule is the page number alignment in the Table of Contents and List of Tables or Figures, which should be typed flush right below the heading "PAGE."

Spacing and Margins

Text shall be double-spaced consistently throughout the manuscript. Single spacing is acceptable for table titles, figure titles, and footnotes. Use two double spaces (four lines) before and after all tables/figures within text to provide sufficient separation above and below the table/figure from the text.

Margins shall be 1-inch on all sides—at the top, bottom, left, and right. On opening pages of chapters, the chapter heading shall begin two inches from the top of the page. Page numbers are considered part of the text and shall be centered at the one-inch margin at the bottom of the

page. Suggestion: Set the document's bottom margin at one and one-half inches and the page number margin at one inch, leaving a half-inch of space between the page number and text and a full one-inch of white space at the bottom of the page.

Numbering of Pages/Running Head

All pages, with the exception of the Approval Page, are numbered. The Title Page is assigned a lower-case Roman numeral "i" but is not printed on the page.

Preliminary pages are numbered using lower case Roman numerals, and other pages are numbered using Arabic numerals. Page numbers are considered to be part of the text and should be centered one inch from the edge of the bottom of the page. Suggestion: Set the document's bottom margin at one and one-half inches and the document's page number margin at one inch, leaving a half-inch of space between the page number and text and a full one inch of white space at the bottom of the page.

Running heads are **not** acceptable in dissertations.

Print Quality

The student should use a computer word processing program to produce the manuscript. This will facilitate the making of revisions and corrections.

Summary of Formatting of Preliminary Pages

Approval/Signature Page

Title begins 2-inches from top; margins: 1-inch left, 1-inch right, 1-inch bottom; not assigned a page number.

Title Page

No italics or underlines; begins 2-inches from top; contains the statement: A Dissertation Submitted . . ., author, month/year; margins 1-inch left, 1-inch right, 1-inch bottom; page number assigned but not typed.

Copyright Page (optional)

If included, the copyright statement begins 4-inches from top; numbered in a lower-case Roman numeral. Text should read “Copyright (insert year)” with author’s full name on the line below.

Dedication Page (optional)

The title word DEDICATION begins 2-inches from top, text begins 4 spaces below; numbered in lower case Roman numeral.

Acknowledgments Page

The title word ACKNOWLEDGMENTS begins 2-inches from top, text begins 4 spaces below; numbered in lower case Roman numeral.

Abstract

The title word ABSTRACT begins 2 inches from top; text of abstract begins 4 spaces below at the left margin (one block-formatted paragraph); text is double-spaced; numbered in lower case Roman numeral.

Table of Contents

The title TABLE OF CONTENTS begins 2 inches from top, listing begins 4 spaces below; chapters, parts, and sections must be worded exactly the same as in manuscript; capitalize major words of all headings; page numbers flush right below header “PAGE”; chapters, parts,

sections flush left; dot leaders between titles and page numbers; assigned lower case Roman numeral.

List of Tables

The title LIST OF TABLES begins 2 inches from top, listing begins 4 spaces below; titles for tables must be worded the same as in manuscript; page numbers flush right below heading “PAGE;” titles flush left; dot leaders between titles and page numbers; assigned lower case Roman numeral.

List of Figures

The title LIST OF FIGURES begins 2 inches from top, listing begins 4 spaces below; titles must be worded the same as in manuscript; page numbers flush right below heading “PAGE;” titles flush left; dot leaders between titles and page numbers; assigned lower case Roman numeral.

List of Abbreviations/Symbols (when appropriate)

The title LIST OF ABBREVIATIONS/SYMBOLS begins 2 inches from top, listing begins 4 spaces below; titles must be worded the same as in manuscript; assigned lower case Roman numeral.

Summary of Formatting of Body of Dissertation

Text

Double-spaced, single sided, chapter (or part or section weighted as a chapter) begins a new page (title of chapter centered 2 inches from top, in all caps, text beginning 4 spaces below title).

Margins

Margins: 1-inch left, 1-inch right, and 1-inch top/bottom. The top margin on opening page of chapters should be 2 inches.

Pagination

Numbers (without punctuation) centered 1-inch from bottom of page, above the 1-inch margin of white space.

Tables and Figures

Must be of reproducible quality and follow the portion of text they illustrate; positioned within page margins; separated from text narrative by two double spaces above and below; tables and figures numbered in separate series and numbered in Arabic numerals. Titles for tables and figures are placed at the top of the table/figure.

References

First page follows chapter page format rule (2-inch top margin—in all caps—text 4 spaces below, double-space consistently between entries.) The reference list is preceded by a numbered **separation page** titled REFERENCES with the designation centered within the left and right margins and located one double space above the vertical center of the page.

Definitions of Terms

Terms will be formatted as Level 5 paragraph headings, bold italic, title case heading. Only one section for Definitions of Terms is required and will be placed in Chapter 1, usually toward the end of the chapter. Any words, phrases, acronyms, etc. that will be used in the paper, specific to the research, will be operationally defined in this section. Terms will be defined only in the context of their use in the study. Generally understood definitions or explanations of when

statistical methods or tests are used, which should be cited in text, are not included in this Definitions of Terms section.

Citations Within the Text

Citations of sources must comply with guidelines established by the current *Publication Manual of the American Psychological Association*. Citations with one to two authors—all authors cited with each citation. Citations with three or more authors—cite only the first author followed by et al., including the first citation. Note: When more than one source is cited within the same parentheses, each should be listed in the same order in which they appear in the reference list (alphabetical order of author's last name or in order of dates if by the same author).

Appendices

Preceded by a numbered separation page and titled APPENDIX or APPENDICES with the word centered within the left and right margins and located one double space above the vertical center of the page. All formatting rules applicable to the text also apply to the appendices.

APPENDICES

APPENDIX A

REQUIRED FORMS FOR DOCTORAL STUDENTS

The forms specific to the doctoral program that appear on the following pages are required to be completed by each doctoral student. Each form is available online at <https://www.uu.edu/programs/education/graduate/edd/dissertation.cfm>

The Dissertation Committee: Request for Outside Member Form (A-1) must be submitted to request the Associate Dean or Department Chair's approval of a dissertation committee member from outside the full-time faculty of Union University.

The Proposal Methodology and Statistics Approval Form (A-2) relates to the methodology approval process that is initiated during the preparation of the research proposal.

The Dissertation Proposal Approval Form (A-3) must be signed by all members of the dissertation committee indicating their approval of the proposed research and by the Ed.D. Program Director. This form must be attached as the cover page to the research proposal when it is submitted to the graduate office. A student may not proceed with the research study until the proposal has been approved and until approval has been obtained from the Institutional Review Board (IRB).

Required before the candidate will be permitted to defend the dissertation is the form for verification of official Submission of an Article or Paper for Publication or Professional Presentation (A-4). The Program Director must approve the submission before a dissertation defense will be scheduled.

The Format/Appearance Checklist Form (A-5) must be used by the student and research committee chair to check the dissertation for format and appearance standards, then signed, and submitted with the final draft of the dissertation to the Office of the Dean prior to defense. It is the responsibility of the student and chair to ensure accuracy of formatting.

The Dean's Office Approval Page (A-6) will be signed by the Dean once the Dean's office has approved the completed dissertation to move forward with scheduling the final defense.

The Announcement of the Dissertation Defense Form (A-7) must be completed and submitted to the dean's office no later than one week prior to the dissertation defense date.

The Dissertation Defense Approval Form (A-8) must be signed by all members of the dissertation committee indicating their approval of the dissertation, as well as by the Ed.D. Program Director, and must be submitted to the graduate office.

In addition to the versions that follow, each of these required forms are available online at <https://www.uu.edu/programs/education/graduate/edd/dissertation.cfm>

APPENDIX A-1

Dissertation Committee: Request for Outside Member

Instructions: This form must be submitted to the Program Director with a copy of the proposed outside committee member's resume. If approved by the Program Director, the request must then be approved by the Associate Dean or Department Chair. Approval does not guarantee that your proposed committee member will agree to serve on your dissertation committee.

Student Name: _____ Date of Request: _____

Students' Doctoral Specialization Area: _____

Name of Proposed Committee Member: _____

Title/Position and Place of Employment of Committee Member: _____

Email Address: _____

Specialization Area of Outside Committee Member: _____

Rationale:

DECISION (check one): ☐ Approved ☐ Not Approved

Program Director's Signature

Date

APPENDIX A-2

Proposal Methodology and Statistics Approval Form

Submit this form to the graduate program office with the first two signatures and the date of your proposal approval meeting.

Student's Name (print) _____ Chair _____

Title of Dissertation Proposal _____

Date of Proposal Approval Meeting: _____ Time: _____

➤ Signatures are required *prior to Proposal Approval Meeting*:

1. As Dissertation Chair, I approve the study's methodology and statistical design.

_____	_____	_____
Print name	Date	Signature

2. As Research Review Panel representative, I approve the study's methodology and statistical design.

_____	_____	_____
Print name	Date	Signature

APPENDIX A-3

**UNION UNIVERSITY
SCHOOL OF EDUCATION**

Dissertation Proposal Approval

Candidate: [Type your name here]

Proposal Title: [Type your proposal title here]

We have reviewed the dissertation proposal and participated in the proceedings of the overview meeting during which the candidate described and defended the proposal. We approve this dissertation proposal pending any revisions or stipulations included in the Chair Notes below.

Committee Member: [Type committee member's name here]

Signature: _____ Date: _____

Committee Member: [Type committee member's name here]

Signature: _____ Date: _____

I have reviewed the dissertation proposal and participated in the proceedings of the overview meeting where the candidate described and defended the proposal. I approve this dissertation proposal pending any stipulations included in the Chair Notes below.

Committee Chair: [Type committee chair's name here]

Signature: _____ Date: _____

Chair Notes:

Ed.D. Program Director Signature: _____

APPENDIX A-4

Submission of Article/Paper for Publication or Professional Presentation

The Ed.D. student must submit a paper for publication or professional presentation, which is written by him/her with guidance of the dissertation chair during enrollment in the Ed.D. Program at Union University. Verification of official submission must be on file in the graduate office, before the student will be permitted to defend his/her dissertation.

Student's Name (print or type) _____

Chair's Name (print or type) _____

Title of Dissertation _____

1. Name of the venue or academic institution where the paper was submitted or presented:

2. Briefly describe the planned manner of presentation, date, and location of the venue: (i.e., Town and Gown series/workshop presentation, June 2019, Cal State, etc.)

3. Attach validated proof from the institution or entity acknowledging receipt of the submitted article, paper, or other.
4. Each student's chair must sign this Submission of Article/Paper verification form, with items 1-3 above included, before this form is submitted to the graduate office. The Associate Dean/Department Chair must approve the submission before a dissertation defense can be scheduled.

Dissertation Chair's Signature _____ Date _____

APPENDIX A-5

Format/Appearance Checklist: Union University Dissertations

Order of Preliminary Pages

- **Approval Page**
- **Title Page**
- **Copyright Page** (optional)
- **Dedication Page** (optional)
- **Acknowledgments Page**
- **Abstract**
- **Table of Contents**
- **List of Tables** (include only if 5 or more tables)
- **List of Figures** (include only if 5 or more figures)
- **List of Abbreviations/Symbols** (include only if needed)

Format of Preliminary Pages

Approval Page. Title begins 2 inches from top; margins: 1-inch left, 1-inch right, 1-inch bottom; not assigned a page number.

Title Page. No italics or underlines; begins 2 inches from top; contains the statement: A dissertation submitted . . . , author, month/year; margins 1-inch left, 1-inch right, 1-inch bottom; page number assigned but not typed.

Copyright Page (optional). Copyright statement begins 4 inches from top; margins: 1-inch left, 1-inch right and 1-inch bottom, numbered in lower case Roman numeral.

Dedication Page (optional). The title word DEDICATION begins 2 inches from top, text begins 4 line spaces below; margins: 1-inch left, 1-inch right, 1-inch bottom; numbered in lower case Roman numeral.

Acknowledgments Page. The title word ACKNOWLEDGMENTS begins 2 inches from top, text begins 4 line spaces below; margins: 1-inch left, 1-inch right and 1-inch bottom, numbered in lower case Roman numeral.

Abstract. The title word ABSTRACT begins 2 inches from top, text of abstract begins 4 line spaces below at the left margin (one paragraph and block formatted); text is double-spaced, lower case Roman numeral.

Table of Contents. The title TABLE OF CONTENTS begins 2 inches from top, listing begins 4 line spaces below; chapters, parts, and sections must be worded exactly the same as in manuscript; capitalize major words of all headings; page numbers flush right below heading “PAGE”; chapters, parts, sections flush left; dot leaders between titles and page numbers; margins: 1-inch left, 1-inch right and 1-inch bottom; assigned lower case Roman numeral.

List of Tables. The title LIST OF TABLES begins 2 inches from top, listing begins 4 line spaces below; titles for tables must be worded the same as in manuscript; page numbers flush right below heading “PAGE;” titles flush left; dot leaders between titles and page numbers; margins: 1.0 inch left, 1.0 inch right and inch bottom; assigned lower case Roman numeral.

List of Figures. The title LIST OF FIGURES begins 2 inches from top, listing begins 4 line spaces below; titles must be worded the same as in manuscript; page numbers flush right below heading “PAGE;” titles flush left; dot leaders between titles and page numbers; margins: 1-inch left, 1-inch right and 1-inch bottom; assigned Roman numeral.

List of Abbreviations/Symbols (only when appropriate). The title LIST OF ABBREVIATIONS/SYMBOLS begins 2 inches from top, listing begins 4 line spaces below; titles must be worded the same as in manuscript; margins: 1-inch left, 1-inch right, and 1-inch bottom; assigned Roman numeral.

Format of Body of Dissertation

Text. Double-spaced, single side, chapter (or part or section weighted as a chapter) begins a new page (title of chapter centered 2 inches from top, in all caps, text beginning 4 line spaces below title).

Margins. 1-inch left, 1-inch right, and 1-inch top/bottom.

Pagination. Numbers centered at bottom of page 1-inch from bottom. Page numbers are considered text and should be placed **at or above** the 1-inch bottom margin.

Tables and Figures. Must be of reproducible quality, following portion of text they illustrate, inside margins, text separated from tables by 4 line spaces (two double spaces), tables and figures numbered in separate series, numbered in Arabic numerals. Titles for tables and figures are placed at top of table/figure.

References. Follows same chapter/section page format rules (2-inch top margin – in all caps – text 4 line spaces below, double-space consistently between entries.). The reference list is preceded by a numbered separation page titled REFERENCES with the designation centered within the left and right margins and located one double space above the vertical center of the page.

Definitions of Terms. Terms will be formatted as Level 5 paragraph headings, bolded and followed by a period. Only one section for Definitions of Terms is required and will be placed in the Introduction Chapter 1 following the purpose statement, usually toward the end of the chapter. Any words, phrases, acronyms, etc. that will be used in the paper, specific to the research, will be operationally defined in this section. Terms will be defined only in the context of their use in the study. Generally understood definitions or explanations of when statistical methods or tests are used, which should be cited in text, are not included in this Definitions of Terms section.

Citations within the text. Citations with 1-2 authors – each author cited with each citation. Citations with 3 or more – cite only first author and et al. Note: When more than one source is cited within the same parentheses, each should be listed in the same order in which they appear in the reference list (alphabetical order of author's last name or in order of dates if by the same author).

Appendices. Preceded by a numbered separation page and titled APPENDIX or APPENDICES with the word centered within the left and right margins and located one double space above the vertical center of the page. All formatting rules applicable to the text also apply to the appendices.

Student's Name: (please print) _____

Personal/Permanent Email Address _____ Phone _____

Mailing Address _____

APA Editor's Name _____

Editor's Email Address _____ Phone _____

By signing below, I verify that I have thoroughly reviewed the manuscript according to this formatting checklist and that all of the above conditions are met:

Student's Signature _____ Date _____

Chair's Signature _____ Date _____

APPENDIX A-6

**Doctor of Education Degree
Dean's Office Approval of Dissertation prior to Defense**

Approval to defend requires signature of the Dean.

Doctoral Candidate _____ Chair _____

Abbreviated Title _____

Dean's Approval

_____ Approved

_____ Not Approved (see comments below)

Comments:

Dean Signature _____ Date _____

APPENDIX A-7

Announcement of the Dissertation Defense

The following items with all required signatures must be submitted prior to/with this form:

1. Electronic copy of abstract. You should forward to the Dean's office an electronic copy of your abstract for use in the preparation of the announcement of your dissertation defense.
2. Dean's Office Approval of Dissertation (A-6)
3. Verification of Submission of Article for Publication or Presentation (A-4)
4. Format/Appearance Checklist (A-5)

The Chair agrees that the following candidate's dissertation is acceptable for the scheduling of a public defense.

Candidate's Full Name: (Type)

Dissertation Title: (Type)

DISSERTATION DEFENSE TIME AND LOCATION

Day: _____ Date ____ / ____ / ____ Time: ____ : ____

Teams/Zoom link: _____

Committee Chair: [Type committee chair's name here followed by degree]

Signature: _____ Date: _____

APPENDIX A-8

**UNION UNIVERSITY
SCHOOL OF EDUCATION**

Dissertation Defense Approval

Candidate: [Type your full name here]

Dissertation Title: [Type your dissertation title here]

We have reviewed the dissertation and participated in the proceedings of the defense during which the candidate described and defended the research study. We approve this dissertation pending any revisions or stipulations included in the Chair Notes below.

Committee Member: [Type committee member's name here, followed by degree initials]

Signature: _____ Date: _____

Committee Member: [Type committee member's name here, followed by degree initials]

Signature: _____ Date: _____

I have reviewed the dissertation and participated in the proceedings of the defense where the candidate described and defended the research study. I approve this dissertation pending any stipulations included in the Chair Notes below.

Committee Chair: [Type committee chair's name here, followed by degree initials]

Signature: _____ Date: _____

Chair Notes:

Ed.D. Program Director Signature: _____

APPENDIX B-1

SCHEDULE OF DEADLINES

Candidates and Chairs are strongly encouraged to plan to submit earlier than the stated deadlines to allow time for corrections and resubmission for approval to move forward. If the calendar date falls on a weekend, the deadline moves to the following Monday.

Deadline Description	Registration Term		
	Fall Semester	Spring Semester	Summer Semester
Submission of error-free manuscript to Dean's Office for pre-defense review	October 1	March 1	May 15
Successful defense of Dissertation	November 15	April 15	June 30
Submission of final manuscript, publishing agreement, and fees to ProQuest Publishing	December 10	April 30	July 20
Graduation Date	December	May	July

APPENDIX B-2

MAY GRADUATION TIMLINE

Have Chapter 5 completed by beginning of January

- Always multiple iterations of Ch. 4 & 5 expected so be sure to build in time for Chair review and student corrections.

Send to Editor by early January

- This is not done until feedback from committee has been addressed
- Customary to allow editor 2 weeks to review and provide edits

Send Committee document for review by first of February

- This is not done until Chair has approved all 5 Chapters & document (know this means all aspects of the document such as table of contents, references, dedication, acknowledgements, appendices, etc.)
- Student will send document to committee
- Committee must have 2 weeks to review
- At the end of 2 weeks address all feedback from committee

Submit error-free document to Dean's office no later than March 1

- Must have addressed all aspects from editor
- Dean's office will review and may provide feedback prior to being able to schedule final defense
- Document must be emailed to Program Director to submit to Dean's Office

Hold Final Defense by April 15

- This cannot be done until final approval from Dean's office

Submit dissertation to ProQuest by April 30

- Program office provides detailed instructions to students on how to complete this step

APPENDIX B-3

JULY GRADUATION TIMLINE

Have Chapter 4 & 5 completed by end of March

- Always multiple iterations of Ch. 4 & 5 expected so be sure to build in time for Chair review and student corrections.

Send to Editor by early April

- This is not done until feedback from committee has been addressed
- Customary to allow editor 2 weeks to review and provide edits

Send Committee document for review by mid-April

- This is not done until Chair has approved all 5 Chapters & document (know this means all aspects of the document such as table of contents, references, dedication, acknowledgements, appendices, etc.)
- Student will send document to committee
- Committee must have 2 weeks to review
- At the end of 2 weeks address all feedback from committee

Submit error-free document to Dean's office no later than May 15

- Must have addressed all aspects from editor
- Dean's office will review and may provide feedback prior to being able to schedule final defense
- Document must be emailed to the Program Director for submission to the Dean's office

Hold Final Defense by June 30

- This cannot be done until final approval from Dean's office

Submit dissertation to ProQuest by July 20

- Program office provides detailed instructions to students on how to complete this step

APPENDIX B-4

DECEMBER GRADUATION TIMELINE

Have Chapter 5 completed by end of July

- Always multiple iterations of Ch. 4 & 5 expected so be sure to build in time for Chair review and student corrections.

Send to Editor mid-August

- This is not done until feedback from committee has been addressed
- Customary to allow editor 2 weeks to review and provide edits

Send Committee document for review first of September

- This is not done until Chair has approved all 5 Chapters & document (know this means all aspects of the document such as table of contents, references, dedication, acknowledgements, appendices, etc.)
- Student will send document to committee
- Committee must have 2 weeks to review
- At the end of 2 weeks address all feedback from committee

Submit error-free document to Dean's office no later than October 1

- Must have addressed all aspects from editor
- Dean's office will review and may provide feedback prior to being able to schedule final defense
- Document must be emailed to the Program Director for submission to the Dean's office

Hold Final Defense by November 15

- This cannot be done until final approval from Dean's office

Submit dissertation to ProQuest by December 10

- Program office provides detailed instructions to students on how to complete this step

APPENDIX C

OVERVIEW OF THE DISSERTATION PROPOSAL PRESENTATION

The presentation should be 15-20 minutes in length. PowerPoint slides are allowed with direction from the chair.

Your presentation should be structured according to the outline below.

5 – 7 min. **INTRODUCTION**

Explain why you chose this topic.
Explain the importance of your topic.
Clearly state your research hypotheses and/or questions.
What implications will your research have to the educational community?

5 – 7 min. **PROFESSIONAL LITERATURE CONTEXT**

Present selected information from your review of literature. Include citation of sources that lay a solid foundation for the study.

5 – 7 min. **RESEARCH METHODS**

Describe the research sample you intend to use.
Describe the procedures you will use to gather the data.
Identify the independent, dependent, and confounding variables.
Identify instrumentation.

APPENDIX D

OVERVIEW OF THE FINAL DISSERTATION DEFENSE

The overview should be 15-30 minutes in length. PowerPoint slides are allowed with direction from the chair.

Your overview should be structured according to the outline below.

1 – 2 min. **INTRODUCTION**

Explain why you chose this topic.
Clearly state your research hypotheses and/or questions.

3 – 5 min. **PROFESSIONAL LITERATURE CONTEXT**

Present selected information from your review of literature.
Include citations of sources that lay a solid foundation for the study.

3 – 5 min. **RESEARCH METHODS**

Describe the research sample.
Describe the procedures used to gather the data, including the instrument(s) used.

5 – 10 min. **FINDINGS**

Discuss findings that speak to each hypothesis/question.
Emphasize interesting findings.

3 – 5 min. **DISCUSSION**

How do your results agree or disagree with the literature?
What are the implications of your results for you and your profession?
What recommendations would you make based on your research?
What future research would you recommend?

APPENDIX E SUMMARY OF DISSERTATION SUBMISSION PROCESS

The candidate should find useful this quick reference summary. However, because this is a simplified summary, it is intended to supplement, not supplant, the detail contained in the text of this Handbook.

1. The candidate shall provide a copy of the completed dissertation manuscript to the chair and to all committee members and to the statistics professor or designee. As a general rule, students should allow two weeks for feedback at any time when submitting to committee members for feedback.
2. When the chair, in collaboration with committee members, approves the dissertation for defense, a copy must be provided to the Program Director for Dean's approval with required forms, including the Format/Appearance Checklist (Appendix A-5). The candidate must have met with the chair to certify and sign the Checklist. The candidate may not schedule the dissertation defense until approval is received from the dean's office. The dean's office will notify the candidate and chair that the candidate is approved to defend the research.
3. The candidate is responsible for coordinating the scheduling of the defense with the chair and the dissertation committee members. At least one week in advance of the defense date, the candidate must formally make a request to the dean's office to confirm the defense date by submitting the Announcement of Dissertation Defense (A-6). A public announcement will be prepared by the dean's office and sent to graduate faculty.
4. The successful dissertation defense is held by the published deadline.
5. The candidate will make corrections that were requested from the dissertation committee members within one week from the time of the dissertation defense. The chair may require less time dependent upon the nature of the corrections.
6. The candidate should meet with the chair after final corrections are made in order to verify corrections. The chair is responsible for ensuring that the requested committee corrections have been made.
7. After completed A-8 form, the candidate submits the manuscript to ProQuest Publishing using the ProQuest ETD Administrator process. This process includes submission of the ProQuest publishing agreement, a pdf of the final manuscript, as well as binding and/or copyright fees as appropriate for the chosen publishing option.
8. Attend Graduation.

APPENDIX F
STEPS FOR COMPLETION
OF THE DOCTORAL PROGRAM

1. Meet requirements for admission to doctoral program and register for coursework.
2. Select dissertation topic
3. Form Dissertation Committee
 - a. Receive assignment of Dissertation Chair.
 - b. Formalize creation of full committee.
4. Write Research Proposal (Dissertation Chapters 1-3).
5. Successfully complete coursework with minimum GPA of 3.2.
6. Sit for written Comprehensive Exams.
7. Meet with SOE Research Review Panel.
8. Obtain approval of proposed methodology/statistical analysis (Appendix A-2).
9. Hold Proposal Approval Meeting with Committee.
 - a. Research Proposal Approved (Appendix A-3).
10. Submit forms to IRB for approval to conduct the research and receive approval before conducting the research.
11. Register for dissertation hours and conduct the research.
12. Write Chapters 4-5 and update Chapters 1-3 where necessary.
13. Hire approved editor to review manuscript for APA compliance, formatting, grammar, and mechanical errors.
14. Submit Dissertation to full Dissertation Committee for final feedback.
15. Submit article/paper for publication or professional presentation (Appendix A-4).
16. Submit error-free Dissertation to Program Director for pre-defense review (with Appendix A-5).
17. Hold Dissertation Defense (Appendix A-8).

18. Submit Dissertation to ProQuest Publishing.

19. Attend Graduation.

APPENDIX G

RUBRIC FOR DOCTORAL DISSERTATION

Rating Scale:

1 = Unsatisfactory

2 = Emerging

3 = Proficient

4 = Exemplary

Chapter 1

1. Historical Perspective or Context -- Describes the context of the problem of practice

- 1 - Provides vague descriptions of context of problem and does not situate it in larger context
- 2 - Vaguely situates the problem in its historical, social, and/or cultural context
- 3 - Generally situates the problem in at least one of its relevant historical, social, and/or cultural context(s)
- 4 - Clearly situates the problem through an analysis of its historical, social and/or cultural context(s)

2. Justification for and Significance of the Proposed Research -- Validates that the problem exists

- 1 - Provides no evidence that the problem exists
- 2 - Provides minimal evidence that the problem exists
- 3 - Generally describes the existence of the problem
- 4 - Draws upon multiple sources of information to substantiate the existence of the problem

3. Rationale for the Choice of the Research Problem -- Identifies a problem of practice and recognizes its boundaries

- 1 - Alludes to a situation where a problem might exist
- 2 - Describes an educational situation and alludes to a problem
- 3 - Identifies the problem and alludes to its boundaries
- 4 - Clearly identifies the problem and its boundaries

4. Statement of the Problem and Purpose of Study -- States the purpose and rationale (argument) for the study, based on the argument being made in the dissertation.

- 1 - Statement of the research problem and the overall reasons for the study are not given

- 2 - Statement of the research problem and the overall reasons for the study are vague and marginally related to the background of the problem
- 3 - Statement of the research problem and the overall reasons for the study are clear and related to the background of the problem
- 4 - Statement of the research problem and the overall reasons for the study are compelling, apt and precise, and closely and clearly related to the background of the problem

5. Significance of the Study -- Analyzes educational significance of addressing this problem of practice

- 1 - Unable to make a case that the problem has any educational significance or ignores educational significance
- 2 - Minimally describes the educational significance of the problem
- 3 - Generally explains the educational significance of the problem
- 4 - Clearly delineates the educational significance of the problem

6. Definition of Terms Used - Defines key concepts and terms relevant to the problem of practice

- 1 - No evidence that key terms are identified or defined
- 2 - Attempts to define the relevant concepts and terms
- 3 - Defines key concepts and terms and begins to explain their relevance to the problem
- 4 - Clearly defines and explains the key concepts and terms and their relevance to the problem

7. Delimitations Noted - Delimitations are choices made that describe the boundaries you have set for the study

- 1 - No delimitations listed
- 2 - Attempts to list some delimitations
- 3 - Thoughtfully lists delimitations
- 4 - Thoroughly lists delimitations

8. Hypotheses or Research Questions - Introduces methods and presents research questions. Makes a clear connection between research questions, purpose, and problem.

- 1 - Fails to introduce methods. Includes no researchable questions. Lacks connection between research questions, purpose, and problem.
- 2 - Introduces methods. Lists a few researchable questions. Makes weak connection between research questions, purpose, and problem.
- 3 - Introduces methods briefly. Lists researchable questions. Makes a connection between research questions, purpose and problem.
- 4 - Introduces methods briefly but clearly describes methods. Lists researchable questions. Makes a clear and compelling connection between research questions, purpose, and problem.

Chapter 2

1. Introduction to the Literature Review

- 1 - Does not introduce the chapter
- 2 - States topic and purpose of study or orients reader to literature review
- 3 - States topic and purpose of study and orients reader to literature review
- 4 - Clearly states topic and purpose of study and orients reader to literature review

2. Minimum of 40 references

- 1 - Has 30 references
- 2 - Has 35 references
- 3 - Has 40 references
- 4 - Has well over 40 references

3. Half or more references are primary sources within last 5 years

- 1 - Few references are primary sources within the last 5 years
- 2 - 25% or so of references are primary sources within the last 5 years
- 3 - 50% or so of references are primary sources within the last 5 years
- 4 - Well over half of references are primary sources within the last 5 years.

4. Minimum of 40 pages

- 1 - Has 30 pages
- 2 - Has 35 pages
- 3 - Has 40 pages
- 4 - Has well over 40 pages

Conceptual/Theoretical Framework: Describes and cites major sources for theoretical framework

5. Identifies conceptual/theoretical framework(s) relevant to the main issue in the paper

- 1 - Selects inappropriate framework and makes no connection to the main issue
- 2 - Identifies framework(s) with incomplete connection to the main issue
- 3 - Identifies relevant framework(s)
- 4 - Clearly identifies relevant framework(s) to analyze the main issue

6. Uses conceptual/theoretical framework(s) to analyze the main issue

- 1 - Inadequate definition and description of framework with no connection to the main issue.

- 2 - Summarizes framework(s) without clear connection to the main issue
- 3 - Connects framework(s) to the main issue and uses it to analyze the main issue
- 4 - Insightfully connects framework(s) to the main issue and uses framework(s) to analyze the main issue

7. Critiques the theoretical frameworks as they relate to the main issue

- 1 - Does not examine or critique any assumptions of framework.
- 2 - Begins to question assumptions of framework(s) in relationship to the main issue
- 3 - Generally questions assumptions of framework(s) without examining how these assumptions may hinder understanding the main issue.
- 4 - Specifically questions the assumptions of the frameworks and how these assumptions may hinder understanding the main issue.

Review of the research literature: Presents an up-to-date, research-based, systematic, thorough review of literature

8. Uses own voice as opposed to over-use of quotes. Presents research literature relevant to main issue; follows an organizing principle that is evident to reader; sections support one another to make persuasive argument that research is appropriate.

- 1 – Overly uses quotes when putting in own words/paraphrasing would have been preferable in many cases. May be poorly organized, haphazard.
- 2 – Uses quotes when they aren't needed. Some coherent structure.
- 3 – Uses few quotes, most often only to define key terms or to identify critical wording from articles and books that legitimately can't be put in one's own voice. Discussion is coherent but could be further developed to indicate relevance of articles to addressing the main issue.
- 4 – Uses very few quotes, nearly always to define key terms or identify critical wording from articles and books that legitimately can't be put in one's own voice. Well-developed, coherent discussion of the literature and its relevance.

9. Synthesis - synthesizes research literature findings, identifies larger themes, inconsistencies and/or relevant patterns, themes evident in headings

- 1 – Rarely speaks of more than one source at a time. Goes from one article/book to the next with little to no integration.
- 2 - Some attempt to synthesize literature but incomplete with no mention of larger themes
- 3 – Integrates literature throughout the paper, but sparse discussion of larger themes
- 4 – Integrates literature well throughout the paper. Critically examines the state of the field, identifies larger themes. Mentions inconsistencies and relevant patterns.

10. Critique of previous research - brings in confirming and opposing viewpoints

- 1 - No critique of previous research
- 2 – Occasionally offers critique of literature without much elaboration.
- 3 – Takes a critical tone of most literature, with mention of opposing views
- 4 – Skillfully critiques literature while discussing both practical and scholarly significance of previous research

11. Synthesis Statement - summary of the research literature and application to the study. Summarizes conclusions from literature reviews; includes transition to methods chapter

- 1 - No closing summary and no connection to methods chapter
- 2 - Brief closing summary of literature
- 3 - Complete summary of literature, with tentative conclusions and brief transition to methods chapter
- 4 - Excellent and thorough summary from literature review with robust transition to methods chapter

Rubric for Chapter 3 of Dissertation: Quantitative Study

Methods: Selects, defines and describes appropriate research methods, including data collection procedures and data analysis

1. Introductory Statement of Purpose Introduction - reintroduces the purpose of the study including research problem and question

- 1 - No re-introduction to purpose of the study including research problem and/or question
- 2 - Re-introduces purpose of the study including research problem and/or question
- 3 - Re-introduces purpose of the study including research problem and question; transition to methods included
- 4 - Clearly and succinctly re-introduces purpose of the study including research problem and question

2. Description of the Study, transition to methods included

- 1 - No description of the study is included; transition to methods not included
- 2 - Brief description of the study is included, lacking in depth; transition to methods vague, if included
- 3 - Study is adequately described; transition to methods included
- 4 - Study is completely and concisely described; smooth transition to methods included

3. Selection of Subjects and Participants - Identifies participants in the study and provides rationale for their selection; describes sampling methods

- 1 - Unable to identify exact participants nor any reason for their selection to participate in the study
- 2 - Vague identification of participants in the study and provides non-persuasive rationale for their selection; no sampling methods included
- 3 - Identifies participants in the study and provides rationale for their selection describes sampling methods
- 4 - Clearly identifies participants in the study and provides compelling rationale for their selection; describes sampling methods concisely and clearly

4. Design. Describes if research is qualitative or quantitative or mixed methods

- 1 - No reference to type of method used
- 2 - Vague reference to type of research being conducted. Non-persuasive justification for the type of research used
- 3 - Describes if research is qualitative or quantitative or mixed methods and provides adequate justification for selection of type in relation to research problem and research questions
- 4 - Describes if research is qualitative or quantitative or mixed methods and defines type. Provides clear justification for selection of type in relation to research problem and research questions

5. Collection and treatment of data - Describes the procedures used to conduct the study for sample recruitment, informed consent, maintaining data. Describes the steps taken during data collection and any interventions initiated (professional development activities). Provides rationale for any intervention

- 1 - Describes no procedures used to conduct the study for sample recruitment, informed consent, maintaining data. Describes no details of the protocols and steps taken during data collection. Describes no protocols for any interventions initiated (e.g., professional development activities). Provides no rationale for any intervention. Many questions remain about the procedures and protocols and the rationales for any actions
- 2 - Describes a few of the procedures used to conduct the study for sample recruitment, informed consent, maintaining data. Describes only a few of the details of the protocols and steps taken during data collection. Describes vague protocols for any interventions initiated (e.g.,

professional development activities). Provides weak, if any, rationale for any intervention. A few questions remain about the procedures and protocols

3 - Describes most of the procedures used to conduct the study for sample recruitment, informed consent, maintaining data. Describes most of the details of the protocols and steps taken during data collection. Describes protocols for any interventions initiated (e.g. professional development activities). Provides rationale for any intervention

4 - Clearly describes the procedures used to conduct the study for sample recruitment, informed consent, maintaining data. Describes the step-by-step details of the protocols and steps taken during data collection. Clearly describes protocols for any interventions initiated (e.g. professional development activities). Provides compelling rationale for any intervention

6. Instrumentation including description of instrument to be used. Includes rationale for these instruments. Validity and Reliability information. Written permission to make copies and/or include instruments in your manuscript

1 - Vague reference to the data collection instruments. Includes no rationale for the selection and format of these instruments in reference to other choices. Does not include copies of actual instruments to be used in the Appendix. No validity or reliability information

2 - Lists the data collection instruments. Includes weak rationale for the selection and format of these instruments in reference to other choices. Does not include copies of actual instruments to be used in the Appendix. Inadequate validity and reliability information

3 - Describes the data collection instruments. Includes rationale for the selection and format of these instruments in reference to other choices. Includes copies of actual instruments to be used in the Appendix. Adequate validity and reliability information

4 - Fully describes the data collection instruments. Includes persuasive rationale for the selection and format of these instruments in reference to other choices. Includes copies of actual instruments to be used in the Appendix. Thorough validity and reliability information provided

7. Statistical Methods and Data Analysis- Writes each question individually and, after each, describes the test to be used to analyze the collected data. Justifies the test choice by identifying the independent and dependent variables and what information will be gained after the use of the test

1 - Does not include research questions. Vaguely describes the test to be used to analyze the collected data. Does not justify the test choice by identifying the independent and dependent variables and what information will be gained after the use of the test. Does not tie procedures closely to research questions

2 - Merely repeats research questions. Does not describe the test to be used to analyze the collected data. Describes data analysis procedures including coding methods and statistical analysis, if appropriate. Ties procedures to research questions. Does not justify the test choice by identifying the independent and dependent variables and what information will be gained after the use of the test

3 - Writes research questions for the study (as in Chapter 1). For each research question, adequately describes the test to be used to analyze the collected data. Adequately justifies the

test choice by identifying the independent and dependent variables and what information will be gained after the use of the test. Describes data analysis procedures, including detailed coding methods and statistical analysis, if appropriate. Ties these procedures closely to research questions

4 - Writes research questions for the study (as in Chapter 1). For each research question, thoroughly describes the test to be used to analyze the collected data. Convincingly justifies the test choice by identifying the independent and dependent variables and what information will be gained after the use of the test. Clearly describes steps of data analysis procedures, including details of coding methods and statistical analysis, if appropriate. Ties these closely to research questions

8. Limitations

- 1 - Does not identify limitations of the study
- 2 - Acknowledges a few limitations of the study
- 3 - Identifies limitations of the study
- 4 - Identifies limitations of the study and analysis of data

9. Timeline

- 1 - Provides a vague timeline with some research steps included
- 2 - Provides a timeline that may be partly incomplete about research steps
- 3 - Provides a timeline that describes the research steps to include
- 4 - Provides a timeline that someone else could follow to carry out the study

Rubric for Chapter 3 of Dissertation: Qualitative Methodology

1. Introduction -- describes how the research design derives logically from the problem or issue statement

- 1 - Research design is not connected to problem statement
- 2 - Research design is articulated as having some connection to the problem statement but that connection should be more clear
- 3 - Research design is connected to the problem statement and derives logically from it
- 4 - Research design is clearly connected to and derives logically from the problem statement

2. Design -- describes which tradition or research design will be used. The choice of research design is justified, with explanations why other likely choices would be less effective

- 1 - Research design is not well described, is not justified, and no other designs are explained as being less effective

- 2 - Research design is described in a perfunctory manner, is not well justified, and minimal work has been done to suggest why other choices would be less effective
- 3 - Research design is clearly described, is justified given the nature of the problem, and other choices that would be less effective are well described
- 4 - Research design is thoroughly described, is clearly justified given the nature of the problem, and other choices that would be less effective are thoroughly described with a great rationale as to why they would be less effective

3. Research Questions -- research questions and sub questions make sense, are answerable, are few in number, are clearly stated, and are open-ended. When it is proposed that questions will emerge from the study, initial objectives are sufficiently focused

- 1 - Research questions and sub questions are vague and lack clarity and may be closed ended
- 2 - Research questions and sub questions have potential with revision, may or may not be truly answerable, and could be more clear
- 3 - Research questions and sub questions make sense, can be answered, are few in number, clearly stated, and are open ended
- 4 - Research questions and sub questions are exceptionally clear and answerable. The number of questions is kept to a minimum and they are open ended

4. Context -- the context for the study is described and justified

- 1 - The context for the study is neither described nor justified
- 2 - There is minimal context set for the study and justification is not well made
- 3 - The context for the study is fully described and justification for the context is logical and clear
- 4 - There is thick, rich description of the context for the study. Justification for the context is particularly logical and clear

5. Ethics -- measures for ethical protection of participants are clearly explained step-by-step. Procedures for gaining access to participants are described

- 1 - Ethical measures and procedures for gaining access to participants are absent or unclear
- 2 - Several important measures are mentioned for ethical protection of participants. Vague or incomplete procedures for gaining access to participants are described
- 3 - Measures for ethical protection of participants can be clearly understood and are explained step-by-step. The reader has a good understanding of how access to participants will be gained
- 4 - A particularly thorough and complete job of describing ethical measures has been articulated step-by-step. The reader can clearly understand how access to participants will be gained

6. Role of Researcher -- The role of the researcher is described in terms of past/current professional roles at the setting, past/current professional relationships with the participants, and how these past/current roles and relationships are likely to affect data

collection. Methods of establishing a researcher-participant working relationship are appropriate. The researcher's experiences or biases related to the topic are described

- 1 - Role of researcher is not addressed
- 2 - Description of the role of researcher is attempted but perfunctory and/or incomplete. Some relationships are described, but not in enough detail
- 3 - Role of the researcher is fully described regarding past/current professional roles at the setting, past/current professional relationships with the participants and how these past/current roles and relationships are likely to affect data collection. Methods of establishing a researcher-participant working relationship are well documented. Researcher's experiences or biases related to the topic are described
- 4 - Author has done an exceptional job documenting all relevant roles and relationships, how they will be mitigated, and how bias toward the topic will be handled

7. Participants -- Criteria for selecting participants are specified and are appropriate to the study. There is a justification for the number of participants, which is balanced with depth of inquiry, the fewer the participants the deeper the inquiry per individual

- 1 - Planned demographics of participants are briefly described with no information on how they are to be selected, no justification for their number, and no information on the depth of inquiry per individual
- 2 - Criteria for selecting participants is briefly but incompletely discussed. A rough idea of number of participants is enumerated without a rationale for the number selected
- 3 - Criteria for selecting participants are completely discussed and match the nature of the study. Number of participants is justified with regard to deeper inquiry for fewer participants
- 4 - A particularly thorough job of defining the criteria for selecting participants is enumerated and perfectly matches the goal of the study. Number of participants is very well justified, with fewer participants requiring deeper inquiry per individual

8. Data Collection -- Data collection procedures are explained in detail. Data collection tools such as interview guide, observation guide, etc. are included in the Appendix. Choices about which data to collect are justified. Data collected are appropriate to answer the questions posed in relation to the qualitative tradition chosen. How and when the data are to be or were collected and recorded is described.

- 1 - Data collection process is either not described or way too brief
- 2 - Data collection procedures are described with material lacking in the way of detail, an interview guide or observation guide. Choices about which data to collect are mentioned but not necessarily justified. Data collected may or may not match the qualitative tradition chosen. Limited information is available concerning how and when data are to be collected and recorded
- 3 - Procedures for collecting data are explained in detail, including tools used such as an interview guide, observation guide, or similar document. Data collected match the qualitative tradition chosen. How and when the data are to be or were collected and recorded is completely described

4 - A particularly thorough job has been done describing data collection procedures. Interview guide or observation guide is professional quality. Excellent choices were made about what data to collect have been justified. Data can answer the questions posed in relation to the qualitative tradition chosen. A thorough job has been done documenting when the data are to be or were collected and recorded

9. Data Analysis -- How and when the data will be or were analyzed is articulated.

Procedures for dealing with discrepant cases are described. If a software program is used in the analysis, it is clearly described. The coding procedure for reducing information into categories and themes is described. Data analysis procedures after coding are described

1 - Data analysis procedures are not described, or are described with brevity

2 - How and when data will be or were analyzed is described, with some important detail missing. Procedures for dealing with discrepant cases may be missing or described in inadequate detail. The coding procedure is described but not in enough detail so that the reader could repeat what the researcher plans to do. Data analysis procedures for post-coding are described but are not in sufficient detail

3 - How and when data will be or were analyzed is described in such a manner that it could be repeated by another researcher. Procedures for dealing with discrepant cases are described with a good rationale for how they were handled. A software program, if used, is described in detail. Coding procedures for reducing information into categories and themes is thoroughly documented. Data analysis procedures to occur after coding are described completely

4 - How and when data will be or were analyzed is beautifully articulated. Procedures for dealing with discrepant cases make particularly good sense. If a software program is used in the analysis, it is completely described. The coding procedure for reducing information into categories and themes is described well enough to be repeated by another researcher. Data analysis procedures after coding are well described

10. Validity -- Methods to address validity or trustworthiness (e.g. member-checking) are appropriate and specific

1 - Methods to address validity are not described

2 - Methods to address validity or trustworthiness are briefly described but lack some degree of appropriateness and/or specificity

3 - Methods to address validity or trustworthiness are appropriate to the methods used and are discussed with specificity

4 - A particularly thorough and appropriate job has been done to describe methods to address validity or trustworthiness of data with high specificity

11. Assumptions, Limitations, Scope, and Delimitations -- Descriptions are provided for facts assumed to be true but not actually verified, potential weaknesses of the study, and the bounds of the study.

- 1 - Description of assumptions, limitations, scope, and/or delimitations is inadequate.
- 2 - Some discussion is included of assumptions but may lack some detail or assumptions being made but not described. Limitations are discussed but more are apparent. The scope and delimitations of the study are mentioned but not fully developed.
- 3 - A complete job has been done describing facts assumed to be true but not actually verified, weaknesses in the study design are completely described, and the bounds of the study are set in a clear and complete manner.
- 4 - A particularly thorough job has been done describing facts assumed to be true but not actually verified. Limitations/weaknesses of the study are thoroughly enumerated. The bounds of the study are thoroughly described.

Rubric for Chapter 4 of Dissertation: Quantitative Study

Chapter 4 - Results/Analysis: Analysis of results, aligned with research question(s) and purpose, includes limitations

1. Introduction - Reintroduces purpose of the study including research problem and question(s); transition to results included

- 1 - No re-introduction to purpose of the study including research problem and/or question; transition to results not included
- 2 - Reintroduces purpose of the study including research problem and/or question; transition to results vague, if included
- 3 - Reintroduces purpose of the study including research problem and question(s); transition to results included
- 4 - Clearly and succinctly reintroduces purpose of the study including research problem and question; smooth transition to results included

2. Analysis of Data

- 1 - Inappropriate analysis of data, not connected to research question and purpose
- 2 - Appropriate analysis of most of the data, vaguely connected to research question and purpose
- 3 - Appropriate analysis of data, connected to research question and purpose
- 4 - Appropriate and thoughtful analysis of data, clearly connected to research question(s) and purpose

3. Presentation of Results

- 1 - Inaccessible and confusing presentation of results, very limited variety of charts, tables, or data displays included
- 2 - Somewhat accessible and understandable presentation of results; limited variety of charts, tables, or data displays included
- 3 - Accessible and understandable presentation of results; variety of charts, tables, or data displays included
- 4 - Easily accessible and clearly understandable presentation of results; variety of charts, tables, or data displays included

4. Interpretation of findings

- 1 - Findings not interpreted correctly and are not supported by evidence nor linked to research questions
- 2 - Findings interpreted and sometimes supported by evidence and vaguely linked to research questions
- 3 - Findings interpreted correctly and supported by evidence and address research questions
- 4 - Findings interpreted correctly and directly supported by evidence and clearly address research questions

5. Limitations of study

- 1 - Does not identify limitations of the study
- 2 - Acknowledges a few limitations of the study
- 3 - Identifies limitations of the study
- 4 - Identifies limitations of the study and analysis of data

Rubric for Chapter 4 of Dissertation: Qualitative Study

1. Data collection -- The process by which the data were generated, gathered, and recorded is clearly described

- 1 - The process by which the data were generated, gathered, and recorded is not described
- 2 - The process by which the data were generated, gathered, and recorded is described but lacks some detail and specificity
- 3 - The process by which the data were generated, gathered, and recorded is clearly described
- 4 - A particularly strong job has been done describing the process by which the data were generated, gathered, and recorded

2. Data systems -- The systems used for keeping track of data and emerging understandings (research logs, reflective journals, cataloging systems) are clearly described.

- 1 - The systems used for keeping track of data and emerging understandings are not described.
- 2 - The systems for keeping track of data and emerging understandings is partly described but not in enough detail to allow for thick, rich description.
- 3 - The systems used for keeping track of data and emerging understandings are clearly described to allow for thick, rich description.
- 4 - A particularly good job has been done describing the systems used for keeping track of data and emerging understandings.

3. The findings a) Build logically from the problem and the research design and b) Are presented in a manner that addresses the research question

- 1 - Findings lack a logical connection to the problem and research design and are not presented in a manner that addresses the research questions
- 2 - Findings have a logical connection to the problem and research design, but this connection is somewhat tenuous. Findings address the research questions, but not completely
- 3 - Findings build logically from the problem and the research design and are presented in a manner that addresses the research questions
- 4 - A particularly masterful job of connecting the findings logically from the problem and the research design is apparent and findings fully address the research questions

4. Discrepant cases and non-confirming data are included in the findings

- 1 - Discrepant cases and non-confirming data seem to be ignored
- 2 - A few discrepant cases and bits of non-confirming data are mentioned but are not well integrated into the analysis of findings
- 3 - Discrepant cases and non-confirming data are included in the findings in a thorough and complete manner
- 4 - The author has done a particularly good job describing discrepant cases and non-confirming data in the findings and integrated these findings into the rest of the analysis

5. Patterns, relationships, and themes described as findings are supported by the data. All salient data are accounted for in the findings

- 1 - Findings consist merely of a list of participant quotes without mention of patterns, relationships, and themes. Salient data are not accounted for in the findings
- 2 - A reasonable attempt has been made to discuss patterns, relationships, and themes of the findings but are not fully supported by the data. Some salient data seems unaccounted for
- 3 - The author has described well-conceived patterns, relationships, and themes as findings and they are well supported by the data. Findings seem to capture the salient data well

4 - A masterful job of capturing patterns, relationships, and themes described as findings has been done, and findings are very well supported by the data. All salient data are accounted for in the findings

6. Evidence of Quality -- A discussion on Evidence of Quality shows how this study followed procedures to assure accuracy of the data (i.e. trustworthiness, member checks, triangulation, etc.). Appropriate evidence occurs in the appendices (sample transcripts, researcher logs, field notes, etc.). Note: This discussion may appear in Chapter 5 rather than Chapter 4.

1 - A discussion of trustworthiness, member checking, triangulation and related concepts is missing. The appendices lack material such as transcripts, researcher logs, field notes, etc.

2 - Measures were taken to assure the accuracy of the data, but lack depth and texture. Limited evidence is included in the appendices

3 - The reader is convinced of the accuracy of the data by the author's presentation of material assuring that procedures were followed such as trustworthiness, member checks, triangulation, etc. The appendices include sufficient transcripts, researcher logs, field notes, etc.

4 - A particularly thorough job of assuring evidence of quality has been accomplished through means such as establishing trustworthiness, member checks, triangulation and related methods. The appendices include appropriate evidence.

Rubric for Chapter 5 of Dissertation

Chapter 5: Discussion/Conclusion: Findings synthesized, situated in larger context, includes implications for action

1. Introduction - Reintroduce purpose of the study including research problem and question; transition to conclusion included

1 - No re-introduction to purpose of the study including research problem and/or question; transition to conclusion not included

2 - Reintroduces purpose of the study including research problem and/or question; transition to conclusion vague, if included

3 - Re-introduces purpose of the study including research problem and question; transition to conclusion included

4 - Clearly and succinctly re-introduces purpose of the study including research problem and question(s); smooth transition to conclusion included

2. Synthesis of findings

1 - Limited or no discussion of major findings/outcomes. Conclusions/summaries are inappropriate and not linked to findings/outcomes

- 2 - Discussion of major findings/outcomes. Conclusions/summaries are sometimes appropriate but not clearly linked to findings/outcomes
- 3 - Discussion of major findings/outcomes. Conclusions are mostly appropriate and linked to findings/outcomes
- 4 - Brief and concise discussion of major findings/outcomes. Conclusions/summaries are appropriate and linked to findings/outcomes

3. Situated in larger context

- 1 - Presentation is not accurate nor engaging. Findings are not integrated with literature from Chapter 2
- 2 - Presentation is accurate but not engaging. Findings are barely integrated with some literature from Chapter 2
- 3 - Presentation is accurate and engaging and situated in larger context. Findings related to research literature from Chapter 2 and to theoretical framework
- 4 - Presentation is accurate, engaging, and thought provoking and situated in larger context. Findings thoroughly related to research literature from Chapter 2 and to theoretical framework

4. Implications

- 1 - Recommendations are not included. No attention paid to a major area of implications (theoretical, research, practice)
- 2 - Recommendations are sometimes appropriate but not clearly linked to findings/outcomes. Brief, perfunctory implications for theory, research, and practice are included
- 3 - Recommendations are appropriate and linked to findings/outcomes. Good, solid implications for theory, research, and practice are included
- 4 - Recommendations are insightful, appropriate and linked to findings/outcomes. Implications are thorough for theory, research, and practice. Implications are linked to the data

Overall Paper: Mechanics

1. Coherent and convincing argument with substantive support for claims

- 1 - Unable to discern the argument for the study
- 2 - Begins to make a coherent argument and build support for claims
- 3 - Makes a coherent and convincing argument and builds support for claims with evidence
- 4 - Makes a coherent and convincing argument by consistently supporting claims with credible, relevant, and substantive evidence

2. Organization

- 1 - Attempts to use organizational structures but inconsistent use of headings, transitions between chapters leads to disorganized paper. Difficult for the reader to follow

- 2 - Begins to use organizational structures (introduction, headings for each core area with clear transitions, sequenced material within the body, and conclusion) within the paper
- 3 - Consistently uses organizational structures (introduction, headings for each core area with clear transitions, sequenced material within the body, and conclusion) within the paper
- 4 - Skillfully uses organizational structures (introduction, headings for each core area with clear transitions, sequenced material within the body, and conclusion) within the paper

3. Mechanics

- 1 - Makes frequent errors in sentence structure, grammar, punctuation and/or spelling that interferes with comprehension. Does not write in the past tense
- 2 - Makes errors in sentence structure, grammar, punctuation, and/or spelling that impede understanding. Does not write in the past tense
- 3 - Makes minor errors in sentence structure, grammar, punctuation, and/or spelling that do not impede understanding. Writes in the past tense
- 4 - Demonstrates detailed attention to mechanics including sentence structure, grammar, punctuation, and spelling. Writes in the past tense

4. Citations

- 1 - Does not use APA style, and lack of citations interferes with comprehension
- 2 - Inconsistently uses APA style in text citations and references
- 3 - Generally uses correct APA style in text citations and references
- 4 - Consistently uses correct APA style in text citations and references