

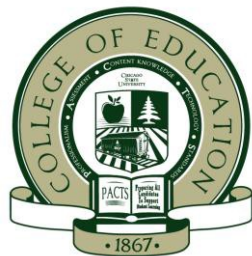
Chicago State University

College of Education

Department of Doctoral Studies

Doctor of Education (Ed.D.) in Educational Leadership

Guide to the Dissertation Process



Inspire... Motivate... Change Lives.

Revised: January 2012

PREFACE

Welcome to the *Guide to the Dissertation Process* (Ed.D. Program in Educational Leadership). Please note that since this document is classified as a textbook, it does not follow consistently the form and style recommendations noted in the sixth edition of the *Publication Manual of the American Psychological Association* (APA, 2009). Consequently, candidates are reminded that all elements of the dissertation should conform to APA guidelines, except for the specific exceptions noted herein and in the current edition of the *Chicago State University Style Manual: Guidelines and Instructions for the Preparation of the Master's and Doctoral Theses* (Chicago State University, The Graduate School, 2005).

This *Guide* is to be regarded as a “work in progress.” It is intended to be helpful to both advisors and candidates throughout the preparation of the dissertation. However, candidates are reminded that the final word as to dissertation process details lies with the Dissertation committee chair and the members of the dissertation committee. Subsequent drafts of the *Guide* will include refinements to the dissertation process.

The Ed.D. Program values the input of its candidates and mentors in future editions of the *Guide*.

Thank you and best wishes as you complete your dissertation research.

Revised: January 2012

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THE DISSERTATION

Purpose of the Dissertation

The dissertation process is the culminating experience for Educational Leadership doctoral candidates. The dissertation should “(a) reveal the candidate’s ability to analyze, interpret, and synthesize information; (b) demonstrate the candidate’s knowledge of the literature relating to the project or at least acknowledge prior scholarship on which the dissertation is built; (c) describe the methods and procedures used; (d) present results in a sequential and logical manner; and (e) display the candidate’s ability to discuss fully and coherently the meaning of the results” (Council of Graduate Schools in the U.S., *The role and nature of the doctoral dissertation*, 1991, p. 3). In addition, the dissertation must pertain to a clearly defined problem currently confronting the field of education in general or the arena of educational leadership specifically. Within these broad parameters, all Educational Leadership dissertations are expected to be original, independent investigations that contribute to both the existing body of theoretical knowledge and the advancement of professional practice in education.

Preparation for the Dissertation Process

The dissertation process builds on the skills developed and demonstrated during the core courses and ancillary experiences embedded in the Ed.D. program of study. The core course sequence is intended to prepare candidates to proceed confidently into the capstone activity of the program, the dissertation.

The dissertation (a) requires a clearly articulated problem, (b) contributes to the solution of the problem, (c) incorporates a clear understanding of a specific research methodology or of multiple methodologies, (d) includes an expectation for informed change, and (e) demonstrates and articulates intelligent and logical findings.

Writing Style and Use of Nonbiased Language

The writing style used throughout the dissertation is expected to facilitate clear communication through the orderly presentation of ideas expressed in a logical and precise manner. In addition, it is important to use language carefully and appropriately, so that the writing may not be interpreted by a reader as biased or discriminatory. Words should be avoided that may reflect bias concerning presupposed outcomes of the research project or with respect to such areas as ethnicity, national origin, gender, marital status, age, religion, sexual orientation, or disability. Helpful guidelines and strategies regarding both writing style and appropriate use of language can be found in the *Publication Manual of the American Psychological Association*, 6th ed., (2009).

THE DISSERTATION COMMITTEE

Eligibility for Assignment

A candidate is eligible for assignment to a dissertation committee chair upon successful admission to doctoral candidacy. When a candidate becomes eligible for the assignment of a dissertation committee chair, a letter will be sent from the doctoral program office certifying eligibility and identifying the names of available dissertation committee chairs. The letter will also provide instructions for contacting the dissertation committee chairs as well as guidelines for identifying the remaining members of the dissertation committee (see further detail below).

Assignment Process

Approved dissertation committee chairs are selected from among the College of Education (COE) faculty. For a current listing of qualified dissertation committee chairs, candidates are referred to the Department of Doctoral Studies. Candidates may request a specific dissertation committee chair at the time of application to Candidacy (See Qualifying Examination Packet). A candidate may indicate his/her desire for a particular dissertation committee chair with an area of interest or expertise that coincides with the project being considered. Whenever possible, an attempt will be made to accommodate the candidate's preference in making the dissertation committee chair assignment. A candidate's request may not be honored if the current load of advisees precludes any additional assignment at the time.

Committee Approval Process

Dissertation committees shall be selected by the graduate candidate in consultation with the student's dissertation chair. The committees must be approved by the doctoral department.

The Dissertation Committee

The dissertation committee is comprised of the dissertation committee chair, one additional COE faculty member, one faculty member from CSU but outside the COE, and one faculty member from an institution of higher education outside of CSU (four members, total). In special cases, the candidate, with approval of the dissertation committee chair, may add a fifth committee member (generally with specific expertise relevant to the dissertation research). The committee facilitates planning, designing, and executing many aspects of the dissertation.

The dissertation committee chair may rely on the help of the committee to provide interpretation and assistance to the candidate as the dissertation research progresses.

Each committee member is an equal and fully functioning member of the committee who reviews drafts and signs the signature page for both the proposal and the final dissertation. The dissertation committee members can be helpful to the dissertation committee chair in addressing problems that may occur at any point during the dissertation process.

Roles of the Committee Members

The dissertation committee consists of the following four members: the dissertation committee chair; one faculty member from the COE; one faculty member from another college or program within CSU; and a final faculty member from another institution. Candidates must understand that all members of the student's committee and the student share responsibility for the accuracy and quality of the dissertation.

The Dissertation Committee Chair

The dissertation committee chair acts as the chair of the committee and is responsible for the general direction of the study with the close collaboration and cooperation of the other members of the committee. It is especially important that the candidate keep the dissertation committee chair informed of all developments as the project is conceptualized, designed, and carried out.

The dissertation committee chair acts as the chair of the committee, and has the responsibility and authority to guide the student through the dissertation process. The student is answerable to the dissertation chair. The dissertation committee chair assists the candidate in making a contribution to the field of education leading to the improvement of educational practice. The dissertation committee chair reviews and approves (a) the initial concept of the proposed dissertation research, (b) the various proposal drafts, and (c) the final report before these components are shared with the other committee members. The dissertation committee chair maintains communication with the other committee members concerning the candidate's progress. Should a disagreement occur between the candidate and another committee member or between committee members, the candidate should contact the dissertation committee chair. The dissertation committee chair must complete a Faculty Research Interest Form (Appendix U).

The COE Committee Member

In addition to the dissertation committee chair, one faculty member from the College of Education is appointed to each doctoral dissertation committee. This committee member provides substantive advice including suggestions on design, organization, and writing style. The COE faculty committee member must complete a Faculty Research Interest Form (Appendix U).

The CSU Committee Member

The third member of the candidate's dissertation committee is a representative of the CSU faculty outside the department of the College of Education. The CSU Committee Member may be a faculty member in any other recognized college, school or program within the university. Like all members of the dissertation committee, the CSU faculty member is selected in consultation with the dissertation committee chair and has the responsibility to ensure that the project conforms to CSU and graduate school policies. The Chicago State University faculty committee member must complete a Faculty Research Interest Form (Appendix U).

The External Committee Member

The fourth and final member of the candidate's dissertation committee is a faculty member representing an institution other than CSU. Selected in consultation with the dissertation committee chair, the external committee member has the responsibility to ensure that the project is representative of doctoral work both within CSU and at peer institutions. Further, in special cases, a fifth committee member can be selected (with the approval of the dissertation committee chair) to provide areas of expertise and experience not otherwise available within CSU. The external committee member must complete a Faculty Research Interest Form (Appendix U) along with a current vita.

It is the responsibility of the candidate to attach the Faculty Interest Forms in addition to the external committee member vita to the Dissertation Committee Agreement Form (Appendix B).

The Non-Voting Outside Reader (Graduate Dean's Representative)

The Dean of the College of Education will observe the oral defense of the dissertation by appointing a designee to participate in the proceedings but who will be a nonvoting member. The Outside Reader has a dual role at the defense of dissertations. First the representative offers the student a reading of the student's work from the perspective of a non-specialist and second, the reader observes the procedures employed during the oral defense. Although the Outside Reader is not a voting member of the committee, he or she offers a valuable perspective on the candidate's work, especially when the degree candidate intends to prepare the manuscript for publication. Selected by the Dean of the College of Education, the outside reader will be an active participant in the student's defense by asking questions and providing feedback to the candidate.

The pre-defense version must be given to the reader at least three weeks prior to the defense in order to give him/her ample time to make comments to the student about the manuscript. The committee chair shall ensure that this opportunity is provided.

In summary, the Dean's Representative will:

1. Be another faculty member in another department at the university or may be a key expert in the field of inquiry.
2. Be appointed before the scheduled Oral Defense.
3. Read the student's pre-defense version and comment on the soundness of the research; suggest revisions that will make the student's work most effective.
4. Be required to attend the oral presentation and question the committee. The student's conduct with the outside reviewer should function at the most professional level possible.

The Outside Reader is invited to submit written comments to the Dean on the quality of the student's dissertation/document and defense and on the procedures that were followed. Upon review, the will inform the committee chair and the degree candidate in advance of the defense of the reader's comments (See Appendix N).

Requesting Changes in Committee Membership

Occasionally, either the candidate or one of the dissertation committee members may wish to initiate a change in the makeup of the committee. This can occur for a number of reasons, often having to do with the compatibility of working styles. When this happens, a request for change should be made in writing to the director of the doctoral program.

Committee Procedures

Dissertation Committee Chair to Candidate

The dissertation committee chair will set forth general operating procedures soon after the candidate is assigned. Customary procedures and other individual preferences for working with the candidate will be outlined in this letter. For example, some chairs like to receive one chapter at a time; others prefer to receive "parts" of the project as the candidate moves through, and still others prefer to receive all previous work with any new submission. Also, the chair's accessibility and preferred method, or methods, of communication (e.g., phone, fax, or email) will be described as well as convenient times for communication.

The dissertation committee chair will work with the candidate until a draft of a document appears to be acceptable. While the dissertation committee chair may review the practice proposal developed as an outcome for EDDL 6650, she/he in consultation with

the candidate's full committee, will make a final determination as to the efficacy of the proposed project.

For all drafts, the dissertation committee chair will focus his/her expertise on the project and will give it her/his best thinking. Once the dissertation committee chair determines that the document is ready for full committee review, the dissertation committee chair will indicate that the draft should be forwarded to the other committee members for their review and input. Candidates are reminded that they may forward a draft to the other committee members only with the concurrence of the dissertation committee chair.

The dissertation committee members will view the draft with fresh ideas and recommend specific ways that the document can be strengthened. Thus, the full committee participates in the production of the best possible final document. At times, the dissertation committee chair may suggest to the candidate that a draft of a document be sent to committee members at an earlier stage for consultation regarding a specific issue or question. The dissertation committee chair may recommend also that a candidate consult with another committee member specifically for helpful advice regarding the topic, methodology, editorial assistance, or other available resources.

Candidate to Dissertation Committee Chair

When the candidate learns of his/her dissertation committee chair assignment, it is appropriate to initiate contact with the dissertation committee chair immediately. Because the dissertation committee chair may not know the candidate, prior to the first face-to-face meeting it could be helpful if the candidate were to forward items such as a short biographical sketch, the Practice Preliminary Proposal developed as an outcome for EDDL 6650, and/or a listing of other possible general areas of research interest. Preliminary ideas about the dissertation, topic, focus, and setting may be included.

It is important that the candidate maintain open and frequent lines of communication with the dissertation committee chair. At the first meeting with the dissertation committee chair, the candidate is encouraged to set a schedule to maintain communication with his/her chair. Often there may be periods when employment or family matters preclude dissertation activities and the exchange of drafts. During these periods especially, the candidate should continue to communicate with his/her dissertation committee chair on a regular schedule to maintain continuity.

General Principles of Communication

Throughout the dissertation process, each person (candidate or committee member) who communicates in writing (including e-mail) should include copies of significant correspondence to keep the entire committee aware of the evaluation/status of the research project. The candidate and the dissertation chair are encouraged to review this element of open communication and develop a strategy to keep all members of the

committee informed of the process.

The importance of the “committee” approach must never be overlooked. Open and clear communication among the four individuals (candidate and committee members) is essential to the success of the dissertation process. Some dissertation committee chairs may wish committee members to work directly with the chair and then the chair will share comments and/or recommendations with the candidate. Other dissertation committee chairs may prefer that the committee members address their concerns and comments to the candidate (with a copy to the dissertation committee chair). The candidate is encouraged to review this process with the dissertation committee chair to determine how best to proceed.

A cover email or memo of transmittal should accompany all drafts. This transmittal correspondence should indicate the candidate’s current contact information (e-mail address, mailing address, and telephone numbers).

Timeline for the Process

The timeline for the accomplishment of the dissertation process, from the time of the committee assignment to the final signature on the dissertation report, is dependent on a number of variables (e.g., the nature of the research, the amount of time available to the candidate to devote to completing the project, and other considerations related to data collection and analysis). However, a candidate should expect to complete the dissertation in approximately 1-2 calendar years. A suggested timeline is provided in Appendix A.

As a general rule, all committee members are committed to a three week turnaround time for all dissertation documents. This means that an oral, e-mail, or written response will be communicated to the candidate within three weeks from the date that the document is received. If a response has not been received after three weeks has transpired, the candidate should phone or send an e-mail message to the dissertation committee chair to determine the status of the review (or to determine “next steps” if the draft is with one of the other committee members). Candidates are reminded that dissertation committee chairs (and many of the committee members) are serving other graduate candidates. Therefore, documents are always reviewed in the order received. Turnaround time may be longer if special problems are discovered within the material under review, or during particularly busy times such as holidays, vacations, or as a result of an illness.

However, there is always some “time lag.” The candidate forwards the paper to the committee member, and it may take a few days for the committee member to “open” the document for review. The committee member responds within two weeks of the receipt of the document. Then, there is a minor time lag before the candidate receives the response. The candidate should take such time lags into consideration. It is useful if the candidate can plan to be accomplishing other project work, such as reading, instrument

construction or validation, library searches, consultations with data-processing or statistical experts and the like while documents are being reviewed. This will minimize “down time.” Remember also that email or FAX are excellent methods for rapid communication about issues or segments of a document that are in question. The candidate should consult with his/her dissertation committee chair and/or committee members before selecting a specific method for delivering document drafts.

When documents are prepared, the candidate should be aware that many revisions will probably occur, and that there are benefits to “drafting.” A candidate in the dissertation process who is well prepared from doctoral core courses and the qualifying examination usually has a clear understanding of how to proceed with recommended revisions that emerge from drafts that are reviewed. The candidate is encouraged to contact his/her dissertation committee chair if she/he is unsure of the meaning of the chair’s (or committee member’s) suggestions in written feedback and marginal notations within documents.

When a candidate corresponds with any committee member, he/she should indicate the nature and purpose of the enclosed or attached materials. For example, if it is a draft in response to previous comments, the comments should be identified and the ways in which the comments have been addressed should be highlighted. It is very helpful to the committee members if the candidate provides complete phone and fax numbers, e-mail addresses, and so on, as well as the date in the cover memo or email that accompanies every submission of written materials. The current date should be added to the accompanying correspondence for each new submission.

Other Resources

Although acquisition of assistance from resources beyond those directly found at CSU is permitted, the candidate is advised to keep his/her dissertation committee chair and committee members fully informed when this is considered and as it occurs. Assistance of any kind must be in support of the candidate’s own work. While other professionals may be consulted (e.g., statisticians or editors), in no case should the work of the dissertation be done by persons or organizations other than the candidate. The candidate is referred to the CSU policy on academic honesty (CSU Graduate Candidate Catalog, 2008-2010, p. 55).

OVERVIEW OF THE DISSERTATION PROCESS

The dissertation process consists of the following elements: (a) a preliminary proposal, (b) presentation at the Dean’s Forum (c) a proposal, (d) conduct of the actual project, (e) a final report, and (f) the oral defense of the dissertation. See Appendix A for the routing and approval process for dissertation components/documents.

The Preliminary Proposal

After the candidate has been notified of her/his dissertation committee chair, and after speaking with his/her chair regarding possible research interests, the candidate should develop a preliminary proposal. The preliminary proposal presents the concept of a potential dissertation project as an outcome of EDDL 6650. The major purpose of the preliminary proposal is to enable the chair and other committee members to determine if (a) the concept is appropriate in scope and significance for a doctoral dissertation, (b) if the topic is manageable and feasible, and (c) if the candidate has the necessary resources and the knowledge/skill to conduct the project. The preliminary proposal is a mechanism for assisting the candidate and his/her dissertation committee to reach a consensus that the candidate is “on the right track” toward identification of a worthwhile and feasible dissertation.

The preliminary proposal should be regarded as a necessary and useful initial step toward the first draft of the finished proposal. The preliminary proposal is not intended to be the complete dissertation proposal, however. The candidate and committee members should avoid prolonging attention to refining the preliminary proposal beyond a point necessary to establish the consensus desired. Committee members may provide feedback on the preliminary proposal pertaining to their expectations regarding aspects of the project that must be addressed in the first draft of the dissertation proposal. Once agreement is reached that the general concept as identified in the preliminary proposal is acceptable, the candidate is then directed to develop and clarify the concept further by providing the necessary details in the full dissertation proposal.

In the preliminary proposal, the key issue is “What is the problem?” Has the candidate identified a problem that can/should be addressed in an doctoral dissertation and is supported by documented evidence? Are the general approaches identified in the preliminary proposal likely to provide results to solve problems or improve things? A doctoral dissertation need not claim to produce a complete solution to the problem but must provide a significant contribution to its solution.

The dissertation should be an in-depth study of sufficient scope and significance to have the potential for a major impact on the problem identified by the candidate. The dissertation must NOT be (a) a research project solely adding to theoretical knowledge basic to the field and having little, if any, potential for application; (b) merely the development or compilation of a product, such as a book, a film, or a course of instruction; (c) solely a survey or description of existing practices; (d) historical research with no application to practice; nor (e) a simple comparison of two or more groups to test the effectiveness of an experimental technique. Further, the dissertation must meet the criteria set forth in the opening paragraph of the section “The Dissertation Report” in this Guide.

The candidate’s dissertation committee can provide assistance choosing a topic. Resources available through the CSU Academic Library services should be consulted.

The candidate most likely will have been pondering possible dissertation research topics during the previous two years of courses, workshops and other research-based experiences. Preparation for the qualifying examination will also have given the candidate an opportunity to put all program experiences in perspective and serve as a catalyst for designing a valuable and appropriate project. A candidate must not begin the dissertation process before taking the opportunity to review his/her research and methodology texts as well as several dissertations or other major research projects. The dissertation is the capstone of the doctoral experience, so the ultimate topic and approach must emanate from the candidate with the guidance and assistance of the dissertation committee.

After considering all of the factors discussed above carefully, the candidate should include the following in his/her preliminary proposal:

1. a standard CSU title page with a tentative title of the project,
2. a problem statement,
3. the purpose of the proposed project,
4. conceptual framework of the proposed project
5. literature review of the proposed project
6. the nature and significance of the project, including potential outcomes that may improve educational practice,
7. the research questions that will be pursued and will drive later discussion and decisions about methodology and procedures, and
8. the type of problem-solving methodology or methodologies to be used and a brief explanation of tentative procedures.

The preliminary proposal, though the shortest of the three documents (preliminary proposal, proposal, dissertation), is of critical importance. Both the scope and the depth of the project are set forth in the preliminary proposal. The problem to be investigated, the statement of purpose, conceptual framework and the research questions outlined in the preliminary proposal provide the foundation for a sound approach to proposal development. A carefully conceived and well-developed concept generally saves time otherwise required at the proposal stage. The estimated length of a preliminary proposal is between 8-12 pages.

Preliminary Proposal Approval Process

A first draft of the preliminary proposal should be sent initially only to the dissertation committee chair for review and comment (see Appendix A). More than one draft of the preliminary proposal will be submitted to the dissertation committee chair, and there will be ample opportunity for interaction with the chair before the draft is fairly complete and clear. When the dissertation committee chair is satisfied that the preliminary proposal has been thoroughly developed and covers the key points described above, he/she notifies the candidate to send the revised preliminary proposal to the remaining

committee members with a cover letter indicating that the dissertation committee chair and the candidate are seeking full committee review and input.

At this point, all committee members respond with comments to the candidate with copies to the other members (or to the dissertation committee chair with copies to the candidate and to the other members). When all committee members concur that the general concept of the proposed research is acceptable, the candidate will be asked to address the comments provided by the committee in the proposal. Once committee consensus is achieved, the approval for the candidate to begin proposal development is given by the dissertation committee chair. Procedures for reaching consensus may vary somewhat, depending on the dissertation committee chair's method of working. (For example, conference calls may be held and memos may be sent). After consensus is reached, the dissertation committee chair writes a confirming memo to the candidate with copies to the other committee members and to the Ed.D. Program Office.

THE PROPOSAL

The second step in the dissertation process is to develop a full proposal. The proposal becomes a contract between the candidate and the doctoral program regarding the exact nature of the project. Once agreed upon, no major changes to the proposal can be made without the agreement of all parties. It is a "blueprint for action," a comprehensive description of what the dissertation will involve, as described in the following sections. The following pages include the various components of a dissertation proposal and cover the appropriate headings that are to be utilized in the text of the proposal.

Title Page and Title

The proposal should have a standard CSU title page. (See Appendix H for a sample title page.) The proposal title should contain no more than 20 words and should begin with a noun that denotes some form of action, such as "Analysis of...," "Development of...," "Formation of...," or "Evaluation of..."

Abstract

An abstract of the proposal should follow the title page. It should be headed by the word abstract all in upper case. The proposal abstract should not exceed 250 words. It should be an accurate and complete summary of what the candidate proposes to do. (See Appendix J for suggestions on writing abstracts.) The abstract is not listed in the table of contents.

Table of Contents

All level one, two, and three headings (if used) should be included in the Table of

Contents. Refer to Appendix D for an example of a dissertation proposal table of contents format and to the *Publication Manual of the American Psychological Association*, 6th ed., (2009) for a discussion of heading levels.

List of Tables and/or List of Figures

A proposal rarely contains tables or figures, because these are usually used to display findings or results in Chapter 4 of the dissertation report. It sometimes may be useful, however, to display a table or figure in the introduction (expanding upon the background or significance of the project), or to include a schema for data analysis or statistical summary. (For the format of tables and figures, see the current *Publication Manual of the American Psychological Association*, 2009).

Introduction

A brief description is given of the proposal contents to follow.

Nature of the Problem

The educational problem is described. A “problem” is an actual situation that is hindering the overall educational effectiveness of an institution, program or organization and needs attention. Some aspects of the situation may need to be explored to determine cause and effect. Other aspects may need to be evaluated to determine if changes need to be made. Additional program elements may need to be developed. Thus, the problem description is very broad, although certain specifics may be identified at this time. The problem addressed in the dissertation must be of greater magnitude than problems addressed in earlier, more modest research efforts. The problem must be supported by evidence that an actual problem exists.

Purpose of the Project

Following the problem description, one specific aspect of the problem is selected for investigation. The proposed project does not promise to eliminate the problem completely, but the results should offer some assistance in alleviating it. The purpose of the project is stated as succinctly as possible, often employing the following: “The purpose of this project is to “...”

The candidate should not propose solutions to the problem in the purpose statement, or indeed in any component of the proposal. The intent of a well-designed proposal is to design a process out of which will emerge a potential solution or potential alternative solutions.

Significance of the Project

The candidate should document the problem so as to demonstrate that it has been recognized as a general problem in education, or at a specific institution or organization. Current literature, both research and expert opinion is utilized as the basis for a description of the status of the overall problem.

From this preliminary review of the literature and related documentation, the major issues related to the problem are described, and a conceptual basis (conceptual framework) from which the project flows is developed. Usually several major concepts are explored. (Examples of concepts would be individualized instruction or distance learning.)

The information obtained from this initial review of literature is intended to demonstrate that the problem identified for the dissertation is appropriate. At this stage of the dissertation process, a complete review of literature is not expected. However, sufficient literature should be cited to (a) describe the status of the general problem, (b) describe the status of the elements related to the purpose of the proposed project, (c) identify the major issues involved, (d) point to or justify forthcoming research questions, and (e) present a conceptual basis or framework from which the project develops.

Next, the significance of the project is described, with documentation that indicates a need for the research in the field and/or in a specific institution or organization. If needed, the role of the candidate within an institution or organization is indicated to substantiate the feasibility of the execution of the project (especially data collection).

Conceptual Framework

A conceptual framework is described as a set of broad ideas and principles taken from relevant fields of inquiry and used to structure a research study. When clearly articulated, a conceptual framework has potential usefulness as a tool to scaffold research and, therefore, to assist a researcher to make meaning of subsequent findings. Such a framework should be intended as a starting point for reflection about the research and its context. The framework is a research tool intended to assist a researcher to develop awareness and understanding of the problem.

Research Questions

Once the nature of the problem and the purpose of the project have been described, the research questions are presented. The answers to these questions will address the purpose of the project. Research hypotheses, where appropriate, are included after the research questions, with their own separate heading.

Definition of Terms

Terms that are technical, used in a special sense, or that may be assumed to be new to

the reader are explained in this section. Usually terms in the title and in the purpose statement are also defined clearly here. Where relevant, all independent variables and dependent variables must be defined operationally.

Review of Literature

In addition to the literature referred to in the background and significance section, a separate review of literature section must be included. The candidate should remember that the relevant literature file will keep growing throughout the study and the literature included will be amended several times in the report as new materials are discovered. The literature review should include a section or subsection on the methodology or methodologies proposed for use in the dissertation.

Methodology and Procedures

Methodology

In this section of the proposal, the particular methodology or combination of methodologies selected for use are described, along with an explanation of their appropriateness in addressing the problem and research questions.

Procedures

Procedures should be outlined in clear, precise, sequential statements about how the project will be conducted. The procedures for addressing each of the research questions should be presented. Regardless of the methodology used, the procedures should be very specific. Specificity is essential in the dissertation proposal as this section provides the foundation for conducting the project. One approach used successfully is to (a) relate this step to a research question, (b) state the procedural step, (c) explain the rationale or reason for the significance of this step, and finally, (d) describe how this step will be applied. Each distinct procedural step should be identified with a descriptive heading. The following should be included if quantitative research methodology is used: sources of data, methods of collection, sampling procedures, identification of relevant dependent and independent variables, and the statistical treatment of the data, including the statistical hypotheses tested.

When evaluation methodology is used, include the following: the process of identifying goals or objectives that were to have been met and the various procedures to determine the extent to which each identified goal was attained. Often it is helpful to seek help from some authoritative or competent source for assistance in research design and statistical procedures to overcome major initial design flaws.

When qualitative research methodologies are employed, it should be made clear whether the proposed project is fully inductive or quasi-deductive in intent and, if the

former, to what outcomes it is directed (exploratory search for hypotheses, theory building or data base creation), if the latter, to what existing theoretical claim(s) in the field it applies.

Also, the nature of any contemplated data-gathering instruments must be described in great detail. Examples of data-gathering instruments include standardized tests, teacher-made tests, questionnaires, interview guides, field study logs, or search probes of major data bases (e.g., census reports, labor statistical reports, or U.S. Department of Education statistical data bases). Evidence must be presented regarding the reliability and validity of the use of such instruments. If an instrument is standardized, report its reliability and validity. If not, report how the instrument was designed, field-tested (or pilot-tested), and then judged to be both reliable and valid. Often the research studies reported in the literature have utilized instruments that can be adapted to the proposed project. If adaptation is necessary, report how the revision was done, its probable impact on the original validity and reliability, and the results of field-testing. All proposed instruments in their final form must be appended to the proposal when submitted for CSU Institutional Review Board (IRB) processing (see p. 19 of this document entitled "IRB Approval Process" for further discussion of the CSU IRB requirements). A proposal for a dissertation will not be approved without the actual proposed data-gathering devices and procedures available for review.

Assumptions

All assumptions for the dissertation project are stated clearly. An assumption is a concept that must be taken for granted before the project can be valid. One does NOT have to assume that the product will be used, that the product will make things better, or that evaluation results will cause changes to be made. Further, one does not assume reliability and/or validity of instruments; one demonstrates (in the methods and procedures sections) that they are reasonably reliable and valid. When instruments lack established validity and reliability, this should be indicated as a limitation of the study. If one builds procedures based upon content obtained from literature or data compiled and reported by others (i.e., data bases) then one must assume that "the data utilized in this project and as reported by [insert name of data base or other source here] are complete and accurate." If a procedure is to accumulate data from a list of graduates, then one must assume that "The data base of graduates is assumed to be accurate."

Limitations and Delimitations

The limitations and delimitations section should include descriptions of any conditions, restrictions, or constraints that may affect the validity and reliability of the project outcomes. A limitation is a weakness or shortcoming of the project that could not be avoided or corrected and is acknowledged in the report. A delimitation is a planned/intended restriction of the scope of a project or of the depth of inquiry usually made necessary because of the lack of time or resources to do more (e.g., the restriction of the project to a particular school system, organization, or program).

Examples of limitations are as follows: the imperfect reliability and validity of measuring instruments, especially if they are self-developed; the skill of the interviewer; the return rate of survey instruments (non-response bias); and limitations inherent in the research design used (e.g., threats to internal and external validity that were not possible to control). At this point, one should identify and note possible conditions that are less than perfect. If there are too many limitations, or a limitation is insurmountable, the candidate should consult with his/her dissertation committee chair about how to proceed. Note: after implementation of the research, additional limitations may be identified and reflected in the final report.

Implications

This section should include the anticipated impact or benefits that can ensue from the results of conducting the dissertation research. In addition, this section should project expected or anticipated implications of the to-be-completed project for the improvement of theory and/or practice. Examples of implications are as follows: how the survey results can possibly influence future directions of educational programs, how the developed product can improve the professional development of the staff, or how the evaluation results can influence potentially the revision of future curricula. Results are not mentioned here, nor are they predicted. This section is only a precursor to the last part of Chapter 5 in the final dissertation report.

References

Dissertation proposals and reports contain a list of References, which is a comprehensive list of pertinent works found and reviewed while doing an extensive literature search. All entries in the list of References must have been cited in the text. Further, each proposal draft should be reviewed carefully to assure that each source cited in the text is included in the list of References.

Appendix/Appendices

Any questionnaire, interview guide/schedule, or other instruments used in the project, as well as lists of persons or groups used formally to assist with the project, any relevant correspondence, and permission or support letters should be included in the appendices of the proposal. Each item in the appendices should be referenced appropriately in the text (no appendix is permitted if not referenced in text). Permission to use and reproduce published instruments must be secured. Refer to the *Publication Manual of the American Psychological Association*, 6th ed., (2009) for more information about appendices.

Proposal Signature Sheet

The proposal signature sheet contains the names of the dissertation committee

members as well as other signatures as may be determined by the CSU Graduate School. The signature sheet is NOT listed in the table of contents. See Appendix E for the format to be followed.

Proposal Approval Process

A first draft of the proposal should be sent to the dissertation committee chair for review and comment. Note the importance of the word “draft.” Usually more than one draft will be submitted to the dissertation committee chair and there will be opportunity for much interaction with the chair before the proposal is fairly complete and clear. As the draft of the proposal nears the point where it will be distributed to the other dissertation committee members, the candidate prepares IRB materials for review by the chair. When the chair is satisfied that the proposal thoroughly and clearly presents all of the required content for a dissertation proposal, he/she will notify the candidate to send the proposal draft to the other committee members with a cover letter indicating that the chair has requested committee review and input along with a copy of the Dissertation Proposal Evaluation form (Appendix F).

The dissertation chair and candidate will discuss possible dates and times for the proposal defense. Once dates and times have been identified the candidate will contact the committee members and include the following information:

- Verification of permission by the chair to contact members
- Choice of dates and time for proposal defense
- Preference for proposal draft, email or hard copy
- Copy of Dissertation Proposal Evaluation Form (Appendix F).

The candidate is responsible for coordinating the proposal date and time. As a courtesy to the committee provide at least three to four dates and times. If a committee member requests a hard copy of the proposal, the candidate is responsible for sending the copy to the preferred address. The proposal defense date should be scheduled at such as time to allow at least three weeks for the committee to provide feedback to the candidate and time for the candidate to discuss with the dissertation chair the revisions.

Once a date has been agreed by all members, the candidate will notify the chair, members of the committee, and the Ed.D. Program Office. The Ed.D. Office will schedule and notify the candidate of the location for the defense. The candidate will be responsible to notify the committee of the room location.

Proposal Defense Process

The purpose of the proposal defense is to have the candidate formally present their research proposal with their dissertation committee. The proposal defense consists of three parts. In the first part the candidate is asked to make a presentation sharing the key components of the proposal. The second part of the proposal defense consists of questions presented by the committee with opportunity for the candidate to answer and

further clarify suggestions. The final part of the process is the approval of the dissertation proposal as presented with or without revisions.

If consensus has been reached, the dissertation committee will sign the signature sheet (see Appendix E). When the approved proposal and the signed signature sheet have been filed with the Ed.D. Program Office, a congratulatory letter will be sent to the candidate from the Ed.D. Program Director. A copy of this letter and a copy of the approved proposal are sent to each of the dissertation committee members.

Proposal Defense Procedures

All members of the committee must be present at the proposal defense. If a committee member is unable to be present once a date has been set, the proposal defense will need to be rescheduled. Only in an unavoidable emergency will the defense take place with less than the full committee present. The proposal defense is closed to outside participants. The chair has the right to cancel the proposal defense if the candidate is not prepared or committee members are not present.

Food is not permitted at the proposal defense. Bottled-non-alcoholic beverages are allowed.

Dissertation Committee Chair Responsibilities

The chair will be responsible for the following items at the dissertation proposal defense:

- Develop proposal agenda (Appendix V)
- Provide copies of agenda for proposal defense
- Dissertation Proposal Signature Sheet (Appendix E)
- Completion of Dissertation Proposal Scoring Guide (Appendix G) on Livetext

Candidate Responsibilities

The candidate will be responsible for the following items at the dissertation proposal defense:

- Prepared presentation of dissertation proposal
- Edited hard copies of proposal for each committee member
- Verification of attendance of committee members for scheduled date
- All costs incurred by the external committee member (parking, lodging, travel, etc.)
- Any additional information provided to external committee member (directions, location, procedures for the proposal defense).

IRB Approval Process

After the proposal has been reviewed and approved by the entire committee and at the discretion of the chair, the candidate will be instructed to forward a copy of the proposal to the CSU Institutional Review Board (IRB) with the following completed forms (available online at <http://www.csu.edu/irb/submissionrequirements.htm>):

- a. an Application for Initial Review;
- b. the Investigator Agreement;
- c. a copy of the Completion Certificate issued as a result of completing the "Human Participants Protection Education" online course sponsored by the National Institutes of Health;
- d. a copy of the dissertation committee approved research proposal;
- e. an Application Checklist (to ensure a complete submission); and
- f. copies of any data-gathering instruments and/or protocols to be employed in the conduct of the research.

The CSU IRB will need a minimum of *two hard copies* where one copy contains original signatures and *one electronic copy* submitted as detailed on the CSU IRB website at <http://www.csu.edu/irb>. The proposed research project may not proceed beyond the proposal stage until official notification has been received from the CSU IRB office indicating that the proposed project meets CSU IRB requirements. For a full discussion of CSU IRB policies and procedures, please review the CSU IRB *Policies and Procedures* at <http://www.csu.edu/irb/policiesandprocedures.htm>

Conduct of the Study and Assembling the Report

The candidate now may start work on the project. As noted above, no data collection or other formal procedures may be undertaken until the final approval of the proposal by all committee members and the CSU IRB is received. The approved proposal constitutes a model for the dissertation. The candidate uses the procedures detailed in the proposal to conduct the project. If procedures need to be revised in any way, the candidate seeks guidance from and approval of the changes by the chair, with the concurrence of the other committee members. The more precise and specific the procedures detailed in the proposal, the less likely the candidate will be to take steps that may eventually have to be revised, repeated, or resubmitted for IRB approval.

DISSERTATION COMPONENTS: AN OVERVIEW

The final dissertation should include the following components in the order listed.

Title Page

See Appendix F for format and sample dissertation title page. Additional information relative to form and style guidelines may be found at the CSU Graduate School Website: <http://www.csu.edu/GraduateSchool/masterthesis.htm>

Acknowledgments

Abstract

This is similar to the abstract for the proposal except that it reflects not only the problem and methodology, but also sets forth the outcomes of the project, the conclusions drawn, recommendations for action and for research, and plans for dissemination. It should be no longer than 350 words (as compared to 250 words for the proposal) and should capture the essence of the dissertation. (See Appendix J for suggestions for writing abstracts.)

Table of Contents

See the format example in Appendix I.

List of Tables

Use if appropriate. See the *Publication manual of the American Psychological Association* (5th ed.) (2001) for examples.

List of Figures

Use if appropriate. See the *Publication manual of the American Psychological Association* (5th ed.) (2001) for examples.

References

See the *Publication manual of the American Psychological Association* (5th ed.) (2001) for examples.

Assembling the Report

The candidate must organize the written report according to the outline of the following sections:

Chapter 1 is the INTRODUCTION. This chapter (as in the proposal) describes the nature of the problem, the purpose of the project, the background and significance of the project, the research questions (and research hypotheses, if any), conceptual framework and the definitions of terms.

Chapter 2 is the REVIEW OF LITERATURE. Some literature was introduced in the proposal. In the dissertation, this chapter expands on the proposal review. The dissertation report must include a comprehensive review of recent and pertinent literature. The following components should be considered: (a) overview (history of the problem, theoretical viewpoints and concepts that are involved); (b) opinions of experts (compare and contrast points of view); (c) review of related research (compare and contrast findings); (d) present status of topic (how the present project extends knowledge and practice); and (e) authoritative works on the methodologies proposed for use.

Other organizational patterns are possible, as long as the various components noted above are included. The review should be organized and presented in a logical manner with appropriate topical subheadings. Given the wealth of related literature available to the candidate, the introduction or overview should include the rationale for organizing the literature review as presented in the chapter and some brief explanation for the content to support an understanding of the problem of the project. The candidate **MUST** present a complete picture of the conceptual/theoretical basis, opinions/research to date, and the relationship of the present project to the above. Citations of older classic works in the field are acceptable if they are relevant; however, as a rule, citations should reference works no older than five (5) years.

Chapter 3 describes the METHODOLOGY AND PROCEDURES. The methodologies used to address the problem and purpose(s) of the dissertation are presented. Each procedural component is explained in detail and is related directly to the research questions. In this chapter, the exact process used to answer each research question is specified. The procedures are specific enough that another researcher can replicate the project. The procedures must be the same as the approved procedures in the proposal. The dissertation committee chair must approve any subsequent changes to the IRB approved procedures before any such changes can be made (further, changes to the approved procedures may require a resubmission to the institutional IRB to confirm protection of human subjects). Assumptions, limitations and delimitations are included in this chapter. The assumptions are the same as those indicated in the proposal. Additional limitations may have arisen as the project was conducted.

Chapter 4 presents the RESULTS of the project. The presentation of the results in

Chapter 4 should follow a systematic order. The results should address and/or answer each of the research questions. Just as the procedures in Chapter 3 flow from the research questions, the results in Chapter 4 should be driven by the procedures. Thus, each research question will be repeated in this chapter, followed by the outcomes of each procedural component. Individual procedures can provide information related to several research questions, and most research questions relate to results from more than one procedure. It is especially important that the organization of Chapter 4 reflect these interrelationships. Answers to the research questions lead to or support the conclusions, implications, and recommendations in Chapter 5. A narrative description of the procedures implemented and the outcomes achieved (and how they affected the product design and contents) must be included in Chapter 4.

Often, tables and figures are included in Chapter 4 to present a graphic representation of the results. Each table and figure, however, must accompany a complete narrative explanation of the findings. This should not be a repeat in narrative form of what the table contains, but it should highlight the salient features (e.g., interrelationships, key findings, surprises, or contrasts) within the table or figure in question.

The final chapter, Chapter 5 (DISCUSSION, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS), should include a discussion of the findings, overall conclusions, implications for practice, and recommendations for implementation, further research, and dissemination. The discussion integrates a summary of the findings in relationship to previous literature that had been introduced in Chapter 2. (This is the only section of Chapter 5 that includes literature.) The conclusions are outcomes reached by analysis and synthesis of the findings. Each research question may have relevant conclusions. The implications are consequences that flow naturally from the conclusions.

The recommendations are threefold: for action (implementing and evaluating), for further research, and for dissemination of the findings.

Dissertation Approval Process

This approval process for the dissertation is similar to the approval process for the proposal. Early drafts of the dissertation report should be sent to the dissertation committee chair. After review and revision, a draft that satisfies the concerns of the chair is prepared. The dissertation committee chair will decide when the draft of the report is considered ready for review by the other committee members. The candidate is advised of these procedures in the “welcome letter” sent to the candidate by the chair at the time of assignment. The candidate will have followed these steps earlier in the approval process of both the Preliminary Proposal and the proposal. It is essential that the procedures, timing, and lines of communication be clearly understood by the candidate and all members of the committee (see Appendix A).

Some committee members will communicate with the candidate by telephone,

summarizing the substance of their comments. Others, however, may prefer to communicate by e-mail or marginal notes on the draft. (Whatever the method, it is always advisable that committee members send copies of all correspondence to the other members of the committee so that all will be aware of the candidate's progress.) The candidate should send drafts to committee members with accompanying cover letters stating what the material represents, any concerns of the candidate, and the expectations regarding the next steps. Each subsequent revision should include a new date on the document's title page so as to clearly identify it as the latest version. The candidate should also include his/her return e-mail address, home, cell and/or work phone numbers in the cover. This will facilitate responses from committee members.

Once the committee review process is under way, it is the responsibility of the candidate to consider the comments and recommendations of the committee members and to make revisions accordingly until the committee has reached a general consensus that the final document is appropriate. Having once sent copies of the document to multiple reviewers, the candidate should not produce and send new versions until he/she has heard from all readers. (This helps avoid confusion.) The final document sent to the Ed.D. Program office should be a clear, sharp, error-free photocopy that will facilitate storage, and dissemination.

Before the dissertation committee chair gives final approval, a "next-to-final" draft should be reviewed by an editor for final details of form and style. This editorial review may add two to three additional weeks of additional processing time. The candidate should also allow time to make any of the corrections noted during editorial review on this draft. When the total process is complete, the candidate should provide the Ed.D. Program office (and any other committee members who may require it) with a final error-free copy and a disk copy of the complete document in Word.

Once it is determined by the candidate's dissertation chair and committee that the written document is in satisfactory form, an oral defense of the dissertation will be scheduled. The Director of the doctoral program will arrange for a public announcement of the dissertation oral defense.

The dissertation chair and candidate will discuss possible dates and times for the dissertation oral defense. Once dates and times have been identified the candidate will contact the committee members and include the following information:

- Verification of permission by the chair to contact members
- Choice of dates and time for dissertation defense
- Preference for dissertation document, email or hard copy.
- Copy of Oral Defense Evaluation Form (Appendix Y).

The candidate is responsible for coordinating the dissertation oral defense date and time. As a courtesy to the committee provide at least three to four dates and times. If a committee member requests a hard copy of the proposal, the candidate is responsible for sending the copy to the preferred address. The candidate will include a copy of the

Oral Defense Evaluation Form (Appendix Y) for each committee member. The dissertation oral defense date should be scheduled at such as time to allow at least three weeks for the committee to provide feedback to the candidate and time for the candidate to discuss with the dissertation chair the revisions.

Once a date has been agreed by all members, the candidate will notify the chair, members of the committee, and the Ed.D. Program Office. A Request for Oral Defense of Dissertation form (Appendix L) must be completed. The Ed.D. office will schedule and notify the candidate of the location for the oral dissertation defense. The candidate will be responsible to notify the committee of the room location. A Request for Oral Defense of Dissertation form (Appendix L) form must be signed by all committee members. A completed Request for Oral Defense of Dissertation form (Appendix L) form must be submitted to the Ed.D. Office before a location will be secured.

Dissertation Oral Defense Process

The dissertation oral defense is the culminating experience of an individual's doctoral study. It is to be a challenging and engaging intellectual experience. It is not a ceremony-convocation and commencement services that purpose. The focus of the dissertation oral defense is the individual's dissertation.

A dissertation oral defense usually consists of three parts. In the first part, the candidate is asked to make a presentation setting forth the process of his or her undertaking, documenting why the study is important, how it was done, what was found, and, to some extent, what the results mean. The presentation should take about 30 minutes.

The second part of the dissertation oral defense consists of questions by the members of the dissertation committee. Usually the dissertation chair calls on the committee members to ask the first round of questions. This is followed by questions from the appointed member from the School of Graduate and Professional Studies. Additional questions can be asked at this time.

The last part of the dissertation oral defense consists of the deliberations among the members of the committee, after the candidate has left the room. Quality of the candidate's presentation and dissertation is discussed. The School of Graduate and Professional Studies designee will be a nonvoting member. When completed the candidate is invited back into the room and informed of the outcome of the committee's deliberation.

If consensus has been reached, the dissertation committee will sign the signature sheet (see Appendix K). When the approved proposal and the signed signature sheet have been filed with the Ed.D. Program office, a congratulatory letter will be sent to the candidate from the Ed.D. Program director. A copy of this letter and a copy of the approved proposal are sent to each of the dissertation committee members.

Dissertation Oral Defense Procedures

All members of the committee must be present at the dissertation oral defense. If a committee member is unable to be present once a date has been set, the dissertation oral defense will need to be rescheduled. Only in an unavoidable emergency will the defense take place with less than the full committee present. The chair has the right to cancel the proposal defense if the candidate is not prepared or committee members are not present.

Types of Dissertation Oral Defenses

The chairperson in discussion with the candidate has the choice of an Open or Closed Oral Dissertation Defense.

A *Closed Dissertation Oral Defense* includes on the members of the dissertation committee and the School of Graduate and Professional Studies designee.

An *Open Dissertation Oral Defense* includes the members of the dissertation committee, School of Graduate and Professional Studies designee, and the following groups: CSU faculty and CSU doctoral candidates. Notification for the Open Dissertation Oral Defense will be the responsibility of the Ed.D. Director. Information will be posted in the *Up To The Minute* for faculty notification and doctoral students will be notified by email.

In an *Open Dissertation Oral Defense*, the public is present for the presentation conducted by the candidate. Public interaction with any of the proceedings is not allowed. The public may not ask any questions or make comments. Once the candidate has completed the presentation, a short recess will occur at which time the public is asked to leave and the committee members and the candidate stay in closed session.

Food is not permitted at the proposal defense. Bottled-non-alcoholic beverages are allowed.

Deliberations

The last part of the dissertation oral defense consists of the deliberations among the committee members, after the candidate has left the room. Quality of the candidate's presentation and dissertation is discussed. The School of Graduate and Professional Studies designee will be a nonvoting member. The Oral Defense Dissertation Evaluation form (Appendix Y) will be completed by all committee members. The committee members then decide on one of the following recommendations: pass with no revisions, pass with revisions, no pass major revisions are needed and another oral

defense needs to be scheduled. The candidate is then invited back into the room and informed of the outcome of the committee's deliberation. Once the candidate has successfully defended their dissertation, then the committee will sign the Dissertation Signature Page form (Appendix K).

Preparing the Candidate for the Dissertation Oral Defense

The dissertation chair should not allow a dissertation oral defense to be scheduled until all members of the dissertation committee can attend. Furthermore, the date should not be scheduled until after all committee members have had an opportunity to review the final draft of the dissertation and agree that it is ready for defense. While minor changes and corrections may be suggested at the oral defense, the defense copy must be complete and in its final form when it is provided to the committee members and the School of Graduate and professional Studies designee. Signatures of the department chair, Ed.D Director and dissertation chair on the defense scheduling form certify that the dissertation is in final form, is ready for defense and that all committee members agree it is ready for defense (Appendix L). If the School of Graduate and Professional Studies designee finds something in the dissertation that makes it unacceptable they must notify the dissertation chair. If the chair concurs with the judgment the dissertation oral defense will be postponed and rescheduled. The chair will notify the candidate of this decision.

The chair is responsible for informing the candidate about the presentation to be made at the beginning of the defense and the types of questions that may be asked.

The Value of the Dissertation Oral Defense

Besides fulfilling the university requirements of examining the candidate on their dissertation, the Dissertation oral Defense serves two other purposes. First, it is the culminating intellectual experience of a doctoral candidate's study. In one sense, it provides closure to an extended period of study. In another sense, it often results in raising questions and issues for further thought and, one hopes, study.

Secondly, it may be one of the few times in the individual's life that he or she will sit around a table with a group of thoughtful and able people who are devoting their full attention to his or her work and ideas. The Dissertation Oral Defense is long remembered as a stimulating, challenging, and even exhilarating experience. Faculty has a central role in making this a peak experience in the candidate's life.

Dissertation Committee Chair Responsibilities

The chair will be responsible for the following items at the dissertation oral defense:

- Provide Agenda (Appendix W or X)
- Provide copies of agenda for defense

- Dissertation Signature Sheet (Appendix K)
- Completion of Dissertation Scoring Guide (Appendix T) on LiveText
- Copies of Oral Defense Evaluation forms (Appendix Y).

Candidate Responsibilities

The candidate will be responsible for the following items at the dissertation oral defense:

- Prepared presentation of dissertation
- Edited hard copies of dissertation for each committee member
- Verification of attendance of committee members for the scheduled dissertation
- All costs incurred by the external committee member (parking, lodging, travel, etc.)
- Any additional information provided to external committee member (directions, location, procedures for the defense).

Biographical Sketch of Candidate

The biographical sketch should be written in narrative form in the third person and include information about the candidate's life, education, and professional career to date. The sketch is paginated and is listed in the table of contents.

Dissertation Signature Page

A sample dissertation signature sheet is provided in Appendix K. An original signature sheet should be prepared to include the committee members' names and terminal degrees as well as any university officials as deemed appropriate by the Graduate School. The signature page is NOT paginated (and therefore not included in the table of contents) and does not include the appendix identifier ("Appendix K") or title (Dissertation Report Signature Page) at the top of the page. The original signature page should not be folded when forwarded to the committee members and/or university officials for signatures.

Designation of Outstanding Dissertations

Any committee member may suggest to the Ed.D. program office that a particular candidate's dissertation be designated as "outstanding." Generally, projects recommended will involve particularly significant topics, a high level of conceptualization and organization, and the production of a final report that exemplifies the highest standards of academic writing. When such a recommendation is made, the Ed.D. program office requests concurrence from the candidate's other committee members. If all committee members concur, based upon criteria in effect at the time, the Ed.D. program will consider that the dissertation has been nominated as OUTSTANDING. Annually, a committee of dissertation committee chairs will consider the nominated

dissertations and make selections for Excellence Awards and/or Distinguished Research Awards. The *Outstanding Research Principles* serving as the basis for the evaluation of dissertations are described in Appendix S. The Dissertation Scoring Guide can be found in Appendix T.

Using Copyrighted Material

The candidate is expected to follow high standards of scholarly and intellectual integrity and honesty throughout his/her doctoral study, including the entire dissertation process. As the author of a CSU dissertation, the candidate is responsible for certifying that the use of any previously copyrighted material (e.g., quotation or reproduction) in the manuscript, beyond “fair use,” has the written permission of the copyright owner. In general, the doctrine of fair use under the U. S. copyright law allows an author to quote excerpts from copyrighted work as long as the excerpts do not constitute a major portion of the original work, provided that a full reference citation including page numbers is given in the text. However, if the candidate intends to quote at length from a copyrighted source, he/she will need to obtain permission from the owner of the copyright. The length of a passage which may be quoted without permission varies from one copyright owner to another. Purchased tests or measurement instruments (even excerpts) should never be included without permission from the copyright holder. If in doubt, it is better to seek permission! Copies of letters of permission should be appended to the dissertation report.

Protecting Your Work

Many candidates consider the possibility of publishing materials based on the results of their dissertation project. Although the Copyright Act of 1976 provides that copyright begins at the time a work is created, the best way to protect original work is to place a copyright notice in the dissertation report. For additional information about copyright registration or other questions concerning copyright problems, write the Copyright Office, Library of Congress, Washington, D.C. 20559. *The Publication manual of the American Psychological Association* (2001) also has several sections discussing copyright issues.

Enrollment in Courses during the Dissertation Writing Stage

All doctoral candidates are required to complete 12 dissertation hours while they are completing their dissertation. After completing the 12 hours, candidates who have not completed their dissertation must be continuously enrolled (fall, spring, and summer semesters) until the project is completed. Candidates must enroll in *ELCF 6990: Dissertation* for three semester hours until their statute of limitations expires or they successfully complete the dissertation. Candidates who fail to continuously enroll in ELCF 6990 without formally obtaining a leave of absence will be dismissed from the program. Candidates enrolled in ELCF 6990 will receive an “incomplete dissertation”

(ID) grade as a final grade each semester. All ID grades will be changed to passing grades (P) once the dissertation is successfully defended and submitted to the Graduate School.

Post Defense

There are several specific steps that you need to follow after your dissertation defense. These are your final steps in the dissertation process, necessary before you receive your degree.

After the dissertation defense, you must make any revisions required by the committee. The dissertation chair will oversee those changes until the dissertation is appropriately revised.

Once the changes are made or if no changes are needed the candidate will complete the Transmittal & Certification of the Doctoral Dissertation form (Appendix P) and a printed copy of the approved and corrected (if necessary) dissertation along with the form to the Ed.D. Office.

Please note that this process may take several days to complete. Signatories need to read the dissertation. This may result in additional edits or revisions. If revisions are necessary the Ed.D. Office will notify the candidate. The candidates will pick-up the edited dissertation and complete the changes and return a revised copy of the dissertation document to the Ed.D. Office to continue the Transmittal & Certification of the Doctoral Dissertation form. This process will continue until all signatures have been collected.

Upon completion of the Transmittal & Certification of the Doctoral Dissertation form (Appendix P) the candidate will be notified and the candidate will pick up the form and the copy of their dissertation from the Ed.D. Office. The candidate will complete the process as instructed on the Transmittal & Certification of the Doctoral Dissertation form. If no changes are needed, or after the needed changes are made the candidate will print the dissertation.

The same kind of paper must be used throughout the entire manuscript. This includes the preliminary pages, appendices, and vita. The standard size is 8 x 11 inches. The quality of paper for submission of the final copy of the thesis or dissertation is white, acid free, 25% cotton, and bond, either 20 or 24 pounds. This type of paper bears a watermark. No other quality or color of paper will be accepted. Examples of acceptable papers are Southworth, 25% cotton fiber, fine business paper or Hammermill, 25% cotton, laser bond paper. All left margins must be 1.5 inches; top, bottom and right hand margin must be 1 inch.

Pages are numbered sequentially using Roman Numerals starting with the Approval Sheet through the Abstract, and then beginning with the body of the thesis through the Vita utilizing Arabic Numerals. The location of the page numbering and any use of headers and/or footer should be determined by the program/discipline specific writing requirements. The writing requirements for the dissertation is APA style.

Candidates are to take the copied dissertations to the librarian and follow the instructions as indicated on the Transmittal & Certification of the Doctoral Dissertation form. A copy of the completed form is to be returned to the Ed.D. Office.

Graduation Process

Application for graduation is a separate process that involves a final audit. The *Ed.D. in Educational Leadership Program Student Handbook* has detailed instructions for this process. A copy of the Application for Graduation/Program Closeout and the Graduation Application Form (Degree Audit) can be found in Appendix Q. The deadline of the application for graduation is determined by the university calendar. Candidates can apply for graduation only after successful completion of the oral dissertation defense and the Transmittal & Certification of the Doctoral Dissertation form has been submitted to the Graduate and Ed.D. Office. Graduation deadline dates occur early in the semester. Plan your calendar to prepare for an oral dissertation defense prior to the deadline date.

APPENDICES

Appendix A - Routing and Approval Process for Dissertation Documents

Below is a suggested timeline:

Semester (Month)	Process & Steps	Outcome
Semester VIII (January-March)	Preliminary Proposal [Steps 1-4]	Preliminary proposal is reviewed by committee. Chair notifies Ed.D. Office of acceptance of preliminary proposal
Semester VIII-IX (March-August)	Proposal [Steps 5-11]	Committee approves the proposal Candidate submit IRB application
Semester X (September-December)	Data Collection and Data Analysis [Step 12]	Data are collected and analyzed
Semester XI (January-May)	Dissertation Report [Steps 13-18]	Dissertation report is written Dissertation is defended Grade is Posted Dissertation Copies are Transmitted

The Preliminary Proposal

☐ 1. Candidate Sends Preliminary Proposal Draft to Dissertation Committee Chair for Review

The candidate sends the first draft of the Preliminary Proposal, with a cover letter to the chair only. (Cover letters of transmittal should contain the candidate's return address, and all phone and fax numbers, as well as any e-mail address by which he/she can be reached.) The chair reviews the Preliminary Proposal, and through as many subsequent drafts as necessary, helps the candidate to conceptualize the project and arrive at a satisfactory draft to send to the other committee members. The dissertation committee chair tells the candidate that the latest draft is to be "released" for consideration by the committee.

☐ 2. Candidate Sends Draft to Committee Members

The candidate sends the dissertation committee chair's approved draft to the committee members with a cover letter explaining that the draft Preliminary Proposal has been released to them for review and input. A copy of this cover note is sent to the committee.

☐ 3. Review by Committee Members

These committee members review the Preliminary Proposal and forward their comments to the candidate in writing with copies to the committee and each other. If substantive issues are involved, phone calls to the dissertation committee chair are encouraged, with subsequent notification of the document's status to the candidate, with copies to all involved.

☐ 4. Notification to Ed.D. Office of Acceptance of Preliminary Proposal

Once the Preliminary Proposal and project concept has been accepted by all committee members, the dissertation committee chair notifies the Ed.D. program office that the Preliminary Proposal has been accepted. Copies of this notification are sent to all involved. The candidate now has the go-ahead to begin work on the full proposal.

The Proposal

☐ 5. Preliminary Reading, Conceptual Framework, Literature Search, Consultation with Dissertation Committee Chair

The candidate initiates the proposal process by beginning, or expanding the literature search, reading and analyzing related research, developing a conceptual framework and reviewing the characteristics and requirements of appropriate problem-solving methodologies. He/she then consults with the dissertation committee chair, as appropriate, about the conceptual framework of the study.

☐ 6. The Candidate Sends Proposal Draft to Dissertation Committee Chair

Once the initial planning and reading are completed, the candidate prepares a first draft of a proposal and sends it to the dissertation committee chair only, with a cover note. The same process of drafting, review and re-drafting occurs, as with the Preliminary Proposal. The proposal will undoubtedly require more drafts than the Preliminary Proposal.

☐ 7. Release of Proposal for Committee Consideration by Dissertation Committee chair

As with the Preliminary Proposal, when the proposal draft generally satisfies the dissertation committee chair's standards, the dissertation committee chair notifies the candidate to send the proposal draft to the other committee members with a cover note

indicating that the dissertation committee chair has authorized this step.

☐8. Candidate Sends Proposal Draft to Other Committee Members

The candidate sends the authorized version of the proposal to the other committee members with cover notes for their review and comment. All committee members will review the proposal draft and communicate comments employing the process for intra-committee communication as requested by the dissertation committee chair.

☐9. Proposal Defense

The dissertation chair and candidate will discuss possible dates and times for the proposal defense. The proposal defense date should be scheduled at such as time to allow at least three weeks for the committee to provide feedback to the candidate and time for the candidate to discuss with the dissertation chair the revisions. Once a date has been agreed by all members, the candidate will notify the chair, members of the committee, and the Ed.D. Program Office. Upon successful completion of the proposal defense, the dissertation committee will sign the signature sheet. The approved proposal and signed signature sheet will be filed with the Ed.D. Program Office.

☐10. Release of Proposal for CSU IRB Review

Once the proposal is approved by the committee, the dissertation committee chair will notify the candidate to prepare the appropriate IRB forms and forward the forms to the dissertation committee chair for review. After the dissertation committee chair has reviewed the IRB forms and provided any necessary comments, he/she will return the forms to the candidate researcher. The candidate will then forward the forms (after making any needed corrections) along with a copy of the proposal to the CSU IRB office for approval.

Conducting the Research Project

☐11. Conducting the Research

The candidate conducts the research as outlined in the proposal. If difficulties arise that require an approach to procedures that differ substantially from those approved in the proposal, the candidate consults with the dissertation committee chair. The dissertation committee chair will contact the full committee, if necessary, to ensure that all involved are cognizant of, and approve any substantive change, in writing. If substantial changes in procedures are required, the candidate must notify the CSU IRB office for compliance. The IRB reserves the right to revoke previous clearance should new procedures be deemed unethical or harmful to human subjects.

☐ 12. Developing the Research Report

The candidate organizes and writes a first draft of the full dissertation research report, containing all five chapters and appropriate appendices, following the instructions outlined in the dissertation guide, and as directed by the dissertation committee chair. Early on, the dissertation committee chair and candidate will have come to an understanding as to how and when to communicate, and whether the dissertation committee chair prefers submission of the report chapter by chapter; the first three chapters, first; or the entire draft at once. The candidate consults with the dissertation committee chair as questions and issues arise.

Revised drafts are submitted to the dissertation committee chair, reviewed, and returned. Dissertation committee chair correspondence to the candidate may or may not be copied to the other dissertation committee members. It is highly desirable to do so if substantive issues arise about which the entire committee should be informed. Conference calls can be held and all changes to procedures approved in the proposal must be reported in the final report.

☐ 13. Dissertation Committee Chair Release of Report Draft to Committee

After several iterations, and when satisfied that the dissertation draft is in reasonably good shape, the dissertation committee chair instructs the candidate to send the proposed draft to the other committee members for their review and input.

☐ 14. Candidate Sends Revised Draft to Committee for Review

The candidate sends the revised dissertation draft to the remaining committee members with cover letters noting the dissertation committee chair's release of the document.

☐ 15. Committee Review

The committee members review the draft report, and communicate their comments as directed by the dissertation committee chair. The dissertation committee chair may request that comments be forwarded only to the dissertation committee chair in writing and/or be forwarded directly to the candidate with copies to the dissertation committee chair and to each of the remaining committee members. If substantive issues arise, phone calls to the dissertation committee chair should replace written communication until the issue is resolved. Any impasse in views among members of the committee is to be resolved by the dissertation committee chair. When the total writing process is complete, the candidate will provide the dissertation committee chair with a final error-free copy of the dissertation.

Once it is determined by the candidate's dissertation chair and committee that the written document is in satisfactory form, an oral defense of the dissertation will be

scheduled, in collaboration with the candidate, dissertation committee chair, and the Graduate School.

A pre-defense version of the dissertation must be given to the Graduate Dean (for the outside reader) at least three weeks prior to the defense in order to give him/her ample time to make comments to the student about the manuscript. The committee chair shall ensure that this opportunity is provided.

☐ 16. Oral Defense and Dissertation Sign-Off

The committee and the dissertation committee chair will be expected to conduct the defense and, upon satisfactory completion, will sign-off on the project. The School of Graduate and Professional Studies will observe the oral defense of the dissertation by appointing a designee to participate in the proceedings, but who will be a nonvoting member. If it is an Open oral Dissertation Defense at which the committee begins its deliberations on the success of the defense, all non-committee members must adjourn.

☐ 17. Dissertation Grade

A grade of ID is assigned for each term of enrollment for those students who are actively performing work leading to the doctoral dissertation. Upon completion of the manuscript and successful completion of all degree requirements, a grade of "ID" will be changed by the dissertation chair to a grade of "P for Passing or the "U" for unsatisfactory completion. An extension can be granted only by the dissertation supervisor and the Graduate and Professional Studies Council.

☐ 18. Graduation and Dissertation Transmittal

Students will not be allowed to file for graduation until they have successfully defended their dissertation and provided the Ed.D. Office with a copy of the Transmittal & Certification of the Doctoral Dissertation form.

Appendix B - Dissertation Committee Agreement Form

Instructions: Please complete the Student Information requested below and ask your committee chair and members to sign and date as indicated. Once you have obtained all of the committee members' signatures/dates, submit this form to the office of the Director of the Ed.D. Program so that signatures representing the Program, Department, and the Graduate School signatures can be obtained and filed. Attach to this form the Research Interest Form for all committee members. The external committee member must also include a vita.

Student Information:

O Ms. O Mr.			
	First Name	Last Name	CSU ID Number
Address	City	State ZIP	Day Telephone
Email			

Title of Proposed Study:

Dissertation Committee Member Signatures (please see the reverse side of this form for a more thorough description of the eligibility requirements for each of the committee members).

Dissertation Chair (print)	Signature	Date
ELCF Committee Member (print)	Signature	Date
CSU Committee Member (print)	Signature	Date
External Committee Member (print) (Institution)	Signature	Date

Program/Department/Graduate School Approvals:

Program Director (print)	Signature	Date
ELCF Chair	Signature	Date
Graduate School Approval	Signature	Date

Dissertation Committee Agreement Form (Con't.)

The Dissertation Chair

The dissertation chair acts as the chair of the committee and is responsible for the general direction of the study with the close collaboration and cooperation of the other members of the committee. The dissertation chair assists the student in the theoretical and conceptual foundation of the total design of the dissertation (the preliminary proposal, proposal, and report). The dissertation chair reviews (a) the initial concept of the proposed dissertation research, (b) the various proposal drafts, and (c) the final report before these components are shared with the other committee members. All Chicago State University faculty committee members must complete a Faculty Research Interest Form (Appendix U).

The ELCF Committee Member

In addition to the dissertation chair, one faculty member from the Department of Educational Leadership, Curriculum and Foundations is appointed to each doctoral dissertation committee. This committee member provides substantive advice including suggestions on design, organization, and writing style. In addition, the ELCF faculty member has the responsibility to ensure that the project conforms to the overall standards of the ELCF doctoral program. The dissertation chair committee member must complete a Faculty Research Interest Form (Appendix U).

The CSU Committee Member

The third member of the student's dissertation committee is a representative of the CSU faculty outside the department of ELCF. The CSU Committee Member may be a faculty member in the College of Education or any other recognized college, school or program within the university. Like all members of the dissertation committee, the CSU faculty member is selected in consultation with the dissertation chair and has the responsibility to ensure that the project conforms to CSU and graduate school policies. The ELCF faculty committee member must complete a Faculty Research Interest Form (Appendix U).

The External Committee Member

The fourth and final member of the student's dissertation committee is a faculty member representing an institution other than CSU. Selected in consultation with the dissertation chair, the external committee member has the responsibility to ensure that the project is representative of doctoral work both within CSU and at peer institutions. Further, in special cases, a fifth committee member may be selected (with the approval of the dissertation chair) to provide areas of expertise and experience not otherwise available within CSU. The external committee member must complete a Faculty Research Interest Form (Appendix U) and provide a current vita.

Non-Voting Outside Reader (Graduate Dean's Representative)

The School of Graduate and Professional Studies will observe the oral defense of the dissertation by appointing a designee to participate in the proceedings but who will be a nonvoting member. Although the Graduate School Representative is not a voting member of the committee, s/he offers a valuable perspective on the candidate's work, especially when the degree candidate intends to prepare the manuscript for publication. Selected by the Dean of the Graduate School, the outside reader will be an active participant in the student's defense by asking questions and providing feedback to the candidate. The pre-defense version must be given to the reader at least two weeks prior to the defense in order to give him/her ample time to make comments to the student about the manuscript. (Appendix N for the description of the role of the Outside Reader.

Appendix C – Application for Initial Review – Institutional Review Board (IRB)

Chicago State University

Principal Investigator													
Department													
Department Address													
Email Address													
Phone Number													
CSU Extension													
Study Coordinator/Additional Contact Person:													
Study Coordinator/Additional Contact Phone:													
Project Title													
I am requesting (please check one):		Exempt				Expedited Review				Full Committee Review			
Please see Page ? to determine eligibility													
Gender Breakdown (if known):				Male				Female					
If your study proposes to include any of the following study subjects, indicate in the box below include the proposed number of each:						If your study proposes to include any of the following items, indicate in the box below:							
Minors (under age 18)						Human Tissue Sample							
Pregnant Women/Fetuses						Other							
Prisoners													
Cognitively Impaired													
<p>Assurance:</p> <p>The undersigned assures that protocols involving human subjects described in this application are complete and accurate, and are consistent with applicable protocols submitted to any external funding agencies. All protocol activities will be performed in accordance with Chicago State University institutional guidelines and any applicable State and Federal regulations. Research conducted by CSU researchers falls under the purview of the University even when conducted elsewhere. Research at international sites must receive approval by the local equivalent of the IRB. The CSU IRB requires documentation of this “local approval” before they can receive IRB approval. <u>No activities involving the use of human subjects can be initiated without prior review and approval by the Chicago State University Institutional Review Board.</u></p>													

Signature of Principal Investigator		Date	
Signature of Department Chair(s)		Date	
		Date	
If this is a Student Project, Signature of Supervising Faculty		Date	
Signature of Department Chair(s)		Date	
Primary Reviewer		Date Received	
Approved by IRB Chair		Date	IRB Number:

Application Instructions/Checklist
Institutional Review Board (IRB)
Chicago State University

Please make sure that your application contains the following materials, where appropriate.

Improper submissions will result in delayed reviews.

1. Original Signed, Dated and Completed Application Form for Initial Review including all relevant appendices and appropriate signatures. Submit the original plus one copy of the original and one electronic copy. A separate list indicating all enclosures/attachments is extremely helpful.
2. Copies of letters granting permission to conduct research (e.g., letters from principals, CPS administrators, department chairs, program directors, organization heads that may be given access to membership lists etc.)
3. Copies of all recruitment materials (advertisements/flyers).
4. Copies of recruitment scripts and any verbal instructions that are given to participants.
5. Copies of consent forms and assent forms for minors with the ability to give assent, containing the name and contact information of the principal investigator and the CSU IRB chair, Dr. Rachel Lindsey, 773-995-3788, rlindsey@csu.edu to be contacted if there are questions about subjects' rights. (See "Informed Consent Guidelines").
6. Copies of all data collection instruments that will be used, i.e. questionnaires, interview questions, discussion guides, etc.
7. Copy of PI's curriculum vitae and resume for other coordinators or study personnel.
8. Copy of a current (within the last two years) Protecting Human Research Participants certificate. (NIH Webcourse Link on our Website.)
9. Approval from the IRB of the PI's home or degree granting institution, if other than CSU.
10. Copies of Grant/Contract applications and proposals, where applicable.

Submit application materials (and any questions) to:
Dr. Esther Jenkins, IRB Co-Chair
HWH - 241
(773) 995-2196 Application for Initial Review

Institutional Review Board (IRB)
Chicago State University

I.	<p>Research Plan: Provide a brief summary, in non-technical language, of the proposed research. Include the purpose and relevance of the study, design of the study, and expected outcomes.</p>
II.	<p>Performance Site and Proposed Dates:</p> <p>a. Provide the name and location of the site(s) where the study will take place. Attach a letter giving permission for the research from the appropriate person.</p> <p>b. Indicate the beginning and end dates of the project.</p>
III.	<p>Subjects, Recruitment and Consent Process:</p> <p>a. Subjects: Exactly who will be in your study? Give the number, demographic characteristics, how they are identified and selected, inclusion and exclusion criteria. Will subjects be compensated for their participation? If so, how?</p> <p>b. Recruitment: Who will approach subjects, where, and exactly what will be said to the potential participant regarding the study. <i>Attach a copy of your recruitment flyers and/or script</i></p> <p>c. Consent: Clearly describe your procedure for obtaining informed consent and/or assent</p> <p>(for youth younger than age 18). Where will this be done and who will be responsible for obtaining consent? If other than the PI, this person's vita and Ethics Training Certificate must accompany this application. <i>Attach a copy of all consent and assent documents.</i></p>

IV.	Procedures: Describe the data collection process.
V.	Measures: Describe/List Medical/Psychiatric/Psychological devices/instruments to be used in the study. Attach copies of any measures/questionnaires/questions.
VI.	Risks: Describe any potential risks to the subjects. Explicit consideration must be given to all risks. For example, physical, psychological, emotional, legal, social or financial risks to the participants. Risks related to privacy and confidentiality should be considered as well. <i>Please explain any and all procedures taken to minimize risk.</i>
VII.	Benefits: Describe potential benefits to study participants and/or humanity that may result from participation in the study. Compensation for participation is not a benefit.
VIII.	Confidentiality: Please describe how confidentiality of data will be protected. Include any discussions of de-identifying data, storage of data, subject lists, tapes etc., and eventual destruction of raw data.

IX.	Alternatives to Participation: Describe any alternatives to participation including currently Accepted practices or treatments. Non-participation is a reasonable alternative.
X.	Other Issues: Please describe any potential conflict of interest or financial benefit that the investigator benefits from or any other relevant information deemed relevant to IRB consideration.

Request for Expedited Review

Some research activities may be eligible for *expedited review* +procedures. Under expedited review, the review is carried out by the IRB chairperson and/or co-chairperson or by other reviewers designated by the chairperson rather than the full committee. All rules of full review apply: need for consent documents (unless waived) and for periodic reports to the IRB.

Expedited reviews may be requested for research that involves no more than minimal risk and fits in one or more of the specified categories indicated below. Please indicate the expedited categories that apply to your research:

The research involves no more than minimal risk (probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests).

AND

- ☐ **1)** Research on non-investigational (FDA-approved) drugs and devices for approved use.
- ☐ **2)** Collection of blood samples (blood volume limited in non-healthy adults, pregnant women, and children)
- ☐ **3)** Collection of biological samples (hair, nail clippings, sweat, urine, saliva.
- ☐ **4)** Collection of data through non-invasive means routinely employed in clinical practice (weight, moderate exercise, ECG, EEG, MRI etc.
- ☐ **5)** Research involving materials (data, records, specimens) that have been collected; or will be collected solely for non-research purposes.
- ☐ **6)** Collection of data from voice, video, digital or image recordings made for research purposes.
- ☐ **7)** Research on individual or group characteristics or behavior or research employing survey, interview, oral history, focus group, program evaluation, etc.

PLEASE EXPLAIN WHY YOUR PROJECT SHOULD BE EXPEDITED AND HOW IT FITS INTO THE INDICATED CATEGORY.

Request for Exemption from Continued IRB Review

Some research qualifies for exempt review which means that it is exempt from full review of the board and from continued IRB review. Under an exempt review material is reviewed by the IRB Chair and Co-Chair and/or a designated member of the IRB. Exempt projects may or may not have a signed consent form, but where feasible must always have a consent process with enough information to allow the research subject to make an informed decision about participation in the study (see waiver of documented consent under “Informed Consent Guidelines”). Exempt review requires submission of an application, IRB review and approval prior to initiation of research.

Please indicate the exempt categories that apply to your research:

- ☐ Research represents negligible or no risk to subjects AND
- ☐ 1) Research conducted in established or commonly accepted educational settings involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or comparison among instructional techniques, curricula, or classroom management methods practice.
- ☐ 2) Research involving the use of educational tests, survey procedures (cognitive, diagnostic, aptitude, achievement), interview procedures or observation of public behaviors unless (i) Information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects, and (ii) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation.
- 3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement) surveys, procedures, interview procedures, or observation of public behavior that is not exempt under #2 if: The human subjects are elected or appointed public officials or candidates for public office; or (ii) Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained
- 4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimen if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects can not be identified, directly or through identifiers linked to the subjects.
- 5) Research and demonstration projects which are conducted by or subject to the approval of Department or Agency heads, and which are designed to study, evaluate, or otherwise examine: (i) public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.
- 6) Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the FDA or EPA or the Food Safety and Inspection Service of the USDA.

PLEASE EXPLAIN WHY YOUR PROJECT SHOULD BE EXEMPT AND HOW IT FITS INTO THE INDICATED CATEGORY.

Institutional Review Board (IRB)
Chicago State University

Investigator Agreement

Please read and initial each of the following items in the space provided:

	I agree to conduct the study in accordance with the relevant, current protocol and will only make changes in a protocol after notifying the sponsor and the CSU IRB, except when necessary to protect the safety, rights, or welfare of the research participants.	
	I agree to personally conduct or supervise the described investigation.	
	I agree to ensure that all of the requirements relating to the recruitment and consent process are met.	
	I agree to report to the sponsor and the CSU IRB any adverse experiences and/or events that occur during the course of the experiment.	
	I agree to ensure that all associates, colleagues, and employees assisting in the conduct of the study are informed about their obligations consistent with and in meeting the above commitments.	
	I agree to maintain adequate and accurate records in accordance with IRB regulations and to make those records available for inspection in accordance with those regulations.	
	I agree to ensure that I will submit a request for initial and continuing review and approval to the CSU IRB within the appropriate period of review.	
	I agree to report promptly to the IRB any and all changes in the research activity and all unanticipated problems involving risk to the participants and/or others.	
	I agree to submit a copy of the final report of the results and a summary of those results upon completion of the study.	
	I have completed training in “Human Participant Protection” and agree to follow the ethical and legal obligations outlines in this training.	
CSU IRB reserves the right to audit any/all IRB approved protocols to inquire about the progress of the study, inspect consent documents, inspect data, and/or observe the consent and recruitment process utilized. The Principal Investigator must cooperate fully with the IRB staff in making such visits.		
Signature of Principal Investigator		Signature of Supervising Faculty
Print Name		Print Name
Date		Date

Appendix D - Sample Table of Contents for a Dissertation Proposal

TABLE OF CONTENTS

	Page
LIST OF TABLES	##
LIST OF FIGURES	##
ABSTRACT	##
INTRODUCTION	##
Nature of the Problem	##
Purpose of the Project	##
Significance of the Project	##
Conceptual Framework for the Study	##
Research Questions	##
Research Hypotheses (if any)	##
Definition of Terms	##
REVIEW OF LITERATURE	##
METHODOLOGY AND PROCEDURES	##
Methodology	##
Procedures	##
Data Analysis	##
Assumptions	##
Limitations and Delimitations	##
IMPLICATIONS	##
REFERENCES	##
APPENDIX (APPENDICES)	##

Appendix E - Dissertation Proposal Signature Sheet

I certify that I have read and am willing to sponsor this dissertation proposal submitted by_____. In my opinion, it conforms to acceptable standards and is adequate in scope and quality as a dissertation proposal for the degree of Doctor of Education in Educational Leadership at Chicago State University.

Title:

Jane Q. Professor, Ed.D.
Dissertation committee chair

Date

I certify that I have read this dissertation proposal and, in my opinion, it is acceptable as partial fulfillment of the requirements for the degree of Doctor of Education at Chicago State University.

John Q. Professor, Ph.D.
ELCF Committee Member

Date

Professor C, Ed.D.
CSU Committee Member

Date

Professor B, Ph.D.
Institution

Date

Appendix F - Dissertation Proposal Evaluation

TITLE OF DISSERTATION

STUDENT NAME

Purpose:

Please Circle One

- | | | |
|--|---|---|
| 1. Does the topic justify serious research? | Y | N |
| 2. Is the topic sufficiently delimited as presented? | Y | N |

Related Literature

- | | | |
|---|---|---|
| 1. Is the literature of the type suitable for research? | Y | N |
| 2. Does the conceptual framework support the research? | Y | N |
| 3. Will the proposed approach lead to a distinctive treatment of the topic? | Y | N |
| 4. Are there significant omissions in the references as presented? | Y | N |

Procedures

- | | | |
|--|---|---|
| 1. Do the methods proposed for research meet with your approval? | Y | N |
| 2. Does the student seem to realize the important features of the proposed dissertation? | Y | N |
| 3. Is the treatment as proposed adequate for the solution to the problem? | Y | N |

Content

- | | | |
|---|---|---|
| 1. Is the Table of Contents indicative of the material which should appear in the dissertation? | Y | N |
| 2. Do you wish to suggest additional viewpoints? | Y | N |
| 3. Is the order of the material logical and progressive? | Y | N |

_____A. I approve this dissertation proposal.

(Note: In approving this proposal the chair of the dissertation committee certifies that the candidate understands and is able to explain any statistical procedures required by this research.)

_____B. I approve this proposal on the condition that the changes and/or additions are made as indicated on the reverse side of this form and will be reviewed and approved by the dissertation chair.

_____C. I do not approve this proposal for the reasons stated on the reverse side of this form.

(Note: If C is checked, the student will be required to resubmit the proposal for re-voting by all members.)

Date: _____ Signature of Committee Member: _____

Should any voting member of the committee not approve the proposal as submitted, the student must make all necessary revisions before the committee is to sign the Dissertation Proposal Signature Sheet.

Appendix G - Dissertation Proposal Scoring Guide

	Unacceptable (1 point)	Acceptable (2 points)	Target (3 points)
Ch 1. Statement of the Problem/Conceptual Framework (ELCC 1.2b, 2.2a, 3.2b, 4.1b)	<ul style="list-style-type: none"> - The context/background is not provided, or is impartially addressed - Factual information about the impact of the problem is not provided - Relevant literature to support existence of the problem is not provided - The question or problem to be studied is trivial, weak, unoriginal, or already solved 	<ul style="list-style-type: none"> - Provides a clear, but not complete, background (or context) for the problem to be addressed by the research: educationally, historical/chronological, socioeconomic, political, etc...) - Provides factual information about the impact of the problem, but partially - Identifies mandates, acts, about the problem, - Cites most relevant literature to support the existence of the problem - Provides operational definitions - The section provides a clear understanding of the problem to be addressed, but may be limited in scope, purpose, or originality. 	<ul style="list-style-type: none"> - Provides a very clear background (or context of an evaluation object) for the problem to be addressed by the research: educationally, historical/chronological, socioeconomic, political, etc...). - Provides factual information about the impact of the problem - Identifies mandates, acts, about the problem, - Cites relevant literature to support the existence of the problem - Provides very clear operational definitions - Provides a very clear understanding of the problem to be addressed and the motivation for undertaking the study.
Ch. 2 Review of the Literature (ELCC 1.2b, 1.4b, 2.3d, 4.1b, 4.1c)	<ul style="list-style-type: none"> - Literature relevant to the dissertation topic is not reviewed - Literature is not current - Hypotheses or research questions are poorly stated 	<ul style="list-style-type: none"> - Has critically reviewed literature related to the dissertation problem - Has included most relevant research directly bearing on the dissertation problem. - Not all the literature is current - Specific hypotheses or research questions are stated, but need improvement 	<ul style="list-style-type: none"> - Has critically reviewed literature related to the dissertation problem - Has included all relevant research directly bearing on the dissertation problem. - The literature is current (last 5 years) - If historic literature is reviewed, it is directly relevant to the study. - States the specific hypotheses or research questions
Ch. 3 Methodology (ELCC 1.3b, 2.2b, 4.1c)	<ul style="list-style-type: none"> - Subject are not concisely described - Instruments are poorly described - Measurement scales are not described, or are inadequately described - Detailed description of procedures is not evident - Analysis techniques are inappropriately described 	<ul style="list-style-type: none"> - Subjects or participants are concisely described: numbers, characteristics, population sample, selection criteria, etc.) - Detailed descriptions of instruments are provided: researcher-created questionnaires, interview protocols, field observation guides, tests, etc. - If tests are to be employed, proof of reliability and validity is provided - Measurement scales are described - Procedures: Sufficient details are provided, but not clearly enough for an independent researcher to replicate the study - Analysis: The techniques for analyzing data are described. 	<ul style="list-style-type: none"> - Subjects or participants are clearly and concisely described: numbers, characteristics, population sample, selection criteria, etc.) - Detailed descriptions of instruments are provided: researcher-created questionnaires with expert judge reviews and pilot-test results, interview protocols, field observation guides, tests, etc. - If tests are to be employed, proof of reliability and validity is provided - Measurement scales are described - For experimental studies, treatments (if independent variable(s) is/are manipulated) are described - Procedures: Sufficient details are provided for an independent researcher to replicate the study. - Analysis: The techniques for analyzing data are described, including the software
References	<ul style="list-style-type: none"> - Works cited in-text are poorly, or incompletely listed in the references sections. The APA guidelines are not followed 	<ul style="list-style-type: none"> - All works cited in-text are listed in the references section. The APA guidelines are not followed appropriately 	<ul style="list-style-type: none"> - All works cited in-text are flawlessly listed, in APA, in the references section
Appendices	<ul style="list-style-type: none"> - There are no appendices. There is no evidence of training in the ethical use of human subjects 	<ul style="list-style-type: none"> - Appendices are developed, but are not very well written. They need improvement for relevance of the study. Evidence of training in the ethical use of human subjects is provided. 	<ul style="list-style-type: none"> - Appendices exist for legislative documents pertaining to the problem investigated, instruments to be used, training in the ethical use of human subjects, etc.
Overall appeal	<ul style="list-style-type: none"> - Is poorly written, poorly organized - Does not make a contribution 	<ul style="list-style-type: none"> - Does not completely explore interesting issues and connections - Makes a modest contribution to the field but does not open it up 	<ul style="list-style-type: none"> - The topic is timely, original and significant - The findings are coherent, compelling, concise, creative, and persuasive - The findings are of interest to a larger community and can potentially change the way people think - The study pushes the discipline's boundaries and opens new areas for research

Appendix H - Sample Title Page

TITLE OF YOUR DISSERTATION, IN ALL CAPS, IN INVERTED
PYRAMID FORMAT, UP TO 15 WORDS

By Tanner T. Washington

A Dissertation

Submitted in partial fulfillment of the requirements for the degree of
Doctor of Education in Educational Leadership

Chicago State University

May 2009

Dissertation Committee Members:

Andie A. Adams, Ed. D., Chair Chicago State University	Date
Bernie B. Boyd, Ph.D., Member Chicago State University	Date
Corey C. Clinton, Ph. D., Member Chicago State University	Date
Darcy D. Dover, Ph. D., Member Outside State University	Date

Appendix I - Sample Table of Contents for a Dissertation Report

TABLE OF CONTENTS

	Page
LIST OF TABLES	##
LIST OF FIGURES	##
Chapter	
1. INTRODUCTION	##
Nature of the Problem	##
Purpose of the Project	##
Significance of the Project	##
Conceptual Framework for the Study	##
Research Questions	##
Research Hypothesis (if any)	##
Definition of Terms	##
2. REVIEW OF LITERATURE	##
Subheadings identifying the major bodies of literature reviewed	##
3. METHODOLOGY AND PROCEDURES	##
Methodology(ies)	##
Procedures	##
Assumptions	##
Limitations and Delimitations	##
4. RESULTS	##
(Subheadings for each research question or procedural step)	

TABLE OF CONTENTS (Cont.)

	Page
5. DISCUSSION, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS	##
Discussion	##
Conclusions	##
Implications	##
Recommendations	##
REFERENCES	##
APPENDICES	##
A. Sample One	##
B. Sample Two	##
BIOGRAPHICAL SKETCH OF [candidate's full name inserted here]	##

Appendix J - Suggestions for Writing Abstracts

Suggestions for Writing Abstracts for Both the Dissertation Proposal and Report

The abstract should be

1. informative rather than descriptive,
2. approximately 250 words in length for the dissertation proposal and 350 words for the report,
3. as concise as possible, and
4. neither critical nor evaluative.

The abstract should include

1. a statement of the problem and the purpose of the project;
2. research questions and hypotheses, if any;
3. research methodologies employed and a summary of procedures;
4. a summary of results and conclusions (dissertation report only); and
5. recommendations of the project (dissertation report only).

The abstract should not include

1. discussion of, or reference to, the literature review;
2. detailed elaboration on the purpose of the dissertation and development of hypotheses or research questions;
3. a rationale for the treatment or procedures selected;
4. detailed descriptions of project procedures or their application; nor
5. detailed discussion of the implications of results (dissertation report only).

Appendix K - Dissertation Signature Page

A dissertation entitled

Title: OVERCOMING THE IMPACT OF POVERTY ON ACHIEVING

ADEQUATE YEARLY PROGRESS

Submitted to the College of Education and to the Graduate School of Chicago State
University in partial fulfillment of the requirements for the degree of
Doctor of Education in Educational Leadership

by John A. Doe

Approved by:

Jane Q. Professor, Ed.D.
Dissertation Committee Chair

Date

John Q. Professor, Ph.D.
ELCF Committee Member

Date

John C. Professor, Ed.D.
CSU Committee Member

Date

Professor D, Ph.D.
External Committee Member

Date

Athanas Gahungu, Ed.D.
Program Director, Doctor of Education in
Educational Leadership

Date

Sylvia Gist, Ph.D.
Dean, College of Education

Date

Justin K. Akujieze, Ph.D.
Dean, School of Graduate and
Professional Studies

Date

Appendix L - Request for Oral Defense of Dissertation

Date _____
Note: This form must reach the Graduate School at least three weeks prior to the examination date specified below.

TO: Dean of the Graduate School
 Academic Library, Suite 234

Department _____ Telephone number _____

Name of student _____

Program _____

Dissertation Title _____

Date and time of oral defense _____

Place of defense _____

Dissertation Committee members:

Signatories have read the dissertation and agree to schedule its defense. This does not indicate final approval.

	<u>Name (type or print)</u>	<u>Signature</u>	<u>Department/Institution</u>
Chair	_____	_____	_____
Chair's Telephone No.	_____		
Member	_____		_____
Member	_____		_____
Member	_____		_____
Member	_____		_____
Approved	_____	_____	_____
	(Director, Ed.D. in Educational Leadership)	(Date)	
Approved	_____	_____	_____
		(Department Chair)	
		(Date)	
Approved	_____	_____	_____
	(Dean, College of Education)	(Date)	

Dean's Designee (if any) _____
 (To be filled in by the Graduate School)

Approved _____
 (Dean of Graduate School) (Date)

Note: One copy of the dissertation in defensible form must be received in the Graduate School at least three weeks prior to the examination.

Appendix M - Request for Extended Dissertation Credit

Your request must be signed by the chair of your thesis/dissertation committee and submitted to the Graduate School for approval. The request should include a statement of the number of hours being requested. With special approval, up to 9 hours of credit can be applied toward fulfillment of degree requirements.

 Name

 Social Security Number

 Street

 Apartment

 City

 State

 Zip Code

 Program

 Degree

State your request clearly and provide a substantive explanation of why more than the required number of semester hours of thesis/dissertation credit is appropriate for your research. Attach a page to this form if more space is needed. Explanation must address the scope and complexity of your project.

 Candidate's Signature: _____ Date: _____

RECOMMENDATION OF DISSERTATION CHAIR: _____

ACTION BY GRADUATE SCHOOL: _____

Appendix N - The Graduate Dean's Representative (Outside Reader)

The Graduate School Representative (Outside Reader) has a dual role at the defense of dissertations. First the representative offers the student a reading of the student's work from the perspective of a non-specialist and second, the reader observes the procedures employed during the oral defense. Although the Graduate School Representative is not a voting member of the committee, he or she offers a valuable perspective on the candidate's work, especially when the degree candidate intends to prepare the manuscript for publication. Selected by the Dean of the Graduate School, the outside reader will be an active participant in the student's defense by asking questions and providing feedback to the candidate.

The pre-defense version must be given to the reader at least two weeks prior to the defense in order to give him/her ample time to make comments to the student about the manuscript. The committee chair shall ensure that this opportunity is provided.

In summary, the Dean's Representative will:

1. Be another faculty member in another department at the university or may be a key expert in the field of inquiry.
2. Be appointed before the scheduled Oral Defense.
3. Read the student's pre-defense version and comment on the soundness of the research; suggest revisions that will make the student's work most effective.
4. Be required to attend the oral presentation and question the committee. The student's conduct with the outside reviewer should function at the most professional level possible.

The Graduate School Representative is invited to submit written comments to the Dean of the Graduate School on the quality of the student's dissertation/document and defense and on the procedures that were followed. Upon review, the Dean of the Graduate School will inform the committee chair and the degree candidate in advance of the defense of the reader's comments.

Outside Reader's Dissertation Report

To be completed in preparation for the oral defense of the doctoral dissertation. Once the oral defense is completed, please use this form to file a brief report with the Graduate School and report in one week from the defense date. Thank you for your cooperation. Your comments will be shared with the program director.

STUDENT INFORMATION

NAME _____ Chair _____

PROGRAM _____ DEGREE SOUGHT _____

ORAL DEFENSE DATE _____ TIME _____ LOCATION _____

THESIS OR DISSERTATION TITLE _____

Part I: Please provide a brief critique of the strengths and weaknesses of the dissertation.

Part II: Please respond to the following questions. If you respond "no" to any question, please elaborate below or on a separate sheet of paper.

	YES	NO
Did the student successfully defend the dissertation?		
Were all committee members present?		
Was the draft submitted to members 2 weeks in advance?		
Was the defense properly conducted?		
Do you agree with the results of the committee?		

Signature of Outside Reader

Date

Appendix O - Registration of Dissertation Title

Name of Student: _____ CSU ID#: _____

Program: _____

The Dissertation Proposal for the above named student was reviewed by the

Dissertation/Thesis Committee and was approved on _____
Date

University Compliance (if using live animals, Recombinant DNA, contact the Department of Biological Sciences)

☐ I will use Human Subjects; ☐ I will use non-Human Subjects; ☐ Not Applicable;

☐ Institutional Review Board (IRB) Approval Granted (attach copy of approval letter)

☐ Institutional Review Board (IRB) Review is Pending (submit when received)

Nature of Research (briefly describe information-gathering method and sources to be used)

Candidate's Signature

Date

Approved by Dissertation Committee:

Chairperson, Dissertation Committee (Signature required)

Print Name

Co/Chairperson, if applicable (type names)

Member (type names)

Member (type names)

Member (type names)

Member (type names)

Member (type names)

Approved:

Dean of Graduate School

Date

Appendix P - Transmittal & Certification of the Doctoral Dissertation

Students:

After obtaining the last signature, take at least four copies to the library to pay the binding, microfilming and other appropriate fees. The library representative will not accept your copies unless all signatures have been obtained. The library representative's signature indicates not only that the fee was paid, but also that needs of the library are met (e.g., suitable paper quality).

Student _____ CSU ID#: _____

Address _____

Telephone _____

Dissertation Title: _____

When all signatures have been obtained and copies have been deposited with the library, return this form to the Graduate School.

Signatories

My signature below indicates that I have read and carefully examined this manuscript submitted in partial fulfillment of the requirements for the doctoral degree and that it meets program and university requirements. Do not sign until the signature above yours has been obtained.

1. Dissertation Chair _____ Date _____

2. Program Director _____ Date _____

2. Department Chair _____ Date _____

3. Dean of the College of Education _____ Date _____

3. Dean of Graduate School _____ Date _____

Librarian:

The above named student will submit _____ copies of the dissertation for binding. Please notify student at address or telephone number above when the manuscript is ready.

Receipt# _____ Binding Fee Paid: \$ _____ (Cashier: Please deposit in account # XXX)

The above-named student has paid _____ for publication of the dissertation and abstract or abstract only. A completed Doctoral Dissertation Agreement Form is attached.

Receipt# _____ (Cashier: Please deposit in account# XXXXX)

6. Received by _____ on _____

Note: Five (5) bound copies are required: (1) Library archives (2); (2) Graduate School (1); (3) program's/ departmental office (1); (4) Student copy (1). *If you would like additional copies, please make arrangements with the library staff.*

Appendix Q - Application for Graduation/Program Closeout

The Graduate School, New Academic Library, suite 234. ☎ Tel: 773/995-2404. Fax: 773/995-3671.

THE PROCESS

This is an important time for the student to maintain communications with his/her graduate advisor to resolve any issues that may arise and to verify all the requirements for the degree. The Graduate School will review the student's application and academic record to ensure that he/she is eligible to complete degree requirements.

The application and all applicable data will then be forwarded to the academic department for review and approval. The department will return a signed Graduate Advising Program Planning (GAPP) form indicating that the student will likely graduate in the term applied. Once final grades are posted and any other deficiencies are reconciled, the degree will be posted.

THINGS TO KNOW

- All students must pay a \$25 non-refundable graduation processing fee.
-
- Deadlines are enforced; late applications will summarily be advanced to a future term without notice.
- To be cleared for graduation, students must have no academic or financial obligations to the university.
- Student records are closed to revisions in enrollment, grading, and academic actions upon awarding the degree.
- Once a degree is posted, students are blocked from registering for future semesters; a new admission application will be required to continue as a graduate student.
- Diplomas are issued in person from the Office of Evaluations and Advisement at least eight (8) weeks following the *official* close of the semester. Requests for mailing must be made in writing and a nominal fee is required.
- The commencement fee cannot be paid in the Graduate School. There is one formal commencement ceremony held each year in May for all graduates. Information regarding the commencement time and place of the ceremony and about caps, gowns, is available from the Provost's Office.

ITEMS THAT PREVENT DEGREE POSTING

- If the student is completing a master's thesis or a dissertation, the degree will not be posted until the Graduate School receives the signed copy of the Transmittal form.
- If the student has courses submitted for transfer credit to apply toward the degree requirements, the degree will not be posted until both the department supervising the degree program and the Graduate School have reviewed and approved it. Also, an *official* copy of the external transcript must be on file in the Graduate School.
- If the student's grade point average does not meet or exceed the university's 3.0 GPA minimum exit grade point average requirement, the degree will not be posted.
- If the time required to complete the degree program exceeds the six-year or four-year (Social Work) or two years for international student time limit, the degree will not be posted.
- If any coursework is more than six years old, at the time of graduation closeout and the student has not been approved by the university for an extension of the program or an exception for an aged course, the degree will not be posted.
- If all coursework, including electives, are not completed and graded prior to the final day of the semester in which the student plans to graduate and are not included on the GAPP form, the degree will not be posted.
- If the student received a grade of incomplete (I) grade in a previous or the current semester and it has not been resolved by the end of semester in which the student plans to graduate, the degree will not be posted.
- If the student is formally notified by the Graduate School of any deficiencies or missing information, the degree will not be posted. (Instructions to resolve any deficiencies will be listed in the notification.)

Graduation Application Form (Degree Audit)

The Graduate School, New Academic Library, Suite 234. Tel: 773/995-2404. Fax: 773/995-3671.

Please print in ink and submit to the above address by the published deadline. Deadlines for filing are published each term in the CSU Class Schedule Bulletin. A \$25 nonrefundable-processing fee is required. Students may pay with cash/check/money order at the Cashier's window, Cook Administration Building, 2nd floor. *Payment by check or money order only may be made in the Graduate School.*

Other pertinent information: The graduate advisor's signature is required to file. Students in programs leading to teacher certification must also have this form *stamped* by the Teacher Certification Office (ED 208). No applications will be accepted without these approvals. *Also, obtain a copy the program of study (Graduate Advising Program Planning/GAPP) form to attach to this form.* It is the responsibility of the student to remove all deficiencies or conditions associated with degree audit and/or graduation. If for any reason requirements are not met in the term applied, it is necessary for the student to refile. Students are responsible for any increase in fees.

Term Completing: <input type="checkbox"/> Fall <input type="checkbox"/> Spring <input type="checkbox"/> Summer Year _____		
First Name:	Middle Name:	Last Name:
ID#:	Day Phone:	Home Phone:
Street Address:		
City, State, Zip Code:		
Name to appear on diploma: LEGAL NAME OF RECORD, as shown on all official <i>university</i> documents.		
Check the degree you expect to receive:		
<input type="checkbox"/> Master of Arts (MA) <input type="checkbox"/> Master of Arts in Teaching (MAT) <input type="checkbox"/> Master of Science in Education (MSED) <input type="checkbox"/> Master of Fine Arts (MFA) <input type="checkbox"/> Master of Science (MS)		<input type="checkbox"/> Master of Social Work (MSW) <input type="checkbox"/> Master of Occupational Therapy (MOT) <input type="checkbox"/> Doctor of Education (Ed.D.) <input type="checkbox"/> Certificate Program (Graduate) <input type="checkbox"/> Other
Program:		Concentration: (if applicable)
No. of Hours Completed in Program _____		Hours to be Completed: _____ Cumulative G.P.A. _____
Have you passed your Comprehensive Exam or Qualifying Exam?		Yes <input type="checkbox"/> No <input type="checkbox"/>
If yes, when? (month/year) _____		If not, expected date of completion (month/year) _____
Have you completed a culminating requirement, e.g. Thesis, Project, or Dissertation?		<input type="checkbox"/> Yes <input type="checkbox"/> No
Will/Did you complete a special teaching experience as required for some MSED programs? <input type="checkbox"/> Yes <input type="checkbox"/> No		Date of Completion? _____

Student's Signature	Date
---------------------	------

<u>Recommended by:</u>	<u>Approved by:</u>
------------------------	---------------------

Graduate Advisor (required)	Dean of Graduate School
Date	Date

Teacher Certification Office*	Date

<u>Graduate School Use</u>	
Amount	Paid: _____
Processing Receipt	No. _____
Check Fee: _____	

*All students completing a program in either: School Counseling, Reading, Library Science, General Administration, Special Education or any program leading to initial certification must first have this form stamped by the Teacher Certification Office (ED 208). Non-stamped forms will be returned.

Appendix R - Alumni Information Request Form

Please provide the following information:

CSU Student ID Number _____

Last Name _____ First Name _____ Middle Name _____

Email Address: _____ Telephone: _____

Mailing address after graduation: _____

City _____ State _____ Zip Code _____

Occupation after graduation: _____

If married, name of spouse (include maiden name) _____

Appendix S - Outstanding Research Principles

These guidelines may serve two purposes. The first would be to provide a set of considerations which ought to be taken into account in the evaluation of a dissertation for the designation as “outstanding dissertation.” A second purpose would be to provide a set of basic principles to consider in the conduct of all CSU research projects (including both theses and dissertations).

The specifications enumerated below are given as clarification and as generally accepted meanings applied to these topics. They are essential qualities but may be inclusive of all considerations. It is understood that the weights for each specifications must be determined in relation to the specific nature of the study as a whole.

1. The conceptualization of research problems and the design of appropriate means for studying them are considered integral processes which cannot be separated. The way a problem is defined and conceived provides the basis for developing a suitable approach for examining it. The selected research design must be justified in terms of being the best among other alternatives for studying the problem at hand. In addition, the design affects the form that the problem assumes.
2. It is expected that all doctoral projects will demonstrate quality performance in the technical conduct of the projects, regardless of the inquiry approach used, and in the presentation of written documents. In other words, these elements are considered necessary components of research projects. It should be evident that the candidate is knowledgeable of the technical procedures incorporated in the project and that work is a product of his/her effort.
3. It is assumed that the methods employed in the conduct of the research project will reflect standards appropriate to the inquiry approach they represent. Research projects will be evaluated against the standards appropriate to the selected methodology.
4. It is difficult to reach agreement on an objective set of criteria by which to judge a piece of work as “significant.” Yet it is often possible to obtain agreement that a particular work makes a significant contribution to a field of knowledge and/or practice. It is essential that in making a judgment about the worth of a research project we consider the question of significance. The question is as follows: Is this a significant piece of work? It may be of some help to consider a related question. Is this a solid piece of work that shows good craftsmanship but also can be described as significant?

Appendix T - Dissertation Scoring Guide

	Unacceptable (1 point)	Acceptable (2 points)	Target (3 points)
Ch 1. Statement of the Problem (ELCC 1.2b, 2.2a, 3.2b, 4.1b)	<ul style="list-style-type: none"> - The context/background is not provided, or is impartially addressed - Factual information about the impact of the problem is not provided - Relevant literature to support existence of the problem is not provided - The question or problem to be studied is trivial, weak, unoriginal, or already solved 	<ul style="list-style-type: none"> - Provides a clear, but not complete, background (or context) for the problem to be addressed by the research: educationally, historical/chronological, socioeconomic, political, etc...) - Provides factual information about the impact of the problem, but partially - Identifies mandates, acts, about the problem, - Cites most relevant literature to support the existence of the problem - Provides operational definitions - The section provides a clear understanding of the problem to be addressed, but may be limited in scope, purpose, or originality. 	<ul style="list-style-type: none"> - Provides a very clear background (or context of an evaluation object) for the problem to be addressed by the research: educationally, historical/chronological, socioeconomic, political, etc...). - Provides factual information about the impact of the problem - Identifies mandates, acts, about the problem, - Cites relevant literature to support the existence of the problem - Provides very clear operational definitions - Provides a very clear understanding of the problem to be addressed and the motivation for undertaking the study.
Ch. 2 Review of the Literature (ELCC 1.2b, 1.4b, 2.3d, 4.1b, 4.1c)	<ul style="list-style-type: none"> - Literature relevant to the dissertation topic is not reviewed - Literature is not current - Hypotheses or research questions are poorly stated 	<ul style="list-style-type: none"> - Has critically reviewed literature related to the dissertation problem - Has included most relevant research directly bearing on the dissertation problem. - Not all the literature is current - Specific hypotheses or research questions are stated, but need improvement 	<ul style="list-style-type: none"> - Has critically reviewed literature related to the dissertation problem - Has included all relevant research directly bearing on the dissertation problem. - The literature is current (last 5 years) - If historic literature is reviewed, it is directly relevant to the study. - States the specific hypotheses or research questions
Ch. 3 Methodology (ELCC 1.3b, 2.2b, 4.1c)	<ul style="list-style-type: none"> - Subject are not concisely described - Instruments are poorly described - Measurement scales are not described, or are inadequately described - Detailed description of procedures is not evident - Analysis techniques are inappropriately described 	<ul style="list-style-type: none"> - Subjects or participants are concisely described: numbers, characteristics, population sample, selection criteria, etc.) - Detailed descriptions of instruments are provided: researcher-created questionnaires, interview protocols, field observation guides, tests, etc. - If tests are to be employed, proof of reliability and validity is provided - Measurement scales are described - Procedures: Sufficient details are provided, but not clearly enough for an independent researcher to replicate the study - Analysis: The techniques for analyzing data are described. 	<ul style="list-style-type: none"> - Subjects or participants are clearly and concisely described: numbers, characteristics, population sample, selection criteria, etc.) - Detailed descriptions of instruments are provided: researcher-created questionnaires with expert judge reviews and pilot-test results, interview protocols, field observation guides, tests, etc. - If tests are to be employed, proof of reliability and validity is provided - Measurement scales are described - For experimental studies, treatments (if independent variable(s) is/are manipulated) are described - Procedures: Sufficient details are provided for an independent researcher to replicate the study. - Analysis: The techniques for analyzing data are described, including the software

Ch. 4 Results (ELCC 2.2a, 2.3d, 3.1a)	<ul style="list-style-type: none"> - Has data that are flawed, wrong, false, fudged, or misinterpreted - Has wrong, inappropriate, incoherent, or confused analysis - Tables and figures are poorly created. They are not referenced according to APA guidelines - Tables and figures are inadequately explained 	<ul style="list-style-type: none"> - The results adequately address and/or answer each of the research questions or hypothesis - Results are driven by the procedures. However, some procedures were not followed. - Tables, figures, and other result displays are well documented and referenced using APA guidelines. Some findings are not appropriately documented or referenced. - A narrative explanation precedes each table or figure, but not consistently 	<ul style="list-style-type: none"> - The results concisely and clearly address and/or answer each of the research questions or hypothesis - The results are coherently driven by the procedures described in the Methodology Chapter. - A concise and clear narrative description of the procedures implemented and the outcomes achieved is included in Chapter 4 - Results are displayed in well organized summary tables, figures, and other formats accepted in APA. - A narrative explanation precedes each table and figure
Ch. 5. Discussion, Conclusions, Implications, Recommendations (ELCC 1.1c, 2.2b, 3.2b, 4.1b, 4.2d)	<ul style="list-style-type: none"> - The discussion is not related to findings or the literature review - Analyses and syntheses are incoherent 	<ul style="list-style-type: none"> - The discussion integrates a summary of most of the findings in relation to the literature review - Analyses and syntheses are coherent, but some improvement is needed - Implications are related to the conclusions - Recommendations are provided, but partially 	<ul style="list-style-type: none"> - The discussion integrates a coherent summary of the findings in relationship to literature introduced in Chapter 2. - The conclusions are coherent outcomes reached by analysis and synthesis of the findings. - Each research question has relevant conclusions. - The implications flow naturally from the conclusions. - The recommendations for action, for further research, and for dissemination of the findings are coherently provided and discussed.
References	<ul style="list-style-type: none"> - Works cited in-text are poorly, or incompletely listed in the references sections. The APA guidelines are not followed 	<ul style="list-style-type: none"> - All works cited in-text are listed in the references section. The APA guidelines are not followed appropriately 	<ul style="list-style-type: none"> - All works cited in-text are flawlessly listed, in APA, in the references section
Appendices	<ul style="list-style-type: none"> - There are no appendices. There is no evidence of training in the ethical use of human subjects 	<ul style="list-style-type: none"> - Appendices are developed, but are not very well written. They need improvement for relevance of the study. Evidence of training in the ethical use of human subjects is provided. 	<ul style="list-style-type: none"> - Appendices exist for legislative documents pertaining to the problem investigated, instruments to be used, training in the ethical use of human subjects, etc.
Overall appeal	<ul style="list-style-type: none"> - Is poorly written, poorly organized - Does not make a contribution 	<ul style="list-style-type: none"> - Does not completely explore interesting issues and connections - Makes a modest contribution to the field but does not open it up 	<ul style="list-style-type: none"> - The topic is timely, original and significant - The findings are coherent, compelling, concise, creative, and persuasive - The findings are of interest to a larger community and can potentially change the way people think - The study pushes the discipline's boundaries and opens new areas for research

Appendix U – Educational Leadership, Curriculum and Foundations Department - Research and Research Interests

Please provide the following information if you are interested in serving on a dissertation committee.

Name:
Faculty Rank:
Department/College:
Address:
E-mail:
Telephone:

Educational Background

Doctoral Degree: (University and year):

Dissertation Topic:

Master's Degree:

Master's Thesis Topic:

Are you considered graduate faculty? _____Yes _____No _____Unknown

Graduate Courses Taught:

Research in Progress:

Research Interest:

Current Publications (scholarly books and/or articles in refereed journals):

- 1.
- 2.
- 3.
- 4.
- 5.

Number of dissertation committees chaired : _____

Number of master's thesis committees chaired: _____

Number of dissertation committees served: _____

Please sign above and return form to ELCF Department Office, ED 319 and e-mail to elcf@csu.edu

Appendix V - Proposal Agenda

Educational Leadership Curriculum and Foundations
Doctor of Education in Educational Leadership

PROPOSAL DEFENSE

(date)

(time)

(location)

NAME OF CANDIDATE

PROPOSED TITLE:

Committee

Chair:

Member:

Member:

Member:

AGENDA

- I. Welcome
- II. Candidate's Presentation
- III. Questions From the Committee
- IV. Break (Candidate is Excused from the Room)
- V. Committee Deliberates
- VI. Committee Informs Candidate of Decision

Appendix W - Open Dissertation Oral Defense Agenda

Educational leadership Curriculum and Foundations
Doctor of Education in Educational Leadership

DISSERTATION DEFENSE

(date)
(time)
(location)

NAME OF CANDIDATE

TITLE:

Committee

Chair:

Member:

Member:

Member:

AGENDA

- I. Welcome
- II. Candidate's Presentation
- III. Break (Audience is excused)
- IV. Questions from the Committee
- V. Committee deliberates
- VI. Committee Informs candidate of decision

Appendix X - Closed Dissertation Oral Defense Agenda

Educational Leadership Curriculum and Foundations
Doctor of Education in Educational Leadership

DISSERTATION DEFENSE

(date)
(time)
(location)

NAME OF CANDIDATE

TITLE:

Committee

Chair:

Member:

Member:

Member:

AGENDA

- I. Welcome
- II. Candidate's Presentation
- III. Questions from the Committee
- IV. Committee deliberates
- V. Committee Informs candidate of decision

Appendix Y - Oral Defense Evaluation

TITLE OF DISSERTATION

STUDENT NAME

Please record your evaluation of the oral defense.

- _____ 1. Pass
No changes need to be introduced into the written text
- _____ 2. Pass with Revisions
The oral defense has shown that certain changes need to be incorporated into the written text. I am satisfied that the changes will be made and need not review the written copy again.
- _____ 3. No Pass /Major Revisions
The oral defense has shown that certain changes need to be incorporated into the written text as noted on the reverse side. The changes involve enough complexity that I wish to review the revised text and vote again.

Date: _____ Signature of Committee Member: _____