DISSERTATION HANDBOOK

Doctor of Education in Educational Leadership

School of Education
Union University
Fall 2018

Online version available at
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CHAPTER 1
INTRODUCTION

Purpose

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

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

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

Merriam-Webster Dictionary defines plagiarism as “the act of using another person's words or ideas without giving credit to that person” (http://www.merriam-webster.com/dictionary/plagiarism). Any material taken from another source must be cited and documented, and in no case should one present another person’s work as one’s own. Extreme caution should be exercised by students involved in collaborative research to avoid questions of plagiarism. If in doubt, students should check with the major professor and the graduate school about the project. Plagiarism will be investigated when suspected and prosecuted if established.

If copyrighted material is used in a limited way, permission to quote usually need not be sought. If, however, extensive material from a copyrighted work is to be used such that the rights of the copyright owner might be violated, permission of the owner must be obtained. In determining the extent of a written work that may be quoted without permission, the student should consider the proportion of the material to be quoted in relation to the substance of the entire work. In no case should a workbook, exercises, standardized test, answer sheet, survey or similar material considered to be consumable be copied and included in a dissertation without written permission.
The publisher usually has the authority to grant permission to quote excerpts from the copyrighted work or can refer requests to the copyright owner or designated representative. The copyright owner may charge for permission to quote. Permissions should be credited with the acknowledgments, and the source should appear in the reference section of the manuscript.

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

The student completes and submits an application to the Institutional Review Board at https://www.uu.edu/research/irb/ who then determines what level of review is needed (exempt, expedited, or full) and initiates the appropriate review process for that level. The IRB communicates the results of the review to the student (exemption, approval, recommendations, etc). Note: The best-case scenario to achieve exempt status is to include only pre-existing/archival data in the research investigation. Under exempt status, there should be no use of inventory scales, questionnaires, or interviews to collect any information for the purpose of clarifying, validating, or answering any questions, hypotheses, or data analysis.
Graduate programs in education at Union University are designed to provide, within a service-oriented Christian environment, quality graduate study opportunities to meet the educational needs of students. The mission of the School of Education is to “prepare teachers and leaders to transform students’ lives. Teachers must be scholars, practitioners, and relaters in synergy. Our educators will be prepared not to separate these roles, but to synergize all three as they transform lives through education.” In line with this mission, the goal of the graduate school, as well as the student's dissertation committee members, is to ensure that a dissertation is produced that will reflect credit and academic integrity on the student, the student’s committee, the department, and the graduate school.

Other Documents

For style issues not dealt with specifically in this handbook, students should use the most recent edition of the Publication Manual of the American Psychological Association (APA). To ensure that dissertation proposals are approved by the Union University Institutional Review Board (IRB), candidates should obtain, read, and understand the latest version of the IRB guidelines for submitting research protocols at https://www.uu.edu/research/irb/.
CHAPTER 2
DISSERTATION PROCESS

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

The Research Process

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

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

**The dissertation.** The Dissertation is completed after registration in EDR 790 Dissertation and after the doctoral student has achieved candidacy. Candidacy is achieved after the successful completion of all course work, Dissertation Proposal approval, and successful Comprehensive Examinations. During this period, doctoral candidates will add significantly to the first three chapters that constituted the former Proposal, especially Chapter 2, the Review of Literature, culminating in a minimum of 60 references. The Dissertation is based on an extensive literature review that relies upon primary sources for an empirical research foundation. Most of the literature added to the Dissertation after Proposal approval will be primary sources. Primary sources describe empirical research studies, those that were conducted first-hand by the original researcher(s).

**Submission of article/paper for publication or presentation.** The Ed.D. student must submit a paper for publication or professional presentation, which is written by him/her with guidance of the dissertation chair during enrollment in the Ed.D. Program. Upon accomplishing this requirement, each student must submit proof of the submission of the article/paper and the chair’s approval signature to the program coordinator (see form, Appendix B-8). Validated verification of official submission must be on file before the student will be permitted to defend his/her dissertation. It is the student’s responsibility to complete this requirement. Information concerning the processes involved in article or paper submission will begin in the research seminar class.
The Approval Process

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

Selection and approval of the dissertation topic. Students should finalize topics that may develop into the proposal topic as a result of collaborating with the appropriate entities (i.e., school districts, higher education institutions) and the research seminar instructors. As early as possible during the student’s second year, an approved “Topic Selection Approval Form” (Appendix B-1) must be submitted and filed in the graduate program office.

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

The candidate’s doctoral dissertation chair and committee are responsible for guiding the student in all steps of the dissertation process including the selection of a topic for the dissertation, approval of the dissertation proposal, and the approval of the completed dissertation and oral defense. The chief responsibility for this guidance lies with the dissertation committee chair.

Under the direction of the Director of the Ed.D. Program, a dissertation committee consisting of a chairperson and two other members will be selected. The dissertation committee
chairperson shall be a full-time graduate faculty member from the School of Education or an adjunct graduate faculty member in the School of Education with special knowledge and expertise. The remainder of the committee is composed of two other members: (a) one full-time or adjunct graduate faculty member from Union University; and (b) an outside committee member, preferably, who is not a faculty member at Union University, who has earned the terminal degree, who has a research interest in the dissertation topic, and who has been approved by the Associate Dean or Department Chair (see Appendix B-3). Instructors of EDR 710 Intermediate Statistics, EDR 720 Research Methods and Design, and EDR 725 Advanced Statistics and Design serve as ad hoc members of each dissertation committee as consultants in the area of statistics and research design. Instructors of the doctoral seminars play a supporting role and serve as resources, as well, in this scholarly community.

Arrangements for the selection of the committee chair are typically made during Tier 1 of the student’s program. Chair selection is based on the chair’s research interests as they relate to the student’s research focus. Further, students should finalize topics that may develop into the proposal topic as a result of collaborating with the appropriate entities (i.e., school districts, higher education institutions) and the research seminar instructors. After topics have been finalized and approved, dissertation chairs will be assigned.

During the student’s second year, an approved “Topic Selection Approval Form” (Appendix B-1) must be submitted and filed in the graduate program office. After this form is filed, the remaining committee members will be assigned. Once the full committee has been assigned and formed, the “Dissertation Committee Selection and Approval Form” (Appendix B-2) must be completed and filed in the graduate program office.
The dissertation chair is a pivotal person in the dissertation process, determining when each section of the candidate’s work is ready to be reviewed by all committee members. Meetings of all committee members are decided upon by the chair and arranged by the student with the approval of the chair. The oral defenses are directed by the chair. Students in the literature review development courses as well as those in the proposal development courses shall meet face-to-face with their chairs at least one time in each sequence in order to satisfy passing requirements for the class.

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

**Proposal development.** The dissertation proposal is a detailed plan of the proposed dissertation study. Doctoral students develop a proposal during the Dissertation Seminar course, Research Methods and Design, and Advanced Statistics and Design. As the research proposal is developed, the student should give attention to the selection of data-gathering instruments and to the obtaining of permissions that will be necessary for the completion of the proposed research.

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

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

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

**Overuse or misuse of direct quotes.** A limited number of direct quotes may be judiciously used, restricted for emphasis, effect, or authoritative support. For the most part, the review of literature should be a synthesis of the source material, a paraphrase, primarily presented in the candidate’s own words. The use of too many quotations implies a lack of mastery of the topic.
**List of components.** Although the dissertation committee may approve an alternative format, an acceptable research proposal would typically include the following:

- Proposal Approval Form
- Title Page
- Chapter 1 – Introduction: Begin with an historical perspective or context that includes a justification for and significance of the proposed research, a rationale for the choice of the research problem, a statement of the problem, purpose of the study, significance of the study, definitions of terms used, delimitations noted, along with hypotheses or research questions.
- Chapter 2 – Review of Literature: A thorough review of the relevant literature. Must have a minimum of 40 references, half or more of which are primary sources and dated within the last five years, and at least 40 pages. The chapter should include a synthesis statement and a review of pertinent literature.
- Chapter 3 – Methodology: Procedures and intended research methods, including introductory statement of purpose, description of the study, selection of subjects, participants, design, collection and treatment of data, instrumentation, statistical methods, data analysis, limitations, and a timeline. When describing the instrumentation, write each research question individually. After each, describe the instrument that will be used to answer the question. Offer validity and reliability information. Do the same for the next question. Secure written permission to make copies and/or include instruments in your manuscript, if applicable. When describing the statistical methods/data analysis, write each question individually, and, after each,
describe the test to be used to analyze the collected data. Justify the test choice by identifying the independent and dependent variables and what information will be gained after the use of the test.

- References – Citations should follow formatting requirements of the current Publication Manual of the American Psychological Association.

- Appendices – Required permissions, instruments, etc.

**Approval of the research proposal.** Before beginning the required dissertation research, the student must submit a research proposal to the dissertation committee members for their approval. Before proceeding with the research, the Dissertation Proposal Approval Form (Appendix B-5) indicating committee approval, attached to a clean copy of the research proposal, must be submitted to the graduate office and placed in the student’s file.

The approved dissertation proposal serves as an important contract between the candidate and the dissertation committee, describing how the proposed dissertation research should proceed. Any subsequent departures from that contract must first be approved by the dissertation committee.

**Review of the Research Review Panel.** All School of Education students who propose to conduct research must have the IRB application/protocol and Chapter 3 of the Proposal reviewed by the Research Review Panel (RRP) before the proposal approval meeting. Each student will submit the IRB paperwork and Chapter 3 of the research proposal to the RRP and sit with the panel of faculty members for a scheduled meeting to receive additional feedback or suggestions for improvement. Chairs are highly encouraged to attend the panel discussion with the student.
Methodology approval. Ed.D. students are required to follow a three-step methodology approval process beginning at the proposal preparation stage. Step one is to obtain the approval signature of his/her EDR 720 Research Methods and Design professor, or designee of the chair, prior to the proposal approval meeting (see form in Appendix B-4). This signature gives approval for the methodology section of the proposal.

Step two requires each student to obtain approval for the statistical design described in the methodology section from the EDR 710/725 statistics professor, or designee of the chair (Appendix B-4). This person may or may not already serve on the student’s dissertation committee. It is strongly suggested that the aforementioned signatures be obtained at the end of the Research Methods and Design course (EDR 720) and then at the beginning of the Advanced Statistics course (EDR 725) respectively. The form must be submitted to the graduate office prior to scheduling the proposal approval meeting.

Lastly, as the third step at the completion of the full research study, the statistics professor’s approval of the finished study’s statistical analysis, signified again by his/her signature on the B-4 form, must be obtained before the student is allowed to defend the dissertation research (see Appendix B-4). This final signature of the statistics professor, or designee, must be obtained in approval of the student’s statistical analysis, and the fully completed form with all signatures must then be submitted and filed before the final defense of the dissertation can be scheduled. It is strongly suggested that this be done at least four months prior to the dissertation defense deadline.
It is the student’s responsibility to maintain and submit the appropriate portion of this three-step form at the mandated times. Forms must be submitted to the applicable program director’s office, fully completed with all signatures, prior to defense of the dissertation.

**The proposal approval meeting.** When the chair believes that the proposal is ready for approval, the student shall obtain approval from each committee member to convene the committee for the proposal approval meeting. The student shall schedule the time and place of the proposal approval meeting with the committee chair and all members. See Appendix D for an overview of the proposal approval meeting. The committee may choose to approve the proposal as written, approve the proposal upon specific changes indicated by the committee, or disapprove of the proposal. The student is responsible for making all necessary changes immediately and submitting the revised proposal to the chair. The chair holds the responsibility of ensuring that all changes have been made.

Upon submission of a satisfactory proposal to the chair, the student should forward a copy of the proposal and approval form with original signatures to the graduate office on the respective campus. An approved proposal must be on file before registering for dissertation hours.

**Next steps.** All students and university faculty and staff who propose to conduct research involving human subjects must have prior approval from the Institutional Review Board. See below for more instructions.

**Comprehensive examination.** Upon completion of all coursework (with at least 3.2 GPA), students receive clearance from the Program Director to take the comprehensive exams.
**Written comprehensive examination.** In the written comprehensive examination, students respond to three questions chosen from coursework within the Program of Study. The written exam is taken over the course of three days or one week (LSR only). Students are given four hours to respond to each question.

Students are supplied the course name and topic of each question no later than two weeks prior to the written exam. All responses are generated via computer; however, students are given the opportunity to write notes or responses by hand during the examination time as a response aid.

Questions are chosen from the three components of the program: Leadership Issues, Leadership Practice, and Leadership Research (with the exception of the LSR program). If a course chosen for comprehensive examination has been transferred from another institution, the student may request that an alternate course be selected by the Program Director. Course instructors serve as initial evaluators of responses. The responses may be graded as follows: Excellent, Above Average, Adequate, Adequate with Clarification Needed, or Inadequate. The evaluators are given two weeks to complete the assessment. The Program Director will inform the student and dissertation chair of the results of the written examination.

If the student is unsuccessful on the written exam (at least 1 of the 3 questions not answered adequately), the student with one failed area may choose to rewrite on the failed area (issues, practice, or research) in the following term after comprehensive exams. A student with two failed areas may choose to rewrite on the whole exam (different questions) a year later. If successful on the second attempt, the student achieves Candidacy (provided the dissertation proposal has been approved) and may register for Dissertation hours the following semester. If
unsuccessful on the second attempt, the student is dismissed from the program immediately. No student will be allowed more than one rewrite. A student with three failed areas will be dismissed from the program immediately.

**Oral comprehensive examination.** The oral comprehensive examination meeting is held when all written responses are received from the evaluators. When the written responses have been returned to the chair, the student should ask permission of the chair to schedule the time and location of the oral comprehensive examination meeting.

The oral examination is conducted to allow the student a time to reflect upon his or her program, personal and professional goals that have been reached, and goals yet to be reached. It is also a time to allow the student to clarify responses to the written comprehensive exam when needed. If the student scores an “adequate with clarification” on any question, the evaluator of that question should be invited to the oral meeting. The student is responsible for inviting the evaluator to the meeting.

The student should provide the Comprehensive Examination Results form (Appendix B-6) at the oral examination. Once completed, the form with original signatures must be forwarded to the Program Director for signature. An approved comprehensive examination must be on file before registering for dissertation hours.

**Admission to doctoral degree candidacy.** A student must have degree candidacy status before beginning the doctoral research. A student will be admitted to degree candidacy status only when the following conditions have been met: (a) completion of all pre-dissertation coursework with a minimum grade point average of 3.2; (b) submission of a dissertation proposal that has been approved by the student’s dissertation committee; and (c) successful completion of the
written and oral comprehensive examinations. The student will receive written notification when candidacy status has been achieved. Candidacy status allows the student to register for dissertation hours.

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

**Approval of the Institutional Review Board (IRB).** After the suggestions from the Research Review Panel are implemented, all IRB paperwork, required information, and related materials (e.g., copies of instruments, permission forms, informed consent letters, etc.) are completed by the student and submitted to the dissertation committee chair for review and approval. The chair reviews the paperwork and forwards it to the IRB for consideration. After IRB action, the application/protocol is returned to the student with copies sent to the dissertation chair. Once the application/protocol is approved by the IRB, permission from other agencies should be obtained immediately.

There are three levels of IRB review, which are determined by the level of risk to the human subjects. First, full board review is required when there is more than minimal risk to subjects, vulnerable populations are involved, invasive procedures are used, or experimental devices are involved in the research. Research proposals requiring full board review are considered at the regular monthly meetings of the IRB.
Second, expedited review may take place when there is no more than minimal risk to the human subjects. Expedited review requires research approval by the IRB chairperson or by one or more experienced reviewers.

Third, some types of research conducted with human subjects are exempt from IRB review because the research does not pose physical, social, or ethical risks to the subjects. Exempt status is determined only by the IRB. Note: The best case scenario to achieve exempt status is to include only pre-existing/archival data in the research investigation. Under exempt status, there should be no use of inventory scales, questionnaires, or interviews to collect any information for the purpose of clarifying, validating, or answering any questions, hypotheses, or data analysis.

**Completion of the research.** Candidacy status allows the student to register for dissertation hours offered in increments of 2-4 semester hours that run from August through October, November through January, February through April, and May through July.

The candidate should complete the research as it is described in the approved research proposal, working closely with the chairperson of the dissertation committee in all stages of the research. Doctoral students should meet with their chairs at least once a month, creating a timeline for the completion of the dissertation research and written document. The timeline should contain specific times that the student will meet with the chair during the dissertation process. Students should establish how the dissertation chair prefers to communicate, whether in person, by phone, by email, or a combination. Students should always schedule appointments and not assume the chair can accommodate a drop-in session. Students must make the changes
recommended by chairs and committee members before the next meeting or before submitting a subsequent draft.

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

**Completion of the dissertation.** The candidate may begin the dissertation only after the proposal is approved and submitted to the graduate office. Then in accordance with the plan described in the candidate’s approved dissertation proposal, consistent with the guidelines of the IRB, the doctoral Dissertation Handbook, and under the close guidance of the dissertation chair and committee, the candidate shall conduct the dissertation study, process and interpret the data, draw conclusions, and prepare, chapter by chapter, a dissertation manuscript that complies with all steps and guidelines detailed in this Handbook. The required format and specifications must be used in writing the manuscript. The student should use the latest edition of the *Publication Manual of the American Psychological Association* as a guide unless otherwise noted in this document.

**Use of professional editor.** The School of Education maintains a list of approved editors and will pay the approved editor for the first two hours of editing. The student should request the
list of editors from the graduate office and contact the editor personally to engage the editor in advance of required deadlines for submission.

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

**Time limitations.** All doctoral students must maintain continuous dissertation enrollment status until graduation by enrolling in EDR 790 each session. All requirements for the doctoral degree must be completed within six years from the first semester of enrollment in the doctoral program. Students needing more than six years to complete the degree must file a time extension petition with the Dean of the College of Education and Human Studies.

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

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

The statistics professor’s approval, or approval of the chair’s designee, must be obtained before the student is allowed to defend his/her final dissertation (see Appendix B-4). It is strongly suggested that this be done at least four months prior to the dissertation defense deadline. It is the student’s responsibility to maintain and submit the Methodology and Statistics Approval Form (Appendix B-4) with required signatures. A fully completed copy with all signatures must be submitted to the graduate office prior to defense of the final dissertation.

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

Deadlines for submission of the dissertation for final approval are charted in Appendix C for each graduation opportunity offered by Union University. It is suggested that students and committees plan to submit earlier than the deadline to give ample time for corrections if necessary. The final draft must be received by the office of the Assistant to the Dean by the respective deadline in order for the candidate to defend the dissertation and adhere to the timeline for graduation.
The candidate may schedule the dissertation defense only when permission has been granted from the Dean’s Office. The candidate shall deliver copies of the entire completed dissertation manuscript to all committee members. The student has the responsibility of scheduling the defense with all committee members and informing the Dean’s Office of the date at least one week in advance of the defense using the Request to Schedule the Dissertation Defense Form (Appendix B-7). In addition, the student must inform the Program Director of the defense date and location as well as the title of the dissertation at least one week in advance of the defense. The dissertation defense must be held by the published deadline in Appendix C in order to adhere to the timeline for graduation.

The dissertation defense is a time when students are allowed the opportunity to present the findings of the study in an open forum and to discuss specific aspects of the study in a closed session with the committee. See Appendix E for an overview of the dissertation defense meeting. The student should take one or two copies of the Approval Page (Appendix B-9) to the defense.

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

Guests are dismissed upon completion of the presentation. The committee shall then ask questions and discuss the dissertation with the candidate. Following the question-and-answer session, the chair shall direct the candidate to leave the room to allow for the committee’s deliberation. The committee may choose to approve the dissertation as is, approve the dissertation upon submission of specified changes, or disapprove of the dissertation. The committee should provide detailed directions for the candidate if the dissertation requires
changes or is not acceptable. The candidate should make needed changes to the dissertation within one week from the time of the defense and submit the edited copy to the chair. The chair may require less time dependent upon the nature of the corrections. The chair has the responsibility of ensuring that all requested changes have been made.

At the conclusion of a successful defense, committee members will certify approval of the dissertation by signing the Approval Page (Appendix B-9) provided by the student. The Approval Page must be forwarded to the Program Director and Dean for signature and eventually will be filed in the student’s permanent file.

Within one week from the defense date, or full approval of the dissertation after changes, the student will deliver to the Assistant to the Dean one unbound copy of the approved dissertation for final review along with the Approval Page with committee and program director signatures.

During the final review, errors found by the Assistant to the Dean or the Dean shall be noted, and the dissertation shall be returned to the candidate for correction. Corrections should be made within one week and resubmitted to the Assistant to the Dean, who will review the corrections. When the dissertation needs no further corrections, the dissertation manuscript will be returned to the candidate to prepare for submission to ProQuest Publishing.

Submission of Article/Paper for Publication or Professional Presentation. Another requirement prior to defense approval is submission of a research article for publication or professional presentation. The student should consult with the chair to determine the most appropriate method of fulfilling this requirement and file the required form with attached documentation in the graduate office (see Appendix B-8).]
Submission to ProQuest Publishing. The Union University School of Education requires all doctoral students to submit their dissertations to ProQuest for publication and distribution. The reason for this is that the School believes, and its mission reflects, that knowledge should be shared. Granting ProQuest the right to publish and distribute the dissertation does not change the author’s rights as copyright holder. The Office of the Dean will supply ProQuest publishing information to candidates at the time of the successful defense of the dissertation and final approval by the dean’s office.

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

The student will purchase the cap, gown, and hood. The hood is not worn until the hooding ceremony on stage during commencement. Only regalia (cap, gown, and hood) purchased from Union’s approved supplier are allowed at graduation to ensure uniformity for the ceremony. Honor cords signifying membership in Kappa Delta Pi are permitted to be worn, but no other hoods, collars, or stoles will be permitted.
CHAPTER 3
ELEMENTS AND STYLE

Preliminary Pages

Figure 1 shows the sequence and numbering scheme of the various manuscript parts. Samples of all preliminary pages are found in the Appendices.

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

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

Copyright page (optional). Students may choose to register a copyright for an additional fee. This page is included only if the manuscript is being formally copyrighted. Copyrighthing is the responsibility of the student.
<table>
<thead>
<tr>
<th>Dissertation Components</th>
<th>Page Assignment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval Page</td>
<td>No page number assigned</td>
</tr>
<tr>
<td>Title page</td>
<td>Small Roman numeral (Assigned, not typed)</td>
</tr>
<tr>
<td>*Copyright page</td>
<td>Small Roman numeral (Typed)</td>
</tr>
<tr>
<td>*Dedication page</td>
<td></td>
</tr>
<tr>
<td>Acknowledgments</td>
<td></td>
</tr>
<tr>
<td>Abstract</td>
<td></td>
</tr>
<tr>
<td>Table of Contents</td>
<td></td>
</tr>
<tr>
<td>List of Tables (if 5 or more)</td>
<td></td>
</tr>
<tr>
<td>List of Figures (if 5 or more)</td>
<td></td>
</tr>
<tr>
<td>List of Plates (if plates are used)</td>
<td></td>
</tr>
<tr>
<td>List of Symbols and/or Abbreviations (if needed; may be included as an appendix)</td>
<td></td>
</tr>
<tr>
<td>Body of manuscript (divided into chapters or sections; must include introduction, review of literature, methods, results, and discussion)</td>
<td>Arabic numerals, starting with 1</td>
</tr>
<tr>
<td>Separation sheet</td>
<td></td>
</tr>
<tr>
<td>References</td>
<td></td>
</tr>
<tr>
<td>Separation sheet (if an appendix or appendices follow)</td>
<td></td>
</tr>
<tr>
<td>*Appendix</td>
<td></td>
</tr>
</tbody>
</table>

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

*Figure 1. Arrangement of dissertation components.*
**Dedication page (optional).** If the student wishes to dedicate the manuscript, the dedication statement is included at this point.

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

**Abstract.** Each dissertation submitted to the graduate school must have an Abstract. The Abstract should be the last component written in order to provide an overall perspective for the reader. Although the content of the Abstract is determined by the student and graduate committee, the following information is appropriate: (a) a short statement concerning the area of investigation, (b) a brief discussion of methods and procedures used in gathering the data, (c) a condensed summary of the findings, and (d) conclusions and implications reached in the study.

Type the Abstract itself as a single paragraph in block format (without paragraph indentation) and do not include section headings or citations. Although the word maximum is 350, the Abstract should be concise.

**Table of Contents.** The Table of Contents is an outline of the dissertation text and back matter. Preliminary pages, sometimes called front matter (abstract, list of tables, and so on) should not be included in the Table of Contents. Students should list all chapter headings and other major divisions, worded exactly as printed in text. The level of heading should be consistent; for example, if the subordinate-level subheadings from one chapter are listed, then the subordinate-level subheadings from all chapters should be listed. Students should indent each
level of subheading more than the preceding level. Subheadings under chapters may be single- or double-spaced. Tab leaders should be used to connect each heading with its page number.

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

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

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

**Text**

For the purposes of this discussion, “text” is used as a generic term to refer to the main body of the dissertation. Samples of dissertation components may be found in the Appendices.
**Divisions.** When the text is divided into sections and subsections, the author may need to identify these sections and subsections with headings. Levels of headings should be logical and consistent throughout the text. Figure 2 illustrates several commonly used levels of headings.
CHAPTER 2

REVIEW OF LITERATURE

Educators are continuously exploring methods to improve student learning...

Historical Background of Block Scheduling

The school schedule remained unchanged the majority of the 20th century...

Models of Block Scheduling

In general, the block schedule has a variety of models, each extending the time...

Perceptions of Block Scheduling

School leaders. The ultimate purpose of block scheduling is to maximize...

Central office administrators. School officials who work at the central office level have a unique perspective on block scheduling. Much of their interest...

Building-level principals. The outlook of a school principal can differ from central office administrators because these building-level leaders are responsible...

High school principals. When a principal works with students in grades...

Middle school principals. Principals in a middle school setting are aware that...

Teachers. The participation of stakeholders during the development and implementation...

Figure 2. Levels of headings.
Chapter titles are considered Level 1 headings that are printed in boldface all uppercase letters (call caps). The student should use the Level 2 heading when only one level is used in text. Level 2 and Level 3 headings should be used when two levels of headings are utilized in text. Level 2, Level 3, and Level 4 headings are used when three levels of headings are utilized. Note: “Avoid having only one subsection heading and subsection within a section, just as you would in an outline. Use at least two subsection headings within any given section, or use none” (APA, 2010, p. 62).

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

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

Tables and Figures

Titles. Although they are included within the text, tables and figures are considered to be entities and, therefore, must be numbered and titled independently. Titles/captions must be
descriptive of the contents. Titles are placed at the top of tables; they are placed at the bottom of figures following the APA formatting style. No two tables or figures should have precisely the same title.

**Numbering.** Tables should be numbered consecutively from the beginning of the text to the end. Similarly, figures should be numbered consecutively from the beginning of the text to the end. Numbering for both should follow the APA formatting style.

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

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

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

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

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

**References**

The dissertation must include a complete list of references cited in the text. The reference list is preceded by a numbered separation page with the designation centered within the left and right margins and located one double space above the vertical center of the page. The heading (REFERENCES) is typed in capital letters.

Every citation within the text must have a corresponding entry in the reference list. Similarly, every entry in the reference list must correspond to at least one citation of that source in the text. There must be an exact match between text citations and reference list entries with respect to the spellings of author names, the order of the names when there are multiple authors, and the date of the publication. References are listed in alphabetical order.
In the sample pages, there is an example of a reference list containing a variety of types of references. However, for a more comprehensive list of examples, the student should consult the current *Publication Manual of the American Psychological Association*.

**Appendices**

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

**Contents of Completed Dissertations**

Although each dissertation may have its unique characteristics, the writer should expect a finished manuscript to contain the elements in the following list. Exceptions to these elements may be suggested by the dissertation committee wherever appropriate; however, the student should be sure that all exceptions from the elements listed have been cleared with the dissertation committee chair.

- Approval Page
- Title Page
- Copyright Page (optional)
- DEDICATION (optional)
- ACKNOWLEDGMENTS
- ABSTRACT
- TABLE OF CONTENTS
LIST OF TABLES (when appropriate)
LIST OF FIGURES (when appropriate)

Body of Text

CHAPTER 1 INTRODUCTION

Statement of the Problem
Purpose of the Study
Significance of the Study
Research Questions or Hypotheses
Definitions of Terms

CHAPTER 2 REVIEW OF LITERATURE

Synthesis Statement
Review of Pertinent Literature

CHAPTER 3 METHODS

Purpose of the Study
Description of the Study/Design/Participants
Research Questions or Hypotheses
Procedures
Subjects
Data Collection

Instrumentation
[Write each question individually, and, after each question, describe the instrument that will be used to answer the question. Offer validity and reliability information. Then, go to the next question and do the same. Secure written permission to make copies and/or include instruments in your paper, if applicable.]
Statistical Methods/Data Analysis

[Write each question individually, and, after each question, describe the test you will use to analyze the data gathered. Justify the test choice by identifying the independent and dependent variables and what information will be gained after the use of the test.]

Limitations

CHAPTER 4 FINDINGS

Opening statement

Data and Statistical Results

[Write the first question, then offer the resulting data output in the form of charts, tables, or within the narrative of your writing. Then relay all statistical results without further explanation of what they mean. Now, go to the next question and do the same.]

Closing statement

CHAPTER 5 CONCLUSIONS AND DISCUSSION

Opening statement regarding purpose of the study

Conclusions (tied to findings or hypotheses or research questions)

Discussion

Recommendations (to the pertinent population in the study)

Implications (to educational sector as it adds to the body of literature)

Recommendations for Future Research

Closing summary

REFERENCES

APPENDICES

36
CHAPTER 4

PHYSICAL SPECIFICATIONS

Paper

Manuscripts should be printed, without errors, on unlined, white 8.5 x 11-inch paper.

Font Size and Type

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

Alignment

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

Corrections

All corrections shall be made prior to the printing of the final manuscript. At the time the manuscript is submitted to the Dean’s office to receive approval to defend, the student must submit the Format/Appearance Checklist (Appendix B-10) signed by the student and research chair ensuring that the document is error free and conforms to all formatting guidelines of the Dissertation Handbook and the current Publication Manual of the American Psychological Association.

Spacing and Margins

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

Margins shall be one inch on all sides—at the top, bottom, left, and right. On opening pages of chapters, the chapter heading shall begin two inches from the top of the page. Page numbers are considered part of the text and shall be centered at the one-inch margin at the bottom of the page. Suggestion: Set the document’s bottom margin at one and one-half inches and the page number margin at one inch, leaving a half-inch of space between the page number and text and a full one-inch of white space at the bottom of the page.

**Numbering of Pages/Running Head**

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

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

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

**Print Quality**

The student should use a computer word processing program to produce the manuscript. This will facilitate the making of revisions and corrections. The student should arrange to have the final draft printed using a laser printer.
Summary of Formatting of Preliminary Pages

Approval/Signature page. Title begins 2 inches from top; margins: 1.0 inch left, 1.0 inch right, 1.0 inch bottom; not assigned a page number.

Title page. No italics or underlines; begins 2 inches from top; contains the statement: A Dissertation Submitted . . . , author, month/year; margins 1.0 inch left, 1.0 inch right, 1.0 inch bottom; page number assigned but not typed.

Copyright page (optional). Copyright statement begins 4 inches from top; margins: 1.0 inch left, 1.0 inch right and 1.0 inch bottom, numbered in lower case Roman numeral.

Dedication page (optional). The title word DEDICATION begins 2 inches from top, text begins 4 spaces below; margins: 1.0 inch left, 1.0 inch right, 1.0 inch bottom; numbered in lower case Roman numeral.

Acknowledgments page. The title word ACKNOWLEDGMENTS begins 2 inches from top, text begins 4 spaces below; margins: 1.0 inch left, 1.0 inch right, 1.0 inch bottom, numbered in lower case Roman numeral.

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

Table of Contents. The title TABLE OF CONTENTS begins 2 inches from top, listing begins 4 spaces below; chapters, parts, and sections must be worded exactly the same as in manuscript; capitalize major words of all headings; page numbers flush right below heading
“PAGE”; chapters, parts, sections flush left; dot leaders between titles and page numbers; margins: 1.0 inch left, 1.0 right, and 1.0 inch bottom; assigned lower case Roman numeral.

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

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

**List of Abbreviations/Symbols (when appropriate).** The title LIST OF ABBREVIATIONS/SYMBOLS begins 2 inches from top, listing begins 4 spaces below; captions must be worded the same as in manuscript; margins: 1.0 inch left, 1.0 inch right, and 1.0 inch bottom; assigned lower case Roman numeral.

**Summary of Formatting of Body of Dissertation**

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

**Margins.** 1.0 inch left, 1.0 inch right, and 1.0 inch top/bottom. The top margin on opening page of chapters should be 2 inches.

**Pagination.** Numbers (without punctuation) centered 1.0 inch from bottom of page.
Tables and figures. Must be of reproducible quality, following portion of text they illustrate, inside margins, text separated from tables by two double spaces, tables and figures numbered in separate series, numbered in Arabic numerals. Titles/captions for tables are placed at top of table; for figures they are placed below.

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

Definitions of Terms. Terms will be formatted as Level 3 paragraph headings, bolded and followed by a period. Only one section for Definitions of Terms is required and will be placed in the Introduction Chapter 1 following the Purpose Statement, usually toward the end of the chapter. Any words, phrases, acronyms, etc. that will be used in the paper, specific to the research, will be operationally defined in this section. Terms will be defined only in the context of their use in the study. Generally understood definitions or explanations of when statistical methods or tests are used, which should be cited in text, are not included in this Definitions of Terms section.

Citations within the text. Citations with 1-2 authors—all authors cited with each citation. Citations with 3-5 authors—all authors cited with first citation, then cite only first author followed by et al. Citations with 6 or more authors—cite only first author followed by et al. Note: When more than one source is cited within the same parentheses, each should be listed
in the same order in which they appear in the reference list (alphabetical order of author’s last name or in order of dates if by the same author).

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

SAMPLE PAGES

The following appendices illustrate the approved format of the School of Education for preliminary pages, text pages, the reference list, and others presenting the form and style requirements with examples. For style issues not dealt with specifically in this handbook, students shall use the most current edition of the *Publication Manual of the American Psychological Association* (APA).
APPENDIX A-1: SAMPLE TITLE PAGE

The Effects of Teacher Attitudes
On the Implementation of an Experience-Based
Critical Thinking Instructional Program

A Dissertation
Submitted in Partial Fulfillment of the Requirements for the
Doctor of Education Degree
Union University

[Student Name]
[Month and year of graduation]
APPENDIX A-2: SAMPLE ABSTRACT

ABSTRACT

There has been a heightened awareness of the manner in which human beings react to one another in the past few years. In light of recent events in history, one may wonder about the code of care that can be attributed to humankind. The purpose of this study was to investigate the possibility of a sequential relationship of empathy with developmental maturity. In other words, does the type of empathy or the amount of empathy change as individuals mature? Secondly, would this be true for both sexes, males as well as females? Thirdly, if empathy is related to developmental maturity, how much of the effect is directly related to empathy rather than some other variables, such as self-concept, gender, age, and education. Empathy was defined as a multidimensional construct involving both affective and cognitive dimensions. Empathy was operationalized through the Interpersonal Reactivity Index. Developmental maturity was defined as sequential changes due to social and cognitive development. It was operationalized using the Defining Issues Test. Self-concept was defined as a combination of self-concept and self-esteem and was operationalized using the Tennessee Self-Concept Scale. The sample consisted of 112 female and 67 male undergraduate students attending a small liberal arts university in the Mid-South. Evidence of a linear relationship was found between developmental maturity and two components of empathy: Perspective Taking that involves Empathic Concern and Fantasy. Females consistently scored higher on the individual components of empathy and self-concept. Specifically, the research questions explored were: (a) Does empathy form some type of sequential relationship with developmental maturity? (b) Is the relationship described in
Question 1 related to gender? And (c) How much of the relationship described in Question 1 is mediated by self-concept or the demographic variables? In exploring the questions, the study found that empathy does indeed form a type of sequential relationship with developmental maturity; however, there is no difference in the pattern of this relationship between the females and the males. Self-concept was not found to be a mediating variable in the relationship between empathy and developmental maturity. Further implications of the results are discussed.
APPENDIX A-3: SAMPLE TABLE OF CONTENTS

TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>CHAPTER</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. INTRODUCTION</td>
<td></td>
</tr>
<tr>
<td>2. REVIEW OF LITERATURE</td>
<td>5</td>
</tr>
<tr>
<td>History of Empathy</td>
<td>5</td>
</tr>
<tr>
<td>Empathy in Children</td>
<td>19</td>
</tr>
<tr>
<td>Empathy in Adults</td>
<td>25</td>
</tr>
<tr>
<td>Empathy and Developmental Maturity</td>
<td>31</td>
</tr>
<tr>
<td>Critique, Statement of Problem, Purpose</td>
<td>35</td>
</tr>
<tr>
<td>Critique of the Literature</td>
<td>35</td>
</tr>
<tr>
<td>Statement of the Problem</td>
<td>37</td>
</tr>
<tr>
<td>Purpose of the Study</td>
<td>37</td>
</tr>
<tr>
<td>3. METHODOLOGY</td>
<td>39</td>
</tr>
<tr>
<td>Sample</td>
<td>30</td>
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<td>Measures</td>
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</tr>
<tr>
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<td>Intercorrelation Matrices</td>
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<td>Implications and Recommendations</td>
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</table>
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<th>TABLE</th>
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<tbody>
<tr>
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<tr>
<td>2. Mean Tradeoff Scores for Total Investor Sample and t-tests</td>
<td>52</td>
</tr>
<tr>
<td>3. Summary of Results for Investors Willing to Give up Financial Return</td>
<td>54</td>
</tr>
<tr>
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<td>56</td>
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<td>60</td>
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<td>64</td>
</tr>
<tr>
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<td>66</td>
</tr>
</tbody>
</table>
CHAPTER 1
INTRODUCTION

The apparent inadequacy of the nation’s schools to effectively educate their children has been a national focus for over a decade. During the Reagan presidency, a national task force was established to study the problem. The product of their study was the highly publicized report, *A Nation at Risk: The Imperative for Educational Reform* (National Commission on Excellence in Education, 1983). Both President Bush and President Clinton focused national attention on the sad state of affairs in education of their State of the Union addresses (Walker, 1994).

Of course, regardless of whether a school is considered to be of high quality or of low quality, it is almost always true that the school will produce a very wide range of graduates. Some will invariably be very strong academically and some will invariably be very low academically. Other factors besides the quality of the school affect the quality of the schools’ products. Thoughtful observers of our schools have now begun to question what could be characterized as “a superficial and inaccurate assessment of cause” (Walker, 1994, p. 131). Indeed, many social scientists are finding strong relationships between poorly educated young people...
CHAPTER 2

REVIEW OF LITERATURE

The Overall Trend

The interaction of the family with the educational process has undergone and continues to undergo constant change. Scarborough (2009) pointed out that, although there have been obvious examples that are contrary to the trend, the direction of that change has consistently been away from family influence. Some researchers have pointed to reasons for the trend away from family influence in the education of children and generally consider the trend to be a positive one. Notable for this point of view are Badd (2009), Simms (2008), and Cleaver (2007). Others (Rong, 2010; White, 2009; Wiseacre, 2002; Wright, 2001) have strongly suggested that effects of the trend away from family involvement in the education of children are almost entirely negative.

Historical Background

Brown and Redd, in their 1998 historical study of education in America, suggested that the early European settlers in North America depended almost entirely on the family to provide needed childhood education, which included education for survival and, in some families, the rudiments of reading, writing, and ciphering. More influential families and families with sufficient wealth hired an educated, and nearly always male, individual to tutor their children. Frequently, these families sent their children to England or to some other country, such as France, where they were educated to be business, political, community, or even national leaders. Brown and Redd pointed out further that colleges were developed in the United States, not to
educate the general population, but to educate leaders for the church. Eventually, families who could afford to do so also sent other male young people who were not preparing to become clergy to these same colleges to be educated.

**Measures of Quality in Education**

In their effort to identify measurable indicators of quality in education, Jackson, Perrot, Rybensky, Jones, and Wentzle (2005) studied 358 elementary schools in 17 states. They rated the school’s educational programs based on a combination of subjective input from parents, teachers, and business leaders in the communities where the schools were, then each school and listed descriptive characteristics for each elementary school based on these procedures, the researchers were able to construct a school of effective educational programs and ineffective educational programs. Figure 4 provides the effective schools profile. The ineffective schools profile is provided in Figure 5.

It should be noted that “high level of parental involvement on the effective schools profile and low level of parental involvement appears on the ineffective schools profile. These findings are consistent with those of several other researchers. For example, Able and Bussey (2001b) found that parental involvement was positively related to pupil achievement…"
APPENDIX A-7: SAMPLE REFERENCE LIST

REFERENCES


APPENDIX A-8: SAMPLE TABLE

Table 1

Descriptive Statistics for Males and Females

<table>
<thead>
<tr>
<th>Variable</th>
<th>Males</th>
<th></th>
<th>Females</th>
<th></th>
<th>t</th>
<th>d</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>M</td>
<td>SD</td>
<td>M</td>
<td>SD</td>
<td></td>
<td></td>
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<tr>
<td>Perspective Taking</td>
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<td>16.84</td>
<td>4.09</td>
<td>.57</td>
<td>.002</td>
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<td>Fantasy</td>
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<td>5.91</td>
<td>18.80</td>
<td>5.61</td>
<td>2.36*</td>
<td>.031*</td>
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<td>20.07</td>
<td>4.35</td>
<td>22.25</td>
<td>3.66</td>
<td>3.58***</td>
<td>.068***</td>
</tr>
<tr>
<td>Personal Distress</td>
<td>10.36</td>
<td>5.25</td>
<td>12.38</td>
<td>4.75</td>
<td>2.66**</td>
<td>.038**</td>
</tr>
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<td>32.30</td>
<td>11.04</td>
<td>31.87</td>
<td>12.55</td>
<td>.23</td>
<td>&lt;.001</td>
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<tr>
<td>Self-Concept</td>
<td>69.81</td>
<td>7.69</td>
<td>73.65</td>
<td>8.53</td>
<td>3.03**</td>
<td>.049**</td>
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<tr>
<td>Age</td>
<td>23.24</td>
<td>8.18</td>
<td>19.50</td>
<td>2.17</td>
<td>4.58***</td>
<td>.106***</td>
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<tr>
<td>Education</td>
<td>2.33</td>
<td>1.12</td>
<td>1.76</td>
<td>.89</td>
<td>3.75***</td>
<td>.074***</td>
</tr>
</tbody>
</table>

Note. N = 112 for females; 67 for males; df = 117.
*p < .05. **p < .01. ***p < .001.
Figure 1. Correlation of Gateway scores and corresponding college core course grades.
APPENDIX B

REQUIRED FORMS FOR DOCTORAL STUDENTS

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

The Topic Selection Approval Form (B-1) must be filed with the appropriate graduate office after the student’s dissertation chair has been assigned and while the student is enrolled in EDR 712.

The Dissertation Committee Selection and Approval Form (B-2) must be completed and placed in the student’s file at the time the dissertation committee is selected. A research proposal cannot be submitted until the Dissertation Committee Selection and Approval Form has been completed and filed in the Office of Graduate Studies in Education. The Dissertation Committee: Request for Outside Member Form (B-3) must be submitted to request the Associate Dean or Department Chair’s approval of a dissertation committee member from outside the full-time faculty of Union University.

The Methodology and Statistics Approval Form (B-4) relates to the three-step methodology approval process that is begun during the preparation of the research proposal. The initial portion of the form must be filed prior to the proposal approval meeting. Near completion of the dissertation, the final signature of the statistics professor, or designee, must be obtained in approval of the student’s statistical analysis, and the fully completed form with all signatures must be submitted and filed before the final defense of the dissertation can be scheduled.
The Dissertation Proposal Approval Form (B-5) must be signed by all members of the dissertation committee indicating their approval of the proposed research and by the Ed.D. Program Director. This form must be attached to the research proposal when it is submitted to the graduate office. A student may not proceed with the research until the approved proposal has been filed.

The Comprehensive Examination Results Form (B-6) must be signed by all members of the dissertation committee indicating their evaluation of the student’s performance on the comprehensive examinations and by the Ed.D. Program Director and submitted to the graduate office. A student may not register for dissertation hours until an approved Comprehensive Examination Results Form has been filed. This form should be provided by the student to committee members at the Oral Comprehensive Exam meeting.

The Request to Schedule the Dissertation Defense Form (B-7) must be completed, approved with committee signatures, and submitted to the Assistant to the Dean no later than one week prior to the dissertation defense date. Also required before the candidate will be permitted to defend his/her dissertation is the form for verification of official Submission of an Article or Paper for Publication or Professional Presentation (B-8). The Dean or Associate Dean must approve the submission before a dissertation defense can be scheduled.

The Dissertation final Approval Page (B-9) must be included with the final manuscript of the dissertation to signify that all members of the dissertation committee have read and approved the dissertation in its final form. The Approval Page must bear the signature of the Ed.D. Program Director and the Dean of the College of Education. The dissertation will not be considered complete until this form is signed. Copies of this Approval Page should be provided.
by the student to committee members at the dissertation defense. An original Approval Page, complete with signatures, will be placed in the student’s permanent file.

The Format/Appearance Checklist Form (B-10) must be used to check the dissertation for format and appearance standards, signed by the student and committee chair, and submitted with the final draft of the dissertation to the Office of the Dean for review prior to defense. It is the responsibility of the student to ensure accuracy of format.

In addition to the versions that follow, each of these required forms are available online at https://www.uu.edu/programs/education/graduate/edd/dissertation.cfm
APPENDIX B-1

Topic Selection Approval Form

Student’s Name (print) __________________________________________

Chair’s Name (print) __________________________________________

Topic of Proposal or Area of Research______________________________

________________________________________________________________________

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Student’s Signature ____________________________________________ Date

Chair’s Signature ______________________________________________ Date

Signature of Instructor of EDR 712 ________________________________ Date
Candidate:___________________________________________________

I certify my intent to serve as the chair of the dissertation committee of the doctoral candidate listed above.

Committee Chair: [Type chair’s name here, followed by his/her degree initials]

Signature:______________________________________________ Date:_______

**Proposed Area of Investigation:**
[Type your proposed title here]

**Chair Notes:**

I certify my intent to serve as a member of the dissertation committee of the doctoral candidate named above.

Committee Member: [Type or print name here, degree]

Signature:_________________________________________ Date:__________

Committee Member: [Type or print name here, degree]

Signature:_________________________________________ Date:__________

Instructors of EDR 710, EDR 720, and EDR 725 serve as ad hoc members of each dissertation committee.

Ed.D. Program Director Signature:_________________________ Date:__________
[This form must be returned to the Ed.D. Program Director for signature.]
APPENDIX B-3

Dissertation Committee: Request for Outside Member

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

Student Name: ___________________________ Date of Request: ______________

Students’ Doctoral Specialization Area: ______________________________

Name of Proposed Committee Member: ______________________________

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

________________________________________________________________________

Email Address: _________________________________________________________

Specialization Area of Outside Committee Member: _______________________

Rationale:

DECISION (circle one):   Approved    Not Approved

_________________________________________       ______________________
Program Director’s Signature                  Date

_________________________________________       ______________________
Associate Dean/Dept. Chair’s Signature        Date
APPENDIX B-4

Methodology and Statistics Approval Form

Submit one copy to the graduate program office before scheduling the proposal approval meeting; submit another copy with full signatures before scheduling the dissertation defense. Attach additional pages as necessary.

Student’s Name (print) ____________________________ Chair ________________________

Title of Dissertation Proposal ______________________________________________________

_____________________________________________________

Research Questions or Hypotheses: (attached additional pages as necessary)

➢ The following signatures are required prior to Proposal Approval Meeting:

1. As dissertation chair, I approve the study’s methodology and statistical design.
   ____________________________  ____________________________  ____________________________
   Print name                  Date                   Signature

2. As methodology professor/designee, I approve the study’s methodology.
   ____________________________  ____________________________  ____________________________
   Print name                  Date                   Signature

3. As statistics professor/designee, I approve the study’s statistical design.
   ____________________________  ____________________________  ____________________________
   Print name                  Date                   Signature

➢ The following signatures are required prior to Dissertation Defense:

1. As dissertation chair, I approve the study’s final dissertation methodology.
   ____________________________  ____________________________  ____________________________
   Print name                  Date                   Signature

2. As statistics professor/designee, I approve the study’s final statistical analysis.
   ____________________________  ____________________________  ____________________________
   Print name                  Date                   Signature
APPENDIX B-5

UNION UNIVERSITY
SCHOOL OF EDUCATION

Dissertation Proposal Approval

Candidate: [Type your name here]

Proposal Title: [Type your proposal title here]

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

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

Signature: ___________________________ Date: ____________

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

Signature: ___________________________ Date: ____________

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

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

Signature: ___________________________ Date: ____________

Chair Notes:

Ed.D. Program Director Signature: ___________________________

[This form must be returned to the Ed.D. Program Director for signature.]
APPENDIX B-6

UNION UNIVERSITY
SCHOOL OF EDUCATION

Doctor of Education
Comprehensive Examination Results

Student’s Name: ____________________________ Union ID#: __________

A final comprehensive examination has been conducted for the above student who is a candidate for the Doctor of Education Degree.

Date of Examination: _____/_____/_____

The student _____ has _____ has not passed this examination.

Committee Approval Signatures

Committee Chair: [Type name here] (Circle grade)
Signature: ____________________________ Date
Pass or Fail

Committee Member: [Type name here]
Signature: ____________________________ Date
Pass or Fail

Committee Member: [Type name here]
Signature: ____________________________ Date
Pass or Fail

Comments:

Ed.D. Program Director Signature: ________________________________________

[This form must be returned to the Ed.D. Program Director for signature.]
APPENDIX B-7

Request to Schedule the Dissertation Defense

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

1. Methodology and Statistics Approval Form
2. Verification of Submission of Article for Publication or Presentation
3. Format/Appearance Checklist
4. Electronic copy of abstract. You should forward to the Dean’s office (hfowler@uu.edu) an electronic copy of your abstract for use in the preparation of the announcement of your dissertation defense.

________________________________________________________________________

We, the undersigned, agree that the following candidate’s dissertation is acceptable for the scheduling of a public defense.

Candidate’s Full Name:

Dissertation Title:

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

Signature:______________________ Date:__________________

Committee Member: [Type name here followed by degree and place of employment and title/position held.]

Signature:______________________ Date:__________________

Committee Member: [Type name here followed by degree and place of employment and title/position held]

Signature:______________________ Date:__________________

DISSERTATION DEFENSE TIME AND LOCATION

Day:_______________ Date ____/____/____ Time: _____:_____ 
Location:___________ Room # (or Zoom ID/Address) __________________________

Dean’s Approval:__________________ Date: ____/____/____
Submission of Article/Paper for Publication or Professional Presentation

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

Student’s Name (print or type) ________________________________________________________

Chair’s Name (print or type) _________________________________________________________

Title of Dissertation ________________________________________________________________

________________________________________________________________________________

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

2. Briefly describe the planned manner of presentation, date, and location of the venue: (i.e.,
Town and Gown series/workshop presentation, June 2016, Cal State, etc.)
________________________________________________________________________________

3. Attach validated proof from the institution or entity acknowledging receipt of the
submitted article, paper, or other.

4. Each student’s chair must sign this Submission of Article/Paper verification form, with
items 1-3 above included, before this form is submitted to the graduate office. The
Associate Dean/Department Chair must approve the submission before a dissertation
defense can be scheduled.

Dissertation Chair’s Signature ___________________________ Date ______________
APPENDIX B-9

UNION UNIVERSITY
SCHOOL OF EDUCATION

We hereby recommend that the Dissertation by

[Type your name here, centered]

Entitled

[Type your dissertation title here, centered]

Be accepted in partial fulfillment of the requirements for the Degree of

Doctor of Education
In Educational Leadership

Dissertation Committee:  [Type name, followed by degree initials], Chairperson

[Type name, followed by degree initials]

[Type name, followed by degree initials]

Ed.D. Program Director:  [Type name, followed by degree initials]

Dean of the College:  [Type name, followed by degree initials]
APPENDIX B-10

Format/Appearance Checklist: Union University Dissertations
(Bold indicates required pages; italics indicate optional pages.)

1.________ Order of Preliminary Pages
   o front flyer (blank)
   o approval page
   o title page
   o copyright page
   o dedication page
   o acknowledgments page
   o abstract
   o table of contents
     o list of tables (used only if 5 or more tables)
     o list of figures (used only if 5 or more figures)
   o list of abbreviations or symbols (only if needed)

2._______ Format of Preliminary Pages

   Approval/Signature page. Title begins 2 inches from top; margins: 1.0 inch left, 1.0 inch right, 1.0 inch bottom; not assigned a page number.

   Title page. No italics or underlines; begins 2 inches from top; contains the statement: A dissertation submitted . . . , author, month/year; margins 1.0 inch left, 1.0 inch right, 1.0 inch bottom; page number assigned but not typed.

   Copyright page (optional). Copyright statement begins 4 inches from top; margins: 1.0 inch left, 1.0 inch right and 1.0 inch bottom, numbered in lower case Roman numeral (if used).

   Dedication page (optional). The title word DEDICATION begins 2 inches from top, text begins 4 spaces below; margins: 1.0 inch left, 1.0 inch right, 1.0 inch bottom; numbered in lower case Roman numeral (if used).

   Acknowledgments page. The title word ACKNOWLEDGMENTS begins 2 inches from top, text begins 4 spaces below; margins: 1.0 inch left, 1.0 inch right and 1.0 inch bottom, numbered in lower case Roman numeral (if used).

   Abstract. The title word ABSTRACT begins 2 inches from top, text of abstract begins 4 spaces below at the left margin (one paragraph and block formatted); text is double-spaced, lower case Roman numeral.
Table of Contents. The title TABLE OF CONTENTS begins 2 inches from top, listing begins 4 spaces below; chapters, parts, and sections must be worded exactly the same as in manuscript; capitalize major words of all headings; page numbers flush right below heading “PAGE”; chapters, parts, sections flush left; dot leaders between titles and page numbers; margins: 1.0 inch left, 1.0 right and 1.0 inch bottom; assigned lower case Roman numeral.

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

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

List of Abbreviations/Symbols (when appropriate). The title LIST OF ABBREVIATIONS/SYMBOLS begins 2 inches from top, listing begins 4 spaces below; captions must be worded the same as in manuscript; margins: 1.0 inch left, 1.0 inch right and 1.0 inch bottom; assigned Roman numeral.

3.________ Format of Body of Dissertation

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

Margins. 1.0 inch left, 1.0 inch right and 1.0 inch top/bottom.

Pagination. Numbers (without punctuation) centered at bottom of page 1.0 inch from bottom.

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

References. Follows same chapter/section page format rules (2 inch top margin – in all caps – text 4 spaces below, double-space consistently between entries.) The reference list is preceded by a numbered separation page titled REFERENCES with the designation centered within the left and right margins and located one double space above the vertical center of the page.
Definitions of Terms. Terms will be formatted as Level 3 paragraph headings, bolded and followed by a period. Only one section for Definitions of Terms is required and will be placed in the Introduction Chapter 1 following the purpose statement, usually toward the end of the chapter. Any words, phrases, acronyms, etc. that will be used in the paper, specific to the research, will be operationally defined in this section. Terms will be defined only in the context of their use in the study. Generally understood definitions or explanations of when statistical methods or tests are used, which should be cited in text, are not included in this Definitions of Terms section.

Citations within the text. Citations with 1-2 authors – all authors cited with each citation. Citations with 3-5 authors – all authors cited with first citation, then cite only first author and et al. Citations with 6 or more authors – cite only first author and et al. Note: When more than one source is cited within the same parentheses, each should be listed in the same order in which they appear in the reference list (alphabetical order of author’s last name or in order of dates if by the same author).

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

Student’s Name: (please print) ___________________________ ____________________________

Permanent Email Address________________ Phone __________

APA Editor’s Name _______________________________________

Email Address________________ Phone __________

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

Student’s Signature ___________________________ Date __________

Chair’s Signature ___________________________ Date __________
APPENDIX C

SCHEDULE OF DEADLINES

It is strongly suggested that students and committees plan on submitting earlier than the stated deadlines to allow time for corrections and resubmission for approvals.

<table>
<thead>
<tr>
<th>Deadline Description</th>
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<tbody>
<tr>
<td>Submission of error-free manuscript to Dean's Office for pre-defense review</td>
<td>August 5</td>
</tr>
<tr>
<td></td>
<td>November 5</td>
</tr>
<tr>
<td></td>
<td>February 5</td>
</tr>
<tr>
<td></td>
<td>May 5</td>
</tr>
<tr>
<td>Successful defense of Dissertation</td>
<td>September 30</td>
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<td>December 30</td>
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<tr>
<td></td>
<td>March 30</td>
</tr>
<tr>
<td></td>
<td>June 30</td>
</tr>
<tr>
<td>Submission of error-free manuscript to Dean's Office for post-defense review</td>
<td>Within one week after defense date</td>
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<td></td>
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</tr>
<tr>
<td></td>
<td>Within one week after defense date</td>
</tr>
<tr>
<td></td>
<td>Within one week after defense date</td>
</tr>
<tr>
<td>Submission of final pdf, publishing agreement, and fees to ProQuest</td>
<td>October 25</td>
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<td></td>
<td>May</td>
</tr>
<tr>
<td></td>
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</tr>
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</table>
APPENDIX D

OVERVIEW OF THE DISSERTATION PROPOSAL PRESENTATION

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

Your presentation should be structured according to the outline below.

5 – 7 min. **INTRODUCTION**

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

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

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

5 – 7 min. **RESEARCH METHODS**

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

OVERVIEW OF THE DISSERTATION DEFENSE

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

Your overview should be structured according to the outline below.

1 – 2 min. INTRODUCTION

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

3 – 5 min. PROFESSIONAL LITERATURE CONTEXT

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

3 – 5 min. RESEARCH METHODS

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

5 – 10 min. FINDINGS

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

3 – 5 min. DISCUSSION

How do your results agree or disagree with the literature?
What are the implications of your results for you and your profession?
What recommendations would you make based on your research?
What future research would you recommend?
APPENDIX F
SUMMARY OF DISSERTATION SUBMISSION PROCESS

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

1. The candidate shall deliver copies of the completed dissertation manuscript to the chair and to all committee members. As a general rule, students should allow two weeks for feedback at any time when submitting to committee members.

2. When the chair, in collaboration with committee members, approves the dissertation for defense, a hard printed copy must be submitted to the Assistant to the Dean for pre-defense approval with accompanying required forms, including the Format/Appearance Checklist (Appendix B10). The candidate must have met with the chair to certify and sign the Checklist. The candidate may not schedule the dissertation defense until approval is received from the dean’s office. The Assistant to the Dean will return the manuscript to the candidate, notifying the candidate and chair that the candidate is approved to defend the research.

3. The candidate is responsible for scheduling the defense with the chair and the dissertation committee members. At least one week in advance of the defense date, the candidate must formally make a request to the dean that the defense date be scheduled by using the Request to Schedule the Defense form (B-7).

4. The successful dissertation defense is held by the published deadline.

5. The candidate will make corrections that were requested from the dissertation committee members within one week from the time of the dissertation defense. The chair may require less time dependent upon the nature of the corrections.

6. The candidate should meet with the chair after final corrections are made in order to verify corrections. The chair is responsible for ensuring that the requested committee corrections have been made.

7. The candidate submits the corrected, error-free manuscript to the Assistant to the Dean for final review. If necessary, the candidate will make requested corrections within one week and return the manuscript to the Assistant to the Dean for final approval. The manuscript will be returned to the candidate.

8. After approval by the Dean, using the ProQuest ETD Administrator process, the candidate submits the ProQuest publishing agreement, a pdf of the final manuscript, and binding or other fees as appropriate for the chosen publishing option.
APPENDIX G

STEPS FOR COMPLETION
OF THE DOCTORAL PROGRAM

1. Meet requirements for admission to doctoral program and register for coursework

2. Select dissertation topic (Appendix B-1)

3. Form Dissertation Committee (Appendix B-2 and B-3)
   a. Receive assignment of Dissertation Chair
   b. Formalize creation of full committee

4. Write Research Proposal (Dissertation Chapters 1-3)

5. Successfully complete coursework with minimum GPA of 3.2

6. Sit for written Comprehensive Exams

7. Meet with SOE Research Review Panel

8. Obtain approval of proposed methodology/statistical analysis (Appendix B-4)

9. Hold Proposal Approval Meeting with Committee
   a. Research Proposal Approved (Appendix B-5)
   b. Written/Oral Comps Approved (Appendix B-6)

10. Submit approved Proposal to graduate office

11. Submit forms to IRB for approval to conduct the research

12. Register for dissertation hours and conduct the research

13. Write Chapters 4-5 and update Chapters 1-3 where necessary

14. Submit Dissertation to Chair and to research/statistics Instructor (Appendix B-4)

15. Submit Dissertation to Dissertation Committee for final feedback

16. Submit article/paper for publication or professional presentation (Appendix B-8)

17. Hire approved editor to review manuscript for APA compliance, formatting, grammar, and mechanical errors
18. Submit error-free Dissertation to Dean’s Office for pre-defense review (with Appendix B-10)

19. Hold Dissertation Defense (Appendix B-9)

20. Submit Dissertation to Dean’s Office for post-defense review

21. Submit Dissertation to ProQuest Publishing

22. Attend Graduation