DISSEYATION
HANDBOOK

Doctor of Education in Educational Leadership

- P-12 School Leadership
- Higher Education Leadership

School of Education
Union University
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Online version available at www.uu.edu/programs/education/graduate/edd/dissertation
# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>CHAPTER</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. INTRODUCTION</td>
<td>1</td>
</tr>
<tr>
<td>Purpose</td>
<td>1</td>
</tr>
<tr>
<td>Ethics of Dissertation Research</td>
<td>2</td>
</tr>
<tr>
<td>Other Documents</td>
<td>4</td>
</tr>
<tr>
<td>2. DISSERTATION PROCESS</td>
<td>6</td>
</tr>
<tr>
<td>The Research Process</td>
<td>6</td>
</tr>
<tr>
<td>The Proposal</td>
<td>7</td>
</tr>
<tr>
<td>The Dissertation</td>
<td>7</td>
</tr>
<tr>
<td>Submission of Paper for Publication or Presentation</td>
<td>7</td>
</tr>
<tr>
<td>The Approval Process</td>
<td>8</td>
</tr>
<tr>
<td>Selection and Approval of the Dissertation Topic</td>
<td>8</td>
</tr>
<tr>
<td>Selection and Approval of the Dissertation Committee</td>
<td>8</td>
</tr>
<tr>
<td>Proposal Development</td>
<td>11</td>
</tr>
<tr>
<td>Structure of the Literature Review</td>
<td>11</td>
</tr>
<tr>
<td>Primary vs. Secondary Sources</td>
<td>12</td>
</tr>
<tr>
<td>Overuse or Misuse of Direct Quotes</td>
<td>12</td>
</tr>
<tr>
<td>List of Components</td>
<td>13</td>
</tr>
<tr>
<td>Approval of the Research Proposal</td>
<td>14</td>
</tr>
<tr>
<td>Methodology Approval</td>
<td>14</td>
</tr>
<tr>
<td>The Proposal Approval Meeting</td>
<td>16</td>
</tr>
<tr>
<td>Next Steps</td>
<td>16</td>
</tr>
<tr>
<td>Comprehensive Examination</td>
<td>17</td>
</tr>
<tr>
<td>Written Comprehensive Examination</td>
<td>17</td>
</tr>
<tr>
<td>Oral Comprehensive Examination</td>
<td>18</td>
</tr>
<tr>
<td>Admission to Doctoral Degree Candidacy</td>
<td>19</td>
</tr>
<tr>
<td>Review of the School of Education Research Review Committee and Approval of the Institutional Review Board</td>
<td>20</td>
</tr>
<tr>
<td>Completion of the Research</td>
<td>21</td>
</tr>
</tbody>
</table>
Completion of the Dissertation .......................................................... 22
Use of Outside Consultants .............................................................. 23
Time Limitations ............................................................................ 23
Grading of EDR 790 Dissertation ...................................................... 23
Approval of the Final Dissertation .................................................... 24
Final Disposition of the Dissertation ................................................ 27
Submission to ProQuest/UMI Dissertation Publishing .......................... 28
Graduation ...................................................................................... 29

3. ELEMENTS AND STYLE ..................................................................... 30

Preliminary Pages ............................................................................. 30
Approval Page .................................................................................. 30
Statement of Permission to Use .......................................................... 30
Title Page ........................................................................................ 32
Copyright Page ................................................................................. 32
Dedication Page ............................................................................... 32
Acknowledgments ........................................................................... 32
Abstract ........................................................................................... 32
Table of Contents ............................................................................. 33
List of Tables/List of Figures .............................................................. 33
List of Symbols/List of Abbreviations/Nomenclature ............................ 34

Text ...................................................................................................... 34
Divisions ......................................................................................... 34
References within Text .................................................................... 36

Tables and Figures ............................................................................ 36
Titles .............................................................................................. 36
Numbering ....................................................................................... 37
Placement within the Body of the Manuscript ...................................... 37
Large Tables and Figures .................................................................. 37
Format ............................................................................................. 38
Font .................................................................................................. 38

References ....................................................................................... 38

Appendices ....................................................................................... 39

Contents of Completed Dissertations ................................................. 39

4. PHYSICAL SPECIFICATIONS .......................................................... 43

Paper and Copies .............................................................................. 43
Font Size and Type .................................................................43
Alignment ........................................................................43
Corrections .......................................................................44
Spacing and Margins.............................................................44
Numbering of Pages/Running Head ........................................44
Print Quality .....................................................................45
Summary of Formatting of Preliminary Pages .........................45
Summary of Formatting of Body of Dissertation ......................46

APPENDICES ........................................................................48

APPENDIX A: SAMPLE PAGES ..................................................49
A-1: Sample Title Page............................................................50
A-2: Statement of Permission to Use Page ...............................51
A-3: Sample Abstract...............................................................52
A-4: Sample Table of Contents...............................................54
A-5: Sample List of Tables.......................................................55
A-6: Sample Text Page.............................................................56
A-7: Sample Review of Literature Page .................................57
A-8: Sample Reference List.....................................................59
A-9: Sample Table .................................................................61
A-10: Sample Figure ...............................................................62

APPENDIX B: REQUIRED FORMS FOR DOCTORAL STUDENTS ....63
B-1: Topic Selection and Approval Form..................................66
B-2: Dissertation Committee Selection and Approval Form ........67
B-3: Dissertation Committee Request for Outside Member Form ...68
B-4: Methodology and Statistics Approval Form .......................69
B-5: Dissertation Proposal Approval Form ...............................70
B-6: Comprehensive Examination Results Form ......................71
B-7: Request to Schedule the Dissertation Defense Form ..........72
B-8: Submission of Article/Manuscript for Publication or Professional Presentation Form .........................................................73
B-9: Dissertation Approval Page .............................................74
B-10: Format/Appearance Checklist .........................................75

APPENDIX C: SCHEDULE OF DEADLINES.................................78
APPENDIX D: OVERVIEW OF THE PROPOSAL PRESENTATION ...........79
APPENDIX E: OVERVIEW OF THE DISSERTATION DEFENSE .................80
APPENDIX F: SUMMARY OF DISSERTATION SUBMISSION PROCESS ..81
APPENDIX G: FINAL DOCUMENTS FOR BINDING AND FEES ...............82
APPENDIX H: APPROVAL PAGE FOR SCHOOL OF EDUCATION
RESEARCH REVIEW COMMITTEE ..................................................83
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 are 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.

*Webster’s New World College Dictionary* (2007) defines plagiarism as "... to take (ideas, writing, etc.) from (another) and pass them off as one’s own" (p. 1100). Any material taken from another source must be 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. According to *The Chicago Manual of Style* (1993), "A few lines from a sonnet, for instance, form a greater proportion of the work than do a few lines from a novel. Use of anything in its entirety is hardly ever acceptable"
(p.146). In no case should a standardized test or similar material be copied and included in a dissertation without written permission. According to Circular 21 (Reproduction of Copyrighted Works by Educators and Librarians, 1988),

The following shall be prohibited: . . . There shall be no copying of or from works intended to be 'consumable' in the course of study or of teaching. These include workbooks, exercises, standardized tests and test booklets and answer sheets and like consumable material. (p.11)

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 (http://www.uu.edu/programs/irb). These same forms are required by the School of Education Research Review Committee (SOERRC).
The student completes and submits an application to the Institutional Review Board at irb@uu.edu who then determines what level of review is needed (exempt, expeditied, 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 educators of character and competence who reflect Christ as they serve and lead in their schools and communities. 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 www.uu.edu/programs/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 in P-12 School Administration and Higher Education can be seen as a continuum of three years (or tiers) that includes three scholarly works: Tier 1 includes the Qualifying Paper (for P-12 School Administration program) or an extensive literature review (for Higher Education program); Tier 2 includes the Dissertation Proposal; and Tier 3 includes the Dissertation. Students in the P-12 School Administration doctoral program in EDR 707, Leadership Research Seminar, complete the Qualifying Paper, which is presented in the Qualifying Paper Symposium each June. The Qualifying Paper, as well as the Higher Education program’s 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 (EDR 712 in P-12 School Administration or EDR 751 in Higher Education) in collaboration with the dissertation chair and research committee. The Proposal comprises the first three chapters of the dissertation. The second chapter of the Proposal, the Review of Literature, contains a minimum of 40 references, half or more of which are primary sources and dated within the last five years, and a minimum of 40 pages.

The dissertation. The Dissertation is completed 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 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 at Union University. Upon accomplishing this requirement, each student must submit proof of the submission of the paper/manuscript and the chair’s approval signature to the dean’s office.
(see form, Appendix B-8). Validated verification of official submission must be on file in the Dean’s Office 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 manuscript or paper submission will begin in EDR 707 in the P-12 School Administration program or in EDR 750 in the Higher Education program.

**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 (EDR 707, 712, or 750, 751). During the student’s second year, while in EDR 712 (P-12 School Administration students) or EDR 751 (Higher Education students), an approved “Topic Selection Approval Form” (Appendix B-1) must be submitted and filed in the graduate program office. The form should be filed during the first semester of EDR 712 for P-12 School Administration students. For Higher Education students, the form should be filed at the conclusion of EDR 750.

**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. The remainder of the committee is composed of two other members: (a) one full-time graduate faculty member from Union University; (b) an outside committee member, preferably, who is not a full-time 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 Dean’s office (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 (during EDR 707 for P-12 School Administration students; during EDR 750 for Higher Education students). 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 (EDR 707, 712, 750, or 751). After topics have been finalized and approved, dissertation chairs will be assigned.

During the student’s second year, while enrolled in EDR 712 (P-12 School Administration) or EDR 751 (Higher Education), an approved “Topic Selection Approval Form” (Appendix B-1) must be submitted and filed in the graduate program office. The form should be filed during the first semester of EDR 712 for P-12 School Administration students. For Higher Education students, the form should be filed at the conclusion of EDR 750. 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” 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 EDR 707 sequence or EDR 750 and the EDR 712 sequence or
EDR 751 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 final 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 giving 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 EDR 712 or EDR 751, Dissertation Seminar; EDR 720, Research Methods and Design; and EDR 725, 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, 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, review of pertinent literature, definitions, and research questions/hypotheses.
- 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 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 Research Proposal Approval Form indicating committee approval, attached to a clean copy of the research proposal, must be submitted to the Office of Graduate Studies in Education 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.

**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 director’s office prior to scheduling the proposal approval meeting.

Lastly, as the third step, near completion of the dissertation, the statistics professor’s approval signature, or signature of the chair’s designee, must be obtained again before the student is allowed to defend his/her final dissertation (Appendix B-4). 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 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, and a fully completed copy with all signatures must be attached
to the dissertation manuscript submitted to the dean’s office prior to defense of the final dissertation.

*The proposal approval meeting.* When the chair believes that the proposal is ready for defense, the student shall obtain approval from each committee member to convene the committee for the proposal approval meeting. See Appendix D for an overview of the proposal approval meeting. The student shall schedule the time and place of the proposal defense with the committee chair. 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 Office of Graduate Studies in Education on the respective campus. An approved proposal must be on file before registering for dissertation hours.

*Next steps.* All IRB forms, required information, and related materials (e.g., copies of instruments, permission forms, informed consent letters, etc.) should be completed by the candidate. Next, the IRB forms, required information, and related materials should be submitted to the candidate’s chair for approval and then forwarded by the candidate’s chair to the chair of the School of Education Research Review Committee for review. Upon implementing suggestions from the SOERRC, the candidate’s chair should forward the IRB proposal to the Union University IRB committee for approval.
along with the signature sheet (i.e. SOERRC chair’s and candidate’s chair’s signatures) of approval. Permission from other agencies should be obtained immediately after IRB approval.

**Comprehensive examination.** Upon completion of all coursework (with at least 3.2 GPA), students may receive a 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, one day reserved per question. Students are given four hours to respond to each question. All responses are generated via computer on campus at Union University; however, students are given the opportunity to write notes or responses by hand during the examination time as a response aid.

Students are supplied the course name and topic of each question no later than two weeks prior to the written exam. Questions are chosen from the three components of the program: Leadership Issues, Leadership Practice, and Leadership Research. If a course chosen for comprehensive examination has been transferred from another institution, an alternate course will 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 Decision 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 course work with a minimum grade point average of 3.2; (b) submission of a dissertation proposal that has been approved by the student’s dissertation committee; and (c) successful completion of the written 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 should petition the dean for permission to register for EDU 751 Proposal Development, a doctoral level course that offers the student, within one term, the opportunity to complete the dissertation proposal. Following proposal approval and achievement of candidacy, the student may register for dissertation hours in the next dissertation term.
Review of the School of Education Research Review Committee (SOERRC)

and approval of the Institutional Review Board (IRB). All School of Education students and faculty who propose to conduct research must have the IRB protocol reviewed by the School of Education Research Review Committee (SOERRC) before seeking approval from the IRB or conducting research. The same forms used for the IRB are used for the SOERRC. All forms and documentation required for the SOERRC and the IRB, along with more detailed explanation, may be found on the IRB web site at www.uu.edu/programs/irb.

All IRB forms, required information, and related materials (e.g., copies of instruments, permission forms, informed consent letters, etc.) are completed by the candidate and submitted to the candidate’s chair for approval. Upon approval of the chair, the forms are forwarded to the chair of the SOERRC by the candidate’s chair for review. After the suggestions from the SOERRC are implemented, the IRB protocol may be submitted by the candidate’s chair to the IRB for consideration. After IRB action, the protocol is returned to the student with copies to the dissertation chair and the chair of the SOERRC.

All students and university faculty and staff who propose to conduct research involving human subjects must have prior approval from the IRB. 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.

All forms and documentation required for the IRB, along with more detailed
explanation, may be found on the IRB web site at www.uu.edu/programs/irb.

**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 September
through November, January through March, and April through July.

The student should complete the research as it is described in the research
proposal, working closely with the chairperson of the dissertation committee in all stages
of the research. 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 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. 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 Office of Graduate Studies in Education. 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, make 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 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 (P-12 School Administration program) or by online contact (Higher Education) at least one time per term of registration in order to be considered for the Progress in Research (PR) grade indicating adequate progress. 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. When the chair, in collaboration with committee members, approves the final draft of the dissertation for defense, a copy of the dissertation and dissertation checklist must be submitted to the Assistant to the Dean of the College of Education and Human Studies.

The statistics professor’s approval signature, or signature of the chair’s designee, must be obtained before the student is allowed to defend his/her final dissertation (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 three-step Methodology and Statistics Approval Form with required signatures. A fully completed copy with all signatures must be attached to the dissertation manuscript submitted to the dean’s 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 have the dissertation typed according to the requirements of this Dissertation Handbook and the *Publication Manual of the American Psychological Association* and to proofread the dissertation. 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 when permission has been granted from the Dean’s Office. At least two weeks before the defense, 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 oral dissertation defense shall be chaired 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.

The dissertation must be approved by all members of the dissertation committee. All dissertation committee members sign the Approval Form (see Appendix B-9) following a successful dissertation defense and when revisions meet their approval. Only original signatures are accepted on the bound manuscript; therefore, the candidate must gather signatures on as many copies of the approval form (printed on at least 25% cotton paper) as necessary for the number of manuscripts to be bound. The appropriate final Approval Form must be forwarded to the Program Director for signature and attached to the approved manuscript.

After the chair decides that the dissertation needs no further corrections and all revisions have been approved, the chair will return the manuscript to the candidate.
Within one week from the time the approved manuscript is received from the chair, the candidate shall then deliver to the Assistant to the Dean the following:

1. An unbound copy of the approved dissertation;
2. The signed dissertation Approval Form/Page (Appendix B-9)
3. Format/Appearance Checklist with chair’s signature (Appendix B-10).

Any errors found by the Assistant to the Dean or the Dean shall be noted, and the dissertation shall be returned to the candidate. Corrections should be made within one week and resubmitted to the Assistant to the Dean, who then reviews the corrections. When the dissertation needs no further corrections, the Assistant to the Dean gives the dissertation to the Dean of the College of Education and Human Studies for final approval. The dissertation manuscript is then returned to the candidate to prepare for binding.

**Final disposition of the dissertation.** After final approval by the Dean and prior to the end of the final grading period for EDR 790-Dissertation, the student shall deliver to the Office of Graduate Studies in Education the following:

**REQUIRED:**

1. One unbound copy of the complete error-free dissertation on white 25% cotton paper, including original Approval Page with original signatures (not a photocopy).
2. Two copies of the complete error-free dissertation on separate CDs burned in .pdf format. The original signature pages shall be scanned onto the disks. The CDs shall be submitted in hard cases, and the CDs as well as the hard cases
shall possess a label displaying the student’s name, dissertation title, and name
of the dissertation chair.

3. Binding fees as published (Appendix G)

4. Completed UMI Doctoral Dissertation Agreement Form with the following
   attachments:
   a. Title page from the dissertation
   b. Abstract with required UMI-formatted heading (see below)

   A special heading must be used for this abstract. Use the text of
   the abstract written for the dissertation, double-spaced on a plain
   page (not numbered) with the following single-spaced heading
   placed at the left margin, not centered:

   Abstract (the word “Abstract”)
   DISSEYATION TITLE (in capital letters)
   Author’s Name (as it appears on dissertation)
   Degree: Doctor of Education; Month and Year of Graduation
   (e.g. December 2011)
   Union University, School of Education
   Chair: (formal name of dissertation chair, followed by degree
   initials)

   OPTIONAL:

   1. An unbound copy of the complete dissertation for each personal bound copy
      desired, submitted on white 25% cotton paper, including an original Approval
      Page with original signatures, and

   2. Binding fees for personal copies

   **Submission to ProQuest/UMI Dissertation Publishing.** The Union University
   School of Education requires all doctoral students to submit their dissertations to
University Microfilms International (ProQuest/UMI) for reproduction and distribution through *Dissertation Abstracts International*. The reason for this is that the School believes, and its mission reflects, that knowledge should be shared. Granting ProQuest the right to reproduce and distribute the dissertation does not change the author’s rights as copyright holder. The Office of Graduate Studies in Education will supply ProQuest information to candidates at the time of the successful defense of the dissertation.

**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 graduation day when the Program Directors hood the candidate. Only regalia (cap, gown, and hood) purchased from the approved supplier, currently Jostens, 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 signed 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.

Statement of Permission to Use. The Statement of Permission to Use page allows the library to provide academic copies of a dissertation without securing further permission from the author. Each copy of the manuscript must have a Statement of Permission to Use page. This statement is in addition to optional copyrighting of the dissertation. It follows the Approval Page and is not assigned a page number.
## Arrangement of dissertation components

<table>
<thead>
<tr>
<th><strong>Dissertation Components</strong></th>
<th><strong>Page Assignment</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval Page</td>
<td>No page number assigned</td>
</tr>
<tr>
<td>Statement of Permission to Use Page</td>
<td>Small Roman numeral (Assigned, not typed)</td>
</tr>
<tr>
<td>Title page</td>
<td>Small Roman numeral (Typed)</td>
</tr>
<tr>
<td>*Copyright page</td>
<td></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.*
**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.** Students may choose to register their copyright for an additional fee. This page is included only if the manuscript is being formally copyrighted with the U.S. Government Copyright Form TX. Copyrighting is the responsibility of the student.

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

**Acknowledgments.** This page is to thank those who have helped in the process of obtaining the graduate degree. 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.
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…

*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.
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. Chapter titles are considered Level 1 headings that are printed in boldface all uppercase letters (call caps). 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 will not normally 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 (with all signatures)
- Statement of Permission to Use Page (with student signature)
- Title Page
- Copyright Page (optional)
- DEDICATION (optional)
ACKNOWLEDGMENTS (optional)

ABSTRACT

TABLE OF CONTENTS

LIST OF TABLES (where appropriate)

LIST OF FIGURES (where appropriate)

Body of Text

CHAPTER 1 INTRODUCTION

Statement of the Problem

Purpose of the Study

Research Questions/Hypotheses (may be included here)

Definitions of Terms (may be included here)

CHAPTER 2 REVIEW OF LITERATURE

Synthesis Statement

Review of Pertinent Literature

Definitions (may be included or repeated)

Research Questions/Hypotheses (may be included or repeated)

CHAPTER 3 METHODS

Introductory Statement of Purpose

Description of the Study/Design/Participants

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)

Recommendations (to the pertinent population in the study)

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

Recommendations for Future Research

Discussion
Closing summary

REFERENCES

APPENDICES
CHAPTER 4
PHYSICAL SPECIFICATIONS

Paper and Copies

To assure uniformity among the finished dissertations, the Office of Graduate Studies in Education will arrange for binding of dissertations. The original manuscript submitted should be printed, without errors, on unlined, white 8.5 x 11-inch paper that has at least 25% cotton content. Final manuscripts must include original approval page. In addition, two electronic copies should be submitted on CDs burned in .pdf format. The CDs should be submitted in hard cases with a label displaying the student’s name, dissertation title, and the name of the dissertation chair. The cases as well as the CDs should be labeled. Hard copies, CDs, and the completed ProQuest/UMI materials are submitted to the Ed.D. Program Director in the Office of Graduate Studies in Education on the respective campus.

Font Size and Type

The body of the text shall be set in a 12-point standard font that is easy to read. Times Roman or Arial fonts are acceptable fonts.

Alignment

The text should 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 should be made prior to the printing of the final manuscript. No corrections should be detectable on the final manuscript of the dissertation. At the time the final manuscript is submitted, the student must submit the Format/Appearance Checklist signed by the student and research chair ensuring that the document is error free.

Spacing and Margins

Text should be double spaced. Single spacing is acceptable for table titles, figure captions, and footnotes. Use two double spaces before and after all tables and figures within text.

Margins should be one inch at the top, right, and bottom. To provide room for binding, the left margin should be one and one-half inches. On opening pages of chapters, the chapter heading should begin two inches from the top of the page. Page numbers are considered part of the text and shall be placed at the one-inch margin in the top right corner of the page. Suggestion: Set the document top margin at 1½ inches; this will ensure that the page number is automatically placed at the one inch margin, leaving a full one inch of white space at the top of the page.

Numbering of Pages/Running Head

All pages, with the exception of the Approval Page and the Statement of Permission to Use Page, are numbered. The Title Page is assigned a number, 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. Numbers are considered to be part of the text and should be placed one inch from the edge of the page in the top right corner. Suggestion: Set the document top margin at 1½ inches; this will ensure that the page number is automatically placed at the one inch margin, leaving a full one inch of white space at the top 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; signatures in black ink; margins: 1.5 inches left, 1.0 inch right, 1.0 inch bottom; not assigned a page number.

Statement of Permission to Use page. Title in all caps begins 2 inches from top; margins: 1.5 inches left, 1.0 inch right and 1.0 inch bottom; signature in black ink; 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 1.5 inches left, 1.0 inch right, 1.0 inch bottom; page number assigned but not typed.

Copyright page. Copyright statement begins 4 inches from top; margins: 1.5 inches left, 1.0 inch right and 1.0 inch bottom, numbered in small Roman numeral (if used).

Dedication page. “DEDICATION” begins 2 inches from top, text begins 4 spaces below; margins: 1.5 inches left, 1.0 inch right, 1.0 inch bottom; numbered in small Roman numeral (if used).
Acknowledgments page. “ACKNOWLEDGMENTS” begins 2 inches from top, text begins 4 spaces below; margins: 1.5 inches left, 1.0 inch right and 1.0 inch bottom, numbered in small Roman numeral (if used).

Abstract. The word “ABSTRACT” begins 2 inches from top, text of abstract begins 4 spaces below, text is double-spaced, small 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 the same as in manuscript; page numbers flush right below heading “PAGE”; chapters, parts, sections flush left; dot leaders between titles and page numbers; margins: 1.5 inches left, 1.0 right and 1.0 inch bottom; assigned small 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;” captions flush left; dot leaders between captions and page numbers; margins: 1.5 inches left, 1.0 inch right and inch bottom; assigned small 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: 1.5 inches left, 1.0 inch right and 1.0 inch bottom; assigned Roman numeral.

List of Abbreviations/Symbols. 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; page numbers flush right below heading “PAGE;” captions flush left; dot leaders between titles and page numbers; margins: 1.5 inches left, 1.0 inch right and 1.0 inch bottom; assigned 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 (centered 2 inches from top, title of chapter in all caps, text beginning 4 spaces below).

Margins. 1.5 inches left, 1.0 inch right and 1.0 inch top/bottom.

Pagination. Numbers (without punctuation) placed in upper right-hand corner 1.0 inch from top edge and flush right.

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 margin – in all caps – text 4 spaces below, standard margins.) 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.

Citations within the text. Citations with 1-2 authors – all authors cited with each citation (APA 6th ed., p. 175). 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. When you include more than one work within the same parentheses, they 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 designation 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
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: STATEMENT OF PERMISSION TO USE PAGE

STATEMENT OF PERMISSION TO USE

In presenting this dissertation in partial fulfillment of the requirements for the Doctor of Education Degree at Union University, I agree that the Library shall make it available to borrowers under rules of the Library. Brief quotations from this dissertation are allowable without special permission, provided that accurate acknowledgment of the source is made.

Permission for extensive quotation from or reproduction of this dissertation may be granted by my research chair or, in [his/her] absence, by the Head of Interlibrary Services when, in the opinion of either, the proposed use of the material is for scholarly purposes. Any copying or use of the material in this dissertation for financial gain shall not be allowed without my written permission.

Signature ________________________________

Date ____________________
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, it was 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-4: 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>1</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>
</tr>
<tr>
<td>Measures</td>
<td>30</td>
</tr>
<tr>
<td>Empathy</td>
<td>34</td>
</tr>
<tr>
<td>Developmental Maturity</td>
<td>41</td>
</tr>
<tr>
<td>Self-Concept</td>
<td>41</td>
</tr>
<tr>
<td>4. RESULTS</td>
<td>43</td>
</tr>
<tr>
<td>Descriptive Statistics</td>
<td>43</td>
</tr>
<tr>
<td>Intercorrelation Matrices</td>
<td>45</td>
</tr>
<tr>
<td>Regression Analysis</td>
<td>50</td>
</tr>
<tr>
<td>5. CONCLUSIONS AND DISCUSSION</td>
<td>51</td>
</tr>
<tr>
<td>Research Question 1</td>
<td>51</td>
</tr>
<tr>
<td>Research Question 2</td>
<td>52</td>
</tr>
<tr>
<td>Research Question 3</td>
<td>53</td>
</tr>
<tr>
<td>Limitations</td>
<td>54</td>
</tr>
<tr>
<td>Implications and Recommendations</td>
<td>55</td>
</tr>
<tr>
<td>REFERENCES</td>
<td>58</td>
</tr>
</tbody>
</table>
APPENDIX A-5: SAMPLE LIST OF TABLES

LIST OF TABLES

<table>
<thead>
<tr>
<th>TABLE</th>
<th>PAGE</th>
</tr>
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<tbody>
<tr>
<td>1. Summary of Selected Informal Investment Research</td>
<td>6</td>
</tr>
<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>
<td>5. Factor Analysis of Reasons for Investing: Three Factor Solution, Varimax Rotation</td>
<td>56</td>
</tr>
<tr>
<td>6. Cluster Analysis: Results for Three Cluster Solution, Mean Scores of Reasons for Investing</td>
<td>58</td>
</tr>
<tr>
<td>7. Results of Analysis Testing Risk and Return Variables</td>
<td>60</td>
</tr>
<tr>
<td>8. Results of Analysis of Variance on Investment-related Variables</td>
<td>51</td>
</tr>
<tr>
<td>9. Results of Chi-square Test on Investment-related Variables</td>
<td>62</td>
</tr>
<tr>
<td>10. Results of Analysis of Variance on Company-related Variables</td>
<td>62</td>
</tr>
<tr>
<td>11. Results of Chi-square Test on Company-related Variables</td>
<td>64</td>
</tr>
<tr>
<td>12. Results of Chi-square Test on Process-related Variables</td>
<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 in 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...
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, 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 located and listed descriptive characteristics for each school. These procedures, the researchers were able to contrast 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 academic pressure 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…

Margins are 1.5 inches on the left and 1.0 inch on the top, bottom, and right.
APPENDIX A-8: SAMPLE REFERENCE LIST

REFERENCES


## APPENDIX A-9: SAMPLE TABLE

Table 1

*Descriptive Statistics for Males and Females*

<table>
<thead>
<tr>
<th>Variable</th>
<th>Males</th>
<th>Females</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>
</tr>
<tr>
<td>Perspective Taking</td>
<td>16.46</td>
<td>4.50</td>
<td>16.84</td>
<td>4.09</td>
</tr>
<tr>
<td>Fantasy</td>
<td>16.72</td>
<td>5.91</td>
<td>18.80</td>
<td>5.61</td>
</tr>
<tr>
<td>Empathic Concern</td>
<td>20.07</td>
<td>4.35</td>
<td>22.25</td>
<td>3.66</td>
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<tr>
<td>Personal Distress</td>
<td>10.36</td>
<td>5.25</td>
<td>12.38</td>
<td>4.75</td>
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<tr>
<td>Developmental Maturity</td>
<td>32.30</td>
<td>11.04</td>
<td>31.87</td>
<td>12.55</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>
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<tr>
<td>Age</td>
<td>23.24</td>
<td>8.18</td>
<td>19.50</td>
<td>2.17</td>
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<tr>
<td>Education</td>
<td>2.33</td>
<td>1.12</td>
<td>1.76</td>
<td>.89</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 http://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 (for P-12 School Administration students) or EDR 750 (for Higher Education students).

The Dissertation Committee Selection and Approval Form (B-2) must be completed and placed in the student’s file at the time that 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 Dean’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 Office of Graduate Studies in Education. 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 Office of Graduate Studies in Education. 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 validating verification of official **Submission of an Article or Manuscript for Publication or Professional Presentation** (B-8). The 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 form must also bear the signature of the Ed.D. Program Director. The dissertation will not be considered complete until this form is signed and included. Copies of this Approval Page printed on at least 25% cotton paper should be provided by the student to committee members at the dissertation defense. An original Approval Page, complete with signatures, must be included in each bound copy of the dissertation manuscript.

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 copy of the approved dissertation to the Office of Graduate Studies in Education. 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 http://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 or EDR 750 __________________________________________ Date
APPENDIX B-2

Union University
School of Education

Dissertation Committee Selection and Approval

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 Dean’s office. 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:

Specialization Area of Outside Committee Member:

Rationale:

DECISION (circle one):

Approved  Not Approved

_____________________________________________    _________________  
Program Director’s Signature  Date

_____________________________________________    _________________  
Executive Dean’s Signature  Date

College of Education and Human Studies
APPENDIX B-4
Methodology and Statistics Approval Form

This form may be obtained from the Ed.D. Program Coordinator or online. Submit one copy to the 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/Hypotheses: (attached additional pages as necessary)
_______________________________________________________________________

1. As dissertation chair, I approve the student’s proposal methodology and statistical design. (Required prior to proposal approval meeting)

__________________ ____________________________________________________
Print name                                             Date                          Signature

2. As methodology professor/designee, I approve the student’s proposed methodology. (Required prior to proposal approval meeting)

__________________ ___________________________ ___________________________
Print name                                             Date                          Signature

3. As statistics professor/designee, I approve the student’s proposed statistical design. (Required prior to proposal approval meeting)

__________________ ____________________________________________________
Print name                                             Date                          Signature

1. As dissertation chair, I approve the student’s final dissertation methodology. (Required prior to dissertation defense)

__________________ ____________________________________________________
Print name                                             Date                          Signature

2. As statistics professor/designee, I approve the student’s final statistical analysis. (Required prior to dissertation defense)

__________________ ____________________________________________________
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.]
UNION UNIVERSITY
SCHOOL OF EDUCATION

Doctor of Education
Comprehensive Examination Results

Student’s Name:____________________________________ Date: ____________
I.D. Number: _____________ Social Security Number:______________________

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

The student has ____ has not ____ passed this examination.

Date of Examination: _____/_____/_____

Committee Approval Signatures

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

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

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

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/Manuscript 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 announcement of your doctoral defense presentation.

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 member’s name here]
Signature:______________________ Date:__________________

Committee Member: [Type committee member’s name here]
Signature:______________________ Date:__________________

Committee Member: [Type committee member’s name here]
Signature:______________________ Date:__________________

DISSEASON DEFE NSE TIME AND LOCATION

Day:_______________ Date ____/____/____ Time: _____:_____ 
Location:________________________________ Room # _____________

Dean’s Approval: __________________________ Date: ____/____/____
APPENDIX B-8

Submission of Article/Manuscript 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. Validated verification of official submission must be on file in the Dean’s 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 manuscript was submitted/presented:
__________________________________________________________________________________
__________________________________________________________________________________

2. Briefly describe the planned manner of presentation, date, and location of the venue:
(i.e., Town and Gown series/workshop presentation, June 2012, Cal State, etc.)
__________________________________________________________________________________
__________________________________________________________________________________

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

4. Each student’s chair must sign this Submission of Article/Manuscript verification form, with items 1-3 above included, before this form is submitted to the Dean’s office. The Dean’s office 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

[Type name, degree], Program Director  (Date)

Dissertation Committee

[Type name, degree], Chairperson  (Date)

[Type name, degree]  (Date)

[Type name, degree]  (Date)
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 statement of permission to use
   o title page
   o copyright page
   o dedication page
   o acknowledgments page (optional but highly encouraged to include)
   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; signatures in black ink;
   margins: 1.5 inches left, 1.0 inch right, 1.0 inch bottom; not assigned a page
   number.

   Statement of Permission to Use – title in all caps begins 2 inches from top;
   margins: 1.5 inches left, 1.0 inch right and 1.0 inch bottom; signature in black ink;
   not assigned a page number

   Title Page – (title not underlined or italicized) begins 2 inches from top; contains
   the statement: A dissertation submitted……., author, semester/year; margins 1.5
   inches left, 1.0 inch right, 1.0 inch bottom; page number assigned but not typed.

   Copyright Page – copyright statement begins 4 inches from top; margins:
   1.5 inches left, 1.0 inch right and 1.0 inch bottom, numbered in small Roman
   numeral (if used).

   Dedication Page – The word “DEDICATION” begins 2 inches from top, text
   begins 4 spaces below; margins: 1.5 inches left, 1.0 inch right, 1.0 inch bottom;
   numbered in small Roman numeral (if used).
Acknowledgments Page – The word “ACKNOWLEDGMENTS” begins 2 inches from top, text begins 4 spaces below; margins: 1.5 inches left, 1.0 inch right and 1.0 inch bottom, numbered in small Roman numeral (if used).

Abstract – The word “ABSTRACT” begins 2 inches from top, text of abstract begins 4 spaces below, text is double-spaced, small Roman numeral.

Table of Contents – “TABLE OF CONTENTS” begins 2 inches from top, listing begins 4 spaces below; chapters, parts, and sections must be worded the same as in manuscript; page numbers flush right below heading “PAGE”; chapters, parts, sections flush left; dot leaders between titles and page numbers; margins: 1.5 inches left, 1.0 right and 1.0 inch bottom; assigned small Roman numeral.

List of Tables - “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: 1.5 inches left, 1.0 inch right and 1.0 inch bottom; assigned small Roman numeral.

List of Figures – “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: 1.5 inches left, 1.0 inch right and 1.0 inch bottom; assigned small Roman numeral.

List of Abbreviations/Symbols – “LIST OF ABBREVIATIONS/SYMBOLS” 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: 1.5 inches left, 1.0 inch right and 1.0 inch bottom; assigned small Roman numeral.

3. _______ Body of Dissertation

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

Margins – 1.5 inches left, 1.0 inch right and 1.0 inch top/bottom
Pagination – numbers (without punctuation) placed in upper right-hand corner 1.0 inch from top edge and flush right.

Tables and Figures – must be of reproducible quality, near 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. Title/caption for table are placed at the top of table; for figure they are placed below.

References – follows same chapter/section page format rules (2 inch margin in all caps – text 4 spaces below, standard margins.) 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.

Citations within the text – Citations with 1-2 authors – all authors cited with each citation (APA 6th ed., p. 175). 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. When you include more than one work within the same parentheses, they 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 designation 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) ______________________________________________

Email Address____________________________________ Phone _____________

Please provide your APA Editor’s Name ______________________________________

Email Address____________________________________ Phone _____________

I verify that all of the above conditions are met:

Student’s Signature __________________________________ Date_______________

Chair’s Signature ___________________________________ Date_______________
APPENDIX C

SCHEDULE OF DEADLINES

In order to receive clearance from the Program Director to take the comprehensive examinations, students and committees should schedule the proposal approval meeting in late May or early June to allow time for revisions and changes. The deadline for submitting the final draft of the research Proposal to committee members is July 1. Comprehensive exams are held during the first week of July.

**Deadlines for Dissertation Completion**

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>
<th>Summer Graduation</th>
<th>Fall Graduation</th>
<th>Spring Graduation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission of pre-defense draft to the Assistant to the Dean</td>
<td>April 15</td>
<td>August 15</td>
<td>January 5</td>
</tr>
<tr>
<td>Successful defense of Dissertation</td>
<td>June 15</td>
<td>October 15</td>
<td>February 15</td>
</tr>
<tr>
<td>Submission of unbound copy of approved dissertation to Dean’s office</td>
<td>July 7</td>
<td>November 6</td>
<td>March 5</td>
</tr>
<tr>
<td>Submission of final error-free manuscript, CDs, and fees to the Graduate office for binding</td>
<td>July 28</td>
<td>November 27</td>
<td>March 26</td>
</tr>
</tbody>
</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. When the chair, in collaboration with committee members, approves the dissertation for defense, a copy must be submitted to the Assistant to the Dean for pre-defense approval with accompanying required forms. The candidate may not schedule the dissertation defense until approval is received from the dean’s office.

2. At least two weeks prior to the defense, the candidate shall deliver copies of the entire completed dissertation manuscript to all committee members.

3. At least one week in advance of the defense, the candidate must inform the Dean’s office and the Program Director’s office of the date and location of the defense along with the title of the dissertation.

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

5. The candidate will make requested corrections 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 chair is responsible for ensuring that the requested committee corrections have been made. At that time, the chair returns the manuscript to the candidate. The candidate must meet with the chair after final corrections are made in order to verify corrections and complete the dissertation formatting checklist.

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

8. After approval by the Dean, the student will submit the required copies of the dissertation in paper and on CD (pdf format) to the Graduate office along with required fees.
Submit the following to the Office of Graduate Studies in Education

1. Final manuscripts on at least 25% cotton paper. All must be on at least 25% cotton paper and have original signature pages (no photocopies).

2. Two CDs in pdf format that include the signature Approval Page and the Permission to Use Page. CDs must be in hard cases. Both the hard cases and the CDs must contain labels displaying the student’s name, dissertation title, and the name of the dissertation chair.

3. UMI Dissertation Publishing Agreement Form (follow instructions on the form)

4. A copy of the Abstract with special UMI required heading

5. A copy of the Title Page

6. Publication Fees* (checks payable to Union University)
   - $35 UMI publishing fee for Traditional Publishing OR
     $120 UMI publishing fee for Open Access Publishing
   - $15 binding fee - required for one bound copy to be catalogued in Union’s library
   - $15 binding fee for each personal copy (optional)
   - $65 Copyright fee (optional)

*Fees subject to change.
APPENDIX H

APPROVAL PAGE

SCHOOL OF EDUCATION RESEARCH REVIEW COMMITTEE

INVESTIGATOR’S ASSURANCE

I certify that the information provided in this initial review application is complete and correct.

I understand that as Principal Investigator, I have ultimate responsibility for the protection of the rights and welfare of human subjects and the ethical conduct of this research protocol.

I agree to comply with all Union University policies and procedures, as well as with all applicable federal, state, and local laws regarding the protection of human subjects in research, including, but not limited to, the following:

- the project will be performed by qualified personnel according to the research protocol,
- I will maintain a copy of all questionnaires, survey instruments, interview questions, data collection instruments, and information sheets for human subjects,
- I will promptly request approval by the Union University IRB if any changes are made to the research protocol.
- I will report any adverse events that occur during the course of conducting the research to the IRB within 10 working days of the date of occurrence.

Principal Investigator

Date

FACULTY ADVISOR’S ASSURANCE

By my signature as advisor on this research application, I certify that the student investigator is knowledgeable about the regulations and policies governing research with human subjects and has sufficient training and experience to conduct this particular study in accord with the approved protocol. In addition,

- I agree to meet with the student investigator on a regular basis to monitor study progress.
- Should problems arise during the course of the study, I agree to be available, personally, to supervise the principal investigator in solving them.
- I understand that as the faculty advisor, I will be responsible for the performance of this research project.

Faculty Advisor (if principal investigator is a student)

Date

SCHOOL OF EDUCATION RESEARCH REVIEW COMMITTEE REVIEW

By my signature on this research application, I certify that this application has been examined and suggestions have been made for adherence to the IRB guidelines for research with human subjects and to the School of Education’s ideals regarding quality of research including purpose and design.

Chair of School of Education Research Committee

Date