



**TRIDENT
UNIVERSITY**

I N T E R N A T I O N A L

**THREE ARTICLE DISSERTATION: A
HANDBOOK FOR THE DOCTOR OF
EDUCATION (ED.D.) PROGRAM**

COLLEGE OF EDUCATION

2015

TABLE OF CONTENTS

Overview: Guide to Doctoral Dissertation Research.....	4
General Degree Requirements	5
An Introduction to the Three Article Dissertation.....	6
Three Article Dissertation Formats	8
Progressive or Developmental Format	8
Single Study/Interdependent or Recursive Format	9
Independent or Major Project Format.....	9
Sample Three Article Dissertations.....	10
The Development of Your Three Article Dissertation.....	12
Dissertation Timeline.....	13
EDD 800: Dissertation Tasks or Doctoral Positioning System.....	14
Selecting a Problem of Practice.....	15
Dissertation Committee Selection	17
Dissertation Committee Approval of the Applied Research Plan.....	18
Institutional Review Board.....	19
The Special Case of the Organizational Analysis.....	19
After IRB Approval of Your Research Plan	19
Submission of Articles for Publication.....	20
Completing the Dissertation	21
The Oral Defense.....	21
Philosophy of the Oral Defense	21
Procedures for the Oral Defense.....	22
Outcome of the Oral Defense.....	22
Edit and Submit the Dissertation After the Defense	23
Use of APA Style in the Dissertation	24
Dissertation Style Sections of a Dissertation.....	24
Why Formatting Requirements Are Specific.....	24
Arrangement of Contents	24
Page Composition	25
Typeface.....	25
Margins	25
Spacing.....	26

Equations and Formulas.....	26
Widows and orphans	26
Justification	26
Titles of Sections	26
Pagination for Front Matter	27
Pagination for the body of the dissertation.....	27
Two Volume Dissertations	28
Title Page.....	28
Biographical Sketch.....	29
Dedication	29
Acknowledgments.....	30
Table of Contents.....	30
Lists of Figures, Tables, or Illustrations	30
Abstract.....	30
Footnotes	31
The Use of Foldouts is Not Allowed	31
Tables and Figures.....	31
Photographs.....	32
References	32
Acknowledging the Work of Others.....	33
Copyrighted Material	33
Appendices.....	33
Production of the Dissertation.....	33
Computers and Printers	34
Making Copies and Meeting Paper Specifications.....	34
Ed. D. Dissertation Formatting Checklist.....	35
Submitting the Dissertation to ProQuest UMI	37
References	38

OVERVIEW: GUIDE TO DOCTORAL DISSERTATION RESEARCH

The completion of a dissertation is one of the requirements for conferral of a doctorate, the highest academic degree offered. The Ed.D. Program at Trident University is intended for mid-career professionals who wish to prepare for the additional responsibilities they face as leadership professionals in education. A Doctor of Education degree recognizes the student's superior preparation for leadership roles in the field of education. The dissertation is also a permanent record of your applied research. Trident University is committed to the preservation and dissemination of the research contributions of its graduates.

The Ed.D. Program at Trident University International requires the completion of a Three Article Dissertation. This handbook is intended to introduce you to the Three Article Dissertation (TAD), provide you with an understanding of how the TAD is supported throughout the curriculum, and familiarize you with the steps of the dissertation process. In addition, this handbook includes recommended strategies and timelines to assist doctoral students in successful completion of the TAD. This handbook is a guide and not intended to alter or modify the requirements set forth in either the Academic Programs or Policy Handbook of the University Catalog.

In the Ed. D. program, the development of your dissertation research is integrated within your research course sequence. The Applied Research course sequence (EDD 605 and EDD 607) will support you through the initial steps of the dissertation process. The first dissertation supervision course is EDD 680. The goals of this course are to identify the problem of practice you will study, complete a brief literature review, select a dissertation committee, submit a brief proposal for your dissertation research, and complete the Trident University Institutional Review Board (IRB) requirements. After successful completion of the course, you may begin your dissertation research. You may also need to consider completion of any IRB requirements at the site under study.

The doctoral supervision sequence includes EDD 680, EDD 690, and EDD 700. These courses assist you with the completion of tasks (or milestones) related to completion of the dissertation. All students are also enrolled in EDD 800: Dissertation Tasks at the start of their program. This course is not linked to a specific session and is always available for students to view. The purpose of the EDD 800, also known as the Doctoral Positioning System or DPS, is to serve as a repository for all your approved and finalized dissertation documents. All content uploaded to EDD 800 may be viewed by you, the dissertation chair, the program mentor, and the program director.

GENERAL DEGREE REQUIREMENTS

All requirements for the doctoral degree (including completion of required coursework and submission of your dissertation in a format that meets Trident University International criteria) must be completed within nine years following your first enrollment in the Ed. D. program. Please review the university catalog for more information on the program requirements and policy related to maximum time to degree.

The Ed.D. Program requires completion of 60 units (48 units of coursework and 12 units of dissertation coursework). The normal time to degree is 3 years. A typical program of study is provided in Table 1. The sequence of dissertation supervision courses includes EDD 680, EDD 690 and EDD 700. The standard expectation is that students will be ready to defend their dissertation at the end of EDD700.

Table 1

Program of Study: K12 Leadership Concentration

Coursework
EDD 602 Leadership Theory & Practice (4)
EDD 605 Applied Research (4)
EDD 603 Effective Communication for Educational Leaders (4)
EDD 607 Advanced Applied Research (4)
EDD 634 Current Issues in PK-12 Education (4)
EDD 680 Dissertation Supervision I (4)
EDD 611 Strategic Planning and Finance for Educational Leaders (4)
EDD 612 Assessment and Program Evaluation in Education (4)
EDD 632 Legal Aspects of Education Leadership (4)
EDD 690 Dissertation Supervision II (4)
Concentration course (4)
Concentration course (4)
Concentration course (4)
Concentration course (4)
EDD 700 Dissertation Supervision III (4)

Table 2

Program of Study: Higher Education Leadership Concentration

Coursework
EDD 602 Leadership Theory & Practice (4)
EDD 605 Applied Research (4)
EDD 603 Effective Communication for Educational Leaders (4)
EDD 607 Advanced Applied Research (4)
EDD 640 Current Issues in Higher Education (4)
EDD 680 Dissertation Supervision I (4)
EDD 611 Strategic Planning and Finance for Educational Leaders (4)
EDD 612 Assessment and Program Evaluation in Education (4)
EDD 632 Legal Aspects of Education Leadership (4)
EDD 690 Dissertation Supervision II (4)
EDD 642 Student Development Theory (4)
EDD 641 Higher Education Administration (4)
Concentration course (4)
Concentration course (4)
EDD 700 Dissertation Supervision III (4)

AN INTRODUCTION TO THE THREE ARTICLE DISSERTATION

Many people are familiar with the traditional “5-chapter” dissertation that typically includes the following chapters:

1. Introduction
2. Review of the Literature
3. Methodology
4. Results
5. Discussion and Conclusion

The Doctor of Education is a professional practice degree intended for the working professional and the traditional 5-chapter dissertation may not be the best fit for a professional practice doctoral program. The 5-chapter format is not similar to any of the types of research a leader in education is likely to participate in within their work day. It has also been a problem in other disciplines where alternatives have been used for decades, in part because the major medium of scholarly communication is the journal article and dissertations are difficult to convert to articles.

Various approaches to an EdD. Program’s final product are being investigated by several Universities who are part of the Carnegie Foundation’s Carnegie Project on the Education Doctorate (CPED, see the web site <http://cpedinitiative.org>). While some programs indicate that

We have deliberately avoided being too specific about the format of the final product so that communities would be free to generate an outcome format in harmony with the work. Our examples included: a book with a co-authored introduction and summary but individually authored chapters; a series of journal articles; or a technical report and single journal article. We stipulated that there should be a written product and two oral presentations, one to a community of practitioners and one to the university community. (CPED, 2013)

The Ed.D. Program at Trident University International will focus on research in practice and borrows the “three article dissertation” or TAD format from the sciences and engineering where it has been developed and used for many years. The TAD, or a variation of it, has also become popular in many of the new applied and professional doctorates such as the Doctor of Nursing Practice, Doctor of Pharmacy, and the more recently developed Ed. D. programs in educational leadership, such as the ones included by the Carnegie Project on the Education Doctorate.

Some institutions refer to these dissertations as TADs but others use terms like “the article format dissertation.” Regardless of the term used, however, the dissertation typically has five parts. But the sections differ from the 5-chapter dissertation. The TAD includes the following components:

1. An introduction to the three articles (10-15 pages)
2. First Article (20 to 35 pages)
3. Second Article (20 to 35 pages)
4. Third Article (20 to 35 pages)
5. A conclusion that includes implications for practice and needs for future research (10-15 pages)

Many universities either allow or require the TAD format, including the University of California Santa Cruz, the University of Utah (College of Health), the University of Texas, Harvard University (Graduate School of Arts and Sciences), St. Louis University, and Clark University. And, because the format is a better fit with the type of professional writing leaders in education will do after graduation, the TAD or “article format dissertation” has been adopted by a growing number of Ed.D. programs in educational leadership. “TAD” institutions include the University of California Irvine and the University of Utah. Harvard University’s new Doctor of Educational Leadership (Ed. L.D.) has a similar approach in that students work on a problem of practice and complete a field experience in the third year of study.

The Ed. D. program at Trident University International will permit you to conduct research in the context of your work site or in a similar environment as you complete coursework, and write articles/reports/papers about that research. This integration means that you will be writing parts of your dissertation (e.g., “articles”) as early as the first year of the program. You continue to do research and write about it during your second year, and by the third year you have the core articles for your dissertation finished. You may even have submitted some or all of them for publication to peer reviewed journals and some could be “in press” or published before graduation. The articles that become your dissertation are closer to the type of writing you will do as an educational leader, which means your dissertation work helps you develop communication skills that transfer to other types of professional writing. The model for the professional practice dissertation is provided in Figure 1.

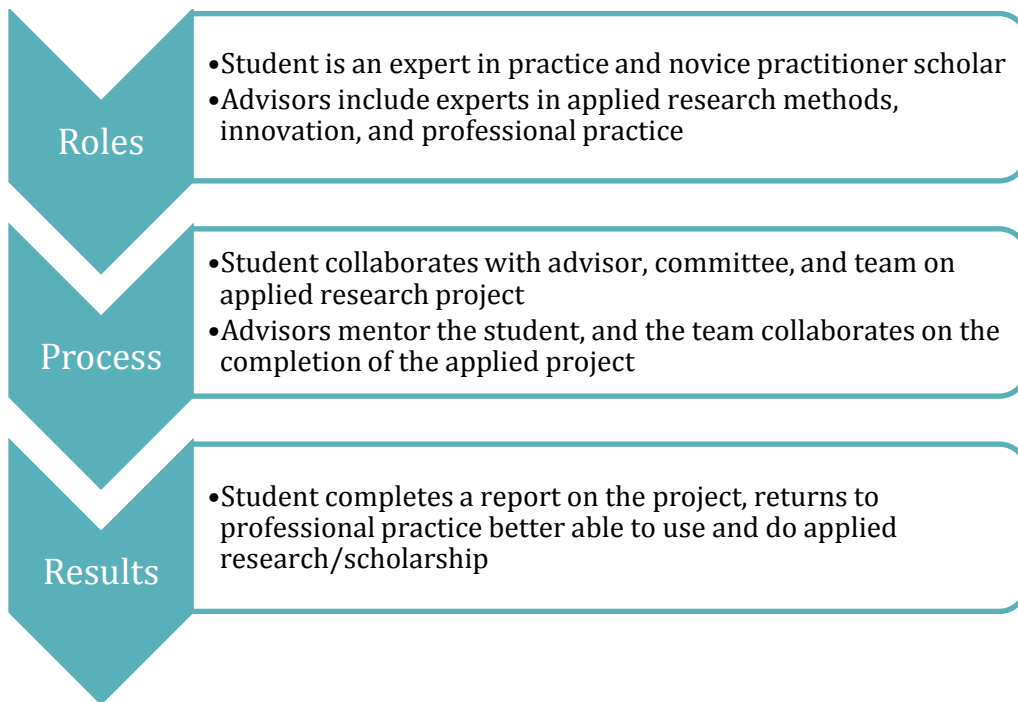


Figure 1 – The professional practice dissertation model (Willis, Inman, & Valenti, 2010)

THREE ARTICLE DISSERTATION FORMATS

The nature of your dissertation research will dictate the format of your Three Article Dissertation (TAD). There are three common TAD formats outlined below. The selection of your TAD format should be discussed, finalized, and approved by your dissertation committee. The three typical TAD formats are discussed below.

PROGRESSIVE OR DEVELOPMENTAL FORMAT

This format begins with conceptual/theoretical piece that includes an extensive review of the literature. The subsequent articles should logically flow into an empirical research study or applied research study. The final article may expand on the study by offering application of the findings to practitioner settings.

Progressive or
Developmental
Format

Introduction: Describes the purpose and nature of each article

Article 1: An extensive review of the literature to justify the significance of the problem, including the key conceptual/theoretical underpinnings for the dissertation research as a whole

Article 2: A complete research study with methods, findings, and conclusion

Article 3: A direct application of the findings in a practitioner setting; it can include application of a new program or curriculum, the development of a handbook, or implementation of a new initiative or policy in an education setting

Conclusion: A general discussion based on the progression of the research process and identifies the application to practice and future research

SINGLE STUDY/INTERDEPENDENT OR RECURSIVE FORMAT

This format may utilize data from a similar sample population across all three articles, but each article explores unique variables and/or applies different methodological approaches. Each article should build on the findings of the prior article, or show a clear link between the identified variables.

Single Study or
Interdependent
or Recursive

Introduction: Describes the purpose and nature of each article. If the articles do not allow or a comprehensive review of the literature, it should be included in the introduction

Article 1: A complete research study with methods, findings, and conclusion

Article 2: A complete research study with methods, findings, and conclusion. It builds on, or compliments, the findings of Article 1.

Article 3: A complete research study with methods, findings, and conclusion. It builds on, or compliments, the findings of Articles 1 and/or Article 2.

Conclusion: A general discussion based on the progression of the research process and identifies the application to practice and future research.

INDEPENDENT OR MAJOR PROJECT FORMAT

This format includes three articles that are independent studies with different sample populations, the studies should all be within your area of expertise. Each article is reported independently.

Independent or
Major Project

Introduction: Describes the purpose and nature of each article. If the articles do not allow or a comprehensive review of the literature, it should be included in the introduction

Article 1: A complete research study with methods, findings, and conclusion

Article 2: A complete research study with methods, findings, and conclusion.

Article 3: A complete research study with methods, findings, and conclusion.

Conclusion: A general discussion based on the progression of the research process and identifies the application to practice and future research.

SAMPLE THREE ARTICLE DISSERTATIONS

Coleman, E. R. (2014). *Science youth action research: Promoting critical science literacy through relevance and agency*. Available from ProQuest Dissertations & Theses Full Text. Retrieved from <http://www.ebrary.com>

Progressive Format or Developmental Format

Article 1: Conceptual piece that defines Science Youth Action Research (Sci-YAR) and argues the potential of the approach

Article 2: Qualitative case study of youth engaged in Sci-YAR

Article 3: Application piece for practitioners to use Sci-YAR in the curriculum.

Huber, R. L. (2014). *Servant leadership, self-efficacy, and communities of inquiry in higher education online learning*. Available from ProQuest Dissertations & Theses Full Text. Retrieved from <http://www.ebrary.com>

Single Study/Interdependent Experiments or Recursive Format

Article 1: Quantitative study investigates relationship between online instructor self-efficacy and student satisfaction.

Article 2: Qualitative study explores teacher perceptions' of servant leadership traits influence on transition to online classroom and online learning.

Article 3: Quantitative study investigates relationship between servant leadership training and instructor self-efficacy in online learning.

Jager-Hyman, J. (2010). *What students don't know may hurt them: The influence of low-income students' pre-college perceptions on the first year of postsecondary enrollment*. Available from ProQuest Central; ProQuest Dissertations & Theses Full Text. Retrieved from <http://www.ebrary.com>

Single Study/Interdependent Experiments or Recursive Format

Article 1: Mixed methods study to investigate students' pre-college perceptions of academics, first year experiences, and misconceptions.

Article 2: Qualitative study to explore students' pre-college perceptions of college costs, financial aid, and misconceptions.

Article 3: Mixed method study to investigate how a first-year freshman experience program influenced perspectives of college and dealt with misconceptions.

Daley, S. G. (2010). Emotional responses during reading tasks: What shapes them and how they relate to reading comprehension. Available from ProQuest Central; ProQuest Dissertations & Theses Full Text. Retrieved from <http://www.ebrary.com>

Independent Studies or Major Project Format

Article 1: Quantitative study investigates the differences in students' appraisals of two reading tasks

Article 2: Quantitative study investigates the relationship between physiological response during reading tasks and comprehension.

Article 3: Quantitative study investigates the relationship between physiological response during reading tasks and comprehension for students with language based learning disabilities.

THE DEVELOPMENT OF YOUR THREE ARTICLE DISSERTATION

The Applied Research and Dissertation Course Sequence

The Ed.D. Program will support the development of your TAD in your research courses and dissertation supervision courses. Figure 2 provides a road map of how the TAD is incorporated into your coursework.

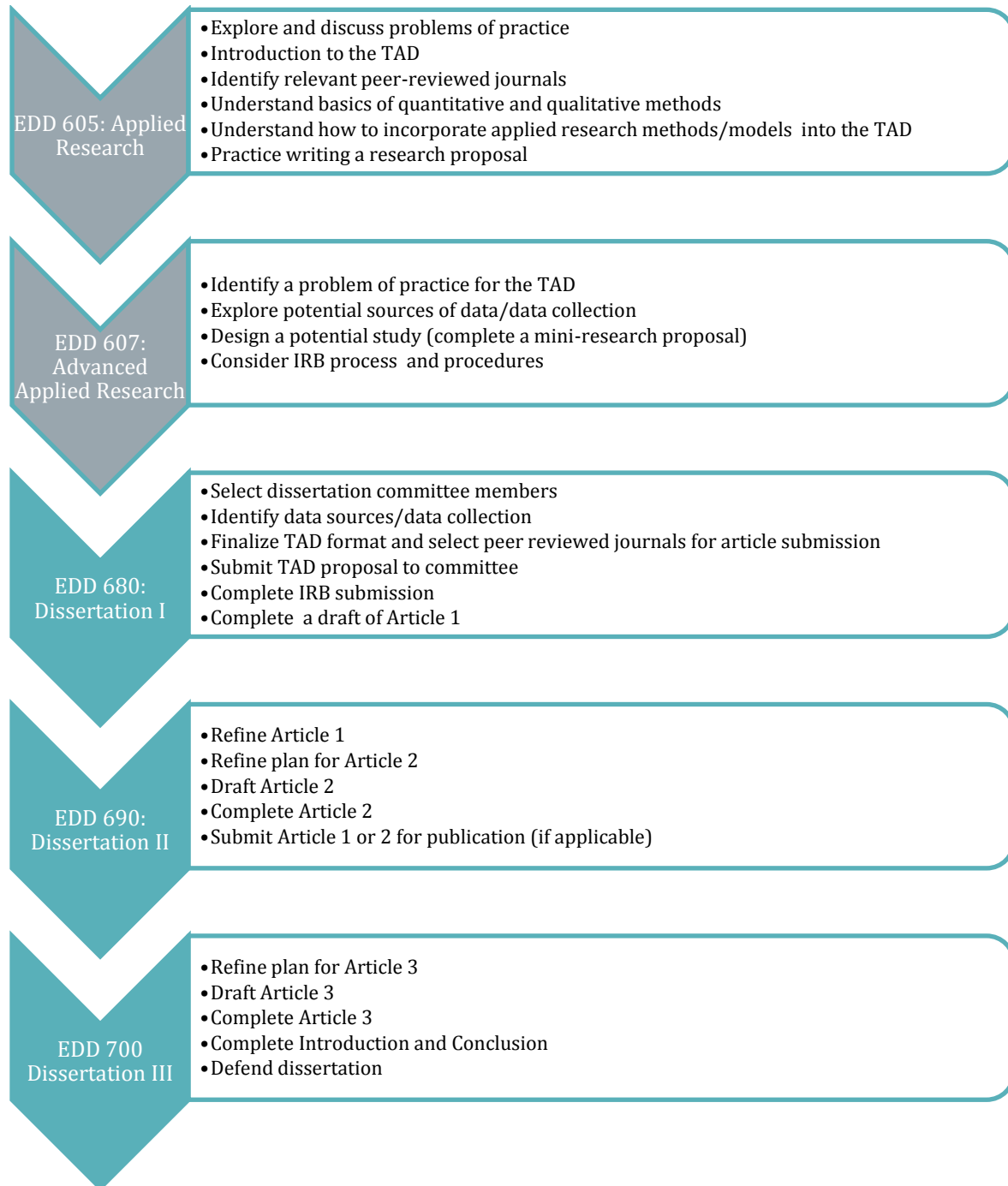


Figure 2. Road map of TAD activities included in the program curriculum

DISSERTATION TIMELINE

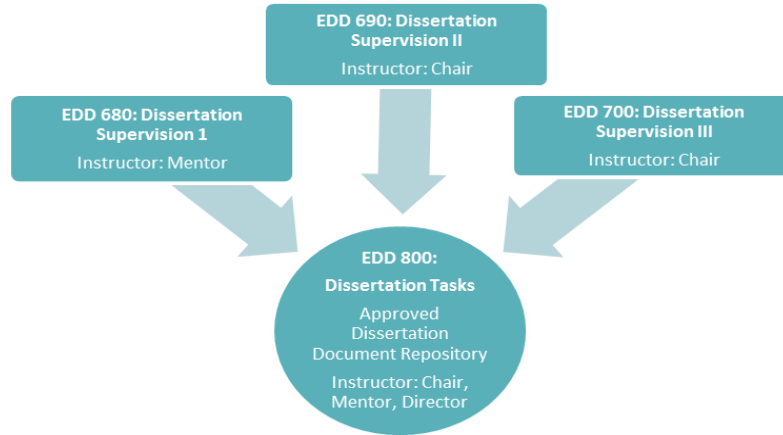
There are several milestones in the development of your TAD that are incorporated into your coursework. However, there are also activities you can complete outside of class time to support your progress on the TAD. Table 2 is organized by session and serves as a guide in the TAD process, it identifies the TAD activities that are incorporated into your coursework, as well as activities you can complete outside of class time to stay on track.

*Table 3
Activities to Support TAD Development*

Curriculum	Activities
EDD 605	
<ul style="list-style-type: none"> • Explore problems of practice • Identify peer reviewed journals • Explore TAD formats • Understand basics of quantitative and qualitative methodology • Applied research and the TAD 	<ul style="list-style-type: none"> • Begin a database for relevant literature • Begin a notebook or electronic file of your dissertation research ideas and resources • Begin a list of journal submission requirements
EDD 607	
<ul style="list-style-type: none"> • Identify a problem of practice for the TAD • Explore potential sources of data/data collection • Locate and read Three Article Dissertations • Design a potential study (complete a mini-research proposal) • Consider IRB process and procedures 	<ul style="list-style-type: none"> • Find and read sample TADs in ProQuest • Begin to read articles for potential ideas on research design • Think practically – what data might you already have access to at your work site? • Start a list of potential sources/participants. • Refine your problem of practice, discuss with classmates, colleagues, and professional mentors • Identify the data/participants you will need to address your TAD topic. • Begin a list of potential committee members. • If needed, begin to draft your Trident University International IRB application(s) • If needed, learn more about any IRB requirements at your research site.
EDD 680	
<ul style="list-style-type: none"> • Select dissertation committee members • Identify data sources/data collection • Finalize TAD format and select peer reviewed journals for article submission • Submit TAD proposal to committee • Complete IRB submission • Complete a draft of Article 1 • Upload finalized and approved documents to EDD 800 	<ul style="list-style-type: none"> • Refine your problem of practice – collaborate with stakeholders or gatekeepers at the research site • Think about feasibility – what data collection and data analysis procedures are you able to complete in a 2 – 3 month period of time? • Explore completed TADs for ideas on the format of your TAD • Gather the resources and references you will need to support your research design

EDD 800: DISSERTATION TASKS OR DOCTORAL POSITIONING SYSTEM

Each student is enrolled in EDD 800: Dissertation Tasks at the start of the program. This course is not linked to a specific session and is always available to view. Students will begin to use EDD 800 as a repository for finalized and approved dissertation documents while enrolled in EDD 680: Dissertation Supervision I, EDD 690: Dissertation Supervision II, and EDD 700: Dissertation Supervision III.



Students will receive guidance for each task from their dissertation chair and program mentor. When the dissertation chair (or mentor) approves the final document related to the task (or milestone) the student will upload the final version to EDD 800. It is important to note, you should continue to make progress on your dissertation research even when you are not currently enrolled in a dissertation supervision course. Although the dissertation supervision courses provide you with guidance on meeting key tasks and milestones, students are expected to continue to make progress on their dissertation research in cooperation with the dissertation chair. The dissertation tasks (or milestones) included in EDD 800 are provided in Table 4.

*Table 4
Dissertation Tasks Included in Dissertation Supervision Courses*

EDD 680	EDD 690	EDD 700
– Dissertation Chair Selection	– Memo of Understanding (MOU)	– Article 3
– Proposal (or research plan)	2: Article 2	– Introduction
– Outline of Article 1	– Outline of Article 2	– Conclusion
– Dissertation Committee Selection	– Article 2	– Memo of Understanding (MOU)
– IRB Certificate	– Memo of Understanding (MOU)	4: Defense Feedback
– IRB Approval/Waiver	3: Article 3	– Draft of Final Dissertation
– Memo of Understanding (MOU)	– Outline of Article 3	– Approved Dissertation
1: Next Steps		
– Article 1		

SELECTING A PROBLEM OF PRACTICE

Perhaps the most difficult part of the dissertation for most students is selecting a topic. In this doctoral program, students will identify a “problem of practice” which is essentially an area or aspect of professional practice that represents a topic or issue that is not well understood, or a problem that is not readily solvable in the organization where the student works. Students should reflect on the following three questions:

- Is the problem of practice amenable to systematic study by an individual or small group of participants in one setting?
 - Some problems of practice require more resources, and time, than a doctoral student can typically bring to bear on his or her dissertation.
- Can the research be conducted ethically and meaningfully by an “insider”?
 - Some research is best done by an “outsider” who has no connection to the research setting other than the study; but other research is actually better done by insiders who are familiar with and know the history of the research setting.
- Can the research be reasonably completed within the period students will typically spend completing the doctoral program?

All students in the Ed. D. program select a specialization in educational leadership and their dissertation must be relevant to that specialization. For example, if you elect to specialize in PK-12 leadership, you cannot do a dissertation that is a program evaluation of a non-profit education agency’s adult learning program.

Doctoral students may find it difficult to narrow their dissertation research topic or scale down their research agenda. Students may begin the program with a research problem already in mind or students may have several research problems in mind and find it difficult to select just one. Glatthorn and Joyner (2005) provide a useful rating system that encourages you to reflect on potential dissertation problems of practice you are exploring. It asks you to rate the following on a scale of 1 – 5:

Professional Significance

Does the examination of the research problem result in an important contribution to the field of educational leadership? For example, will the work result in a significant change in curriculum delivery, policy or practice, or organizational management?

Continuing Professional Interest

Does the examination of the research problem result in an important and relevant contribution to the field of educational leadership? Will the results continue to be of interest to your colleagues and other education leaders?

Personal Interest

You will dedicate a great amount of time to the examination of the research problem, in order to maintain your interest over a long period time and effort; you should have a personal stake in the completion of the dissertation.

Career Advancement

Does the research problem impact your professional goals? Consider whether you plan to continue to work in your current position or take a leadership position in a different organization. It is very likely you have enrolled in a doctoral program to advance your career, consider whether the research problem under study will lead to new career opportunities.

Professional Knowledge, Experience, and Skills

Consider your skill set as it relates to the research problem and research design, you should make an effort to match your skill set to the research problem under study, this will allow you to work efficiently.

Likely Support

A reliable source of support will definitely make completion of the dissertation easier. Consider the sources of support you have at your work site – this includes colleagues and professional mentors.

Time Required

The Trident University International Ed.D. Program is an accelerated program, it is important for you to select a research problem that is narrow and can be completed in a reasonable amount of time. Applied research requires relevance to an existing educational setting. Think practically about how much time you have to complete your research.

Accessibility

This is the most important aspect of applied research. Consider whether the school board or leadership at the work site will approve your research request. Consider what types of permission you need (and the timeframe for approval). If you anticipate accessibility to your participants to be a potential obstacle, you might want to consider adjusting your plan.

The complete exercise from Glatthorn and Joyner (2005) is provided in Table 3.

Table 4

Personal Assessment of Research Problems

Criteria rating scale: 5 = Excellent, 4 = Very good, 3 = Good, 2 = Fair, 1 = Poor

Criteria	Research Problem 1	Research Problem 2	Research Problem 3
Professional significance			
Continuing professional interest			
Personal interest			
Career advancement			
Knowledge, experience, skills			
Likely support			
Time required			
Accessibility			
Total Score			

DISSERTATION COMMITTEE SELECTION

One of the tasks to be completed in EDD 680 is the selection and appointment of a dissertation committee. After consultation with the EDD 680 instructor and discussions in the course, a student may nominate an external expert in his/her area of interest to serve as a doctoral mentor and dissertation committee member. An external expert may serve as a committee member or the Chairperson. The student must ensure that individuals nominated to serve on the committee who are not Trident University International faculty submit a professional CV and supporting documentation of expertise in either the student's problem of practice area or the research methodology she/he will be using. The required supporting documentation must be provided to the Lead Faculty for dissertation development who will approve any external members as well as Trident University International faculty members who will serve on the committee.

An external member of the dissertation committee must meet the criteria for appointment (experience supervising applied research in the field, evident expertise in the field being studied). These individuals will be required to have terminal degrees in their field. In addition, the nominee must have no personal or professional conflict of interest with the student or organizational conflict of interest with Trident University International. Upon approval an external member of a dissertation committee becomes a Trident University International external "Doctoral Faculty Mentor."

The committee members must meet the following criteria:

- a) All Committee members must hold a terminal degree with a research background, and have a record of publication.
- b) At least one committee member will have significant expertise and applied experience in the student's problem of practice, and at least one will have expertise in the research methods the student will be using.
- c) All members of the committee will have at least three years of experience in applied research or professional practice relevant to the student's dissertation research. If the member's expertise is in applied research that should be represented by publications, presentations, and/or the exemplary use of scholarship in professional practice.
- d) All members of the committee should have been active in their field of professional practice/scholarship within the five-year period preceding their participation on the committee.

While committee members serve without pay, they receive an appointment as a Doctoral Faculty Mentor. The Committee Chair is compensated upon the student's successful defense of the dissertation.

DISSERTATION COMMITTEE APPROVAL OF THE APPLIED RESEARCH PLAN

As noted earlier, students will prepare a plan for their applied research work in EDD 680, the first dissertation supervision course. The contents and format of the proposal document the student must submit to the dissertation committee are detailed in EDD 680. Once the plan is approved the student will also write and submit a proposal to the Institutional Research Board (IRB) that must be approved before any research data can be collected.

However, unlike laboratory research, which is often conducted as originally planned, the typical applied research project often goes through several iterations, including significant changes in focus, questions, and methodology. Students, with guidance from their dissertation committee, will carefully track such changes and where there is any question about the need to ask for IRB approval to make the changes, the student will submit a revised plan, or a new plan, to the IRB for approval. Changes, adaptations, and adjustments based on what has been learned to date is expected in applied research done in the field, but Chair and dissertation committee approval is not enough if the changes are substantial and may involve changes in the level or risk or assurance of privacy for participants. Thus, IRB approval may be required of changes in your applied research plan.

A Note on the Purpose of the Dissertation: The first and primary purpose of a dissertation in this program is to develop understanding of a local, relevant and important problem or issue. On the other hand, a secondary but nonetheless important purpose is to communicate the findings of the dissertation research in such a way that other professionals can make informed decisions about what, if anything, may also be relevant to their setting and to their problems of professional practice. As you complete your research and write about it, you should keep the primary and secondary purposes of your research in mind.

When the plan you submit at the end of EDD 680 is completed, you will send it to the instructor of the course and to your dissertation chair and committee members. The chair and members will evaluate the plan separately and then collaboratively. Through collaboration, directed by the chair, they will write an evaluation of the plan that includes their decision, which will generally be to approve as proposed, approve with required revisions, or to require a major revision or shift in research before approval. This should be done within two weeks of receiving the plan.

Major revisions of first drafts are common, and should be completed within two weeks of receiving feedback from the committee. At the end of this cycle, the student should have an approved plan that will serve as the basis for an IRB proposal that must be approved before any interventions or collecting of data. All communications regarding the dissertation proposal should be via the D2L system for documentation.

INSTITUTIONAL REVIEW BOARD

Once your committee has approved your plan, there is one crucial final step before you may begin interventions or to collect and analyze data. That is the review and approval of the proposed study by the Trident University International Institutional Review Board (IRB). Federal law and regulations require an IRB review of all research involving human subjects. The purpose of such reviews is to ensure that your research complies with established ethical standards and principles. To complete this review, you must submit (through D2L) an application summarizing the project and the human subjects protection issues that it poses (a copy of the research methodology and any relevant forms and/or data gathering instruments is generally attached to the application). The IRB Chair then makes the determination as to the nature and extent of the review.

It is very important that you understand that you may not collect data before IRB approval is received, and if you do collect data before that approval, the data may not be used in the dissertation (a certain degree of exploratory reconnaissance is allowed). Official submission of a project to the IRB may not take place until the dissertation committee has approved the proposal; however, it is a good idea to write a draft of the IRB proposal and to share it with you Chair at the same time you submit your research plan. You should finish EDD 680 with a completed research plan and a draft of your IRB proposal in the hands of your Chair.

Trident University International has a standing committee known as the Institutional Review Board (IRB). This committee exists for the protection of human subjects and requires students and faculty conducting research involving human subjects to submit their research to the appropriate IRB committee. Once your dissertation committee has approved your research plan, you are ready to submit your IRB proposal. The IRB application form and instructions may be accessed and submitted via D2L. Students may also access the IRB policy and procedures, membership and sample forms on the university website.

THE SPECIAL CASE OF THE ORGANIZATIONAL ANALYSIS

You may opt to complete an organizational analysis on the educational agency or unit where you are doing your research project. That analysis can take many forms and it would not ordinarily be necessary for you to submit your plan for IRB approval because it is an ordinary and routine activity of leaders in education that is not considered “research.” However, because you may use the findings of your organizational analysis in one or more of the articles that make up your dissertation, it is important that you do submit the plan for organizational analysis to the IRB committee.

AFTER IRB APPROVAL OF YOUR RESEARCH PLAN

Once your initial plan for your applied dissertation research has been approved by the IRB committee, you can begin your research work under the supervision of your assigned Mentor and your dissertation committee. Keep in mind, however, that if you make major changes in your research plan, it may be necessary to go back to the IRB for approval of the changes. It is important to keep your dissertation committee, especially your chair, informed and up-to-date on the progress of your research and aware of any changes you may be considering. Each session the chair will report to the Program Director on your dissertation progress. The Program Director will maintain a list of all active dissertations, which is updated each session.

SUBMISSION OF ARTICLES FOR PUBLICATION

The student should propose a list of peer reviewed journals to the dissertation committee at the completion of EDD 680. Journals to which articles are being submitted must be approved by the dissertation committee. The committee serves as an “editorial board” for the student and will approve journals that will challenge the student and offer a reasonable chance of publication success. The committee will also determine how many articles must be submitted for publication. The role of the committee and guidance provided in no way guarantees publication in a given journal. Ultimately, it is the responsibility of the student to publish the articles.

Articles for submission should be formatted in accordance with the journal submission requirements. It is the responsibility of the students to share relevant formatting requirements and submission deadlines with the dissertation committee. If needed, finalized articles to be included with the dissertation will need to be reformatted to meet Trident University International Library submission guidelines.

Students must be first author on all articles. As first authors, students are responsible for development and articulation of a concept or idea for research, development of a proposal to pursue this idea, development of a research design, conducting research and analysis, writing major portions of a manuscript, designing an intervention or assessment (if relevant), and interpreting results. No other students can be co-authors on any of the articles.

If a student elects to submit an article with a co-author, the role of the coauthor must be presented and approved by all members of the dissertation committee. Any subsequent changes in co-authorship must be approved by the student’s committee.

Articles may have been published before the oral defense; if so, the student must obtain copyright permission from the publishing journal to include the article in his/her dissertation. Doing so is required by U.S law. When asking for permission to include the article in the dissertation, students should notify the journal editor that the dissertation will be made available on-line.

If an article is rejected by a journal during the dissertation process, the student may submit to another journal approved by the dissertation committee. In the case of a revise and resubmit during the dissertation process, any changes to the article must be approved by the dissertation committee. Co-authorship will not be changed for a revise and resubmit.

If an article is rejected by a journal after the successful completion and defense of the dissertation, co-authorship decisions that were made during the dissertation process will no longer be in effect. Submission to a new journal will be at the sole discretion of the Ed.D. graduate. Also after the successful dissertation defense, any new submission or re-submission, including changes in the authorship or article content, will be at the discretion of the Ed.D. graduate.

COMPLETING THE DISSERTATION

As noted earlier, the process of completing an applied research dissertation will often involve changes and adjustments in the plan for the research. If it becomes clear to the student and the dissertation committee that the plan of the research needs to be revised, the committee will determine the seriousness of the revision. If the revision is minor or moderate, the committee will approve the revision and assist the candidate in proceeding with the revised research. If the revision is a major change, the committee needs to consult with the Lead Faculty For Dissertation Development. In addition, if any change has implications for the ethical conduct of the research the Trident's IRB should be consulted, and, if necessary, a revised IRB proposal submitted.

During the collection and analysis of the research data, the candidate will maintain regular contact with the Chair through Desire2Learn and seek counsel and advice on each of the major steps in the research project.

As elements of the dissertation research are completed and papers written, the Chair and committee member will provide feedback to the student. Once the three articles that make up the core of the dissertation have been written, the student will, with the guidance of the chair and committee member, write the introduction and the summary sections of the dissertation. When those two sections have been written and revised by the student, and approved by the committee, the student will begin to create a final draft of the dissertation according to the formatting requirements detailed in this Handbook. When a draft of the final dissertation is judged by the committee to be ready to defend, the final oral defense can be scheduled.

THE ORAL DEFENSE

The student should assemble a PowerPoint or video presentation describing the study, following the issues covered in the dissertation. The presentation should be sent to the committee members 2 weeks prior to defense. The emphasis should be on research settings, the problem of practice addressed, development of the applied research plan, results and implications.

An oral defense of a dissertation normally takes from 1 to 1 1/2 hours. The defense will be by teleconferencing. In consultation with the dissertation chairperson, the usual procedure is for the student to find a day and time at which it is possible for all members of the Dissertation Committee to participate.

PHILOSOPHY OF THE ORAL DEFENSE

The purpose of the oral defense is:

- To celebrate the successful completion of a major component of the doctoral program,
- To provide the student to communicate his or her findings and interpretations to others
- To assure that the ethical and professional standards of the profession have been followed,
- To demonstrate the candidate's mastery of applied research methodology and the use of research tools in professional practice, and
- To demonstrate the candidate's understanding of the relationship of this work to the fields of education and educational leadership.

PROCEDURES FOR THE ORAL DEFENSE

Who Can Attend the Oral Defense?

The dissertation defense is conducted via a teleconferencing and open to members of the Dissertation Committee, the student, members of the Trident University International academic community, and friends as well as colleagues who are invited by the student.

Who Must Attend the Oral Defense?

All members of the Dissertation Committee must be present for the defense unless exceptions are approved by the Doctoral Program Director or by his/her designee. Absent members of the Dissertation Committee must still participate in the defense through, for example, the submission of written comments and questions. Under no circumstances can more than one member of the Dissertation Committee can be absent from the defense.

Who Can Actively Participate in the Oral Defense?

If there are others in addition to the student and the Dissertation Committee at the defense, it is the responsibility of the Chairperson of the Dissertation Committee to insure that time is provided for their comments but that an initial portion of the defense is restricted only to participation by the student and members of the Dissertation Committee.

OUTCOME OF THE ORAL DEFENSE

The outcome of the oral defense is decided by an open vote of the Dissertation Committee. The decision of the Committee (Pass or Fail) is determined by a majority of the committee members.

At the oral defense, only the members of the Dissertation Committee have the authority to decide whether the candidate passes or fails. Both dissertation itself and the candidate's performance in the oral are grounds for the committee's decision to pass or fail.

Doctoral candidates may pass the oral defense but still be required to revise their dissertation. Revisions are, in fact, typical. It is the responsibility of the committee chair to review and approve revisions to the dissertation, but this responsibility may be split across the chair and committee member where the situation warrants. When major revisions are required that will obviously require more than a few weeks to complete, the defense should be suspended until the majority of the members of the Doctoral Committee agree that the dissertation has been sufficiently revised and is now defensible.

EDIT AND SUBMIT THE DISSERTATION AFTER THE DEFENSE

Almost all dissertations require at least minor editing after the oral defense. As mentioned above, the student has four weeks from the date of the oral defense to complete these editorial changes and make sure the dissertation is properly formatted (see guidelines below). When the post-defense changes have been made and approved, the committee chair must notify the Doctoral Program Director.

Once the dissertation has been successfully completed, the candidate will be granted the degree. Procedurally, these steps will take place:

1. The Doctoral Program Director will send an e-mail to the candidate indicating the approval of the dissertation.
2. Then, the candidate will arrange to submit the dissertation to ProQuest UMI.
3. The candidate will prepare a full electronic copy of the completed and approved dissertation to be included in the Trident University International Cyber Library and, if possible, appropriate e-dissertation archives. In addition, the candidate will prepare at least four traditional bound copies of the dissertation with one copy distributed to each committee member, one copy kept by the student, and a final copy to be maintained in the Library of Trident University International.
4. The Program Director will notify the Registrar that the candidate has successfully completed all dissertation requirements and the degree should be awarded. The Registrar will so record the degree in the candidate's official record, send the appropriate letter to the candidate, and arrange for the appropriate diploma to be forwarded to the candidate. The candidate will be invited to participate in the next scheduled Trident University International graduation ceremony. Participation in the graduation ceremony is encouraged but not required.

USE OF APA STYLE IN THE DISSERTATION

Trident University International has generally standardized on “APA style” as the most commonly used and generally accepted writing format. Many different print and online sources provide information as to the requirements of this style. Current versions of the APA manual published by the American Psychological Association (6th edition) are comprehensive and up-to-date, but many other online and printed guides and tutorials are also available. APA guidelines include rules for virtually every part of the dissertation including tables and table captions, citations and references, and the style of headings.

DISSERTATION STYLE SECTIONS OF A DISSERTATION

Please study this section of the Handbook so that you know how each of the required components of the dissertation should be formatted and structured. There are also examples and models for different parts, such as the title page. However, we recommend that you do not try to format your dissertation by hand using the guidelines in this section. Instead, use the Word template file that is available through Desire2Learn. That file has all the global settings, such as margins, preset for the dissertation requirements and it includes examples of the major components such as copyright page, table of contents, list of figures, and on. All you need to do with these standard components is replace the sample information with your own information. Using the template file as the beginning point for your dissertation will save you time and effort as well as reduce the likelihood that inconsistencies in the way you have formatted particular elements of the dissertation will delay acceptance and require you to spend extra time correcting format problems.

WHY FORMATTING REQUIREMENTS ARE SPECIFIC

All Trident University International doctoral dissertations are digitized by ProQuest UMI Microfilm, which fills orders for print and digital copies of your dissertation. Many of the procedures specified in this section are intended to ensure optimal digitized and print copies.

ARRANGEMENT OF CONTENTS

- This list indicates the order of the parts of the dissertation. All sections are mandatory unless designated as optional.
- Title Page Including Approvals
- Copyright Page
- Biographical Sketch
- Dedication (optional)
- Acknowledgements
- Table of Contents
- List of Tables
- List of Figures (or List of Illustrations)
- List of Abbreviations (optional)
- List of Symbols (optional)
- Preface (optional)
- Abstract

- Introduction (with reference at the end of the Introduction)
- Articles 1 - 3 (with references at the end of each article)
- Summary and Conclusions (with references at the end)
- Appendix (or Appendices)
- Glossary (optional)
- Index (optional and rare)

PAGE COMPOSITION

The following are guidelines for page composition. If in doubt about the acceptability of font size, legibility of equations, spacing, corrections, etc., consult your dissertation chair. Do not use a dissertation available online or in a library as a model. Standards and requirements often change as digital technologies improve and methods for disseminating dissertations evolve. Dissertations were, until recently, disseminated primarily as bound copies, but today most people who read a dissertation from another university do so via a digital rather than a physical copy.

TYPEFACE

The entire text of the dissertation, including page numbers, must be produced with a limited number of fonts or typefaces. Exceptions are made only for tables and figures produced by different technology or by graphic artists. Many students use one typeface for all elements of the dissertation. Others use two typefaces – one for the body of the dissertation (often Times New Roman) and another for headings and titles (often Helvetica or Arial). If you wish to use more than two typefaces you must discuss your reasons with your Chair.

The preferred typeface for APA publications is Times New Roman, and the preferred size of the text is 12-points. Times New Roman is a very readable typeface and it is relatively economical in terms of the space it uses. Using Times New Roman may save several pages in every 100 when compared to other typefaces. Other fonts may be acceptable. If you prefer to use a different font discuss the decision with your dissertation chair.

MARGINS

Set the margins for the dissertation as follows: Left Margin: 1.6 inches

Top, Bottom, and Right Margins: 1.1 inches

The reason for these slightly odd margins is that some procedures for creating microfilm and digital copies are designed to work with 1" margins except for a left margin of 1.5". However, some photocopiers are optically inaccurate and may produce copies that are as much as 2% larger than the originals. The margin requirements of 1.6" for the left margin and 1.1" for all others include some extra space to compensate for the possibility of photocopies that are larger than the original copy. These margin requirements apply to all tables and figures as well as pages with text.

SPACING

The dissertation must be double-spaced throughout except for quotations and footnotes. References may be single-spaced within each entry, but must be double-spaced between each entry. The table of contents, list of tables, list of figures, and lengthy tables may also be single-spaced.

EQUATIONS AND FORMULAS

Equations may be inserted from a non-matching font. All subscripts and superscripts must be large enough to be read on microfilm. To ensure readability on microfilm, test a page with sub- or superscripts by photocopying the page using a 25% text reduction. If the sub- or superscripts are still readable, then they are probably large enough.

WIDOWS AND ORPHANS

Avoid "widows" (short lines ending a paragraph at the top of a page) as much as possible. A heading or subheading at the bottom of a page that is not followed by at least two lines of text is called an "orphan." Add extra blank lines to get rid of widows and orphans. However, do this only when you are working on the final version that will be submitted to the library as revisions and changes up to that point will change where widows and orphans occur.

JUSTIFICATION

Even modern word processing programs like Microsoft Word do not do justification well because they add spaces between words instead of adjusting spacing between letters. The end result is often text that is unappealing and slightly more difficult to read. For that reason, use left justification for the body text of your dissertation.

TITLES OF SECTIONS

The following sections must be titled accordingly, and should be in bold, first letter capitals. "First letter caps" means the first letters in the major words are capitalized as indicated below. Avoid ALL CAPS as text printed in all capitals is more difficult to read because the top of the letters form a straight line while the uneven tops of uncapitalized text makes it easier to read. All titles are centered for the preliminary pages.

Biographical Sketch

Acknowledgements

Table of Contents

List of Tables

List of Figures (or List of Illustrations)

List of Abbreviations

List of Symbols

Preface

Abstract (more information about the abstract is provided below)

Introduction

Article Titles

Summary

Appendix

Pages such as the Table of Contents require a title but some sections should not have a title. Do not use generic titles on the following: Title Page, Copyright Page, and Dedication.

PAGINATION FOR FRONT MATTER

The front matter of a dissertation includes all the sections that come before the main body, which begins, in the Trident University International Ed. D. dissertation, with the Introduction. Front matter sections are arranged and numbered using lower case Roman numerals, in the same size font as the text, centered between the margins, at least 1/2 inch from the bottom of the page.

If the dissertation contains tables, figures, or illustrations, the appropriate list must be included in the Front Matter. If any of the above sections are more than one page in length, each page is given the next Roman numeral, e.g., the first page of the Biographical Sketch is on page iii; subsequent pages of the sketch would be iv, v, etc. Roman numeral page numbers must be at the bottom of each page, centered between the margins, whether or not the page starts a new section.

PAGINATION FOR THE BODY OF THE DISSERTATION

The body includes:

Text

References

Appendix (or Appendices)

Use continuous Arabic numbers for these sections, beginning with page 1. The Arabic numbers start on the first page of text and the numbering continues through the appendices. Chapters or sections begin on new pages. There should not be breaks between sections or before tables or figures, unless they occur naturally. On pages carrying major headings, such as the first page of a chapter, and the first page of each appendix, the number is centered between the margins, no less than one-half inch (1/2") from the bottom of the page. Note also that the Ed.D. dissertation requires a reference section at the end of each document in the main body of the dissertation (Introduction, Article 1, Article 2, Article 3, Summary/Conclusions). The reference section for each component (Introduction, each article, and Summary/Conclusions) should begin immediately after the end of the text for that section and should not begin on a new page. The page number stays at the top of the page, since the references are considered part of the article or section and not a separate section.

Page numbers are placed at the top of the page for charts, maps, illustrations, and all pages after the first page of each chapter and each appendix. The page number is placed either at the top centered between the margins, (one-half inch [1/2"] clearance from the top of the page), or at the top right corner (one-half inch [1/2"] clearance from the top of the page, and one inch from the right edge of the page). Be consistent--select a format and stick with it. There should always be at least a double space between the page number and the first line of text.

All pages, beginning with page one of the text, must be numbered consecutively.

TWO VOLUME DISSERTATIONS

Some dissertations that include a number of long appendices may be too large to bind in one volume. Once you know how long your dissertation will be, measure the thickness of the dissertation using the type of paper the original will be printed on. Approximately three inches of paper will fit in one volume.

In dissertations with two volumes, the second should continue the numbering of the first part. Each volume should contain a title page with the words Volume I (or Volume II) added to the page, directly beneath the title. Include this information in the Table of Contents. The title page of the second volume is counted as a text page in the Arabic numeral counting, but a page number is not typed on the page. Subsequent pages should reflect this count.

TITLE PAGE

Title Selection. The words in the title of the dissertation should be selected carefully to represent as accurately as possible the subject content. The words in the title are important access points to researchers who may use computerized keyword search techniques to identify works in various subject areas.

Authors of scientific and engineering dissertations or theses should use word substitutes for formulas, symbols, superscripts or subscripts, Greek letters, etc. Examples: "Chromosomal Localization of the Alpha- and Beta-globulin of the Chicken, *Gallus domesticus*" and "A Study of High Critical Transition Temperature Superconductivity in the Neodymium-barium-copper Oxide System." (From *Publishing Your Dissertation*, Ann Arbor, MI: University Microfilms, Inc., 1997)

Title Page Format. The title is in first letter capital letters, bold, centered within the left and right margins, double-spaced, about 1 1/2 inches from the top of the page. Five lines of text will follow the title, double spaced and printed at the vertical and horizontal center of the margins. Student's Name

Student's Name. The student's name must appear as it is on file in the University Registrar's Office. The date on the title page should be the date of degree conferral, not the date the dissertation is submitted. The dissertation title and the student's name must be exactly the same wherever they appear in the dissertation: title page, copyright page, abstract page for doctoral dissertation, and Approval Form.

Copyright and Registration. Copyright law involves many complex issues that are relevant to the graduate student both in protecting his or her own work and in referencing the work of others. Discussion of copyright in this publication is not meant to substitute for the legal advice of qualified attorneys. A more detailed discussion of the copyright law can be found in the publication from University Microfilms, Inc. entitled *Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights and Responsibilities* by Kenneth D. Crews. Copies of this publication can be found at in many on-line libraries.

Copyright protection automatically exists from the time the work is created in fixed form, and the copyright immediately becomes the property of the author. Registration with the United States Copyright Office is not required to secure copyright; it is a legal formality to place on public record

the basic facts of a particular copyright. Although not a condition of copyright protection itself, registering the copyright is ordinarily necessary before any infringement suits can be filed in court. If a student chooses not to copyright, s/he must insert a blank page behind the title page and does not need to sign the bottom of the Dissertation Approval and License to Use Copyrighted Material form.

A doctoral student may authorize University Microfilms, Inc. to file, on his or her behalf, an application for registration. This request is made on the UMI form and requires payment of a fee. This expense is the responsibility of the doctoral student. Whether you decide to register the copyright or not, a notice of copyright should appear as the sole item on the page immediately following the title page. The page is counted, but the number is not typed on this page. The copyright notice is centered vertically and horizontally within the margins as follows:

© 20__ Student's Name

The copyright symbol is a lower case "c", which must be circled. On Macintosh computers, the symbol is generally obtained by pressing the "option" and "g" keys simultaneously. If the font does not have the © symbol, use another font that does. On Windows computers using Microsoft Word, go to the insert menu, choose symbol, and highlight the © symbol. The student's name must appear exactly as it is on file at the Registrar's Office and throughout the dissertation. The date on this page is the year of conferral of the degree.

Additional information and forms from the U.S. Copyright Office are available on the Web. Forms may be downloaded and printed for use in registering or renewing a claim to copyright. The forms and the information may be accessed and downloaded through the United States Copyright Office homepage.

BIOGRAPHICAL SKETCH

The biographical sketch can be written in first person (though third person is acceptable if you prefer) and contain your educational background and professional experience. It may contain additional biographical facts and it should give the reader some understanding of why you selected a particular problem of practice for your dissertation. The heading is the phrase

"Biographical Sketch" in first letter caps, bold, and centered within the margins at the top of the page. Font, margin, and spacing requirements are the same as those of the text. The page is numbered at the bottom of the page, centered within the margins, using lowercase Roman numerals.

DEDICATION

The dedication is optional. It does not have a heading, is usually centered on the page, can be in italics or regular type. The page is numbered at the bottom center of the page, using lowercase Roman numerals.

ACKNOWLEDGMENTS

The acknowledgments are typically written in the first person. Students whose research has been funded by outside grants should check with the principal investigator of the grant regarding proper acknowledgment of the funding source. Most outside funding sources require some statement of acknowledgment of the support; some also require a disclaimer from responsibility for the results. It is generally better to err on the side of generosity when thanking people for their help and support. The heading is the phrase "Acknowledgements" in first letter caps, bold, and centered within the margins at the top of the page. The acknowledgments page (s) should use the same fonts, margins, spacing, and paper quality as the text of the dissertation. The page is numbered at the bottom of the page, centered between the margins, using lowercase Roman numerals.

TABLE OF CONTENTS

Any standard format may be used for the table of contents. The only requirements are that the same font is used as in the text; page numbers must be listed for each section. Each page of the table of contents is numbered at the bottom of the page, centered between the margins, using lowercase Roman numerals. The heading is the phrase "Table of Contents" in first letter caps, bold, and centered within the margins at the top of the page. In most cases the preliminary sections, except for the title page, copyright page, and abstract are listed in the table of contents. If you are using Microsoft Word or another modern word processing program, the best approach to creating a table of contents is to use the built-in commands that automate the process.

LISTS OF FIGURES, TABLES, OR ILLUSTRATIONS

There must be separate pages for List of Figures, List of Tables, or List of Illustrations, even if there is only one example of each. Lists must contain enough of the titles or descriptions so that readers can locate particular items using the list. Lists must contain the page number for each table, figure, or illustration, as in the table of contents. It may not be necessary to include entire figure captions or table headings. The page is numbered at the bottom of the page, centered between the margins, using lowercase Roman numerals. The page heading is the phrase "List of " in first letter caps, bolds, centered between the margins, at the top of the page.

ABSTRACT

The abstract should state the problem, describe the methods and procedures used, and give the main results or conclusions of the research. University Microfilms, Inc. requires that the abstract be typed (double-spaced) with the same typeface as the dissertation and that it not exceed 350 words. An abstract that meets the requirements is generally about 1 1/2 double-spaced pages. The abstract may not be more than two pages, even if fewer than 350 words long. All requirements that apply to the text apply to the abstract. The abstract pages are neither numbered nor counted. The heading of the dissertation abstract is as follows:

Title of Dissertation

Student's Name,

Ed.D. Trident University International 20__ (year of conferral)

Begin the title about 2 inches from the top of the page. The dissertation title is centered between the left and right margins and appears in first letter caps and bold. The student's name must appear as it is on file in the University Registrar's Office. The title and name must be exactly the same wherever they appear in the dissertation. The date on the abstract page should be the year of conferral, not the date the dissertation was submitted. Skip one double-spaced line and begin the abstract on the same page.

FOOTNOTES

Textual notes that provide supplementary information, opinions, explanations, or suggestions that are not part of the text must appear at the end of the section where the footnote citation occurs. That is, a footnote in Article 2 would be cited at the end of Article 2, and the end of the text and before the references. Microsoft Word, and other word processors handle this type of footnote automatically. In Word this type of footnote is called an "Endnote." Placement of footnotes at the bottom of the page is necessary since all dissertations are microfilmed. Note: Footnotes may be single-spaced in a 10-point size but must be in the same font as the text.

Footnote numbering should start at 1 at the beginning of each section. For example, if there are three footnotes in your Introduction, the first footnote in the next section (Article 1) will still be "1". If you create footnotes by hand and then insert a new one, numbering must still be continuous for that section. Inserted footnotes may not be numbered 25a, for example. The footnotes following the insertion must be renumbered. Fortunately, word processing software such as Microsoft Word automatically renumber footnotes when new ones are added.

THE USE OF FOLDOUTS IS NOT ALLOWED

Foldouts are not permitted because they are difficult to handle in digital versions of the dissertation. Oversize figures and tables should be revised or broken up. Illustrations and photographs should be designed or cropped so they can be accommodated on a standard page of the dissertation or revised so that they can be meaningfully displayed across more than one page.

TABLES AND FIGURES

Tables and figures must be placed as close as possible to their first mention in the text. They may be placed on a page with no text above or below, or they may be placed directly into the text. If a table or figure is placed directly into the text, text may appear above or below the table; no text may wrap around the table. If a table or a figure is alone on a page (with no narrative) it should be centered

within the four margins on the page. Tables and figures may not be placed at the end of the chapter or at the end of the dissertation. Figure and table numbering must be continuous within a section. There cannot be two figures numbered 5,

for example, in a dissertation. The fifth figure in the Introductory section should be numbered "Figure 1-5) and the fifth figure in the third article should be numbered "Figure 4-5" because that article is the fourth section of the dissertation.

Captions of tables should be placed at the top of the table using the APA format rules.

Captions of figures, illustrations, and photographs should be placed below the item and formatted according to APA guidelines. If a figure takes up the entire page, the figure caption should be placed alone on the preceding page and centered vertically and horizontally within the margins.

If a table or figure is more than one page, the second and subsequent pages should say at the top, for example, either Table 5 (Continued) or Figure 5 (Continued), and the caption is omitted.

Horizontal figures and tables (e.g., items displayed and printed in landscape rather portrait mode) must be positioned correctly: they will be bound at the top (i.e., the top of the figure or table will be at the left margin). Figure and table headings/captions are placed with the same orientation as the figure or table when on the same page. When on a separate page, headings/captions are always placed in vertical orientation, regardless of the orientation of the figure or table. Page numbers are always placed as if the figure were vertical on the page.

If a graphic artist produces the figures, the College will accept lettering done by the artist within the figure. Figures produced with software are acceptable if the figures are clear and legible. Legends and titles produced by the same process will be accepted if they, too, are clear and legible and at least 10 or 12 characters per inch. Otherwise the legends and captions should be printed in the same font as the text. The use of colors should be avoided because some current forms of disseminating your dissertation may be black and white only. Other techniques for indicating differences within graphs, charts, maps, etc., such as cross-hatching, should be used. Make sure, however, that the technique you use will be clearly understandable in digital (e.g., PDF) and printed (e.g., laser printed) formats.

All graphs, diagrams, line drawings, manuscript facsimiles, maps, chemical formulas, computer printouts, musical scores, etc., included in the body of the dissertation should be in digital formats that allow you to integrate them into the dissertation document. Do not, for example, commission a large line drawing and then use a photocopier to reduce it to an 8 1/2 by 11 page that will be inserted manually into each copy of your dissertation. Instead, scan the drawing and create a digital copy that can be inserted in the word processing file of your dissertation.

PHOTOGRAPHS

In order for photographs to be considered archival, they must be black-and-white. If color photographs are necessary, they must be accompanied by photographs of the same subject in black-and-white. As with drawings and other illustrations, do not manually insert copies of photographs into printed copies of your dissertation. Either use digital images or scan the photographs and insert the digital copy of the photograph into the word processing file.

REFERENCES

In education the guidelines of the American Psychological Association (APA) are almost universally used to specify the appropriate format for citations in the body of a paper and entries in the list of references. Format citations and references in your dissertations according to the current edition of the American Psychological Association's Publication Manual.

The list of references (titled "References" and printed in bold, be single-spaced within each entry, but must be double-spaced between each entry. Using a "handing indent" format so that lines after the first one in each reference are indented by half an inch.

ACKNOWLEDGING THE WORK OF OTHERS

Students are responsible for acknowledging any facts, ideas, or materials of others in their work. Students must follow the guidelines in the "Code of Academic Integrity and Acknowledging the Work of Others."

COPYRIGHTED MATERIAL

If a student uses any copyrighted material in the dissertation, it is the student's responsibility to give full credit to the author and publisher of work quoted. A citation should be provide, including page numbers, for every quotation, figure, or illustration used and the format of use should make it clear that this is a direct

use of material created by someone else. For example, long quotes should be intended and short quotes should begin and end with quotation marks. Additionally, the student must determine whether use of the material falls within "fair use" guidelines. If you have included material that goes beyond the concept of "fair use", then you must obtain written permission from the copyright owner. Two copies of each permission letter should be submitted with the dissertation. University Microfilms, Inc. has specific requirements for the content of the permission letter. For these guidelines, consult Doctoral Dissertation Agreement Form, published by University Microfilms, Inc.

For a more detailed discussion of "fair use", see Copyright Law and the Doctoral Dissertation: Guidelines to your Legal Rights and Responsibilities, published by University Microfilms or The Chicago Manual of Style published by the University of Chicago Press.

There may also be times when part of your dissertation has already been published elsewhere. For example, one or more of the articles in your dissertation may have been published, or accepted for publication, in a journal. If that is the case, you will need to obtain written permission from the journal to use the material in your dissertation. Include a scanned copy of the permission letter in an appendix.

APPENDICES

Peripheral materials that are relevant to the main text of the dissertation should be placed in appendices. These may include survey instruments, additional data, computer printouts, details of a procedure or analysis, etc. Appendix material must meet the same requirements of page composition, pagination, legibility, and paper quality as the text itself. On the first page of each appendix the page number is placed at the bottom of the page, centered between the margins.

PRODUCTION OF THE DISSERTATION

The dissertation should be produced with a modern word processor such as Microsoft Word, Corel WordPerfect, OpenOffice, or LibreOffice. Because of the numerous and sometimes complicated formatting requirements for a dissertation, the best approach is to use a word processing

“template” file that contains “tags” for each of the major elements of a dissertation. For example, the Microsoft Word template available from Trident University International for the Ed. D. dissertation contains “tags” for elements such as an article title, a reference, a main heading, a subhead, and so on. To format text as a main heading, you place the cursor anywhere in that text and click the tag for “main heading.” Word then automatically applies all the formatting for a main heading.

COMPUTERS AND PRINTERS

Today almost all dissertations are produced on computers, and a variety of software packages are used. Virtually all modern word processing programs are suitable for writing a dissertation and the one you are already comfortable with will probably meet your needs as you write your dissertation. Also consider the printers that will be available for the final printing of the dissertation. Dot matrix and most home quality inkjet printers are not acceptable for the final copy of the dissertation. Such printers are suitable for producing drafts but the final version of your dissertation should be produced on a laser printer or one of similar quality. If the computer you use to write your dissertation does not have a laser printer attached, use a computer with a laser printer to create the final printed copy of your dissertation. All software acquisition for data analysis, typing etc. is the responsibility of the doctoral student.

MAKING COPIES AND MEETING PAPER SPECIFICATIONS

Make sure that each copy of the dissertation is properly collated and that no pages are missing, duplicated, placed in incorrect order, or turned sideways. Also make sure that all pages are as clean and as sharp as the original.

Dissertations should be printed on paper that is “archival” quality to assure that it will last decades, if not centuries. Generally, archival quality is acid free, 20 pound, and has a high cotton or “rag” content (e.g., 25%). All expenses related to producing and copying the dissertation are the responsibility of the student.

ED. D. DISSERTATION FORMATTING CHECKLIST

Format

- Trident University International students will format their dissertation pages in Microsoft Word or a compatible program to 8 1/2 X 11 inches.
- Typeface of text should be either 10 or 12 point, and the Times New Roman font is recommended.
- Margins after photocopying must be at least 1 1/2 inches on left; at least one inch on all other sides. Set the left margin to 1.6" and others to 1.1".
- Double-space the dissertation (except References, Table of Contents, List of Tables, List of Figures, lengthy tables, indented quotations, and footnotes which can be single spaced)
- All equations and formulas should be typed (with superscripts and subscripts all legible)
- No "orphans"
- No "widows"

Frontmatter Pages

- Lower case Roman numerals used at the bottom of the page, centered between the margins, with at least 1/2 inch clearance from bottom of page, starting with Biographical Sketch
- Frontmatter is arranged in the proper order

Copyright

- Notice of copyright is on the page immediately after title page
- Abstract
- Double-spaced
- Same typeface as text in the body of the dissertation
- Not exceeding 350 words for doctorate
- Page(s) not numbered or counted but no longer than 2 pages
- Original signature of chairperson in upper right corner of first page of each copy
- Abstract uses the correct heading format

Text

- Each section (Introduction, Articles 1 -3, Summary and Conclusions) begins on a new page
- Major parts within sections do not begin on new pages (unless that occurs naturally)
- On the first page of each section and appendix, the page number (Arabic) appears at the bottom, centered between the margins, with at least 1/2 inch clearance
- On all other pages including text, charts, maps, illustrations, appendices, bibliographies have Arabic page numbers placed either: at the top of the page, centered between margins, with at least 1/2 inch clearance, or at top of page, one inch from right edge of paper, with 1/2 inch clearance from the top
- All pages are numbered consecutively

Footnotes

- Style of footnotes consistent throughout dissertation
- Footnotes (Endnotes) appear at the end of the section after the text and before the references
- Footnote numbering is consistent with footnotes within each section numbered consecutively with a prefix indicating the section.

Figures, Tables, Photographs, and Foldouts

- Tables and Figures must be formatted to current APA requirements
- Figures and tables are numbered consecutively within each section with a prefix indicating the section (e.g., Figure 5-2).
- Table numbers and titles are placed at top of tables
- Figure numbers and titles are placed below figures

Copying and Binding

- Four (4) copies on archival paper
- Each copy is properly collated
- Each copy is sharp and clean
- UMI/Proquest will provide updated information. Trident University International students will format their dissertation pages in Word to 8 1/2 X 11 inches. However, please be sure to choose the 6 X 9 inch size option on the Author Discount Form in the UMI/Proquest packet.

Forms to Submit to UMI/Proquest

- The Publishing Agreement Form
- The Dissertation Submission Form
- The Copy Order Form
- The Copyright Registration Form (Optional)

SUBMITTING THE DISSERTATION TO PROQUEST UMI

ProQuest UMI accepts dissertations in several formats but the Ed. D. program requires that students submit their dissertations in digital format. The final version of the dissertation document should be converted from the word processing format such as Microsoft Word's .doc or docx format to Adobe PDF format. No compression should be used. There are many ways of converting a Word document to PDF format including several online services that make the conversion for free (e.g., <http://www.doc2pdf.net/>). We recommend using Adobe's Acrobat software if it is available. You will need the commercial version of Acrobat as the free Acrobat Reader does not convert files to PDF. Some word processors, including OpenOffice will convert document files to PDF. OpenOffice, which is a free program, both converts files to relatively "clean" PDF files and also reads and writes Microsoft Office files.

Once it is submitted, UMI Dissertations Publishing can make no changes to the document. Therefore, the burden of how the document looks when it is accessed or printed is entirely the responsibility of the author. We strongly recommended that you take seriously the responsibility for converting your dissertation file to the Adobe PDF format and that you carefully check the PDF version of your dissertation for accuracy and correct formatting. The conversion process is not trivial, and there can be serious formatting issues that make it difficult anyone to read your dissertation.

All fonts used in your dissertation should be "embedded" in the document, which means they are available to readers even if those fonts are not resident on their computers. The choice of embedding fonts is usually an option available during the conversion process. External or internal links to multi-media files are acceptable. If multi-media elements are used in the document, file formats should be identified in the dissertation abstract. Currently acceptable file formats include the following:

Images: GIF (.gif), JPEG (.jpeg), PDF (.pdf) use Type 1 PostScript fonts, TIFF (.tif)

Video: Apple Quick Time (.mov), Microsoft Audio Video Interleaved (.avi), MPEG (.mpg)

Audio: AIF(.aif) CD-DA, CD-ROM/XA MIDI (.midi), MPEG-2 SND (.snd), WAV (.wav)

The UMI/ProQuest Dissertations Department can be contacted at:

1-800-521-0600, ext. 7020

info@il.proquest.com

REFERENCES

- Carnegie Project on the Education Doctorate. (2013). Fall 2013 updates. Retrieved on January 12, 2015 from <http://cpedinitiative.org/fall-2013-program-updates>
- Glatthorn, A. A. and Joyner, R. L. (2005). Writing the winning thesis or dissertation: A step-by-step guide (2nd ed.). Thousand Oaks, C.A.: Corwin Press.
- Willis, J., Inman, D., and Valenti, R. (2010). Completing a professional practice dissertation: A guide for doctoral students and faculty. Charlotte, N.C.: Information Age Publishing.