The Dissertation Handbook does not constitute a contract between students and Trident University. Rather, it serves as a GUIDE ONLY for the process and writing of proposals and Dissertations. Trident University reserves the right to amend/update the handbook at any time according to Trident University PhD program needs, accreditation requirements and/or ProQuest publication changes.

The dissertation is a requirement for receipt of the highest academic degree - the Ph.D. The dissertation is also a permanent record of original research. Trident University is committed to the preservation and dissemination of the research contributions of its students.

This handbook outlines procedures that are designed to make preparation of the proposal and the dissertation as rigorous yet as efficient as possible. Format requirements are described here to meet the specifications for microfilming for publishing the dissertation with UMI/Proquest. Please read and follow these procedures carefully to avoid costly and time-consuming revisions.

Please note: Students may not begin working on their dissertation proposal or dissertation research prior to completion of ALL course requirements for the PhD program, and enrollment in the Dissertation Seminar - DHS, DEL OR DBA 699 and passing the Oral and Written Comprehensive Exams.

General Degree Requirements

All requirements for the doctoral degree (including completion of required coursework and filing the bonded dissertation) are expected to be completed within nine years following first enrollment in the PhD program. Please visit the university catalog for the policy related to maximum time to degree. Also, visit the college catalog for the specific degree requirements, and contact the college regarding requirements for the oral and written qualifying exams.

Upon completion of coursework students will enroll in the Dissertation Seminar (DHS, DEL OR DBA 699) and begin to work on the dissertation prospectus. Students who successfully complete the seminar will receive a grade of ‘PR’ which will be changed to an ‘A’ upon successful defense of the dissertation proposal. Students who fail the seminar will be required to repeat the course. *Students may only repeat DHS, DEL OR DBA 699 twice. Following successful completion of the Dissertation Seminar, students must register for DHS, DEL OR DBA 700 in the next session. During this session a Dissertation Committee and Dissertation Chairperson will be established for each student. Each committee shall consist of three faculty members, one of whom serves as Chair of the Committee. One member of the committee or the Chairperson must be external to Trident University. The Chairperson and the Committee will be responsible for guiding the student during the dissertation process.
Students will continue to register in subsequent sessions to DHS, DEL OR DBA 701, 702 etc... until completion of the dissertation including submission of the bonded dissertation to the Library of Trident University or until DHS, DEL OR DBA 712.

**Establishing the Committee**

After consultation with the PhD Program Director, a student may nominate an external expert in his/her area of interest to serve as a doctoral faculty mentor. The external expert may serve as a committee member or the Chairperson. The student must ensure that the nominated individual(s) submit CVs and supporting documentation of research in refereed journals in the area of the student’s doctoral research. The required supporting documentation must be provided to the PhD Program Director for consideration.

The nominated member must meet the criteria for appointment (an earned Ph.D. with a record of scholarly research; experience supervising student research, and evident expertise in the field under consideration). In addition, the nominee must have no personal or professional conflict of interest with the student or organizational conflict of interest with Trident University.

An approved external doctoral faculty mentor may be selected as Committee Chair. The term of appointment is limited to the enrollment in dissertation continuation courses (DHS, DEL OR DBA 700 series) and only for the nominating student. The Doctoral Program Director, the College Dean and the VP for Academic Affairs may, at their discretion, extend the period of appointment and facilitate the assignment of other students to the faculty member if s/he so desires and the assignments fit with other program priorities.

No more than two members of the committee can be external to Trident University. The external Committee Chair or member must be approved by the Program Director and College Dean and have formal approval from the VP for Academic Affairs.

The committee members must meet the following criteria:

a) The Chair of the Committee must hold a PhD Degree or equivalent terminal degree with a research background, and a record of publications.

b) The Chair and one other committee member will have academic background related to the student’s field of study.

c) All members of the committee will have at least three years of postgraduate research experience and publication record.

d) All members of the committee should have been active in their field of scholarship within the five-year period preceding their participation on the committee.

The Chair is formally appointed by the College Dean following the recommendation of the Program Director. Considerations in the recommendation will include the interests of the student, research expertise available among the faculty, and existing dissertation supervision loads.

The Doctoral Program Director will assist the student in assembling the dissertation committee. Committee members may be selected for either content or research expertise, or both, depending on the subject of the dissertation and the student’s needs. All
Committees will have at least one full-time Trident University faculty member as either Chair or a committee member. If a committee is to be chaired by an external member, the full-time Trident University faculty member will be appointed as a member at the same time as the Chair. The Trident University faculty member will serve as a standing liaison to facilitate communications and resource exchanges among all parties as needed and to provide a point of accountability for 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 proposal and again upon successful defense of the dissertation.

**Committee/Chairperson Duties and Responsibilities**

All PhD Committee Chairs are subject to a quarterly assessment of student progress and Committee activities. The assessment is conducted by the Program Director. The student/Chair/Committee relationship is one that can take many forms – there is no single pattern that uniquely characterizes successful relationships. Like all relationships, this one has ups and downs, thus, a summative evaluation of the relationship at some random point in time is neither possible nor helpful. The issue is much more one of *formative* evaluation and the key is creating a set of procedures whereby the parties themselves are encouraged to remain continuously aware of what is and is not working and communicate about needed improvements.

While the responsibility for progress and completion of the dissertation is that of the student, the Chairperson will have the following specific responsibilities:

- Provide guidance and supervision during the entire dissertation process.
- Provide timely first reviews of all elements of the research process.
- Communicate about the Dissertation via CourseNet – topics of communication include:
  - When the dissertation proposal or dissertation is ready for review
  - When an element is unacceptable and should be returned to the student without forwarding to the members
  - Specific constructive critique by the Chairperson including inquiry into lack of acceptable progress
- Forward committee member comments to the student. Only the chair communicates directly with the student. Committee members may not communicate directly with the student.
- Make logistical arrangements for the defenses of the proposal and completed dissertation and forward copies of each document to the relevant parties.
- Serve as Chair for the proposal and completed dissertation defenses.
- Report results of the proposal and completed dissertation defenses to the Program Director.
- Schedule and serve as Chairperson for all meetings of the full dissertation committee.

The dissertation committee members will have the following responsibilities:

- Provide assistance and advice as needed to the Committee Chairperson.
- Review all dissertation elements forwarded by the chair and respond with constructive critique. The "Discuss with committee only" option in CourseNet must be used.
- Attend and participate in the proposal and completed dissertation defenses conducted as conference calls.
Steps in the Dissertation Process

While there is no single set of steps, which characterize all dissertations, there are elements and procedures, which are more-or-less common to all PhD programs. These include the following:

1. **Choosing the Dissertation Topic**

Perhaps the most difficult part of the dissertation for most students is choosing a topic for their dissertation. Ideally, a dissertation should be the logical culmination of the courses and experiences, which constitute the PhD program. Usually a topic is chosen during the dissertation seminar, and a first draft of the dissertation prospectus is completed by the end of the seminar. The Dissertation topic must be in the area of your prospective college, Health, Education or Business and it should lend itself to a quantitative analysis. Students who wish to conduct qualitative analysis will be required to add a quantitative component to their dissertation and the quantitative component must involve inferential statistics. Purely descriptive research does not have the level of rigor for a PhD dissertation. No non-health related topic will be approved for a dissertation in the College of Health Sciences. No non-education topic will be approved for the dissertation in the College of Education. No non-business topic will be approved for the dissertation in the College of Business Administration.

2. **Choosing the Members of the Dissertation Committee**

Please see above sections discussing formation and responsibilities of dissertation committee.

3. **The Dissertation Proposal**

As noted, the student is to prepare a preliminary draft of the dissertation proposal (which is a prospectus) during enrollment in DHS, DEL OR DBA 699 Dissertation Seminar. Upon completion of DHS, DEL OR DBA699, the dissertation prospectus is approved, the student will receive a PR grade and continue to register in the following session to DHS, DEL OR DBA 700 course, in which the committee chair and members will be established, and the student will work with his/her chair and committee to prepare a final proposal for defense and committee approval. Once the dissertation proposal is approved, the grade in the DHS, DEL OR DBA will be changed to an actual grade of ‘A’. In many respects, the dissertation proposal is the most important element in the entire dissertation process, as it serves as a road map for the dissertation.

The approved dissertation proposal constitutes an effective contract between the student and the committee. This contract protects the student against unilateral faculty changes to the dissertation, but also ensures that the student is obligated to carry out the full scope of the study. The contract/proposal can be modified by mutual consent in writing and signed by all committee members if circumstances change during the course of the study. The timeframe to complete and defend the proposal is 3 sessions following the completion of DHS, DEL OR DBA 699 (it is DHS, DEL OR DBA 700 to DHS, DEL OR DBA 702), if the student cannot complete the proposal within this time frame he/she needs to obtain the approval of the Doctoral Program Director for additional time as supported by the dissertation chair recommendation.

**A word of caution:** It is possible to overdo the search for a dissertation topic that was
encouraged earlier. Many students seek admission to a Ph.D. program with a dissertation topic firmly in mind. Frequently this topic is an extension of a completed Master’s level thesis. But a dissertation is much different in nature and much more extensive in scope and rigorous than a Master’s thesis or any other terminal degree. Potential and admitted students should realize that a successful dissertation topic must involve a substantial element of theory, not just a review of practices or a basic survey or evaluation study or the like. The dissertation must be clearly set within a context of theory and research in the relevant domain. The literature review that forms a significant part of the proposal and the dissertation is intended to establish this context and to place the student’s work clearly in relationship to the body of knowledge.

The nature of the research can take many forms as long as it is rigorous, well formulated according to the rules of the research mode in question, and well adapted to the nature of the research topic and questions. Again, the Trident University faculty has the full capability to support any research within this range. The nature of the research may vary with the intended career paths of the candidates.

Regardless of the nature of the research, the ultimate test of a successful dissertation research project is a determination as to whether or not the research adds meaningful information to the established body of knowledge surrounding the issue or problem area. The expectation is that all dissertations will make some contribution, however slight, to collective knowledge and theory. Trident University expects the dissertation be of high quality and rigor, as the Dissertation is the ultimate learning outcome of the PhD program.

4. Completing the Dissertation Proposal Draft

The student should work closely with the committee chair and members in preparing the dissertation proposal.

The complete proposal should include at minimum the following elements:

- An Abstract;
- An introduction with a clear definition of the general topic area to be studied;
- A description of the specific issue or problem to be studied. (The most likely method for the student to identify such an issue or problem is to review the relevant academic literature. That literature is expected to describe areas where further research is indicated or the candidate may discover published research in which the methodology or underlying elements of the research can be improved);
- The research question(s);
- A review of the literature demonstrating that the candidate has thoroughly researched the current status and the historical standing of the issue or problem;
- A conceptual framework - The theory, theories, theoretical models, or mechanisms have been identified and are relevant to the research questions and associations under study. The concepts and the relationships among the constructs/variables are presented clearly and logically. The D.V’s and I.V’s are clearly assigned in the conceptual framework and there is clarity of directionality. There is a clear graphical presentation;
- A formal hypothesis or set of hypotheses where appropriate. Must show that the hypothesis is derived from the literature; a proposed methodology to test the hypotheses. This section should include the specific steps to be followed in the research including sufficient detail to allow the committee to fully evaluate the methodology. In this section, the student must show these elements:
a) How the methodology will fully test the hypotheses and address the research issue or problem.

b) A detailed description of any data to be gathered and how that data will be gathered. A full description of any instruments (i.e., questionnaires) or other tools to be used in the research. If indicated, a preliminary test and/or validation of any instruments should be conducted and described. A detailed description of any testing and/or other analysis of the data including specific statistical or other quantitative tests to be performed along with a justification for the selection of those tests.

To help students in completing an acceptable dissertation proposal, there are various models in the literature. Some models best-fit dissertations. It should be emphasized that there is a wide range of possible models. Whatever form it takes, the purpose of the proposal is to describe in sufficient detail and clarity what the student intends to do so that the faculty who constitute the Dissertation Committee, the Doctoral Program Director, and the VP for Academic Affairs can make an informed decision as to the acceptability of the proposed work. The dissertation proposal should represent the level of rigor and quality that is appropriate for a PhD program.

**Dissertation Proposal Step by Step Guide:**

**Abstract:** Describe the entire proposal in no more than two paragraphs.

**Part I. Introduction, Problem Statement and Research Question(s).**

The first step is to summarize the broader concepts and issues related to your topic in order to place your subject in broader context. This should be no more than two or three paragraphs. You must encapsulate in a few sharp sentences what this project is about. NO Literature Review yet.

In this section, define and present the issue in order to frame specific research questions. This section builds on the context established in the introduction section. From here, the writer must develop the rationale for the dissertation by explaining the importance of the questions you might consider: Ask Yourself:

- Does the dissertation deal with a significant and meaningful problem that lends itself to a substantial research effort?
- Is the problem of interest to other scholars or practitioners in the field of your PhD degree?
- Has a persuasive case been made as to why the problem is worth solving?
- Is it clear who or what will be aided by the research findings?
- Will the findings provide a basis for generalized conclusions or have practical applicability?
- Is the intention of the research expressed clearly?
- Are the research questions stated concisely and explicitly in question form?
- Are they precise, specific, and focused?
- Do they flow logically from the problem?
Part II. Literature Review, Theoretical Orientation and Conceptual Framework,

Hypotheses

You must conduct a thorough literature review that relates only to your research questions. Begin with the theoretical framework, and provide key constructs. Define specific terms and how you will use them, and then model what you think is going on. For example, if your topic is related to Teaching and Learning and attitudes in post secondary education (Health Sciences and Behavioral Sciences, or Education or Business Administration, based on program), you must establish a base of attitudinal and may be even educational theory, those must be -specific theory, define all important terminology and which of the varying interpretations you will use, and ultimately, define in your terms precisely what statistical theories you will use.

Are the limitations of the study identified with recognition of their consequences?

Are discrepancies in the study dealt with positively and candidly?

Are technical terms well defined? Are the definitions clear-cut, unambiguous, and comprehensible?

Does the dissertation clearly address some aspect of change or impact in your field of study?

What aspect has been addressed?

Are the hypotheses, when applicable, well formulated and lucidly articulated?

Do they pose a relationship between or among measurable variables that is subject to testing?

Are the assumptions that frame the inquiry explicated fully?

Part III. Methodology

State clearly what you plan to do and why. Then discuss how your methods link to the conceptual framework that you have presented and why. In other words, how does your research methodology serve to answer your research questions, how you are going to test and accept or reject your hypotheses.

Part IV. References

Creating the References is self-explanatory. The References should always be a work in progress as new information is published and other information becomes irrelevant as research questions change over time. Ultimately, it is easier to subtract those references not needed. Use references that are relevant and current. All must be in APA 6th Ed.
Part V. Appendices

Appendices should be included as needed to support and define research as well as support the final project. Appendices will generally include surveys (including drafts), other research data (as required) and a timeline in order to manage the entire dissertation project itself.

Final Dissertation Proposal and Proposal Defense

The dissertation committee chair will advise the student in the preparation of the proposal. All committee members will have an input to the proposal in its various stages as seems appropriate by the chair of the committee. The student will prepare a formal dissertation proposal and post it on CourseNet for review of the chair and committee members as the chair sees fit. All communications regarding the dissertation proposal should be via the CourseNet for documentation.

The committee will review the student’s dissertation proposal, and to ascertain that the student’s knowledge, skills, and conceptual framework are sufficient for undertaking rigorous inquiry into the student’s designated field. All three committee members will review the dissertation proposal. If the chair and the committee assess that the proposal is ready for defense, the defense will be scheduled so the student will defend the proposal.

The chair of the committee sends a formal e-mail to the student, committee members and the Doctoral Program Director that the proposal is ready for defense. The Doctoral Program Director must receive the notice at least two weeks prior to the scheduling of the defense. The Doctoral Program Director can review the proposal prior to the defense but will review it for official approval only after the defense.

A PowerPoint presentation describing the study and following the issues covered in the proposal should be assembled by the student and sent to the committee members 2 weeks prior to defense. This will serve as the basis and skeleton for the oral presentation.

After the defense of the proposal by the student, the committee will meet and reach one of four conclusions:

- The proposal is approved by the committee as presented (with minor adjustments only).
- The proposal is approved but with major adjustments. These adjustments must be reviewed and approved by all committee members.
- The proposal will be approved only after significant restructuring. The proposal must be defended again after the restructuring; the second defense will be not earlier than two months following the first defense.
- The proposal is not accepted and the committee will assist the student in preparing another proposal, a second defense will be scheduled. The second defense will be scheduled not earlier than in three months following the first defense.

Upon successful defense of the dissertation proposal the committee will recommend to the Doctoral Program Director that the student advance to candidacy. The committee is not to inform the student of the decision of advancement to candidacy which can be done ONLY by
the Doctoral Program Director. (Please note: If corrections are needed they must be made within 30 days of the date of defense, and posted again for the review by the dissertation chair. If the changes are not submitted within 30 days, the student must defend the proposal again). Proposal review by the Doctoral Program Director will be completed within 21 work days from the chair recommendation.

If the student could not successfully defend the proposal, a second defense can be scheduled, not earlier than after 30 days. A dissertation proposal may be defended a total 3 times. If a student failed the third defense, he/she will need to leave the program; a Graduate Certificate in Advanced Studies or a Masters Degree in their area of study will be available to the student at that time that acknowledges the courses taken at Trident University. Proposal defenses cannot be held in the last 2 weeks of the session.

**Advancement to Candidacy**

a) Candidacy means that the student has completed all requirements for the degree except for the research dissertation itself, it means that the dissertation proposal was successfully defended.

b) All Ph.D. students should be aware of the following standard academic protocols. These protocols are rigorously respected and observed at Trident University.

i. Prior to formal admission to candidacy, students should not refer to themselves as “doctoral candidates” or “Ph.D. candidates.” In a Ph.D. program, the term “candidate” has a very specific meaning and students should be careful in using the term to refer to themselves.

ii. No Ph.D. student or candidate should ever use the initials Ph.D. after his/her name until all degree requirements have been met and the student is notified by the university that the degree has been conferred. The same is true for using the title “Dr.” or “Doctor.”

iii. Students are encouraged to include their studies at Trident University in preparing resumes and vitas.

a. Students who have not yet been admitted to candidacy should refer to themselves as “Ph.D. in Health Sciences, or Ph.D. in Education, or Ph.D. in Business Administration Student, Trident University University, expected date of completion 20xx.”

b. Students who have been admitted to candidacy should refer to themselves as “Ph.D. Candidate in Health Sciences, or Education or Business Administration Trident University University, expected date of completion 20xx.”

iv. Students should not refer to themselves as “ABD” (“all but dissertation”) until they have been formally admitted to candidacy.

C) Admission to candidacy follows the completion and approval of the dissertation proposal (see above for its structure and content). DHS, DEL OR DBA 699 Dissertation Proposal Seminar is always taken in the last session prior to beginning of your dissertation series course DHS, DEL OR DBA 700. The Seminar provides in depth support for the preparation of a proposal draft, drawing on Internet and print resources, faculty advice, and collegial interaction. Enrollment in the Seminar ends when student completes a dissertation proposal draft.
Institutional Review Board

Approval by the Doctoral Program Director largely completes the proposal phase of the dissertation. One final step required before the student may begin to collect and analyze data is the review and approval of the proposed study by the Trident University Institutional Review Board. IRB review of all research involving human subjects is required by Federal law and regulations as well as established ethical theories and principles. To complete this review, the student submits (through CourseNet) an application summarizing the project and the human subjects protection issues that it poses (a copy of the methodology discussion 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 students understand that **they may not collect data before IRB approval is received, and if they do collect data before that approval, they may not use it 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 proposal is approved by the Doctoral Program Director; however, students are encouraged to share preliminary IRB materials with their Chair at the time of the proposal defense, and informal IRB feedback may be obtained at that time to help in speedy final approval.

Trident University University has a standing committee known as the Institutional Review Board (IRB). This committee exists for the protection of human subjects and requires those students and faculty conducting research involving human subjects to submit their research proposals for review. Among others, the charge of the IRB is to ensure adherence to federal, state and local regulations as well as established ethical principles including respect for persons, beneficence, and justice, as enunciated by the Belmont Report.

*Respect for persons as an ethical principal includes an appreciation of persons as independent beings that are capable to voluntarily decide whether or not to choose to participate in research.*

The IRB additionally addresses the issues of safeguarding individuals unable to make informed decisions, such as children or those not competent to understand the benefits or risks resulting from research. The IRB also considers procedures to ensure confidentiality of subjects. In research involving children federal guidelines mandate the use of parental consent forms and assent forms for the minor.

*Beneficence regarding research is concerned with protecting subjects from harm and acting in the best interest of research subjects.*

In order to prevent harm the IRB requires the researcher to carefully consider and analyze the risks and benefits of their study and then formally address them individually. The IRB Committee then has the responsibility to determine if these potential risks and benefits are clearly spelled out for both the Committee and potential subjects and whether the research can be approved based upon the listed risks/benefits analysis.

*Justice as an ethical principle to be considered in human subject studies refers to the fact that subjects have the right to be aware of the potential risks of research when they are asked to participate.*

It also asks the researcher to consider who or which group will benefit from the proposed research. The researcher needs to ensure that potential risks are not being taken by only one segment of the population for the benefit of other larger groups of individuals. Hospitals
and other institutions where research is conducted may require further approval by their own internal IRB committees.

Following the approval of the Dissertation Proposal by the Committee (following a defense), the Director of the Doctoral Program, the Dean and the Vice President for Academic Affairs, each student must submit the dissertation proposal to the Trident University University IRB in order to maintain the timetable for completion of the dissertation. The IRB application form and instructions may be accessed and submitted via CourseNet. Students may also access the IRB policy and procedures, membership and sample forms on the university website.

The IRB application form and instructions may be accessed via CourseNet.

**Following IRB approval the student is ready to start his/her dissertation research.**

The student will complete the dissertation as approved in the proposal. During this period, the committee chair will provide supervision and assistance for the student. The other committee members will be available as needed. Each session the chair will report to the Doctoral Program Directors, on the progress of the dissertation. The Doctoral Program Director will maintain a list of all active dissertations, which is, updated each session.

When the student and the committee chair are satisfied that the research is complete, the chair will schedule a final oral defense for the dissertation.
DISSERTATION STYLE
SECTIONS OF A DISSERTATION

Table of Contents

Format

All Trident University doctoral dissertations are digitized at University Microfilms, Inc. (UMI), which fills orders for print copies and digital submissions of the dissertation. Many of the procedures specified are intended to ensure optimal digitized and print copies.

Arrangement of Contents

This list indicates the order in which to place the parts of the dissertation. All sections are mandatory unless designated as optional.

- TITLE PAGE Including Approvals
- COPYRIGHT PAGE
- BIOGRAPHICAL SKETCH
- DEDICATION (optional)
- ACKNOWLEDGMENTS
- TABLE OF CONTENTS
- LIST OF TABLES
- LIST OF FIGURES (or LIST OF ILLUSTRATIONS)
- LIST OF ABBREVIATIONS (optional)
- LIST OF SYMBOLS (optional)
- PREFACE (optional)
- ABSTRACT
- CHAPTERS 1 - 6
- REFERENCES
- APPENDIX (or APPENDICES)
- GLOSSARY (optional)
- INDEX (optional)

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 with the Dissertation Adviser/Chair. Never use as a precedent a dissertation on file in the various University Libraries; requirements have changed over the years, and the binding process changes apparent margins.

Typeface

The entire text of the dissertation, including page numbers, must be produced with the same font or typeface. Exceptions are made only for tables and figures produced by different technology or by graphic artists.

The preferred typeface for APA publications is Times New Roman, with 12-point font size. Other fonts may be acceptable. Check the font with the dissertation adviser/chair.
Margins after photocopying must be at least:

- Left margin: One and one-half inches (1 1/2") or slightly larger.
- Top, bottom, right margins: One inch (1") or slightly larger.

These margins are absolutely essential so that the dissertation can be microfilmed in its entirety for interlibrary loan. These margins apply to all tables and figures. Hint: It is recommended that margins be set at 1.6 for the left margin and 1.1 for all other margins since the photocopying process may enlarge the text by as much as 2%. Use a ruler to measure the margins on each printed page.

Spacing

The dissertation must be double-spaced throughout except for quotations and footnotes. Bibliographies 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 as well. 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 text is called an "orphan." A dissertation will not be accepted if it contains "orphans."

Justification

If one is using a computer or word processor, use justified margins only if the printer does this well, i.e., does not separate punctuation from characters and does not leave large gaps in the text. Usually, a left justification should be used.

Titles of Sections

The following sections must be titled accordingly, and should be in all capital letters. All titles are centered for the preliminary pages.

- BIOGRAPHICAL SKETCH
- ACKNOWLEDGMENTS
- TABLE OF CONTENTS
- LIST OF TABLES
- LIST OF FIGURES (or LIST OF ILLUSTRATIONS)
- LIST OF ABBREVIATIONS
- LIST OF SYMBOLS
- PREFACE
- ABSTRACT (scroll down for further information regarding abstract)
- BIBLIOGRAPHY (or REFERENCES, or WORKS CITED)
- APPENDIX
Do not write the following titles on their respective pages: Title Page, Copyright Page, and Dedication. Although the sections must be titled as described above, chapter headings may be included which conform to the standard of the student's academic field.

**Pagination**

The following plan of page numbering has been standardized and must be observed.

**Pagination for preliminary pages.** Preliminary pages include all the sections that precede the text. They are arranged and numbered according to the following format, 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:

**Pagination Example**

<table>
<thead>
<tr>
<th>Preliminary Pages</th>
<th>Page Numbers</th>
<th>Pagination</th>
</tr>
</thead>
<tbody>
<tr>
<td>TITLE PAGE</td>
<td>(i)</td>
<td>Page counted but not numbered</td>
</tr>
<tr>
<td>BIOGRAPHICAL SKETCH</td>
<td>iii</td>
<td>Page counted and numbered</td>
</tr>
<tr>
<td>DEDICATION (optional)</td>
<td>iv</td>
<td>Page counted and numbered</td>
</tr>
<tr>
<td>ACKNOWLEDGMENTS</td>
<td>v</td>
<td>Page counted and numbered</td>
</tr>
<tr>
<td>TABLE OF CONTENTS</td>
<td>vi</td>
<td>Page(s) counted and numbered</td>
</tr>
<tr>
<td>LIST OF TABLES</td>
<td>vii</td>
<td>Page(s) counted and numbered</td>
</tr>
<tr>
<td>LIST OF FIGURES or LIST OF ILLUSTRATIONS</td>
<td>viii</td>
<td>Page counted and numbered</td>
</tr>
<tr>
<td>LIST OF ABBREVIATIONS</td>
<td>ix</td>
<td>Page counted and numbered (optional)</td>
</tr>
<tr>
<td>LIST OF SYMBOLS (optional)</td>
<td>x</td>
<td>Page counted and numbered</td>
</tr>
<tr>
<td>PREFACE (optional)</td>
<td>xi</td>
<td>Page counted and numbered</td>
</tr>
<tr>
<td>ABSTRACT</td>
<td></td>
<td>page(s) not counted, and not numbered</td>
</tr>
</tbody>
</table>

If the dissertation contains tables, figures, or illustrations, the appropriate list must be included in the preliminary pages. 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. All Roman numerals 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 in the text and the numbering continues through the appendices and the bibliography. Chapters 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, the first page of each appendix and the first page of the bibliography, the number is centered between the margins, no less than one-half inch (1/2") from the bottom of the page. Exception: If the bibliography is placed at the end of each chapter, a page break needs to be placed at the end of the text and the bibliography started on the next page. The page number stays at the top of the page, since it is considered part of the entire chapter and not a separate section.

Page numbers are placed at the top of the page for charts, maps, illustrations, all pages after the first page of the references, 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 text.

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

**Two Volume Dissertations**

Measure the thickness of the dissertation to determine if it is one or two volumes. 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.

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**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 all capital letters, centered within the left and right margins, double-spaced, about 1 1/2 inches from the top of the page. At the vertical and horizontal center of the margins and double-spaced are the following five lines (all centered):

Example of Dissertation Title with specific details explained follows on next page.
A Dissertation
Presented to the Faculty of the College of _____________
of Trident University International
in Partial Fulfillment of the Requirements for the Degree of
Doctor of Philosophy in _____________
by
Your Name
Cypress, California
200X
(Defended Month Day Year)

Approved by:
Office of Academic Affairs
Date of degree conferral
Dean: Name
Director, PhD Program: Name
Committee Chair: Name
Committee Member: Name
Committee Member: Name

Example
Defended August 15, 2011

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.

Students submitting two-volume dissertations should refer to the page that describing two-volume dissertation, for further instructions regarding the title page.

**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 PhD candidate. 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: © 201__ 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, type the "c" and circle it by hand. On PC’s, 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 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 Copyright Office homepage.

**Biographical Sketch**

The biographical sketch must be written in the third person and contain the student's educational background. It may contain additional biographical facts. The heading is the phrase "BIOGRAPHICAL SKETCH" in all capital letters, centered within the margins at the top of the page. Font, margin, spacing, and paper quality requirements remain the same as
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 may be 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. The heading is the phrase "ACKNOWLEDGMENTS" in all capital letters, 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 chapter (sections may be included, as well); and that 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 all capital letters, 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.

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 on which each table, figure, or illustration is found, as in a 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 all capital letters, 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 paper quality, font, margin, and spacing requirements that apply to the text apply to the abstract also. The abstract pages are neither numbered nor counted. The heading of the dissertation abstract is as follows:
TITLE OF DISSERTATION
Student's Name, Ph.D.
Trident University International 201__ (year of conferral)

Begin the title about 1 1/2 inches (or at least 1 inch) down from the top of the page. The dissertation title is centered between the left and right margins and appears in all capital letters. 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 bottom of the page, i.e., footnoted. That placement ensures that they will appear as close as possible in the microfilm to the referenced passage. Lengthy footnotes may be continued on the next page. 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 can be continuous throughout the dissertation or may start again for each chapter or page, but the method must be consistent. Inserted footnotes may not be numbered 25a, for example. The footnotes following the insertion must be renumbered.

Figures, Tables, Photographs, and Foldouts

Foldouts are discouraged. However, if large tables, illustrations, etc., cannot be placed in the regular 6 1/2 x 8 1/4 inch format, then 8 1/2 x 11 inch archival (if available) paper may be used. The same margin requirements apply: 1 1/2 inches on the left and one inch on the top, bottom, and right. This leaves the remaining area to be filled with text. The student should not fold these pages; roll them and put them in a mailing tube. If material is larger than 8 1/2 x 11 inches, such as a map or drawing, it should be placed in a tube with the student's name, degree, and year of conferral written on the tube. If possible, those insertions should also be on archival paper. Follow these guidelines when including figures, tables, photographs and foldouts in the dissertation. Formatting these items may be difficult, and students are urged to consult the dissertation Adviser/Chair.

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 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 either continuous throughout the dissertation. There cannot be two figures numbered 5, for example, in a dissertation.
Headings of tables should be placed at the top of the table. While there are no specific rules for the format of table headings and figure captions, a consistent format must be used throughout the dissertation.

Captions of figures should be placed at the top of the figure. If the 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. Each page receives a separate page number. When a figure title is on a preceding page, the second and subsequent pages of the figure should say, for example, Figure 5 (Continued). The first page of data does not have the caption with the word "Continued". In such an instance, the List of Figures will list the page number containing the title. The word 'figure' should be written in full (not abbreviated), and the 'f' should be capitalized, for example: Figure 5.

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

Horizontal figures and tables 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.

Hint: To paginate a table in landscape orientation (in a separate document), insert a blank page at the appropriate point of your dissertation (under the Insert menu, chose Break, and select Page Break). Then print your landscape table without a page number. You can feed the same piece of paper into the printer twice (once to print the landscape table, once to print the page number), or you can tape the page number onto the bottom of the landscape page and photocopy 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 with the same font that is in the text. The use of colors should be avoided, because they are not reproduced well on microfilm. Other techniques for indicating differences within graphs, charts, maps, etc., such as cross-hatching, should be used.

All graphs, diagrams, line drawings, manuscript facsimiles, maps, chemical formulas, computer printouts, musical scores, etc., included in the body of the dissertation must be on archival paper and must be produced by acceptable permanent methods. Pages should not vary from the standard size of 8 1/2 x 11 inches. Plan the illustrative materials so they can be reduced to meet this specification. They should be centered between the margins on a page with no text above or below. Exceptions to this rule are discussed in the section on foldouts.

For reduction of material, always use machines that can reduce one percent at a time. If figures or tables are too large to be reduced satisfactorily, they should either be split into several pages or be redone. Long tables may be single spaced, and text may be slightly reduced. Page numbers and headings must not be reduced. All lettering must be clear, readable, and large enough to be legible on microfilm. The rule of thumb is that all lettering, including subscripts, must still be readable when reduced 25% beyond the final version. The white space around the text or figures must meet all margin requirements.
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. Contact the dissertation chair for specific information.

If the photographs are smaller than 8 1/2 x 11 inches, they should be produced on a lightweight or single-weight polyfiber paper with a glossy finish. Mount the photographs on the same archival paper as the rest of the dissertation. Have them dry-mounted professionally, affix them with a spray adhesive mount, or use a dry-mount that adheres to all paper surfaces, coarse and smooth (archival paper is not porous). Never use rubber cement; pictures will fall out of the dissertation after three or four years.

An alternative to using actual photographs is to prepare the original using a photograph, which is mounted (either permanently or in a temporary fashion) onto a page, which has the correct page number and figure caption. This page can then be photocopied, using a color laser photocopier, directly onto the archival paper required for final submission. The resolution is usually high using this process, which works for black-and-white photographs as well. Several copy centers in geographical your area will color-copy onto archival bond. The dissertation Adviser has further information.

Foldouts

Foldouts are discouraged. However, if large tables, illustrations, etc., cannot be placed in the regular 8 1/2 x 11 inch format, then 11 x 14 inch archival (if available) paper may be used. The same margin requirements apply: 1 1/2 inches on the left and one inch on the top, bottom, and right. This leaves the remaining area to be filled with text. The student should not fold these pages; roll them and put them in a mailing tube. If material is larger than 11 x 14 inches, such as a map or drawing, it should be placed in a tube with the student's name, degree, and year of conferral written on the tube. If possible, those insertions should also be on archival paper.

For a doctoral dissertation: submit two copies of the foldouts in two separate tubes to accompany the copies of the dissertation. Be sure to mention in the text that loose materials are included with the dissertation.

References

Trident University-College of Health Sciences, College of Education and College of Business Administration recommends that the student follows the standard citation format used by a major journal in one's academic field and that the style be consistent throughout the dissertation. Students may consult, among others, The Chicago Manual of Style, the MLA Style Manual, or the Publication Manual of the American Psychological Association (APA), 6th edition.

Bibliographies may be single-spaced within each entry, but must be double-spaced between each entry. On the first page of the bibliography, the page number is placed at the bottom of the page, centered between the margins. Page numbers are placed at the top of the page for all pages after the first page of the bibliography. Exception: see "Papers Option".

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 for acknowledging the work of others 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. The acknowledgment should be placed in a footnote. Additionally, the student must determine whether use of the material can be classified within "fair use" guidelines. If the student has included material beyond the concept of "fair use", then the student 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, Inc. or The Chicago Manual of Style published by the University of Chicago Press.

If one has already published, or had accepted for publication, part of one's own dissertation material in a journal, it is necessary to write to that journal and obtain written authorization to use the material in one's dissertation. (See "Published Material" under "Papers Option."

**Reference Sources for Style and Format**

Although formats vary among fields, Trident University strongly encourages adherence to accepted standards of usage in matters of grammar, punctuation, and mechanics. A student should check with his or her field for specific requirements of format. If the field has none, then use Publication Manual of the American Psychological Association. 6th ed. Washington, D. C.: American Psychological Association, 2009.

**Appendix**

Materials which are peripheral but 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, a relevant paper written by the student, 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 may be produced with a word processor.

**Computers and Printers**

Almost all dissertations are produced on computers, and a variety of software packages are used. It is important to consider the content and length of the dissertation when choosing a software package. Also consider the printers that will be available for the final printing of
the dissertation. Dot matrix printers are not acceptable for the final copy of the dissertation. If the computer one is using does not print to a laser printer or one of similar quality, switch to another computer to avoid objections to the quality of the typeface in the dissertation.

Computer printouts and all computer-generated figures and graphs must meet the same standards as the rest of the dissertation, i.e., must fit within the specified margins, be copied on the same paper as the rest of the dissertation, and have consecutive numbering. Computer printouts, however, do not need to be in the same typeface. Dot matrix printers will be accepted for computer printouts, if legible, but these printouts must be placed in the appendix. All software acquisition for data analysis, typing etc is the responsibility of the PhD candidate.

**Copying Process and 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. All typing expenses and copying are the responsibility of the PhD candidate.

**Completing the Dissertation**

During the phase of the dissertation continuation, the candidate will gather the data for the study, perform any indicated tests and/or analysis, support or reject the hypotheses, and describe the implications of the research. Finally, the candidate will prepare a formal written document describing all elements of the research. Throughout this process, the candidate and the committee will be guided by the approved dissertation proposal.

If at any point in the process, it becomes clear to the student and the committee that the proposal needs revision in order to complete the research with optimal results, the committee shall determine the seriousness of such revision. If the revision is minor, the committee will approve the revision and assist the candidate in proceeding with the revised research. If the revision is of a serious or major nature, the committee will inform the Doctoral Program Director. The Doctoral Program Director will either approve the revision or, at his/her discretion, forward the proposed revision to the College Dean for further review.

During the collection and analysis of the research data, the candidate will report to the committee through the Chair on each of the following phases and will proceed to the next phase only after receiving feedback and approval from the committee. This approval is necessary to ensure that the candidate does not undertake major efforts that would need to be redone should there be problems with a previous element in the research:

- Final approval of the research methodology.
- Collection of the research data.
- Application of any statistical tests or other analytical procedures.
- Interpretation of the statistical tests or other analytical procedures.
- Implications of the research.

The candidate will write descriptive chapters for each element of the research. The sum of these chapters will comprise the complete written dissertation. Reasonable flexibility is allowed and encouraged to meet specific needs of each dissertation, but the majority of dissertations will follow this chapter outline. The first 4 chapters will draw heavily on the approved dissertation proposal, although they need to be revised as needed to reflect any
changes that take place in the project between its approval and its completion (including issues as simple as changing the tenses from future to past, in most cases). Significant modifications of the general content need to be approved by the Chair and the Committee.

I. Chapter 1 – Introduction. This chapter will introduce the general topic and explain why the candidate chose this particular topic.

II. Chapter 2 – Problem Statement and Research Questions. This chapter will identify the specific issue or problem in the topic that will be the subject of the research, and define the research questions that guide the study. The candidate should explain the process that led him/her to this specific issue or problem. There should be adequate references in this chapter to the literature to justify the selection of the issue or problem. (These two chapters can be and often are combined into a general Introduction).

III. Chapter 3 – Literature Review. In this chapter, the candidate will include all relevant literature to fully develop any theoretical background and conceptual framework necessary to conduct and discuss the research. This chapter will describe the current state of research related to the issue or problem. The formal hypotheses are generally introduced and discussed in this chapter, since they should be based on the literature.

IV. Chapter 4 – Research Methodology. The candidate will describe in detail the specific methodology to be used to conduct the research and will justify that selection. Any instruments or tools to be used will be fully described and justified in this chapter. If preliminary tests were indicated, the tests will be fully described, the results explained, and any modifications resulting from them discussed. The nature of the research site(s), the sampling arrangements, and the procedures followed in the research are also covered in this chapter. The candidate will describe any statistical tests and/or other analytical procedures used in the analysis of the data collected. The selection of the statistical tests and/or other analytical procedures will be justified.

V. Chapter 5 – Data Analysis and Presentation of Results. Here, the candidate will apply to the data the statistical tests and/or analytical procedures established in Chapter 4, and draw conclusions as to the fate of his/her hypotheses or research questions. Complete results will be described and support or rejection of the hypothesis (es) will be described and explained.

VI. Chapter 6 – Discussion and Implications of the Research. In this final chapter, the candidate will discuss the findings in relation to the research questions, and explain the implications of the research, including a clear description of the implications for theory and the addition to the body of knowledge in the issue or problem area; recommendations for further research are almost always included, and recommendations for practice are highly desirable.

Trident University has generally standardized on "APA style" as the most commonly used and generally accepted format. Many different print and online sources provide information as to the requirements of this style. In addition, there are utilities in programs such as Microsoft Word® that automate significant parts of the maintenance of citation databases and preparation of bibliographic entries, as well as stand-alone programs available for purchase or sometimes as shareware. Trident University does not collectively endorse or
support such programs, but many have found them helpful.

The style of the writing should be academic in nature. Again, the candidate is referred to the leading academic journals in his/her specific area. It is inappropriate to include logos, clip art, and other non-academic trappings that are becoming commonplace in non-academic literature.

The dissertation should be 100-350 pages in length. Each of the requirements identified above (and specifically required by the dissertation committee) should be fully met. On the other hand, the dissertation should include no discussions that are not relevant to the research. There should be no effort on the part of the candidate to unnecessarily add to the length of the dissertation.

The completed dissertation should have each of these elements:

I. A title page.
II. A table of contents.
III. A listing of tables.
IV. A listing of figures.
V. An abstract consistent with the requirements of the leading academic journals in the particular field.
VI. All chapters of the dissertation.
VII. References, each work cited throughout the dissertation should be included in this section.
VIII. Appendix

**Scheduling of the Dissertation Oral Defense**

As with the proposal, the chair will schedule the formal defense of the dissertation when the committee is generally satisfied with the dissertation.

**The same procedures and decision sequence described earlier for the proposal approval govern the dissertation approval.** The chair of the committee sends a formal e-mail to the student, committee members and the Doctoral Program Director that the dissertation is ready for defense. The Doctoral Program Director must receive the notice two weeks prior to the scheduling of the defense. The Doctoral Program Director can review the dissertation prior to the defense but will review it for official approval only after the defense.

A PowerPoint presentation describing the study and following the issues covered in the dissertation should be assembled by the student and sent to the committee members 2 weeks prior to defense. The emphasis should be on results and discussion/implications.

As with the proposal, the ultimate approval authority lies with the Office of Academic Affairs.

**Students need to defend the dissertation successfully no later than two weeks prior to the registration deadline to the following session in order to not register to the following session.** All students who were not able to meet this deadline need to register to the following session. Defenses cannot be held in the last 2 weeks of the session. Students must remain registered until they submit the dissertation to Proquest.

Trident University faculty may attend the defense without participation or voting rights.
Philosophy of the Oral Defense

The purpose of the oral defense is four-fold:

• To demonstrate that the dissertation is commensurate with the standards for original research in the field,
• To demonstrate that the ethics and standards governing research in the field have been followed,
• To demonstrate the candidate's mastery of the research and the appropriate methodology,
• To demonstrate the candidate's understanding of the relationship of this work to the broader field in which it is lodged.

Procedures for the Oral Defense

Who Can Attend the Oral Defense? Attendance at the defense is limited to members of the Dissertation Committee, the student, and members of the Trident University academic community.

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. No 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 and that a portion of the defense is restricted only to participation by the 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 the dissertation itself and the candidate's performance in the oral defense 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. It is the responsibility of the committee chair to review and approve minor revisions to the dissertation. Dissertations that require either major revisions, minor revisions or no revisions must be submitted to the Doctoral Program Director in final form within four weeks of the concluded defense. If the dissertation is not received within four weeks of the oral defense, that defense is nullified and a new oral defense must be scheduled. When major revisions are required, 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. The time between the first defense and the second defense should be not less than 3 months, to allow the candidate a thorough revision and preparation for the second defense. At this point, the oral defense should be
reconvened. All defenses, including reconvened defenses, must be announced in writing at least ten working days in advance.

Ph.D. Dissertation Checklist

Format

• Trident University 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...
• Typeface of text consistent, either 10 CPI or 12 CPI
• Margins after photocopying—at least 1 1/2 inches on left; at least one inch on all other sides
• Double-spaced (except Bibliography, Table of Contents, List of Tables, List of Figures, lengthy tables, quotations, footnotes)
• All equations and formulas typed (superscripts and subscripts all legible)
• No "orphans"
• Avoid "widows"

Preliminary 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
• Arranged in proper order

Copyright

Notice of copyright on page immediately after title page

Abstract

• Double-spaced
• Same typeface as dissertation
• Not exceeding 350 words for doctorate
• Pages not numbered or counted
• Original signature of chairperson in upper right corner of first page of each copy
• Proper heading format

Text

• Each chapter begins on a new page
• Sections within chapters do not begin on new pages (unless occurs naturally)
• On first page of each chapter, first page of appendix, and first page of references, page number (Arabic) at bottom, centered between the margins, with at least 1/2 inch clearance
• On all other pages including text, charts, maps, illustrations, appendices, bibliographies Arabic numbers placed either: • at top of page, centered between margins, at least 1/2 inch clearance, or • at top of page, one inch from right edge of paper, 1/2 inch clearance from top
• All pages numbered consecutively
Footnotes

• Style of footnotes consistent throughout dissertation
• Footnotes typed at bottom of pages
• Footnote numbering consistent

Figures, Tables, Photographs, and Foldouts

• Tables and Figures must be formatted to APA 6th Ed.
• Figure and table numbering either continuous throughout dissertation by chapter
• Table headings placed at top of tables
• Figure captions placed at top of 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 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...

Forms to Submit to UMI/Proquest

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

Receipts to Submit

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