

SCHOOL OF COMMUNITY  
ECONOMIC DEVELOPMENT

# Doctoral Program

**Policies, Procedures & Dissertation**

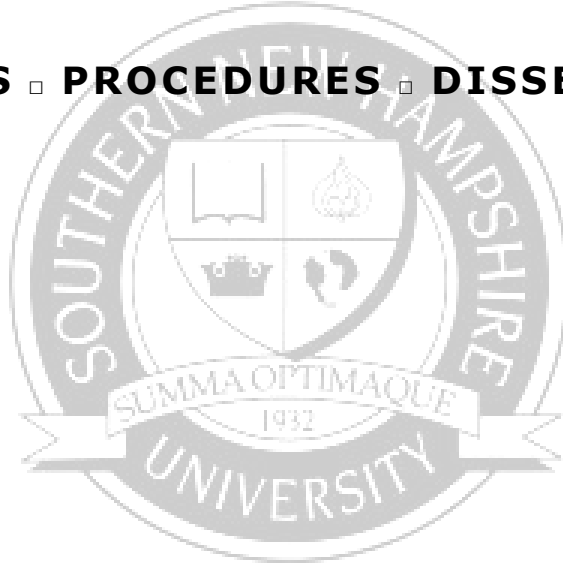
Southern  
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Southern New Hampshire University

# DOCTORAL PROGRAM

**POLICIES □ PROCEDURES □ DISSERTATION**



**PH.D. PROGRAM IN COMMUNITY ECONOMIC DEVELOPMENT  
SCHOOL OF COMMUNITY ECONOMIC DEVELOPMENT  
SOUTHERN NEW HAMPSHIRE UNIVERSITY**

2008

AUTHOR: YOEL CAMAYD-FREIXAS

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THIS MANUSCRIPT ACTS AS A PROGRAM FAQ, AND IS FORMATTED FOLLOWING THE GUIDELINES  
FOR A DOCTORAL DISSERTATION (EXCEPT SINGLE SPACING, NO ABSTRACT, ETC.). ADDRESS  
QUESTIONS OR SUGGESTIONS TO:

YOEL CAMAYD-FREIXAS, PH.D.  
CHAIR, DOCTORAL PROGRAM  
SCHOOL OF COMMUNITY ECONOMIC DEVELOPMENT  
SOUTHERN NEW HAMPSHIRE UNIVERSITY  
2500 NORTH RIVER ROAD  
MANCHESTER, NEW HAMPSHIRE 03106-1045  
y.camayd-freixas@snhu.edu

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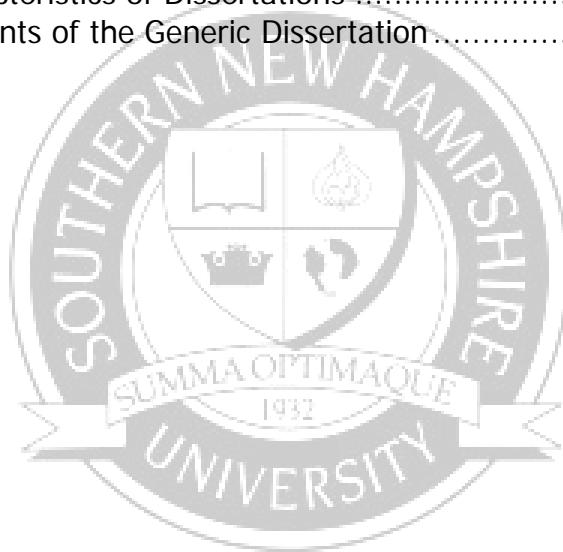
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# 1. Doctoral Program Policies

The Doctoral Program is designed to serve students in residence as well as non-residential working professionals. All doctoral students take the core coursework over two years, including a supervised Doctoral Apprenticeship Program in teaching and research. At the end of their second year students take Comprehensive Examinations in Theory, Methods and Statistics. On their third year, students take Oral Exams before an Examination Committee convened by the Chair of the Doctoral Program. Upon completion of the core, Comprehensives and the Oral Exam, the student advances to *doctoral candidacy* and prepares a dissertation proposal, then a dissertation, supervised by a Doctoral Dissertation Committee. Finally, the student defends the dissertation before the Dissertation Committee and the Academy. This process is governed by the regulations of the Doctoral Program as set in *Doctoral Program Policies, Procedures, Dissertation*.

## Summary of Registration Policies

### **ADMISSION TO THE PROGRAM VS. PH.D. CANDIDACY**

New students are admitted to the Doctoral Program, not to Doctoral Candidacy. Doctoral students are not Doctoral Candidates (candidates for the Ph.D. degree) until they have been notified by the Doctoral Program that they have successfully completed their core coursework and passed their comprehensive examinations. Students must be doctoral candidates to present a doctoral dissertation proposal. This proposal must be approved by the Dissertation Committee, the Institutional Review Board (Protection of Human Subjects), and the Chair of the Doctoral Program, before a student can collect data for their dissertation research.

### **DEFERRAL OF ADMISSION**

Students who have not begun coursework and cannot begin their studies on the first semester may request a Deferral of Admission from the Chair of the Doctoral Program. A Deferral of Admission may be granted only once for one year. After that the person must reapply to the program and pay the application fee.

### **LEAVE OF ABSENCE**

Students who need to interrupt their programs must apply for a Leave of Absence in writing to the Chair of the Doctoral Program. A Leave of Absence will only be approved under special circumstances. Leaves of absence are only granted for one or two semesters. If more time is taken than approved for a Leave the student will be out of status and will need to apply for readmission.

A Leave frees students from registering and paying tuition and fees only prior to Comprehensive Exams, and may not be approved after Doctoral Candidacy. A

student returning from Leave is responsible for program requirements active at the time of admission. Time spent on a Leave does not change the eight-year time limit to complete the doctoral program.

#### **LAPSE OF PH.D. CANDIDACY**

Candidacy will lapse automatically if the student loses standing by academic disqualification or failure to comply with the policy on continuous registration.

#### **READMISSION**

All students who do not register for one semester need to apply for readmission at least six weeks prior to the semester in which they plan to return. Students apply for Readmission to the Chair of the Doctoral Program. As long as a student's academic record is in good standing readmission is normally granted. However, the Chair is not required to grant readmission. In all instances, a readmitted student is responsible for fulfilling program requirements at the time of readmission (i.e., no grandfathering of requirements upon readmission).

#### **TIME LIMITS**

All requirements for the doctoral degree must be completed within eight consecutive years from the commencement of doctoral studies. Doctoral studies commence with the first term that a student registers for a course following admission to the doctoral program. Time spent on a Leave of Absence does not change the eight-year time limit to complete the doctoral program.

#### **TIME EXTENSIONS**

Extensions beyond the eight-year time limit for the doctoral degree may be obtained under exceptional circumstances only with advisor recommendation and the approval of the Chair of the Doctoral Program. Extensions are not granted routinely. If granted, the limit is one extension for a maximum of one year. Timely completion is essential to the academic integrity of a degree program.

#### **DOCTORAL CONTINUATION**

Doctoral candidates who have completed all coursework and Comprehensive Exams must maintain registration each academic term of their candidacy. To remain in status they may register for a course or pay a reduced Doctoral Continuation (CED891) fee. This registration entitles the candidate to use University facilities (e.g., library, computers) and the privilege of informally (without record) auditing courses that may be helpful with research; auditing courses is subject to instructor approval.

#### **WITHDRAWAL**

Students may withdraw from the University by writing to the Registrar and the Doctoral Program Chair. Withdrawal avoids involuntary termination resulting from failure to register consecutively and prevents doctoral continuation charges.

# Summary of Program Requirements

## COURSEWORK

The Ph.D. program addresses the needs of advanced professionals by preparing them for teaching, research, management and policy careers in government, higher education and the nonprofit sector. The program is offered in *residential* and *nonresidential* formats. Students attend classes over five 5-day meetings per semester, and participate in an Internet distance-learning environment between class meetings. Each class meets 14 times per semester for 3 hours. Core coursework may be completed in 2 years, followed by electives. All requirements except the dissertation are typically completed in 3 years. Students in residence can work at an accelerated pace and often become involved in research projects.

Students must complete 54 credit hours of coursework. Requirements include 5 courses in research methods each with Statistics and/or software labs, 4 courses in theory, 3 elective courses, and 5 dissertation courses. All courses are 3 credits. Students must also complete a 4-semester teaching/research *Apprenticeship Program*, 4 *Comprehensive Exams*, a dissertation proposal, and a dissertation based on original research. Doctoral students completing 36 credit hours of coursework are eligible to receive the MA degree.

## TABLE 1. DOCTORAL COURSES

### REQUIRED PHD COURSES

CED 801 Research Design <sup>1</sup>  
CED 802 Survey Research Methods <sup>1</sup>  
CED 803 Qualitative Research Methods <sup>1</sup>  
CED 804 Evaluation Research Methods <sup>1</sup>  
CED 805 Demography & GIS in CED Policy <sup>1</sup>  
CED 810 Urban Development Theory  
CED 811 Political Economic Theory  
CED 812 Social Theory  
CED 813 Community Economic Dev Theory  
CED 814 Contemporary Economic Theory

### DOCTORAL DISSERTATION

CED 890A&B Dissertation Seminar <sup>3</sup>  
CED 891 Doctoral Continuation (0 credits) <sup>3</sup>  
CED 892 Advanced Dissertation Seminar <sup>3</sup>  
CED 893 Advanced Dissertation Seminar <sup>3</sup>  
CED 894 Dissertation Proposal <sup>3</sup>  
CED 895 Doctoral Dissertation <sup>3</sup>

### ELECTIVE PHD COURSES

CED 815 Social Inequality  
CED 851 Seminar in CED  
CED 858 Policy Analysis in CED  
CED 859 Advanced Policy Analysis in CED  
CED 860 Transformation of Dev Organizations  
CED 861 Nonprofit Management  
CED 862 Organizational Analysis  
CED 863 Civil Society, Social Capital, Participation  
CED 864 Advanced Financial Analysis  
CED 865 Advanced Nonprofit Management  
CED 866 Globalization, States and the Community  
CED 881 Independent Study <sup>2</sup>

<sup>1</sup> Research courses include labs on relevant statistics & analysis using SPSS, MapInfo Pro for applied geography, or other software programs.

<sup>2</sup> Enrollment by permission.

<sup>3</sup> Two CED890 courses first year, CED892 and CED893 (with SPSS lab) second year. After Comprehensives, CED891 (0 credits), CED894 and CED895 are registered under the Dissertation Committee Chair.

Required Theory courses are taken consecutively semesters one through three. Methods courses typically entail an applied Statistics/SPSS Lab that covers commonly used procedures, analysis and interpretation for the specific method: CED801 (applied hypothesis testing), CED802 (nonparametric statistics and measures of association), CED804 (ANOVA, basic and step-wise regressions), and CED893 (multivariate analyses). Qualitative Methods courses also include software tutorial Labs: CED803 (qualitative data analysis), CED805 (MapInfo). Methods courses, Statistics/SPSS Labs, software, and schedule are detailed in the *Doctoral Methods Sequence* table that follows.

**TABLE 2. DOCTORAL METHODS SEQUENCE**

COURSES	STATS/SPSS LAB	PROGRAM	SCHEDULE	SOFTWARE
CED801 Research Design	<i>Intro to Inferential Stats &amp; Probability, Ho testing</i>	required	<i>Semester 1</i>	<i>SPSS</i>
CED802 Survey Research	<i>Nonparametric Statistics Measures of Association</i>	required	<i>Semester 2</i>	<i>SPSS SPSS Tables</i>
CED803 Qualitative Research	<i>Software Tutorial</i>	required	<i>Semester 4</i>	<i>NVivo, others</i>
CED804 Evaluation Research	<i>ANOVA &amp; Multiple Regression</i>	required	<i>Semester 3</i>	<i>SPSS Regression</i>
CED805 Demography & GIS.	<i>Software Tutorial</i>	required;	<i>Semester 4</i>	<i>MapInfo Pro</i>
CED862 Organizational Analysis	<i>Field Project</i>	elective	<i>Semester 4</i>	<i>SPSS SPSS Tables</i>
CED893 Dissertation Seminar	<i>Multivariate: 3-w ANOVA, ANCOVA, Factor Analysis</i>	required	<i>Semester 4</i>	<i>SPSS SPSS Advanced</i>

The table below presents a matrix of Doctoral Program courses grouped into the goals of preparing advanced professionals for practice in research, policy and management careers in government, higher education and the nonprofit sector.

**TABLE 3. DOCTORAL PROGRAM GOALS BY COURSE MATRIX**

GOAL	COURSE	DESCRIPTION	PROGRAM
RESEARCH	CED801	Research Design	REQUIRED
	CED802	Survey Research Methods	REQUIRED
	CED803	Qualitative Research Methods	REQUIRED
	CED804	Evaluation Research Methods	REQUIRED
	CED805	Demography & GIS	REQUIRED
THEORY	CED810	Urban Development Theory	PROPOSED
	CED811	Political Economic Theory	REQUIRED
	CED812	Social Theory	REQUIRED
	CED813	CED Theory	REQUIRED
	CED814	Contemporary Economic Theory	REQUIRED

TEACHING	Apprenticeship	2 years of Apprenticeship Program	REQUIRED
POLICY	CED815	Social Inequality	elective
	CED851	Seminar in CED	elective
	CED858	Policy Analysis in CED	elective
	CED859	Advanced Policy Analysis in CED	elective
	CED863	Civil Society, Social Capital, Participation	elective
	CED866	Globalization, States & Community	elective
	CED881	Independent Study	elective
ADMINISTRATION	CED860	Transformation of Development Orgs	elective
	CED861	Nonprofit Management	elective
	CED862	Organizational Analysis	elective
	CED864	Advanced Financial Analysis	elective
	CED865	Advanced Nonprofit Management	elective
DISSERTATION	CED890A	Dissertation Seminar	REQUIRED
	CED890B	Dissertation Seminar	REQUIRED
	CED892	Advanced Dissertation Seminar	REQUIRED
	CED893	Advanced Dissertation Seminar	REQUIRED
	CED894	Dissertation Proposal	optional
	CED895	Doctoral Dissertation	REQUIRED
CONTINUATION	CED891	Doctoral Continuation	optional

The table below provides a sequence that allows a student to complete the core requirements in two years, followed by the dissertation. Students taking electives second semesters and one summer can complete coursework and requirements (except for the dissertation) in two years.

**TABLE 4. DOCTORAL COURSES BY SEMESTER**

<b>Semester 1</b>		<b>Credits</b>
CED801	Research Design	3
CED810	Urban Development Theory (online)	3
CED811	Political Economy Theory	3
CED890A	Dissertation Seminar (the research question)	3
<b>Semester 2</b>		
CED802	Survey Research Methods	3
CED812	Social Theory	3
CED8XX	ELECTIVE 1: CED815 (online), CED860, CED863	3
CED890B	Dissertation Seminar (literature review)	3
<b>SUMMER</b>	OPTIONAL ONLINE ELECTIVE: e.g., CED810, CED815, CED861	3
<b>Semester 3</b>		
CED804	Evaluation Research Methods	3
CED813	Community Economic Development Theory	3
CED814	Contemporary Economic Theory (online)	3
CED892	Advanced Dissertation Seminar (proposal draft)	3
<b>Semester 4</b>		
CED803	Qualitative Research Methods	3
CED805	Demography & GIS in CED Policy & Planning	3
CED8XX	ELECTIVE 2: CED858, CED859, CED860, CED862, CED863, CED865	3
CED893	Advanced Dissertation Seminar (lab & mini proposal)	3
	COMPREHENSIVE EXAMS: Theory, Method, Statistics	0

<b>Semester 5</b>		
CED8XX	ELECTIVES: CED815, CED851, CED858, CED861, CED864, CED881	3
CED894	Dissertation Proposal	0
	ORAL COMPREHENSIVE EXAM	0
<b>Semester 6</b>		
CED8XX	ELECTIVES: CED851, CED859, CED860, CED862, CED863, CED865	3
CED891	Doctoral Continuation	0
<b>Semester 7</b>		
CED8XX	ELECTIVES: CED815, CED851, CED858, CED861, CED864, CED881	3
CED891	Doctoral Continuation	0
<b>Semester 8</b>		
CED895	Doctoral Dissertation (DISSERTATION DEFENSE) GRADUATION	3
<b>Total Credits</b>		<b>54</b>

### **DOCTORAL APPRENTICESHIP PROGRAM (Academic Practicum)**

Doctoral students spend two academic practicum years in the Apprenticeship Program managed by the Applied Research Center, where they receive an appointment and are assigned faculty-supervised TA/RA duties. Faculty assigned to supervise TA/RA duties also serve as the student's Academic Advisor during the Apprenticeship Program. Once the student starts working with a Dissertation Committee Chair on year three, the Chair becomes the student's Academic Advisor. The student may request an Academic Advisor change from the Doctoral Program Chair. Students may have an apprenticeship experience in supervised teaching, research, or both. These may lead to publications or research reports with faculty. Once the Apprenticeship Program requirement has been met, the Department Chair certifies completion in the student's record. The student may then pursue paid sponsored research or adjunct faculty roles in the School. Students may not pursue Comprehensive Examinations, Dissertation Proposal, Dissertation or graduation unless this Apprenticeship Program requirement has been met or waived by the Doctoral Program Chair.

### **THE DISSERTATION PRE-PROPOSAL**

During the first two years of the program doctoral students take four semesters of Dissertation Seminar (CED890A & CED890B) and Advanced Dissertation Seminar (CED892 & CED893). The last Dissertation Seminar course produces a 10-page mini dissertation "pre-proposal" approved by the Advanced Dissertation Seminar professor. At this point the student is expected to have a research topic anchored on a literature review, to have framed central research question(s), and to have designed an anticipated methodology --these are the components of the 10-page **DISSERTATION PRE-PROPOSAL**. Students then use their approved **DISSERTATION PRE-PROPOSAL** to recruit a Dissertation Chair and a Dissertation Committee. Under the supervision of a Dissertation Chair and the Dissertation Committee, the student develops a full Dissertation Proposal. The **DISSERTATION PRE-PROPOSAL** is detailed in Chapter 2.

## **RESEARCH PROGRAM**

The Doctoral Program operates two research programs managed by the Director of the **APPLIED RESEARCH CENTER (ARC)**. **ARC** is an umbrella for interdisciplinary research by faculty from different schools. **ARC** also manages the **DOCTORAL APPRENTICESHIP PROGRAM**, provides research opportunities for students, and serves as the research training arm of the School. Two **ARC** research programs engage students in funded research and act as a venue for practice: A *Sponsored Research Program* for larger grants operated by **ARC**, and a *Professional Practice Program* for smaller planning and research projects (e.g., planning and research contracts with municipalities) typically operated under the **CENTER FOR COMMUNITY ECONOMIC DEVELOPMENT**. **ARC** also manages a monthly **COLLOQUIUM SERIES** that brings speakers to present research and topics of interest to doctoral students, and a publications program under the **COMMUNITY ECONOMIC DEVELOPMENT PRESS**.

## **COMPREHENSIVE EXAMINATIONS**

Doctoral students take Comprehensive Examinations (Comprehensives) at the end of their second year. The doctoral Comprehensives have two components: Written and Oral. The specifics of the Comprehensive Examinations are set by the Doctoral Program. The 3 written Comprehensives are administered first, and are normally offered once a year. The duration of the written Comprehensives is about four hours, but could be longer; the Oral Comprehensive is about two hours. Only students who have completed or are in the final semester of their required coursework in Theory, Methods and Statistics (except course CED805 Demography & Geographic Information Systems) may sit for the Comprehensive Examinations. All students must have resolved any Incompletes in required core courses before registering for the Comprehensive Examinations.

Students must register for Comprehensive Examinations early during the semester in which they plan to take the exams (typically by January). Students planning to take the Comprehensives need to petition in writing the Doctoral Program Chair. After approval of the petition, students take the Comprehensives on the dates specified by the Doctoral Program. Students should understand format, length, and scheduling of the Comprehensive Examinations. Students are encouraged to prepare for the Comprehensive Examinations via collaborative study groups.

Comprehensive Exams are designed to test comprehensive knowledge. Doctoral students are expected to demonstrate mastery or competence. The Exams test student knowledge in three domains: Theory and relevant literature --including students' capacity to utilize and integrate this knowledge base; Research Design and Methods --the theory of research and the practice of research, including students' ability to engage in analytical research critique, and apply appropriate methodology to typical research questions; and Statistical Analysis --including students' ability to apply appropriate statistical procedures to typical research questions, engage in focused analysis, and interpret research findings.

**GRADING POLICY.** In a Comprehensive Exam each question has equal value and is graded by reviewers on a 100-point scale. There are 4 questions in a Comprehensive Exam (Theory had 3 questions until 2006). Each question may have multiple parts, each part weighted towards the total question maximum score of 100 points. This statistic is the **INDIVIDUAL QUESTION SCORE**. The INDIVIDUAL QUESTION SCORES together are averaged on a 100-point scale. This statistic is the **AGGREGATE AVERAGE SCORE** of all questions. The Comprehensive Exam is graded Pass with Distinction (PD), Pass (P), or Fail (F), as follows:

- Pass with Distinction (94-100)
- Pass (84-93)
- Fail (83 or less)

At a minimum, a student must demonstrate *competence*, and preferably *mastery* over the exam as evidence of *readiness* to engage in independent dissertation research. Competence is defined as performing at about a solid “B” or better (i.e., 84 points or better) in the majority of the individual questions and in the Comprehensive Exam as a whole. Mastery is defined as a solid “A” performance (i.e., 94 points or better) in the majority of the individual questions and in the Comprehensive Exam as a whole. That is, a terrific score in 2 individual questions may yield a passing AGGREGATE AVERAGE SCORE in spite of 2 failing questions, but does not demonstrate competence, and does not pass the exam. To complete a Comprehensive Exam successfully, a student must meet two criteria:

- (1) The **AGGREGATE AVERAGE SCORE** of all questions in the Comprehensive Exam must be PASS or higher (84+).
- (2) Over ½ the **INDIVIDUAL QUESTION SCORES** are PASS or higher (84+).

This table depicts the second criteria in a four-question Comprehensive Exam:

**TABLE 5. COMPREHENSIVE EXAM STANDARDS**

SCORE	FAIL			PASS				DISTINCTION	
<b>HIGH PASS</b> 94-100				1	1	2		3	4
<b>PASS</b> 84-93	1	2		4	3	3	2	2	1 0
<b>FAIL</b> 83 or less	4	3	2		1		1		

This formula also applies to PASS with Distinction. For Distinction the AGGREGATE AVERAGE SCORE of all questions in the Exam must be 94 or higher, and over ½ the INDIVIDUAL QUESTION SCORES must be 94 or higher. To FAIL, the AGGREGATE AVERAGE SCORE of all questions must be 83 or lower, or ½ the INDIVIDUAL QUESTION SCORES must be 83 or lower. The score range 80-83 is a marginal (and failing) score, but may be considered under exceptional circumstances by the

examiners when so requested by the Chair of the Doctoral Program (e.g., high 90+ scores in 2 questions and marginal 80-83 scores in 2 questions).

Following the written components of the Comprehensive Examinations, the Chair of the Doctoral Program prepares an official ballot, and then notifies students of the results. Once the student has passed the written and oral Comprehensive Exams, the Chair of the Doctoral Program will send a letter or email officially recognizing his or her admission to doctoral candidacy.

A student who fails a Comprehensive Examination may take the exam once again the following year. In the case of a second failure, no further attempt is allowed. A student who fails to pass *any* Comprehensive Exam after two attempts may not continue towards the Ph.D. but may pursue the MA degree. There are no exceptions to this policy. A PASS or better in all Comprehensive Examinations is required for a student to be subsequently admitted to Doctoral Candidacy.

### **ORAL COMPREHENSIVE EXAM**

After successful completion of written Comprehensives, the student may apply to take the Oral Comprehensive Examination. The Oral Comprehensive is typically scheduled the semester following completion of written Comprehensives. The student takes the Oral Comprehensive before an Examination Committee convened by the Chair of the Doctoral Program. The Oral Comprehensive may include state of the art knowledge in the field, and the application of this knowledge and relevant skills to doctoral practice. The Examination Committee may also direct questions to issues unresolved in the written Comprehensives and/or to topics related to the student's dissertation research interests, including planning a dissertation committee. Ordinarily the Oral Comprehensive Exam consists of a review by the Examination Committee of the student's dissertation pre-proposal and review of the student's competence in the areas identified in the pre-proposal. When the Examination Committee decides by majority vote that the student is qualified to engage in dissertation research, it recommends advancement to Candidacy to the Doctoral Program Chair.

### **ADVANCEMENT TO DOCTORAL CANDIDACY**

A student qualifies for Doctoral Candidacy upon completion of all required core courses and credits with a GPA of 3.33 (B+), and successful completion of all Comprehensive Exams (written and oral). Students who meet these criteria may be admitted to Doctoral Candidacy by the Doctoral Program Chair, and receive a Research Associate appointment at the Applied Research Center for the duration of their dissertation research. Once notified of their admission to Candidacy, the student may submit a Dissertation Proposal. Students who do not meet these criteria may pursue the MA degree but may not continue towards the Ph.D.

**QUALIFICATION APPEALS.** Students who do not meet criteria for Doctoral Candidacy may appeal to the Doctoral Program Chair and, ultimately, to the Doctoral Program Committee, and show cause for reinstatement.

# Summary of Academic Policies

## **ACADEMIC AND RESEARCH INTEGRITY**

The School of Community Economic Development expects all students to adhere to the accepted norms of intellectual honesty in their academic and research work. Any form of cheating, plagiarism, dishonesty, or collusion in another individual's dishonesty, is a fundamental violation of these norms.

*Cheating* is the use or attempted use of unauthorized aids in any exam, research or other academic exercise submitted for evaluation. This includes:

- Data falsification.
- Data fabrication.
- Deceitful alteration of collected data included in a report.
- Copying from another person's work.
- Unauthorized cooperation in assignments, research, or examinations.
- Use of purchased essays, papers, or preparatory research.
- Submission of the same written work in more than one course without prior written approval from the instructor(s) involved.
- Dishonesty in requests for extensions on papers or make-up exams.

*Plagiarism* is the deliberate act of taking words, ideas, data, illustrative material, or statements of someone else, without full and proper acknowledgment, and presenting them as one's own.

*Collusion* is assisting or attempting to assist another student in an act of academic dishonesty.

*Ethical Standards.* Doctoral students are expected to be familiar with the ethical standards of their profession and School, and to know how to work cooperatively in a community of scholars using the work of others without violating the norms of intellectual honesty. Students have a responsibility to know the parameters of collaboration and the proper forms for quoting, attributing, summarizing, and paraphrasing. Students are expected to apply these norms of intellectual honesty in all communications and representations to the School. If a student has any questions or doubts about the parameters of honesty or cooperative intellectual activity, they should consult their academic advisor or the Ph.D. Program Chair.

Faculty members who detect any manner of academic or intellectual dishonesty have the responsibility to take appropriate action. The faculty member also has the responsibility to report the incident to the Chair of the Ph.D. Program.

## **BIBLIOGRAPHY AND IN-TEXT CITATION STYLE**

Doctoral students are required to learn and use a common reference and publication style. The School uses the style shared by the social sciences: the *American Psychological Association* (APA) author/date style.

## GRADES

A student must complete the prescribed courses and required credit hours of the Doctoral Program, earn a minimum grade of B- and a minimum GPA of 3.5. Grades recorded for all courses completed prior to the awarding of a graduate degree are used to calculate a student's cumulative grade-point average, except in the case of the first grade earned for a course that was repeated. Students are graded on performance according to the scale below.

**TABLE 6. GRADE SCALE**

<b>Letter Grade</b>	<b>Numerical Equivalent</b>	<b>Points</b>
A	95-100	4.00
A-	90-94	3.67
B+	86-89	3.33
B	83-85	3.00
B-	80-82	2.67
F	0-79	0.00
I	Incomplete	
IF	Incomplete/Failure	
S	Satisfactory	
T	Transfer Credit	
U	Unsatisfactory	
W	Withdrawn	

## INCOMPLETES

A student who does not complete work for a course may, with adequate cause and at the discretion of the instructor, receive an Incomplete. Six weeks into the following semester, the incomplete automatically becomes a grade of "IF" if work has not been completed. An Incomplete in a doctoral course generally may not stand for more than a semester or summer session after the course ends; an exception is an Incomplete in a course that runs across two semesters, in which participation in both semesters is required for full credit. Faculty are not required to accept work submitted after the grade due date of the semester following the one in which the "I" turned into an "IF"; in that case students must repeat the course. Financial aid is not available to students with more than one Incomplete. Students with teaching assistantships or research fellowships may not carry more than one Incomplete. Failure to comply with this requirement may jeopardize financial aid, result in a failing grade or dismissal from the Doctoral Program.

## **GRADE CHANGE POLICY**

Once submitted to the Registrar grades are final and may not be changed. The exceptions are (a) if the faculty who submitted the grade determines upon further review that a calculation or numerical error was made in assigning the original grade or (b) if a letter grade is submitted in place of an incomplete.

## **INDEPENDENT STUDY**

Students may register for Independent Study (CED881) as part of their doctoral coursework, typically in preparation for dissertation. Students may register for one or (rarely) two independent study courses (not to exceed 6 credits total) during their doctoral program tenure. For each course the student must prepare a course proposal narrative that couches the course in the context of the student's program of study. Permission must be secured from the supervising faculty and the Chair of the Doctoral Program. After the Doctoral Program Chair approves the independent study course, the CED Office will register the student.

## **STUDENT EVALUATION**

Doctoral students will be evaluated periodically through the program as follows:

**ANNUAL REVIEW.** At the end of each academic year, the status of each student is reviewed by the Doctoral Program Chair. Only students in good academic standing are allowed to continue. To qualify to continue their studies, students will have at least a 3.5 GPA and no more than one incomplete. Those who do not meet these criteria will not be allowed to register.

**DOCTORAL MIDPOINT EVALUATION.** Students are evaluated after their fourth semester of studies (regardless of completed credits) by the Doctoral Program Committee to determine their status. Students with a minimum GPA of B+ (3.33) may continue towards Doctoral Candidacy. Students with a GPA of less than 3.33 at the end of their fourth semester may pursue the M.A. program but may not continue towards Doctoral Candidacy and the Ph.D. degree.

**EVALUATION APPEALS.** Students who do not satisfy the criteria to continue toward Doctoral Candidacy may appeal to the Doctoral Program Chair and, ultimately, the Doctoral Program Committee and show cause for reinstatement.

## 2. The Dissertation Pre-Proposal

Doctoral students craft a 10-page **DISSERTATION PRE-PROPOSAL** by the end of their 4<sup>th</sup> semester in Dissertation Seminar, and use their approved **DISSERTATION PRE-PROPOSAL** to recruit a Dissertation Chair and a Dissertation Committee. Under their supervision, the student develops a full Dissertation Proposal. A typical Dissertation Proposal starts with the **DISSERTATION PRE-PROPOSAL** but is longer, about 20-50 double-spaced pages.

This document details the requirements of the **DISSERTATION PRE-PROPOSAL**. The goal of the **PRE-PROPOSAL** is to cover relevant areas in a succinct, well-considered manner. The **PRE-PROPOSAL** is only ten pages long but includes several chapters detailed below.

### Objectives

The **DISSERTATION PRE-PROPOSAL** is guided by the quality standards of an acceptable dissertation. Chapters in this **DOCTORAL PROGRAM POLICIES, PROCEDURES, DISSERTATION** provides detailed guidance on writing an acceptable dissertation. Key elements are summarized here. This summary is not a substitute for the chapters that follow. The role of a dissertation is to demonstrate the ability to independently conduct original research. But it should also meet other standards above this minimum:

- **MASTERY**: The dissertation should reflect scholarly and literary merit which demonstrates the candidate's ability to conduct and present independent, original, and creative research. The research is expected to draw upon advanced learning in the student's major areas of interest and demonstrate mastery of that knowledge.
- **INDEPENDENCE**: A dissertation must be an independent study, but it may also be part of a larger study or use data from a prior study (secondary analysis).
- **SIGNIFICANCE**: The dissertation should contain new scientific knowledge: a new idea or approach, new knowledge or understanding, a creative extension/application of theory and knowledge. The research should be a significant, original, unique contribution representing a genuine addition to the fundamental knowledge relevant to the field. Findings must be generalizable and of some, albeit modest, value to the advancement of knowledge, professional practice, method and/or policy.
- **SCIENTIFIC**: The research should possess the major characteristics of scientific inquiry and the scientific method: *objectivity* and *reproducibility*. The

research hypotheses or the goals and specific objectives should be measurable and testable. Design, methods, measurement and data should withstand the scrutiny appropriate for scientific research. Analysis of results and research findings should be explained and described so that they can be replicated and confirmed. The use of actual problems to generate the hypotheses and models for testing should be encouraged.

- **ANALYTICAL.** Dissertations may include empirical applications of theory based on properly grounded conceptual models, original theoretical frameworks or analyses, and/or innovative methodologies that extend the literature. A dissertation makes an argument. It cannot simply be a directory, typology, or taxonomy. Even if a dissertation focuses on the historical description of a particular event, there should be an explicit analytical argument or theory advanced which explains the event.
- **RELEVANT:** The dissertation should clearly indicate the relevance and importance to the field of the problem studied, the relationship of the research to the literature, and the significance, originality, and generalizability of the results. Ideally, the dissertation should address potential applications of the research results.
- **SCOPE:** The scope of the research should have sufficient generalizability and relevance to be of significance. The dissertation scope should require the time and effort equivalent to a minimum of one academic year of graduate study.
- **PUBLISHABLE:** Studies should be based on formal theoretical or conceptual frameworks for investigating a question or testing a hypothesis relevant to the field. The results of this research should be of sufficient substance, rigor and creativity to meet the standards of excellence for written scholarship and be publishable in major technical journals in the field.
- **EDUCATIONAL:** The dissertation should be of sufficient caliber to provide a focused, in-depth educational experience for the student. This includes logic in design and conceptualization, valid and reliable measurement, appropriate analytic technique and interpretation of results.
- **FEASIBLE:** The dissertation should have appropriate available resources, its completion can be anticipated in a reasonable time frame, considers scope, cost and pragmatics of completing the research, and its relevance to the student's goals (i.e., prepares students for future employment and professional practice).
- **STYLE:** A dissertation should demonstrate high proficiency in written communication. Findings and conclusions should be detailed in a clear and concise style appropriate for scientific presentation, avoiding verbosity, opinion, and emotionality. The research should be contextual, referring to the

relevant results and methods of other researchers, with particularly attention to recent publications. The **DISSERTATION PRE-PROPOSAL** must use the APA referencing style.

- **ETHICAL**: The Institutional Review Board (IRB) must approve all research involving human subjects. According to federal guidelines, a dissertation involving human subjects cannot be accepted without prior IRB approval.

## Quality Characteristics

Chapter 4 **WRITING A DOCTORAL DISSERTATION** includes a table that details performance expectations in student dissertations. That table is not duplicated here, but the student is directed to review Chapter 4 as guidance for the quality characteristics expected in the **DISSERTATION PRE-PROPOSAL**.

## Topic

Community Development covers a broad, rather than narrow range of theories, intervention strategies, and professional practice that can be addressed from community, industry, movement, institutional, and infrastructure perspectives. Suitable topics may be drawn from the following suggested areas:

- Theory development, extension, and refinement.
- Development or innovation of professional practice models or techniques.
- The generalizable outcomes or effectiveness of professional practice.
- The generalizable effects of intervention strategies or techniques.
- The generalizable effects of intervention processes.
- Studies of the characteristics, needs, and attitudes of a target population relative to professional practice or intervention strategies in the field.
- The study or formulation of development techniques and processes.
- The study or validation of training techniques and major programs.
- Generalizable program evaluations of regional or national impact.
- Important issues in professional practice, education, and social policy.
- Historical development of professional values, knowledge, technology, major programs (inferential not descriptive studies).
- The sociology of the profession and professional practice, including analytic study of the contributions of key individuals.
- The development of intervention, evaluation, or research methods.

In all instances, the dissertation research is analytical and makes an argument of some scope and substance seeking to generate new scientific knowledge. It does not consist simply of observation or description or a typology. Even when a dissertation describes an event, it offers an explicit analytical argument or theory that proposes to explain the event. The topic is not trivial, unoriginal, or already solved.

## Design

There are many ways of contributing to the advancement of theory and knowledge, and there is no optimal design for the doctoral dissertation. Some areas of study call for quantitative methods while others call for qualitative research. Whatever design is used, it must be appropriate to the research questions under study. It is not acceptable, for example, to utilize an extensive case study or other exploratory method merely in place of a more rigorous research design, when the latter is more suitable. Qualitative studies should be undertaken when there is more to gain from the use of this type of approach or when the data are not amenable to study in other ways. Similarly, while not all Ph.D. dissertations use extensive statistical methods, the level and nature of statistical analyses should stem from the design used. The following general approaches are examples of methodologies that may be employed in a CED dissertation:

- multi-method research designs
- survey research
- cross-sectional designs
- quantitative research studies
- econometric studies
- quasi experimental designs
- evaluation research designs
- qualitative research using intensive single-subject institutional case study designs
- qualitative or quantitative multiple case-study triangulation designs<sup>1</sup>
- cost-benefit policy analytic designs
- historical research and retrospective designs
- theory-building/development exploratory designs (involving other methods)

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<sup>1</sup> Yin, R. (1994). *Case study research: Design and methods*. Thousand Oaks, CA: Sage Publications.

## **DESIGN OPTIONS**

Dissertations typically follow a traditional design. A traditional dissertation presents an in-depth analysis of an issue of substantive disciplinary concern. It generally includes an overview that captures the scope and significance of the issue in the context of the literature. Several chapters present conceptual, theoretical, and/or empirical analyses that address facets of the issue under scrutiny. Analysis is empirical, comparative, and hypothesis-driven. Such dissertations may draw overall conclusions and include policy implications that summarize the significance of the results.

In order to prepare doctoral candidates for the positions they may undertake (e.g., academia, research, policy analysis, senior administration), the Doctoral Program offers three optional forms of the dissertation. Students who are aiming toward careers in academia, that will entail considerable research, and those with an interest in a particular research question, should pursue an **EMPIRICAL RESEARCH DISSERTATION**. Students who are preparing themselves for careers in management or policy may pursue an **EVALUATION RESEARCH DISSERTATION** or a **POLICY RESEARCH DISSERTATION**. These options enable students to build the skill sets and publications appropriate to their future professional positions. The student should review these **DOCTORAL PROGRAM POLICIES, PROCEDURES, DISSERTATION** to determine the requirements for each option.

## **Components of the Dissertation Pre-Proposal**

The body of the **DISSERTATION PRE-PROPOSAL** is limited to ten single-spaced pages, printed on one side of the paper with 1-inch margins, in a 12-point standard font like Tahoma or Arial, exclusive of **ABSTRACT, BIBLIOGRAPHY** and **APPENDIX**.

Table 7 details the major components of the **DISSERTATION PRE-PROPOSAL**. Table 7 selects relevant components from a longer table in Chapter 4 **WRITING A DOCTORAL DISSERTATION** that outlines the full **DOCTORAL DISSERTATION**. these **DISSERTATION PRE-PROPOSAL** components are also described below.

### **ABSTRACT** (1 p)

A 250-word abstract should summarize the **DISSERTATION PRE-PROPOSAL** contents. It includes a brief summary of the problem investigated, the method of investigation, and the principal research findings expected. The Abstract is not included in the page count.

**TABLE 7. COMPONENTS OF THE DISSERTATION PRE-PROPOSAL** <sup>2</sup>

<p><b>ABSTRACT</b> (not included in page count)</p> <p><b>COMPONENT 1: INTRODUCTION</b> The introduction (2 pages)</p> <ul style="list-style-type: none"> <li>▪ Provides a problem statement</li> <li>▪ Describes the purpose/motivation for the study</li> <li>▪ States and clarifies the research questions to be addressed and their rationale</li> <li>▪ Describes the context in which the question arises</li> <li>▪ Explains the significance of the research</li> <li>▪ Summarizes the expected findings</li> <li>▪ Discusses the importance of such findings</li> <li>▪ Provides a roadmap to the dissertation</li> </ul> <p><b>COMPONENT 2: LITERATURE REVIEW</b> The review (3-5 pages)</p> <ul style="list-style-type: none"> <li>▪ Is comprehensive and up to date</li> <li>▪ Shows a command of the literature</li> <li>▪ Contextualizes the problem</li> <li>▪ Includes a discussion of the literature that is selective, synthetic, analytical, and thematic</li> </ul>	<p><b>COMPONENT 3: THEORY</b> The theory and conceptual framework applied from other research or newly developed: (2-3 pages)</p> <ul style="list-style-type: none"> <li>▪ Is appropriate</li> <li>▪ Is logically interpreted</li> <li>▪ Is well understood</li> <li>▪ Aligns with the research questions</li> <li>▪ In addition, the author shows comprehension of the theory's: Strengths, Limitations</li> </ul> <p><b>COMPONENT 4: METHODOLOGY</b> The methods applied or developed are (3-5 pages)</p> <ul style="list-style-type: none"> <li>▪ Appropriate</li> <li>▪ Described in detail</li> <li>▪ In alignment with the question addressed and the theory used</li> </ul> <p>In addition, the author demonstrates</p> <ul style="list-style-type: none"> <li>▪ An understanding of the methods' advantages and disadvantages</li> <li>▪ How to use the methods</li> <li>▪ Methods limitations</li> </ul>
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**CHAPTER 1: INTRODUCTION** (2 pp)

The introduction of the **DISSERTATION PRE-PROPOSAL** provides a statement of the problem and a description of the purpose of the study, its rationale, and significance. The introduction is not the place for detailed explanations; it should be succinct and straightforward --a couple of pages. It conveys the following types of information:

- Introduce the topic or problem as the central theme of the questions to be answered by the research (define the problem).
- State the **PURPOSE** and goals of the research clearly and succinctly; emphasize the important distinction between the problem and the purpose of the research. The **PURPOSE** is a succinct, direct statement of the problem to be studied --i.e., what the study will actually address. It should be stated in terms that are clear and specific, not abstract or theoretical. The **PURPOSE** statement encompasses the hypotheses and research questions of the study.

<sup>2</sup> Adapted from Barbara Lovitts. *How to Grade a Dissertation*.. Downloaded May 2006 from <http://www.aaup.org/publications/Academe/2005/05nd/05ndlovi.htm>

- The **RATIONALE** should summarize the arguments presented in the review of the literature, and detail the specific reasons for selecting this topic. The **RATIONALE** is the logical argument or reasoning that leads to the hypotheses and research questions. Why is a particular relationship expected? Why is a particular relationship predicted to be true? The basis for these arguments rest on theory and/or previous research evidence.
- Summarize the general **SIGNIFICANCE** of the topic or problem; i.e., why the research topic is important and worthy of study. The **SIGNIFICANCE** is why the results of the study are potentially important. How can these results be used? What are its implications? This may include contributions to theory, methods, policy and/or professional practice.
- Summarize feasibility issues in obtaining needed resources, drawing a sample, collaborative arrangements with participating institutions; include an anticipated date of successful completion of the proposed research.

## **CHAPTER 2: LITERATURE REVIEW** (3-5 pp)

The **LITERATURE REVIEW** identifies the relevant research and theory in the academic and research literature, substantiates choices about the topic and methodology, and provides a theoretical/conceptual basis for the study. At heart, it is an expansion of the rationale; a detailed explanation of the arguments that lead to proposing research questions and hypotheses for the study. The **LITERATURE REVIEW** is a major part of the proposal; usually half the length of a typical proposal. Read carefully *The Literature Review* section (pp. 47-50) in **DOCTORAL PROGRAM POLICIES, PROCEDURES, DISSERTATION**.

The **LITERATURE REVIEW** is based on previous research, and tells a story about the evolution of thinking on the topic. It usually entails a computerized Boolean search of the *empirical* research literature. Keywords are used to focus the search to the most relevant literature. The goal is to identify all the work that has been done on the topic, and particularly the most relevant to the proposed study. Results are used to carefully select the most pertinent studies and appropriate references. What are the 3 or 4 major strands of research or literature that frame your proposed work? What were their research questions? What methods and procedures were used to test the hypotheses? What did they find? What are the debates and unanswered questions? The **LITERATURE REVIEW** synthesizes previous thinking but in the context and framework of the author. The narrative is organized to lead from general background and debates to more specific previous research that frames the research questions to be proposed in the next chapter. Proposals often include a chart that describes the most pertinent studies. The **LITERATURE REVIEW** will tell us:

- That the research you are proposing has not been done before therefore is unique. It helps you clarify precisely what your proposed study will contribute.
- Provides ideas on methods that may be used, and sometimes procedures and instruments that may be used or adapted to your study.
- Provide conceptual frameworks that may be used or adapted in your research.
- Provides a baseline of comparable studies that you will use in the last chapter of your dissertation to compare your results to those of other studies.

The **REVIEW** should persuade readers that the student has a clear understanding of the research problems from the vantage point of what other researchers have to say about the problem. It should contain all of the necessary supportive material concerning the formal hypotheses to be presented in the **THEORY** chapter. It should also set the stage to persuade readers that the hypotheses are logical and plausible.

The **LITERATURE REVIEW** is not an annotated bibliography, nor a list of relevant articles. It should clearly distinguish between various types of evidence (e.g., theory, empirical data). Hence, it should include a brief description of methodology and a critique when appropriate, specify how a finding is relevant, evaluate the strength of findings giving more weight to "stronger" studies, and the consistency and applicability of theory. The **REVIEW** should conclude with a summary of what is missing and how the study will address gaps or contribute to the literature. Examples of typical organizing ideas follow:

- A theory which makes a specific prediction or two conflicting theories which the dissertation tries to resolve.
- A critique of previous literature suggests that conclusions from a body of studies or a major study may be wrong and proposes an alternative approach or theory.
- Demonstrates contradictory evidence from previous studies, and proposes a way of empirically resolving what may be the problem.
- Addresses a gap in the literature, or extends an idea, theory, or approach to a new population group.
- Addresses a new problem that has not been studied.

### **CHAPTER 3: THEORY/CONCEPTUAL FRAMEWORK** (2-3 pp)

This chapter presents the theoretical framework applied to the problem in order to frame methodology and analysis. The framework may derive from previous research or from the literature. This chapter should be precise in phrasing how the theory, research questions, and hypotheses relate to each other, how key

concepts are operationalized, and how they will be tested. The framework should be brief and include:

- **THEORY:** A brief description of the theoretical and/or conceptual framework that organizes the research (derived from the literature review).
- **DEFINITION OF CONCEPTS:** The theoretical definitions of concepts to appear in the research questions and statement of hypotheses.
- **RESEARCH QUESTIONS:** The questions to be addressed by the methodology. You must have one or more research questions directly related to the review of the literature. State them succinctly and unambiguously.
- **HYPOTHESES:** State the hypotheses to be tested by the analysis. You must have one or more hypotheses. Hypotheses must be directly related to the review of the literature. State the hypotheses succinctly and unambiguously, clarify assumptions made, and provide a clear rationale (i.e., why would you expect those findings? Or what justifies that hypothesis?). In some instances of theoretical or historical research hypotheses may not be needed. Instead you must provide a **STATEMENT OF RESEARCH GOALS**, stated unambiguously, with a clear rationale based on the review of the literature.

#### **CHAPTER 4: METHOD** (3-5 pp)

The **RESEARCH METHODOLOGY** provides a detailed description of all aspects of the research design, procedures, and validation. A **METHODOLOGY** should be sufficiently detailed to allow an independent investigator to replicate or verify the research. It should have a sound epistemological grounding, so that procedures are consistent with theoretical and conceptual tenets. This chapter should include:

- **RESEARCH DESIGN:** A description of the research design to be used, including design notation. Is it qualitative, quantitative, case study, mixed methods? Is it an **EMPIRICAL DISSERTATION**, an **EVALUATION DISSERTATION** or a **POLICY DISSERTATION**? The design narrative should rule out rival hypotheses and address any threats to Internal Validity.
- **SAMPLE:** Who are the participants, how will they be sampled and why, and what is the study's external validity. The sample proposed must be drawn in a defensible fashion and be substantial enough (i.e., theoretically and conceptually justified, of sufficient size) to draw appropriate and generalizable conclusions. The narrative should detail the continuum of expected generalizability, and address any threats to External Validity.
- **PROCEDURES:** The research plan and procedures must clearly describe how the methods and analyses will address and answer each research

question and test each hypothesis. Proposals often include a chart that shows the links between theory, hypotheses, key variables, procedures, analysis and expected findings. A **LOGIC MODEL** may be used to detail these relationships for the **METHODOLOGY**.

- **INSTRUMENTATION**: What surveys, interview schedules, or instruments are used? How are they developed? (attach as an APPENDIX). What questions are asked to operationalize dependent and independent variables? What is the validity and reliability of instruments? A **PROCEDURES** and **INSTRUMENTATION** narrative should detail how independent variables are operationalized to represent hypothetical constructs, and address threats to Construct Validity, Content Validity, and more subjective Face Validity issues.
- **ANALYSIS**: This section should describe how the research hypotheses or goals and specific objectives will be evaluated by outlining the way each hypothesis or goal and specific objective will be tested using the data collected by the research plan, specify statistical procedures to be used, and index construction planned. Will you use SPSS or other programs? The narrative should address threats to Predictive Validity, Conclusion Validity, issues of Reliability Theory (quantitative) or Trustworthiness (qualitative).
- **LIMITATIONS**: The narrative should offer a candid assessment of limitations to the study. This includes: (1) Limitations that derive from any aspect of the study and its methodology that may result in threats to Trustworthiness or Validity/ Reliability not fully controlled by the design or resulting from the design and procedures. (2) A detailed discussion of any mitigating factors or measures the investigator will use to counter or reduce these limitations. (3) Any potential confounding or alternative interpretation, or other issues that may remain after corrective steps were taken, and how these remaining limitations may delimit findings. The author is best served by being his/her own best critic. An honest and forthright approach is the best policy.

#### **BIBLIOGRAPHY** (as needed)

This section should include a complete alphabetical list of the literature referred to and relied upon in the dissertation proposal. The **BIBLIOGRAPHY** is not included in the 10 pages allowed for the **DISSERTATION PRE-PROPOSAL**.

The **DISSERTATION PRE-PROPOSAL** requires a common publication style shared by the social sciences: the American Psychological Association (APA) author/date style. Other methods, like the *Chicago Manual of Style* [CMS] superscript style, are not used. Students may use the latest edition of the APA style manual or access basics online. Examples of online APA style and published guides include:

- Manual: American Psychological Association (2001). *Publication Manual of the American Psychological Association* (5<sup>th</sup> Edition). Washington, DC: American Psychological Association.
- Online: APA electronic reference [www.apastyle.org/electref.html](http://www.apastyle.org/electref.html).  
APA electronic reference  
[www.indiana.edu/~libugls/Publications/APA.html](http://www.indiana.edu/~libugls/Publications/APA.html).  
APA Style Quick Reference  
[www.asu.edu/graduate/format/styleRefs/APA.html](http://www.asu.edu/graduate/format/styleRefs/APA.html).
- Guides: Bolker, Joan (1998). *Writing Your Dissertation in Fifteen Minutes a Day: A Guide to Starting, Revising, and Finishing your Doctoral Thesis*. New York: Henry Holt.
- Booth, Wayne, Gregory Colomb, & Joseph Williams (2003). *The Craft of Research*. 2<sup>nd</sup> edition. Chicago: The University of Chicago Press.
- Gelfand, Harold & Walker, Charles (eds.) (2001). *Mastering APA Style: Student's Workbook and Training Guide*. Washington, DC: American Psychological Association.  
[www.apastyle.org/pubmanual.html](http://www.apastyle.org/pubmanual.html)
- Mauch, James & Jack Birch (1998). *Guide to the Successful Thesis and Dissertation*. New York: Marcel Dekker.
- Miller, Joan & Bruce Taylor (1987). *The Thesis Writer's Handbook*. West Linn, Oregon: Alcove Publishing Company.
- Rudestam, Kjell & Rae Newton (2007). *Surviving Your Dissertation: A Comprehensive Guide to Content and Process* (3<sup>rd</sup> edition). Los Angeles: Sage Publications.

#### **APPENDICES** (as needed)

This section should include copies of supportive documents and supplementary materials: e.g., survey questionnaire, interview schedules, and observation protocols to be used in the study; and informed consent forms. These appendices should also be attached to the dissertation manuscript but are not included in the 10 pages allowed for the **DISSERTATION PRE-PROPOSAL**.



### 3. Doctoral Dissertation Policies

The doctoral dissertation process is summarized in the table below. The pages that follow detail the principal components and steps of this process.

#### The Chair of the Dissertation Committee

After completing Comprehensive Exams, students identify an Advisor to serve as Dissertation Committee Chair. The Chair is selected on the basis of expertise in areas relevant to the student's dissertation. Other reasons may include student's experience working effectively with that professor, special skills or methodology, ongoing faculty research in the area, sponsored research funding, etc. Once the faculty agrees to chair, the student must notify the Doctoral Program Chair and the Director of the Applied Research Center.

Only full-time professors at the School may chair a Dissertation Committee; exceptions may be granted for cause by the Chair of the Doctoral Program.

#### Responsibilities of the Dissertation Committee Chair

1. The Dissertation Committee Chair has primary responsibility for the supervision of the student's dissertation work, including the preparation of the IRB submission, completing and submitting required Doctoral Program forms and approvals, setting deadlines and guiding the student's progress. In discharging these responsibilities, the Dissertation Committee Chair shall follow policies of the Doctoral Program as detailed in these *Doctoral Program Policies, Procedures, Dissertation*.
2. It is expected that Dissertation Committee Chairs will be available to students on a regular basis and will respond in a timely manner.
3. The Dissertation Committee Chair is responsible for ensuring that the student's Dissertation Committee has at least one *designated* member (identified or approved by the Chair of the Doctoral Program) who is an expert in the methodology to be used.
4. The Dissertation Committee Chair is responsible for ensuring that the student's Dissertation Committee has at least one *designated* member (identified or approved by the Chair of the Doctoral Program) who is a content expert in the area of the dissertation.
5. The Dissertation Committee Chair is responsible for ensuring that the research is theoretically based, methodologically sound, and meets the criteria detailed in *Doctoral Program Policies, Procedures, Dissertation*.

<b>TABLE 8 The Process</b>	<b>DEADLINE Timing</b>	<b>PROCEDURE Student Responsibility</b>	<b>PROCEDURE PhD Program Chair</b>	<b>PROCEDURE Dissertation Chair, Committee</b>
Pre-proposal	The student prepares a 10-page mini dissertation proposal ( <b>pre-proposal</b> ).	In Advanced Dissertation Seminar the student refines a topic, and prepares a 10-page mini dissertation proposal ( <b>pre-proposal</b> ) in accordance with guidelines set in <i>Dissertation Procedures</i> .	Approves <b>Pre-proposal</b> ; signs off with a grade for the final Advanced Dissertation Seminar.	Not yet identified.
Proposal Preparation and Committee	After completing all required core coursework and passing Doctoral Comprehensive Examinations.	Student identifies a senior faculty member as a potential <b>Dissertation Committee Chair</b> and works with this advisor to (a) develop the pre-proposal into a full proposal that meets guidelines and standards in the <i>Dissertation Procedures</i> , and (b) identify <b>Dissertation Committee</b> members who meet criteria specified in the <i>Dissertation Procedures</i> . Complete signed <i>Dissertation Committee Approval</i> form.	Approves composition of Dissertation Committee, sits in committee as <i>ex officio</i> member, signs off <i>Dissertation Committee Approval</i> form.	Approves preliminary dissertation proposal, guides creation of a Dissertation Committee, signs off <i>Dissertation Committee Approval</i> form.
Dissertation Proposal and Proposal Hearing	After confirming Dissertation Committee membership, proposal developed and approved or an approval hearing scheduled.	Develop full proposal in consultation with Chair; submit proposal to full Dissertation Committee and to the Chair of the PhD Program.	Sign off on Dissertation Proposal draft for IRB submission.	Approve draft of Dissertation Proposal. Submit Committee ballot (approving the Proposal) to the Chair of the PhD Program.
Human Subjects IRB Review	Before final proposal approval. <b>No data may be collected prior to review and approval by the Institutional Review Board.</b>	Complete required <b>Institutional Review Board</b> Application (Human Subjects) and submit form (signed by Dissertation Chair and Department Chair) to IRB: see <a href="http://www.snhu.edu/5703.asp">www.snhu.edu/5703.asp</a> .	Sign off IRB application.	Sign off on IRB application; submit approval to Chair, PhD Program.
Proposal approval by PhD Program	After the proposal is approved by the IRB.	Submit copy of approved proposal, signed <i>Dissertation Proposal Approval</i> form, IRB approval letter to Doctoral Program Chair.	Sign off <i>Dissertation Proposal Approval</i> form. Approve collection of data.	Sign off <i>Dissertation Proposal Approval</i> form.
Dissertation Research	Starts after proposal approvals: Committee, IRB, Program	Engage in research as per Proposal.		Active supervision of research
Dissertation Defense	After informal approval of the Dissertation by each of the Dissertation Committee members.	Submit the latest copy of dissertation to committee members. Schedule time/place for defense with the Dissertation Committee Chair.		Coordinate scheduling and chair the dissertation defense following <i>Dissertation Procedures</i> policy.
Final draft of the Dissertation	Final draft must be submitted to all committee members at least two weeks before defense.	Submit final draft of the Dissertation to Committee members, one electronic copy of Dissertation to the Chair of the PhD Program. Dissertation must follow format detailed in the <i>Dissertation Procedures</i> .	Approve final Dissertation manuscript. Initiate copy and binding process.	Sign ballot approving Dissertation, submit it to Chair of PhD Program, after all required changes have been completed by student and approved.
Dissertation Binding	After dissertation is approved.	Follow guidelines detailed in <i>Dissertation Procedures</i> to copy and bind dissertation.		

6. The Dissertation Committee Chair and the student shall agree on an approximate time schedule, including meetings of the Dissertation Committee, for completing the dissertation-related work. The Chair is also responsible to set and enforce timelines for students to turn in proposal and dissertation materials. The Chair must make sure that faculty are given sufficient time to read the proposal and dissertation drafts.
7. Although the Dissertation Committee Chair must be sensitive to semester deadlines and student personal timelines, such timelines are secondary to thoroughness and quality when scheduling proposal and final dissertation defenses. Sufficient time should be allowed after the final defense to make necessary changes and corrections and meet SNHU deadlines.
8. The Dissertation Committee Chair shall tell the student which committee member is the first point of contact for initial advising and feedback in the development of each section of the proposal or dissertation. For example, a content expert may take the lead for the literature review and a methods expert on the methods and results chapters. If the Chair is both a content and a methods expert, the Chair may lead these or all chapters.
9. The Dissertation Committee Chair and methodologist must ensure that the student has relevant research competence specific to the proposed research methods prior to conducting the dissertation. At their discretion, this may require additional coursework or study related to the planned methods or content. Pilot work is always desirable preparation for a quality dissertation, and may be essential in some cases.
10. Students are encouraged to change Dissertation Committee members when appropriate. If a student asks the Dissertation Committee Chair or other Committee members to step down, or if faculty choose to step down, the Chair of the Doctoral Program must approve the changes to ensure replacement(s) provide needed expertise as detailed above.
11. If the Dissertation Committee Chair or any Committee member anticipates an extended but temporary absence during the time the student is working on the dissertation, the member shall communicate with the student in advance regarding his/her availability or unavailability during this absence.
12. The Dissertation Committee Chair is responsible for making certain that the Institutional Review Board submission is done after the Methodology is approved by the Dissertation Committee. The Chair is also responsible for making sure that no data is collected prior to the IRB approval and the authorization by the Chair of the Doctoral Program.
13. The Dissertation Committee Chair and the student shall discuss the dissertation format. If the format differs from that prescribed for the dissertation pre-proposal, it is to be presented to the Dissertation

Committee for comments. Once the Dissertation Committee and Chair agree that the proposal is ready to be formally presented, a Proposal Hearing is scheduled in accordance with Doctoral Program policy. At the time of the Proposal Hearing, the Chair, in consultation with Committee members, shall determine the revisions to be made to the Dissertation Proposal. The student shall write a memo outlining the revisions; after the Dissertation Committee Chair reviews the memo, it will be circulated among Committee members and then filed with the Chair of the Doctoral Program as an addendum to the proposal. The student shall then rewrite the Proposal to conform, and resubmit it to the Dissertation Committee and to the Chair of the Doctoral Program.

14. Once the Dissertation Committee Chair and Dissertation Committee members are in agreement that the dissertation is ready to be formally presented at the Dissertation Defense, it is scheduled in accordance with Doctoral Program policy.
15. The Dissertation Committee Chair is responsible for assuring that all final documents (both proposal and final dissertation) are complete, of appropriate length, scope, and quality of writing before it goes to the Dissertation Committee and the Chair of the Doctoral Program.
16. The Dissertation Committee Chair shall ensure that all Dissertation Committee members have read the final drafts of the proposal and dissertation before the defense is conducted.
17. The Dissertation Committee Chair shall chair the proposal defense and the final defense. Before the meeting she/he shall discuss expectations with the student who will be asked to prepare a 30-minute presentation.
18. The Chair of the Dissertation Committee shall open the Dissertation Defense by spelling out the protocol and expectations for the defense as outlined herein. The Chair shall emphasize the gravity and significance of the public defense in the intellectual life of the School and University. It is the responsibility of the Chair of the Dissertation Committee to monitor the participation of any visitors at the meeting in terms of the propriety of their questions or comments. Only members of the Dissertation Committee are entitled to vote on the dissertation. At the time of the Dissertation Defense, the Dissertation Committee Chair, in consultation with the Dissertation Committee, shall determine the revisions that need to be made to the dissertation before the document is recommended for acceptance as the final version. The student shall write a memo outlining the revisions; after the Dissertation Committee Chair reviews the memo, it will be circulated among Dissertation Committee members. If all Dissertation Committee members agree with the memo, the student shall proceed with the changes and complete the dissertation. Upon completion the dissertation goes to the Chair of the Doctoral Program for approval.

## The Dissertation Committee

The student and the Dissertation Committee Chair use the “pre-proposal” to guide their nomination of the other Readers who will comprise the Dissertation Committee. Dissertation Committee members are nominated on the basis of expertise in the areas relevant to the student's dissertation. The Dissertation Committee Chair will complete an **APPROVAL OF PHD DISSERTATION COMMITTEE** form listing the composition of the committee and forward it to the Doctoral Program Chair for evaluation and approval of the Dissertation Committee. Upon approval, the signed form must be placed in the student's academic record.

The Dissertation Committee shall consist of 3 or more members. At least two members of the Doctoral Dissertation Committee must be from the School faculty of professorial rank, and at least one must be from the Doctoral Program faculty. The Committee Chair must also be affiliated with the Ph.D. Program. Other members may be university or external faculty of doctoral rank. At least one member will be a methodologist with expertise in the anticipated dissertation research procedures, and at least one will have content expertise in the topic of the dissertation. The Doctoral Program Chair is an additional ex officio committee member of the Dissertation Committee. If the Doctoral Program Chair also serves as a Reader or Dissertation Committee Chair, then he/she may be counted towards the minimum of 3 members of the Dissertation Committee.

The Doctoral Dissertation Committee supervises development of the Dissertation Proposal, the research and writing of the dissertation, and is responsible for recommending approval of the final dissertation to the Doctoral Program.

### Steps to Request Approval of a Dissertation Committee

1. Complete the Pre-proposal in accordance with program guidelines.
2. Complete an **APPROVAL OF PHD DISSERTATION COMMITTEE** form.
3. Submit Pre-proposal and the form **APPROVAL OF PHD DISSERTATION COMMITTEE** to the Chair of the Doctoral Program.
4. Meet as necessary with the Chair of the Doctoral Program.
5. Make any changes to the Pre-proposal, **APPROVAL OF PHD DISSERTATION COMMITTEE** form; resubmit materials to Chair of the Doctoral Program.
6. The Chair of the Doctoral Program approves the Committee and sends a formal invitation to the proposed members of the Dissertation Committee.
7. Once the proposed members accept the invitation to serve on the Dissertation Committee and the student has received a signed form from the Chair of the Doctoral Program approving the Dissertation Committee, the student may proceed to the development of the Dissertation Proposal.

8. The student may request changes in Dissertation Committee composition, before or after starting to develop the Dissertation Proposal by securing the approval of the Dissertation Committee Chair and submitting a new request for **APPROVAL OF PHD DISSERTATION COMMITTEE**.

## Responsibilities of the Dissertation Committee

1. The Dissertation Committee is responsible for supporting the Dissertation Committee Chair's supervision of the student's dissertation research, and adding their expertise and insight to help guide the student's progress. The Dissertation Committee follows the policies of the Doctoral Program as detailed in these *Doctoral Program Policies, Procedures, Dissertation*.
2. The initial responsibility of the Dissertation Committee is to review the dissertation plan to determine the feasibility and significance of the candidate's topic, appropriateness of research methodology, and potential contribution to the field. The specifics details of how the Dissertation Committee will function --e.g., individual or group meetings, online communications-- are at the discretion of the Dissertation Committee and its Chair except where otherwise prescribed by these *Doctoral Program Policies, Procedures, Dissertation*. However, how the Dissertation Committee chooses to work shall be clarified with all members and the student at the outset of the Dissertation process.
3. After this determination is made, a Proposal Hearing scheduled or waived, and the Dissertation Proposal approved, the Committee shall sign off on the Dissertation Proposal thereby granting the student permission to prepare a submission for the Institutional Review Board. Any changes to the Dissertation Proposal agreed upon at the Proposal Hearing are summarized by the student in a memorandum which must be approved by the Dissertation Committee, submitted to the Chair of the Doctoral Program, and appended to the proposal. The student shall then rewrite the Proposal to conform, and resubmit it to the Dissertation Committee and to the Chair of the Doctoral Program. Once the approval of the Institutional Review Board has been secured, and the Chair of the Doctoral Program has signed off, the student will be authorized to conduct the study as outlined in the approved Dissertation Proposal.
4. Dissertation Committee members are responsible for reviewing the dissertation drafts, and providing feedback in a timely manner. A reasonable amount of time (minimum of two weeks and not more than four weeks) shall be allowed for each of the Dissertation Committee members to review each draft of the manuscript.

5. The Dissertation Committee is responsible for ensuring that the research is theoretically based, methodologically sound, and meets the criteria detailed in these *Doctoral Program Policies, Procedures, Dissertation*.
6. The responsibility of the Dissertation Committee as a whole is to examine the student's work, determine the acceptability of the dissertation, and arrange for an oral defense, all in accordance with these *Doctoral Program Policies, Procedures, Dissertation*. The Dissertation Committee shall meet before the scheduled defense to discuss and agree on the dissertation and procedures for the defense.
7. It shall be the responsibility of the student to observe deadlines for the submission of revisions and final copies of the dissertation. The student is also responsible to ensure that all forms and official documents are filed in a timely fashion and within the deadlines as specified. Any exceptions to this must be approved *in advance* by the Chair of the Doctoral Program.

## The Dissertation Proposal

Students who pass doctoral comprehensive examinations, submit a dissertation pre-proposal and a request for **APPROVAL OF PHD DISSERTATION COMMITTEE** which is approved by the Chair of the Doctoral Program, must then develop a full Dissertation Proposal with the assistance of their Dissertation Committee. The first step in this process is to register for **CED894 DISSERTATION PROPOSAL** with the Dissertation Committee Chair the semester the student starts preparing the formal Dissertation Proposal.

The student, with primary guidance from the Dissertation Committee Chair, and in consultation with his/her Dissertation Committee, will use the dissertation pre-proposal to write a formal Dissertation Proposal. A typical Dissertation Proposal starts with the format of the *pre-proposal (PhD Dissertation Pre-Proposal 10pp)*, and evolves into the format set herein. The format of the Dissertation Proposal may be adapted to accommodate the research. The typical dissertation proposal is longer than the *pre-proposal*, about 20-50 double-spaced pages. The goal of the Dissertation Proposal is to address all relevant areas in a succinct, well-considered manner. The student submits copies of the Dissertation Proposal to the Dissertation Committee for review. Ultimately, the dissertation proposal is defended by the student before the Committee in a Dissertation Proposal Hearing. The proposal usually includes several chapters detailed as follows.

**CHAPTER 1: INTRODUCTION.** The introduction of the proposal provides a description of the purpose of the study, its rationale, and significance. The introduction shall convey the following types of information:

- Introduce the topic or problem as the central theme of the questions to be answered by the research.

- The rationale should summarize the arguments to be presented in the literature review, and detail the specific reasons for choosing this topic.
- Summarize the general significance of the topic or problem; i.e., why the research topic is important and worthy of study.
- The purpose and goals of the research should be stated clearly and succinctly; the proposal shall emphasize the important distinction between the problem and the purpose of the research.
- Summarize feasibility issues in obtaining a sample, needed resources, collaborative arrangements with participating institutions; and the anticipated date of successful completion of the proposed research.

The introduction should be succinct and straightforward; a couple of pages should suffice. This section is not the place for detailed explanations.

**CHAPTER 2: LITERATURE REVIEW.** This chapter identifies and reviews relevant research and theory in the field, substantiates the choices about the topic and methodology, and provides a sound theoretical/conceptual basis for the study. This should be the major part of the proposal; one-half the length of the typical proposal is dedicated to the literature review.

The review should carefully select appropriate general references and the most pertinent studies from the research literature. The narrative should be organized to lead the reader from the more general background material to the more specific previous research that frames the research questions.

This section should persuade reviewers that the student has developed a clear understanding of the research problem from the vantage point of what other researchers have had to say about the research problem. It should contain all of the necessary supportive material concerning the formal hypotheses to be presented in the next chapter.

**CHAPTER 3: THEORY/CONCEPTUAL FRAMEWORK.** This is the theoretical framework applied to the problem that frames methodology and analysis. This component should be precise in phrasing statements to explain how the theory, research questions, and hypotheses relate to each other, the manner they are operationalized, and how they will be tested. It should also be brief; a couple of pages should suffice. The framework should include:

- **THEORY:** A brief description of the theoretical or conceptual framework that organizes the research (derived from the literature review).
- **DEFINITION OF CONCEPTS:** The theoretical definitions of concepts to appear in the research questions and statement of hypotheses.
- **RESEARCH QUESTIONS:** The research questions to be operationalized by the methodology. You must have one or more research questions.

State them succinctly and unambiguously. Research questions must be directly related to the review of the literature.

- **STATEMENT OF HYPOTHESES:** State the hypotheses to be addressed and answered by the analysis. You must have one or more hypotheses. Hypotheses must be directly related to the review of the literature. State the hypotheses succinctly and unambiguously, clarify assumptions made, and provide a clear rationale ( i.e., why would you expect those findings? Or what justifies that hypothesis?). In some instances of theoretical or historical research hypotheses may not be needed. In such cases you must provide a **STATEMENT OF RESEARCH GOALS**, stated unambiguously, with a clear rationale based on the review of the literature.

**CHAPTER 4: METHOD.** The methodology provides a detailed description of all aspects of the research design, procedures, and validation. The methods proposed must have a sound epistemological grounding, such that the procedures used are consistent and coherent with the theoretical and conceptual tenets of the methodological paradigm. To include:

- **RESEARCH DESIGN:** A description of the research design to be applied, including design notation as appropriate. The narrative should rule out rival hypotheses and address any threats to Internal Validity.
- **PROCEDURES:** The research plan and procedures must clearly describe how the methods and analyses proposed will address and answer each research question and test each hypothesis. A **LOGIC MODEL** or **LOGFRAME** is recommended as a means to detail these relationships.
- **INSTRUMENTATION:** What surveys, interview schedules, or instruments are used? (attached as an **APPENDIX**). What is the validity and reliability of instruments? What questions are asked to operationalize dependent and independent variables? A **PROCEDURES** and **INSTRUMENTATION** narrative should detail how independent variables are operationalized to represent hypothetical constructs, and address threats to Construct Validity, Content Validity, and more subjective Face Validity issues.
- **SAMPLE:** Who are the participants, how will they be sampled and why, and what is the study's external validity. The sample proposed must be drawn in a defensible fashion and be substantial (i.e., theoretically and conceptually justified, and of sufficient size) enough to draw appropriate and generalizable conclusions. The narrative should detail the continuum of expected generalizability, and address any threats to External Validity.
- **ANALYSIS:** This section should describe how the research hypotheses or goals and specific objectives will be evaluated by outlining the way each hypothesis or goal and specific objective will be tested using the data collected by the research plan, statistical procedures, and planned index

construction. The narrative should address threats to Predictive Validity, Conclusion Validity, and issues of Reliability Theory.

- **LIMITATIONS:** The narrative should offer a candid assessment of remaining threats to Validity/Reliability (quantitative) or Trustworthiness (qualitative) not fully controlled by design or resulting from the design and procedures, including a detailed outline of the limitations to the study from these threats and other research operations.

In cases where it is urgent to obtain Institutional Review Board approval and begin data collection, a draft methodology may be tentatively approved by the Dissertation Committee and the Chair of the Doctoral Program before a proposal defense. Some changes in the methods may need to be made later when the Committee considers the full proposal for approval.

**INSTITUTIONAL REVIEW BOARD STATEMENT.** This identifies and discusses all issues and procedures related to protection of human subjects.

**BIBLIOGRAPHY.** This section should include a complete alphabetical list of the literature referred to and relied upon in the dissertation proposal. The APA Style standard for listing references is recommended, but other styles identified in the Style section are acceptable. Since these references will be incorporated into the final dissertation manuscript, the style should already correspond to the current edition of the style chosen for the dissertation. The

**APPENDICES.** This section should include copies of supportive documents and supplementary materials: e.g., survey questionnaire, interview schedules, and observation schedules to be used in the study; informed consent forms and letters to subjects; data from preliminary studies. After the proposal is approved, add the Institutional Review Board approval and official letters of permission from organizations participating in the study. These appendices should also be attached to the dissertation manuscript.

## The Dissertation Proposal Hearing

Once the proposal is completed and accepted by the Dissertation Committee, the Dissertation Committee sets a Hearing date. The student coordinates a schedule for a Dissertation Proposal Hearing with the Committee Chair. In anticipation the student shall deliver a copy of the final draft of the Proposal to all members of the Dissertation Committee and to the Chair of the Doctoral Program. Copies of the Dissertation Proposal shall be submitted at least two weeks prior to the Hearing. Students are encouraged to submit the Dissertation Proposal a full month before their Hearing so that Readers have sufficient time for study and reflection. A decision regarding approval of the Dissertation Proposal will be made at the Dissertation Proposal Hearing.

The Chair of the Doctoral Program will send an email announcing the date and inviting the Readers to the hearing (please note that proposal hearings are not held during July and August). Failure to comply with these procedures may result in the delay of the Dissertation Proposal Hearing.

## The Dissertation Proposal Approvals

For the proposal hearing, doctoral candidates will meet with members of their Dissertation Committee at the scheduled time to answer questions related to the Dissertation Proposal. The candidate needs 3 proposal approvals to proceed.

**(1) DISSERTATION COMMITTEE APPROVAL.** The following criteria will be used by the Dissertation Committee to review and approve the Proposal:

- Clarity of problem formation and concepts
- Significance
- Scholarliness
- Appropriateness and specificity of design and methodology
- Feasibility
- Relationship to student's experience, studies and interests

The committee will make one of four decisions:

1. The proposal is accepted.
2. The proposal is accepted with specific qualifications and revisions.
3. The proposal is rejected in its present form, but may be revised and resubmitted at a later date; another proposal hearing will be held.
4. The proposal is rejected.

When members of the Dissertation Committee are satisfied with a proposal, they will sign a ballot to approve the proposal using an **APPROVAL OF PHD DISSERTATION PROPOSAL** form. This ballot is filed with the Doctoral Program Chair. All members of the Committee must sign the ballot but the proposal is not considered accepted until it is also approved by the Institutional Review Board for research with human subjects, and by the Chair of the Doctoral Program (who authorizes the student to commence the research).

**EXCEPTION TO THE PROPOSAL HEARING.** As an alternative, the Proposal Hearing process can be done online. At the discretion of the Dissertation Committee Chair and members, the Dissertation Committee may waive a formal presentation and defense by the student, and communicate online to approve the Dissertation Proposal. All Dissertation Committee members

must still sign an **APPROVAL OF PHD DISSERTATION PROPOSAL** form to be held by the Dissertation Committee Chair through IRB approval.

Upon Dissertation Committee approval of the Dissertation Proposal, the Doctoral Candidate will forward a digital copy to all School of CED faculty of professorial rank advising them that this Dissertation Proposal has been approved and submitted for IRB review and, at his/her discretion, share a digital draft with other doctoral students at a Dissertation Seminar.

## **(2) INSTITUTIONAL REVIEW BOARD APPROVAL**

After the Dissertation Proposal has been approved by the Dissertation Committee, students are required to complete an Application for Approval of Research Involving Human Subjects and submit it to the University-wide *Institutional Review Board* (IRB) prior to any contact with human subjects or conducting the actual research. The Dissertation Committee Chair will review and approve the student's IRB proposal to insure compliance with the standards established by the Institutional Review Board. The Chair of the Doctoral Program will also review and approve the student's IRB proposal before submission.

Students should visit the IRB website ([www.snhu.edu/5703.asp](http://www.snhu.edu/5703.asp)) for details on this process. It is the policy of the Institutional Review Board, the Doctoral Program and the School, that no data may be collected for the dissertation research prior to the approval of the Institutional Review Board application.

Students are advised that if their proposed research is "high risk" it must be reviewed by the full Institutional Review Board and that this committee is not required to meet regularly during July and August.

## **(3) AUTHORIZATION TO COMMENCE RESEARCH**

Upon receipt of Institutional Review Board approval, the Dissertation Committee Chair will submit to the Chair of the Doctoral Program (a) the signed *Approval of PhD Dissertation Proposal* form, (b) a copy of the Dissertation Proposal, and (c) the Institutional Review Board approval. The Chair of the Doctoral Program will determine that all procedural conditions are met and provide the authorization to begin the research as detailed in the Dissertation Proposal. The Chair of the Doctoral Program may withhold this authorization for cause. Upon approval, the signed form and attachments are placed in the student's academic record, and a copy of the *Approval of PhD Dissertation Proposal* form provided to the student and to the Dissertation Committee Chair authorizing the research to commence.

Upon formal approval of the full Dissertation Proposal by the Dissertation Committee, the IRB, and the Doctoral Program Chair, the Doctoral Candidate may start the research, and prepare a dissertation manuscript under the Dissertation Committee Chair's direct guidance and supervision.

Dissertation research is conducted under the auspices of the Applied Research Center, where the Doctoral Candidate has a *Research Associate* appointment for

the duration of the dissertation research. Therefore, dissertation research is subject to the conditions, criteria, and academic policies applied to all sponsored research at the School as overseen by the Applied Research Center.

### **SUMMARY STEPS FOR PROPOSAL APPROVAL AND AUTHORIZATION TO COMMENCE RESEARCH**

1. Complete a Dissertation Proposal in accordance with guidelines: to include topic, central questions, background, rationale, significance, objectives, research protocol and methodology, and anticipated date of completion.
2. Present and defend the Dissertation Proposal before the Dissertation Committee at a Dissertation Proposal Hearing and --even if a Dissertation Proposal Hearing is waved by the Dissertation Committee-- secure Dissertation Committee approval of the Dissertation Proposal by signing an **APPROVAL OF PHD DISSERTATION PROPOSAL** form.
3. Prepare an Application for Approval of Research Involving Human Subjects to the *Institutional Review Board* prior to any contact with human subjects or conducting research. The Dissertation Committee Chair and Doctoral Program Chair must approve the IRB proposal before submission.
4. Meet as necessary with the Dissertation Committee Chair and the Doctoral Program Chair. Make necessary adjustments to the Dissertation Proposal and the IRB proposal.
5. Submit to the Institutional Review Board an application to conduct research with human subjects.
6. Forward a digital copy of the Dissertation Proposal to all School of CED faculty of professorial rank; share a digital draft of the Dissertation Proposal with other doctoral students at Dissertation Seminar (optional).
7. Upon receipt of Institutional Review Board approval, the Dissertation Committee Chair submits to the Chair of the Doctoral Program the signed **APPROVAL OF PHD DISSERTATION PROPOSAL** form with a copy of the Dissertation Proposal and the Institutional Review Board approval.
8. The Chair of the Doctoral Program's signature on the **APPROVAL OF PHD DISSERTATION PROPOSAL** form authorizes the Doctoral Candidate to commence the research as detailed in the Dissertation Proposal under the Applied Research Center.
9. Students may request changes in their Proposal, before or after starting the research, with the approval of their Dissertation Committee and by informing the Chair of the Doctoral Program. The Chair of the Committee or the Chair of the Doctoral Program may require an *Institutional Review Board* resubmission or consultation before authorizing the changes.

## The Dissertation

The dissertation will include results of the doctoral candidate's independent research and will contribute to the body of knowledge in the field. The candidate will have advanced some of the work for the dissertation (e.g., literature review, anticipated methods, analysis plan) through four semesters of Dissertation Seminar. But the actual methodology, data collection, analysis, and discussion will be supervised by the Dissertation Committee and the Committee Chair.

All dissertations shall conform to University, School and Department regulations as to format and method of preparation, detailed in *Writing the Dissertation*. The dissertation manuscript will adhere to the *Doctoral Program Policies, Procedures, Dissertation*, as amended from time to time by the Doctoral Program.

A dissertation should be sufficiently complete to allow an independent scholar to repeat or verify the work. As the manuscript may be planned for publication, the terseness required and the page restrictions of professional journals may prevent authors from meeting this condition with a publishable manuscript. In such cases, the dissertation must also include additional materials in appendices or endnotes to ensure independent reproducibility; e.g., description of methods, unproductive or unsuccessful explorations, tables, derivations.

### **RESPONSIBILITY**

The responsibility for selecting a topic, designing and conducting the research, and writing the dissertation lies solely with the student. Students will seek advice from their Dissertation Committee Chairs, from other faculty, or from outside experts --particularly in the planning phase of the study-- and will keep their Chairs informed of their progress. Some faculty invite student participation in their research. This provides an excellent opportunity for doctoral students to become part of an active research team, learn from research mentors, and develop their own dissertation research questions within a larger study. If the dissertation is part of a larger project, or if other collaborative arrangements exist, the student's role vis-a-vis others needs to be clearly spelled out at the time the dissertation proposal is submitted.

### **STYLE**

A dissertation should be written in a style appropriate to the discipline. APA Style is recommended, but others like MLA may be used. The student, in consultation with the Dissertation Committee Chair, must select the current edition of a recognized style manual listed below and inform the Doctoral Program Chair which style will be followed in preparing the manuscript. *All decisions regarding style and format must be consistent with the chosen style and the format guidance provided herein or the dissertation will not be accepted by the Doctoral Program.* Should these *Policies & Procedures* and the style conflict, *Policies & Procedures* shall take precedence. While it is desirable that form, organization,

and bibliographical style be compatible with professional publications, the format followed by a premier journal cannot be used in place of a recognized style manual. The Dissertation Committee Chair is responsible for insuring that the student follows the specifications of style and format by the Doctoral Program. Authors should use the latest edition of a recognized style manual from this list:

Bolker, Joan (1998). *Writing Your Dissertation in Fifteen Minutes a Day: A Guide to Starting, Revising, and Finishing your Doctoral Thesis*. New York: Henry Holt.

Booth, Wayne, Gregory Colomb, & Joseph Williams (2003). *The Craft of Research*. 2<sup>nd</sup> edition. Chicago: The University of Chicago Press.

Mauch, James & Jack Birch (1998). *Guide to the Successful Thesis and Dissertation*. New York: Marcel Dekker.

Miller, Joan & Bruce Taylor (1987). *The Thesis Writer's Handbook*. West Linn, Oregon: Alcove Publishing Company.

Rudestam, Kjell & Rae Newton (2007). *Surviving Your Dissertation: A Comprehensive Guide to Content and Process* (3<sup>rd</sup> edition). Los Angeles: Sage Publications.

#### **APA STYLE**

American Psychological Association (2001). *Publication Manual of the American Psychological Association* (5<sup>th</sup> Edition). Washington, DC: American Psychological Association.

APA electronic reference [www.apastyle.org/elecref.html](http://www.apastyle.org/elecref.html).

APA electronic reference [www.indiana.edu/~libugls/Publications/APA.html](http://www.indiana.edu/~libugls/Publications/APA.html).

APA Style Quick Reference [www.asu.edu/graduate/format/styleRefs/APA.html](http://www.asu.edu/graduate/format/styleRefs/APA.html).

Gelfand, Harold & Charles Walker (eds.) (2001). *Mastering APA Style: Student's Workbook and Training Guide*. Washington, DC: American Psychological Association. See [www.apastyle.org/pubmanual.html](http://www.apastyle.org/pubmanual.html).

#### **CHICAGO MANUAL OF STYLE**

University of Chicago (2003). *Chicago Manual of Style*. 15th edition. Chicago: University of Chicago Press.

Chicago Style Quick Reference ([www.asu.edu/graduate/format/styleRefs/Chicago.html](http://www.asu.edu/graduate/format/styleRefs/Chicago.html))

Turabian, Kate (1996). *A Manual for Writers of Term Papers, Theses, and Dissertation*. 6<sup>th</sup> edition. Chicago: University of Chicago Press.

Turabian Quick Reference [www.asu.edu/graduate/format/styleRefs/Turabian.html](http://www.asu.edu/graduate/format/styleRefs/Turabian.html)

#### **MODERN LANGUAGE ASSOCIATION STYLE (MLA)**

Gibaldi, Joseph & Walter Achtert (eds) (2003). *MLA Handbook for Writers of Research Papers*. 6<sup>th</sup> edition. New York: Modern Language Association.

MLA Style Quick Reference ([www.asu.edu/graduate/format/styleRefs/MLA.html](http://www.asu.edu/graduate/format/styleRefs/MLA.html))

For guidance on format see **FORMATTING & BINDING PROCEDURES**.

## **LENGTH**

There is flexibility regarding the length of a dissertation. More important than length are quality and clarity of conception, writing, and presentation, evidence of scholarship and systematic inquiry, originality, and significance. While it is difficult to establish specific guidelines, the student should aim at writing a small to medium size volume, about 150-250 double-spaced pages.

## **LANGUAGE**

The dissertation must be in English. Exceptions are granted by the Dean upon submission of a written request from the Chair of the Doctoral Program. Approval for writing the dissertation in another language is normally granted only in cases where the other language or literature in that language is also the subject of the discipline. Approval is more commonly granted for dissertations in Literature, Culture, and Languages. Dissertations written in another language must include an extended summary and abstract in English (usually 15-20 pages in length).

## **The Dissertation Defense**

The Doctoral Dissertation Committee will conduct a final oral exam wherein the candidate defends the dissertation. Ordinarily, this oral defense will be conducted upon completion of the dissertation, with the student in residence, during a regular academic semester. Doctoral Candidates should register for **CED895 DOCTORAL DISSERTATION** with the Chair of their Dissertation Committee the semester they plan to defend their Dissertation.

Failure to comply with these procedures will result in the defense being delayed. Final defenses may not be held in July and August. To participate in May graduation ceremonies doctoral students must defend their dissertations and complete all materials prepared for the submission of their dissertations by March 31<sup>st</sup> or the date set by the Office of the Registrar. Students should refer to the guidelines for submitting completed dissertations before preparing final copies, since these guidelines define format and other requirements.

## **FINAL DISSERTATION DRAFT**

The final Dissertation draft must be submitted to each Committee member at least two weeks before the defense. This final draft must be complete in all respects and editorially acceptable for final approval at the time of the defense. The Chair of the Doctoral Program will send the Dissertation Committee Chair and the candidate the title pages to be signed by members of the Dissertation Committee indicating their official approval of the dissertation after the final defense. These pages should be included with the final copy of the dissertation.

## **SCHEDULING THE DEFENSE**

After informal approval of the dissertation by each of the Dissertation Committee members, candidates will schedule a tentative date for their defense hearing.

The candidate shall submit the completed dissertation to the Dissertation Committee Readers at least two weeks prior to the defense. One copy of the dissertation shall be submitted electronically to the Doctoral Program Chair.

### **GUIDELINES FOR DOCTORAL DEFENSES**

The Doctoral Program set these Guidelines for Defense Hearings. The Committee may depart from these guidelines only under extenuating circumstances.

The defense is **PUBLIC**. It can be attended by School and University communities and, where reasonable in the eyes of the Dissertation Committee, by others from outside the University. Copies of the abstract may be made available to interested parties upon request. When possible, the defense shall be scheduled in a room that can accommodate visitors. Faculty who are visiting, visitors, and members of the School and University community are asked to defer to the Dissertation Committee Chair's judgment concerning matters of protocol.

Technically, the defense is also an **ORAL EXAMINATION**, which means that the Dissertation Committee may choose to question the candidate about issues relevant to, but not directly part of, the dissertation. For example, the committee may question the candidate about the use of a particular statistic or about a body of literature that is pertinent to the dissertation but not cited therein.

**PRESENTATION GUIDANCE.** Except in exceptional circumstances, doctoral dissertation defenses will not exceed two hours in duration. After an introduction by the Chair, the candidate will make a **PRESENTATION** for about 45 minutes, never more than one hour, and rely on PowerPoint and poster as needed. The **PRESENTATION** shall state the problem investigated, the research design and design notation, research questions and hypotheses, outline the methodology, sampling procedures, instrumentation, principal research findings, conclusions derived from these findings, what new methods were used and shown effective, and what new scientific knowledge it adds to the field. The **PRESENTATION** should be concise and tightly-organized as befits a scientific presentation. Avoid verbosity and only address matters of direct relevance to the research. Opinion or advocacy are not scientific findings and should be limited to a final discussion.

**THE HEARING.** The public defense provides a formal opportunity for the Committee to question candidates about their work and to vote on the quality of that work. As a defense is an **ORAL EXAMINATION**, the Dissertation Committee will complete its questioning first; this includes the Chair of the Doctoral Program who is an ex-officio member of all dissertation committees. Once the Dissertation Committee members and the Doctoral Program Chair are finished, the Chair of the Committee will ask if any other faculty has questions. Any faculty may then ask questions of the candidate at the defense. Unless there are extenuating circumstances, and time allows, the Dissertation Committee Chair will allow visitors and students an opportunity to pose question appropriate to the defense.

The Dissertation Committee's deliberations after the defense will be in **EXECUTIVE SESSION**, with only the Dissertation Committee and the Chair of the Doctoral Program present. The Committee's decision will include a vote of pass or fail on the examination, and a list of recommended or required changes in the dissertation, summarized by the Committee Chair. Only Dissertation Committee faculty may vote on whether the candidate passed or failed the examination. The Chair of the Doctoral Program, when serving as an ex-officio member of the Dissertation Committee, may ask questions and request changes but does not vote on whether the candidate passed or failed the examination.

The candidate is the only person who returns after the Dissertation Committee's deliberations. **FEEDBACK** from the Committee is to the candidate *only*. It is common for a Committee to require some modifications to the dissertation after the defense; candidates should reserve time and resources for making these changes after the final defense. The Dissertation Committee usually signs an official ballot signifying successful completion of the dissertation, if that is the decision, after the defense, which is then held by the Committee Chair or the Doctoral Program Chair until all necessary changes in the dissertation have been made. The candidate will not have completed the dissertation until all changes required by the Committee are addressed, accepted, and submitted to the Chair of the Doctoral Program. The Chair of the Doctoral Program formally approves the final dissertation for the Doctoral Program.

Candidates are expected to prepare and submit a paper summarizing the results of their dissertation research to a professional journal for publication. Faculty members who have made substantive contributions to the study may collaborate on writing the paper for publication. However, the author of the dissertation is always the first author listed on any paper based on the dissertation that is submitted for publication.

#### **CONCERNS ABOUT PROTOCOL OR STANDARDS AT THE DEFENSE**

A faculty concerned with protocol or standards at Defense Hearings is asked to share those concerns with the Chair of the Doctoral Program. The Chair will rule on such matters and this ruling will be final. Faculty are requested to refrain from public criticism of colleagues serving as Chairs or Readers on Dissertation Committees, particularly in the presence of students or visitors.

#### **DISPUTES**

In the event that a dispute or disagreement arises between a candidate and a member of the Dissertation Committee or between members of the Dissertation Committee at any point during the Dissertation Process, the candidate shall refer the dispute to the Chair of the Doctoral Program who will seek to resolve the matter or, failing a resolution, follow the School Grievance Procedures.

## Approval of the Dissertation

The Doctoral Dissertation Committee certifies that the completed dissertation is satisfactory through the signatures of all Committee members on the signature page of the completed dissertation. The Dissertation Committee recommends the conferral of the Ph.D. degree to the Chair of the Doctoral Program, who signs the signature page acknowledging receipt of this recommendation on behalf of the Doctoral Program. The Doctoral Program and the School award the degrees.

### **SUBMISSION OF THE DISSERTATION**

The submission of the dissertation is the last step leading to the award of the Ph.D. degree. Doctoral Candidates submit the final Dissertation manuscript to the Chair of the Doctoral Program for final review. The Chair of the Doctoral Program approves the completed dissertation on behalf of the Doctoral Program and the School by signing the **APPROVAL OF PHD DISSERTATION** form and placing it in the Candidate's academic record. This approval authorizes the Registrar to award the Ph.D. degree and to enter the Candidate for graduation.

The dissertation is to be submitted by the deadline in the semester in which the degree is to be conferred. Those students who complete requirements and submit the dissertation after this deadline will earn a degree the following graduation date, but will not be required to pay fees for intervening semesters.

Candidates typically copyright their dissertation after receiving the final approval from the Chair of the Doctoral Program. Whether or not a candidate copyrights the dissertation, the candidate is responsible for complying with all current copyright laws and regulations governing inclusion of another's work in his or her work. Candidates are cautioned to pay special attention to these regulations when reproducing instruments, in whole or in part, that are published elsewhere.

### **SURVEY OF EARNED DOCTORATES FOR THE NATIONAL OPINION RESEARCH CENTER, UNIVERSITY OF CHICAGO**

This annual census is solicited to obtain objective data on earned doctorates. These data are important for improving graduate education. All information provided by the candidate will be treated as confidential. A copy of the survey will be provided to the candidate by the Chair of the Doctoral Program.

### **PROCEDURAL CHECKS**

Students should check with the Registrar to ensure no grades of "Incomplete" remain on their transcript, that they have completed all program and School requirements, paid all fees, and they are on the graduation clearance list. These checks ensure the graduation clearance process will go smoothly.

## **SUBMISSIONS AND DEADLINES**

The Registrar has firm dates for submission of all materials for graduation. Inquiries about required submissions and deadlines should be addressed to the CED Office or to the Office of the Registrar. Students must register to graduate. All dissertation materials must be submitted to the Chair of the Doctoral Program by March 31. Materials submitted after the University's deadline will be reviewed for the subsequent graduation date depending upon the date of submission.

## **DISSERTATION ACCESS**

Copies of all doctoral dissertations completed at the School are preserved in the Shapiro Library, and are available electronically at the Applied Research Center.



## 4. Writing a Doctoral Dissertation

### GUIDANCE FOR DOCTORAL STUDENTS

This section describes Doctoral Program dissertation standards at the School of Community Economic Development. Doctoral students seeking to frame a dissertation topic need a clear statement of what constitutes an acceptable dissertation. Faculty need guidance for purposes of administering reasonably uniform standards. This document is not intended to present a complete set of rules on what constitutes an acceptable dissertation. Rather, it seeks to clarify expectations. Ultimately, it is the responsibility of the Dissertation Committee, the Dissertation Committee Chair, and the Doctoral Program Chair to determine whether each student's contribution meets the standards set herein.

### Dissertation Objectives

The key role of the dissertation is to demonstrate the ability to independently conduct original research. But a dissertation should meet other standards above this minimum. Dissertation quality in the social sciences is typically judged by the following criteria:

- **MASTERY:** The dissertation should reflect scholarly and literary merit which demonstrates the candidate's ability to conduct and present independent, original, and creative research. The research is expected to draw upon advanced learning in the student's major areas of interest and demonstrate mastery of that knowledge.
- **INDEPENDENCE:** A dissertation must be an independent study but it may be part of a larger study or use data from a prior study (secondary analysis).
- **SIGNIFICANCE:** The dissertation should contain new scientific knowledge: a new idea or approach, new knowledge or understanding, a creative extension/application of theory and knowledge. The research should be a significant, original, unique contribution representing a genuine addition to the fundamental knowledge relevant to the field. Findings must be generalizable and of some, albeit modest, value to the advancement of knowledge, professional practice, method and/or policy.
- **SCIENTIFIC:** The research should possess the major characteristics of scientific inquiry and the scientific method: *objectivity* and *reproducibility*. The research hypotheses or the goals and specific objectives should be measurable and testable. Design, methods, measurement and data should withstand the scrutiny appropriate for scientific research. Analysis of results and research findings should be explained and described so that they can be

replicated and confirmed. The use of actual problems to generate the hypotheses and models for testing should be encouraged.

- **ANALYTICAL.** Dissertations may include empirical applications of theory based on properly grounded conceptual models, original theoretical frameworks or analyses, and/or innovative methodologies that extend the literature. A dissertation makes an argument. It cannot simply be a directory, typology, or taxonomy. Even if a dissertation focuses on the historical description of a particular event, there should be an explicit analytical argument or theory advanced which explains the event.
- **RELEVANT:** The dissertation should clearly indicate the relevance and importance of the problem to the field, the relationship of the research to the literature, and the significance, originality, and generalizability of the results. Ideally, the dissertation should address potential applications of the research results.
- **SCOPE:** The scope of the research should have sufficient generalizability and relevance to be significant. The dissertation scope should be such that it requires the time and effort equivalent to a minimum of one academic year of graduate study.
- **PUBLISHABLE:** Studies should be based on a formal theoretical or conceptual framework for investigating a question or testing a hypothesis relevant to the field. The results of this research should be of sufficient substance, rigor and creativity to meet the standards of excellence for written scholarship and be publishable in major technical journals in the field.
- **EDUCATIONAL:** The dissertation should be of sufficient caliber to provide a focused, in-depth educational experience for the student. This includes logic in design and conceptualization, valid and reliable measurement, appropriate analytic technique and interpretation of results.
- **FEASIBLE:** The dissertation should have appropriate available resources, its completion can be anticipated in a reasonable time frame, and takes into consideration scope, cost, pragmatics of completing the research, and its relevance to the student's goals (i.e., prepares students for future employment and professional practice).
- **STYLE:** Dissertations should demonstrate high proficiency in written communication. They should conform to the requirements of these *Policy & Procedures* concerning organization and format. Findings and conclusions should be detailed in a clear and concise style appropriate for scientific presentation, avoiding verbosity, opinion, and emotionality. The research should be contextual, referring to the relevant results and methods of other researchers, with particular attention to recent publications.

- **ETHICAL:** The Institutional Review Board (IRB) must approve all research involving human subjects. According to federal guidelines, a dissertation involving human subjects cannot be accepted without prior IRB approval.

## Quality Characteristics of Dissertations

The dissertation is a pivotal indicator of performance in doctoral education. It is typically scrutinized by the first prospective employers of the newly minted Ph.D., particularly when seeking academic positions, and can have a strong effect on launching new careers. The table that follows (from Barbara Lovitts, *How to Grade a Dissertation*) details performance expectations designed to guide faculty and dissertation committees in assessing student dissertations.

<b>OUTSTANDING</b>	<b>ACCEPTABLE</b>
<ul style="list-style-type: none"> <li>▪ Is original and significant, ambitious, brilliant, clear, clever, coherent, compelling, concise, creative, elegant, engaging, exciting, interesting, insightful, persuasive, sophisticated, surprising, and thoughtful</li> <li>▪ Is very well written and organized</li> <li>▪ Is synthetic and interdisciplinary</li> <li>▪ Connects components in a seamless way</li> <li>▪ Exhibits mature, independent thinking</li> <li>▪ Has a point of view and a strong, confident, independent, and authoritative voice</li> <li>▪ Asks new questions or addresses an important question or problem</li> <li>▪ Clearly states the problem and why it is important</li> <li>▪ Displays a deep understanding of a massive amount of complicated literature</li> <li>▪ Exhibits command and authority over the material</li> <li>▪ Argument is focused, logical, rigorous, and sustained</li> <li>▪ Is theoretically sophisticated and shows a deep understanding of theory</li> <li>▪ Has a brilliant research design</li> <li>▪ Uses or develops new tools, methods, approaches, or types of analyses</li> </ul>	<ul style="list-style-type: none"> <li>▪ Is workmanlike</li> <li>▪ Demonstrates technical competence</li> <li>▪ Shows the ability to do research</li> <li>▪ Is not very original or significant</li> <li>▪ Is not interesting, exciting, or surprising</li> <li>▪ Displays little creativity, imagination, or insight</li> <li>▪ Writing is pedestrian and plodding</li> <li>▪ Has a weak structure and organization</li> <li>▪ Is narrow in scope</li> <li>▪ Has a question or problem that is not exciting—is often highly derivative or an extension of the adviser's work</li> <li>▪ Displays a narrow understanding of the field</li> <li>▪ Reviews the literature adequately—knows the literature but is not critical of it or does not discuss what is important</li> <li>▪ Can sustain an argument, but the argument is not imaginative, complex, or convincing</li> <li>▪ Demonstrates understanding of theory at a simple level, and theory is minimally to competently applied to the problem</li> <li>▪ Uses standard methods</li> <li>▪ Has an unsophisticated analysis—does not explore all possibilities and misses connections</li> <li>▪ Has predictable results that are not exciting</li> <li>▪ Makes a small contribution</li> </ul>

<sup>3</sup> Barbara E. Lovitts. *How to Grade a Dissertation*. (Author of *Making the Implicit Explicit: Creating Performance Expectations and Assessing the Outcomes of Doctoral Education*. Stylus Publishing). Downloaded May 2006 from <http://www.aaup.org/publications/Academe/2005/05nd/05ndlovi.htm>

<ul style="list-style-type: none"> <li>▪ Is thoroughly researched</li> <li>▪ Has rich data from multiple sources</li> <li>▪ Analysis is comprehensive, complete, sophisticated, and convincing</li> <li>▪ Results are significant</li> <li>▪ Conclusion ties the whole thing together</li> <li>▪ Is publishable in top-tier journals</li> <li>▪ Is of interest to a larger community and changes the way people think</li> <li>▪ Pushes the discipline's boundaries and opens new areas for research</li> </ul> <hr/> <p style="text-align: center;"><b>VERY GOOD</b></p> <ul style="list-style-type: none"> <li>▪ Is solid</li> <li>▪ Is well written and organized</li> <li>▪ Has some original ideas, insights, and observations, but is less original, significant, ambitious, interesting, and exciting than the outstanding category</li> <li>▪ Has a good question or problem that tends to be small and traditional</li> <li>▪ Is the next step in a research program (good normal science)</li> <li>▪ Shows understanding and mastery of the subject matter</li> <li>▪ Has a strong, comprehensive, and coherent argument</li> <li>▪ Includes well-executed research</li> <li>▪ Demonstrates technical competence</li> <li>▪ Uses appropriate (standard) theory, methods, and techniques</li> <li>▪ Obtains solid, expected results or answers</li> <li>▪ Misses opportunities to completely explore interesting issues and connections</li> <li>▪ Makes a modest contribution to the field but does not open it up</li> </ul>	<hr/> <p style="text-align: center;"><b>UNACCEPTABLE</b></p> <ul style="list-style-type: none"> <li>▪ Is poorly written</li> <li>▪ Has spelling and grammatical errors</li> <li>▪ Has a sloppy presentation</li> <li>▪ Contains errors or mistakes</li> <li>▪ Plagiarizes or deliberately misreads or misuses sources</li> <li>▪ Does not understand basic concepts, processes, or conventions of the discipline</li> <li>▪ Lacks careful thought</li> <li>▪ Looks at a question or problem that is trivial, weak, unoriginal, or already solved</li> <li>▪ Does not understand or misses relevant literature</li> <li>▪ Has a weak, inconsistent, self-contradictory, unconvincing, or invalid argument</li> <li>▪ Does not handle theory well, or theory is missing or wrong</li> <li>▪ Relies on inappropriate or incorrect methods</li> <li>▪ Has data that are flawed, wrong, false, fudged, or misinterpreted</li> <li>▪ Has wrong, inappropriate, incoherent, or confused analysis</li> <li>▪ Includes results that are obvious, already known, unexplained, or misinterpreted</li> <li>▪ Has unsupported or exaggerated interpretation</li> <li>▪ Does not make a contribution</li> </ul>
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## The Dissertation Topic

It is advisable that the student select a topic for the Ph.D. dissertation that is related to his/her experience, studies, and professional interests. It is useful to begin thinking about the dissertation topic early in the Program. Although topics may be chosen at any time, the Dissertation Seminar sequence during the first

and second years provides students with the opportunity to develop their topics and methodology and to test out their ideas in class. Students may discuss ideas or seek input from their academic advisor or other faculty members at any time during the Program.

Although it is expected that the Ph.D. dissertation will contribute to the advancement of knowledge, Community Development covers a broad, rather than narrow range of theories, intervention strategies, and professional practice that can be addressed from community, industry, movement, institutional, and infrastructure perspectives. Suitable topics may be drawn from the following suggested areas:

- Theory development, extension, and refinement.
- Development or innovation of professional practice models or techniques.
- The generalizable outcomes or effectiveness of professional practice.
- The generalizable effects of intervention strategies or techniques.
- The generalizable effects of intervention processes.
- Studies of the characteristics, needs, and attitudes of a target population relative to professional practice or intervention strategies in the field.
- The study or formulation of development techniques and processes.
- The study or validation of training techniques and major programs.
- Generalizable program evaluations of regional or national impact.
- Important issues in professional practice, education, and social policy.
- Historical development of professional values, knowledge, technology, major programs (inferential not descriptive studies).
- The sociology of the profession and professional practice, including analytic study of the contributions of key individuals.
- The development of intervention, evaluation, or research methods.

In all these instances, the dissertation research is analytical and makes an argument of some scope and substance seeking to generate new scientific knowledge. It does not consist simply of observation or description, a typology or taxonomy. Even when a dissertation focuses on the description of a particular event, it offers an explicit analytical argument or theory that proposes to explain the event. The topic is not trivial, unoriginal, or already solved. The dissertation substantially meets the **OBJECTIVES** and performance **CHARACTERISTICS** detailed above. The results should be of sufficient rigor and creativity to meet standards to be publishable in major technical or refereed journals in the field.

# Dissertation Design

There are many ways of contributing to the advancement of theory and knowledge, and there is no optimal design for the doctoral dissertation. Some areas of study call for quantitative methods while others call for qualitative research. Whatever design is used, it must be appropriate to the research questions under study. It is not acceptable, for example, to utilize an extensive case study or other exploratory method merely in place of a more rigorous research design, when the latter is more suitable. Qualitative studies should be undertaken when there is more to gain from the use of this type of approach or when the data are not amenable to study in other ways. Similarly, while not all Ph.D. dissertations use extensive statistical methods, the level and nature of statistical analyses should stem from the design used. The following general approaches are examples of methodologies that may be employed:

- multi-method research designs
- survey research
- cross-sectional designs
- quantitative research studies
- econometric studies
- quasi experimental designs
- evaluation research designs
- qualitative research using intensive single-subject institutional case study designs
- qualitative or quantitative multiple case-study triangulation designs<sup>4</sup>
- cost-benefit policy analytic designs
- historical research and retrospective designs
- theory-building/development exploratory designs (involving other methods)

## Dissertation Design Options

Dissertations typically follow a traditional design. A traditional dissertation presents an in-depth analysis of an issue of substantive disciplinary concern. It generally includes an overview that captures the scope and significance of the issue in the context of the literature. Several chapters present conceptual, theoretical, and/or empirical analyses that address facets of the issue under scrutiny. Analysis is empirical, comparative, and hypothesis-driven. Such dissertations may draw overall conclusions and include policy implications that summarize the significance of the results.

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<sup>4</sup> Yin, R. (1994). *Case study research: Design and methods*. Thousand Oaks, CA: Sage Publications.

In order to prepare doctoral candidates for the positions they may undertake (e.g., academia, research, policy analysis, senior administration), the Doctoral Program offers three optional forms of the dissertation. Students who are aiming toward careers in academia, that will entail considerable research, and those with an interest in a particular research question, should pursue an **EMPIRICAL RESEARCH DISSERTATION**. Students who are preparing themselves for careers in management or policy may pursue an **EVALUATION RESEARCH DISSERTATION** or a **POLICY RESEARCH DISSERTATION**. These options enable students to build the skill sets and publications appropriate to their future professional positions.

There are important differences among these options. But they share in common similar expectations of rigor and performance. To qualify as dissertation research each option must meet these *Shared Standards*:

- Involve a substantial commitment of time, effort, and an extended research program of comparable rigor;
- Entail an extended review of the body of literature relevant to the research;
- Engage in independent research that possesses the major characteristics of scientific inquiry and the scientific method, is conceptually grounded, and analytically rigorous;
- Meet criteria for dissertation quality in the social sciences detailed above.
- Culminate in a properly formatted dissertation manuscript that meets the standards for publication in major refereed or technical journals.

#### **OPTION 1: EMPIRICAL RESEARCH DISSERTATION**

Dissertation research is customarily viewed as an activity designed to produce knowledge. It is usually written from a disciplinary perspective --e.g., the perspective of economics, philosophy, history, or a social science. The research dissertation may seek to test or generate hypotheses, offer an explanation for phenomena or events, explore and advance theory, or advance a conceptual argument. Empirically-based research dissertations, especially those rooted in the social sciences, often seek to establish generalizable propositions and are comparative in nature. The **EMPIRICAL RESEARCH DISSERTATION** may use qualitative, quantitative, or analytical multi-method approaches. The results should be of sufficient rigor and creativity to meet the standards for publication in major refereed journals. Criteria for the **EMPIRICAL RESEARCH DISSERTATION** are detailed in **DISSERTATION OBJECTIVES** above.

#### **OPTION 2: EVALUATION RESEARCH DISSERTATION**

Students preparing for careers in management may pursue the **EVALUATION RESEARCH DISSERTATION** to build the skills and publications appropriate to their future professional positions. The student may seek to conduct a dissertation consisting of an evaluation. Evaluation research is defined as "the identification,

clarification, and application of defensible criteria to determine an object's worth."<sup>5</sup> The **EVALUATION RESEARCH DISSERTATION** identifies, clarifies, and applies defensible criteria to determine the worth of a community development program, policy, or product. The evaluation may either be a *formal summative* or a *formal formative* evaluation. The *scope* of the **EVALUATION RESEARCH DISSERTATION** should extend beyond a single agency and have applicability to a program typology with regional or national application. The methodology must be rigorous, based on experimental or quasi-experimental designs, or otherwise meet defensible criteria to determine a program's worth. The **EVALUATION RESEARCH DISSERTATION** should have sufficient *generalizability* to yield a document of use to planners and decision makers, as well as meeting the canons of properly conducted evaluation research. The results should be of sufficient rigor and creativity to meet the standards for publication in major technical journals. General criteria for the **EVALUATION RESEARCH DISSERTATION** are detailed in **DISSERTATION OBJECTIVES**.

The objective of an **EVALUATION RESEARCH DISSERTATION** might be:

- Program: e.g., a state, regional or national affordable housing program.
- Process: e.g., the transition from rental to ownership; elements of effective professional practice.
- Product: e.g., a major foundation-funded training initiative.

**INFORMAL VS. FORMAL EVALUATION.** The Informal evaluation typically consists of unsystematic assessments premised on the observer's experience, instinct, and reasoning to form judgments that lead to faulty or wise decisions. Informal evaluations are commonly used by practitioners. But informal evaluation does not have the systematic rigor and care found in well planned formal evaluations. *Informal evaluations do not qualify as dissertations.* Formal evaluations are the structured assessment of programs, processes, and products using scientific methods, general principles, and rules. Formal evaluations often rely on rigorous experimental or quasi-experimental designs and advanced statistical analyses. These evaluations have the scope and depth of a doctoral dissertation. However, the purposes of the conclusions may or may not result in a contribution to knowledge outside of the program area of the evaluation. Formal evaluations may qualify as **EVALUATION RESEARCH DISSERTATIONS**.

**FORMATIVE VS. SUMMATIVE EVALUATION.** The primary purpose of a Formative Evaluation is to provide program improvement. The choice to evaluate an affordable housing program is likely brought about by a desire to improve the existing program. This could mean different things: e.g., serve more families, cost less, prevent homelessness, or act as an asset accumulation strategy.

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<sup>5</sup> Fitzpatrick, J., Sanders, J. & Worthen, B. (2004). *Program evaluation: Alternative approaches and practical guidelines*. New York: Longman.

Affordable housing programs are not likely to be discontinued, so how do we make them better? A danger of Formative Evaluations in dissertation research is drift into informal evaluation modes where opinions replace method and rigor. Informal evaluations do not qualify as dissertations. But formative evaluation can be the goal of mixed methods designs that also involve rigorous summative evaluations or cost benefit analysis. Depending on the scope of the questions and the methods used (typically mixed methods), a formative evaluation may qualify as an **EVALUATION RESEARCH DISSERTATION**.

The primary purpose in *Summative Evaluations* is to provide information upon which to base decisions about program adoption, continuation, discontinuation, or expansion. The decision to evaluate an affordable housing program may result from a desire to serve a perceived need among low to moderate-income families. To meet a given need should we adopt an existing model or custom-design a new one? Or, this affordable housing program has been active five years, should we continue it or end it? Or, should we open it up to both low/moderate and middle-income families? The nature of summative evaluation is consistent with the criteria expectations of dissertation research, when the research question entails decisions about program adoption, continuation, discontinuation, or expansion. Depending on the scope of the questions and the methods used, a summative evaluation may qualify as an **EVALUATION RESEARCH DISSERTATION**.

**STANDARDS FOR AN EVALUATION RESEARCH DISSERTATION.** In addition to the Shared Standards above (i.e., substantial commitment of time and effort, extended review of the literature, independent scientific research, dissertation quality criteria, publishable in major technical journals), program evaluations proposed as an **EVALUATION RESEARCH DISSERTATION** should also meet these additional standards:

- **ACCURACY:** the research conveys technically adequate information;
- **CHOICE:** the problem must involve a choice regarding a possible change in direction in the foreseeable future;
- **FEASIBILITY:** the evaluation research plan is manageable and may be conducted in a timely manner with the resources at hand;
- **PROPRIETY:** the evaluation is conducted ethically and responsibly with the recognition that the context may be political;
- **SIGNIFICANCE:** the program must affect a large number of people and/or involve a significant budget expenditure;
- **UTILITY:** research results must be useful to decision makers.

**HIERARCHY OF EVALUATION QUESTIONS.** Not all evaluation questions are equal. Some are more likely to meet dissertation standards than others. Following is the preferred hierarchy of evaluation questions:

**THEORY:** This is the program's blueprint for addressing customers' needs. Program theories sometimes resemble causal chains that indicate a program's intentions for addressing consumer needs or a program model. Program theory is about how the program is supposed to work. Many long-established and well-funded programs may lack well-articulated program theories. The evaluator may be asked to assist in the development of a new program to meet a newly found need, assess the current understanding of what an existing program's theory is in the field, assess whether it is consistent at different levels of the field, and compare and contrast different theories that exist in the same program. Depending on the scope and depth of the evaluation, an investigation into program theory may qualify as an **EVALUATION RESEARCH DISSERTATION**.

**NEED:** The identification of the problems that the program addresses. If the program contains a solution that does not address the needs of those it was designed for, decision makers may have misdiagnosed the problem. A good program can miss the point. The evaluation is sometimes asked to conduct a needs assessment to determine the problems that the customers of the program have. Depending on the scope and depth of the evaluation, a needs assessment may qualify as an **EVALUATION RESEARCH DISSERTATION**.

**IMPLEMENTATION:** The manner in which a program implements its blueprint or theory. Implementation questions address process issues and the actual delivery of the program. Implementation questions are usually formative in nature. The evaluator is often asked to compare how the program is supposed to work to how it is actually working. When programs are implemented improperly, leadership may be the issue. Examining the inner workings of program processes may be at the heart of the evaluation. Depending on the scope and depth of the evaluation, a process evaluation may qualify as an **EVALUATION RESEARCH DISSERTATION**.

**OUTCOME:** Measures or indicators of program impact. Outcome questions concentrate on the actual effects, if any, that the program has on its customers. Outcome data are usually more summative, influencing the continuation or discontinuation of a program, or at least reports at the end of a cycle of program delivery. The evaluation often looks for intended and unintended effects. The task is often to assess whether the program had realistic or unrealistic expectations. In the "real world," outcome data must be measured often under tight deadlines, with a consideration of the level of true implementation and resource allotment. The reporting of outcomes doesn't occur in a laboratory or a scholarly journal very often, but more likely in board or staff meetings. Decisions based on any aspect of a program evaluation, but especially the outcome data, can have both positive and negative repercussions throughout the program and the larger organization.

Depending on the scope and depth of the evaluation, an outcome or impact evaluation may qualify as an **EVALUATION RESEARCH DISSERTATION**.

**COST:** The measure of resources used to carry out a program. Where outcome indicators assess “the bang” cost indicators measure “the buck” and other resource expenditures to run a program. The evaluator may be asked to decide if the benefits of the program are worth the cost of providing it. Money, time, material, and human resources are considered. What will each program deliver? How much will each alternative cost? Although cost questions are the last ones considered on this hierarchy, many requests for evaluation are spurred on by concerns about cost. An evaluator may need to address other items in this hierarchy before assessing the cost factor. Depending on the scope and depth of the evaluation, a cost analysis may qualify as an **EVALUATION RESEARCH DISSERTATION**.

**OTHER CONSIDERATIONS.** An **EVALUATION RESEARCH DISSERTATION** must address a significant program that involves an important budget expenditure and affects a substantial number of people.

- An evaluation might include all, a part, or only one question on this hierarchy;
- Evaluators are often told rather than asked what to evaluate. This may not supersede the requirements herein for an evaluation dissertation;
- Quantitative and qualitative approaches are both useful in evaluation. Many evaluations rely on mixed methods;
- The evaluator has many roles to approach the evaluation. The concentration can be on program objectives, management concerns, the needs and rights of consumers, or the perceptions of participants in the program;
- The political nature of evaluations may result in ethical dilemmas for the evaluator. This may not supersede the ethical requirements herein.

**EVALUATION DISSERTATION ELEMENTS.** The **EVALUATION RESEARCH DISSERTATION** must also contain extended discussions of the following elements:

- Problem identification and specification;
- Alternative approaches to program evaluation considered for the dissertation;
- A detailed description of the program’s history, purpose, operations;
- An extended analytical literature review beyond similar evaluations;
- A research design appropriate for evaluation (e.g., quasi-experimental);
- A discussion of data sources and methods of collecting evaluation data;
- A discussion of methods of data analysis for evaluation;
- A discussion of the results and implications of evaluation findings.

### **OPTION 3: POLICY RESEARCH DISSERTATION**

Students preparing for careers in policy may pursue a **POLICY RESEARCH DISSERTATION** to build the skills and publications appropriate to their future professional roles. The **POLICY RESEARCH DISSERTATION** can be described as a “decision making dissertation” or a “policy formulation dissertation.” It asks students to engage in research leading to policy recommendation decisions addressing a problem faced by the community development industry, movement, or its component infrastructure. Decision-making research is forward looking in that its resulting recommendations address future actions. Decision-making typically entails reliance on evaluation data that may have been produced by evaluation research or cost-benefit analysis. In addition, a **POLICY RESEARCH DISSERTATION** seeks to evaluate the likely consequences of action that has not yet been undertaken. It must use and properly execute perspectives, tools, and principles for reaching reasoned decisions which are recognized in the fields of public policy formation and decision making. The scope of the research should extend beyond a single agency program and have applicability to a program or problem typology, regionally or nationally. The dissertation should have sufficient generalizability to yield a document of use to planners and decision makers, as well as meeting the canons of properly conducted policy research. The results should be of sufficient rigor and creativity to meet the standards for publication in major technical or refereed journals. Students choosing the **POLICY RESEARCH DISSERTATION** are required to have taken CED858 (Policy Analysis) and CED859 (Advanced Policy Analysis). Criteria for the **POLICY RESEARCH DISSERTATION** are detailed in **DISSERTATION OBJECTIVES**.

The **POLICY RESEARCH DISSERTATION** should help prepare students for careers in policy analysis, formulation and implementation. Therefore, the **POLICY DISSERTATION** should also serve one or more educational goals as follows:

- Teach the advantages and limitations of using research for decision making;
- Develop skills producing knowledge useful for decision making;
- Demonstrate capacity to make an argument (normative, empirical, prudential) in support of a decision;
- Develop reflective practitioners skilled in using reason to solve problems;
- Provide an opportunity to demonstrate mastery of leadership and managerial skills relevant to prospective employers.

**STANDARDS OF A POLICY RESEARCH DISSERTATION.** In addition to the Shared Standards above (i.e., substantial commitment of time and effort, extended review of the literature, independent scientific research, dissertation quality criteria, publishable in major technical journals), the **POLICY RESEARCH DISSERTATION** should meet these additional standards:

- **ACCURACY**: the research conveys technically adequate information;
- **CHOICE**: the policy or problem must involve a choice regarding a possible change in direction in the foreseeable future;
- **FEASIBILITY**: the policy research will be manageable and may be conducted in a timely manner with the resources at hand;
- **PROPRIETY**: the policy research is conducted ethically and responsibly with the recognition that the context may be political;
- **SIGNIFICANCE**: the policy or problem must affect a large number of people and/or involve a significant budget expenditure;
- **UNCERTAINTY/RISK**: the policy or problem must have a component of risk and/or uncertainty which should be assessed; discussion should reflect an understanding of probability and risk, and techniques of their assessment;
- **UTILITY**: research results must be useful to decision makers.

**POLICY DISSERTATION ELEMENTS.** A **POLICY RESEARCH DISSERTATION** must contain extended discussions of the following elements:

- Identification of the general context and analysis of the problem, including a detailed description of its history, how it arose, and explain both legal and ethical background issues relevant to the problem;
- An assessment of the political dimensions of the problem. If necessary, a political strategy should be discussed;
- A discussion of problem framing and its components, including alternative ways the problem could have been framed, why alternatives were rejected, and reasons for choosing one particular framework to formulate the problem;
- An extended analytical literature review and synthesis of policy research;
- Alternative approaches to policy analysis considered for the dissertation;
- A statement of goals and objectives and a discussion explaining, analyzing and justifying the goals and objectives. Political, legal or other considerations affecting the formulation of the goals should be discussed;
- A research design appropriate for policy analysis (e.g., cost-benefit);
- A discussion of policy data sources and collection methods, data constraints, criteria and justification for deciding what data to use or reject, the search for alternatives and its constraints, and a description of methods of data analysis;
- A presentation of the findings --to include, for example, justification of any ranking schema, risk assessment methods, use of risk to assess alternatives, political assessment of the alternatives, and how stakeholders would rank the power of alternatives.

- A discussion of the results and implications of policy-related findings; including a discussion of the political obstacles regarding getting the final decision accepted and implemented;
- A concluding essay reflecting on the policy research experience, lessons learned, and focus of continuing professional development.

## Components of the Dissertation

A doctoral dissertation should be sufficiently complete to allow an independent investigator to repeat or verify the work leading to the results and conclusions.

**ABSTRACT.** A 350-word abstract should summarize the dissertation to inform a prospective reader about its contents. It includes a brief summary of the problem investigated, the method of investigation, the principal research findings, and the conclusions reached. The abstract functions chiefly as a guide to students and scholars surveying research in their field. It should provide a concise guide to the entire study it represents. The abstract should not include internal headings, parenthetical citations of items in the bibliography, figures or tables.

**COMPONENTS.** The table below details the major components and the content of each in a generic dissertation. While this table is intended as general guidance and some latitude may be exercised in the actual dissertation, all six components are a part of all dissertations.

<p><b>COMPONENT 1: INTRODUCTION</b> The introduction</p> <ul style="list-style-type: none"> <li>▪ Provides a problem statement</li> <li>▪ States and clarifies the research questions to be addressed and their rationale</li> <li>▪ Describes the purpose/motivation for the study</li> <li>▪ Describes the context in which the question arises</li> <li>▪ Explains the significance of the research</li> <li>▪ Summarizes the dissertation's findings</li> <li>▪ Discusses the importance of the findings</li> <li>▪ Provides a roadmap to the dissertation for readers</li> </ul>	<p><b>COMPONENT 4: METHODOLOGY</b> The methods applied or developed are</p> <ul style="list-style-type: none"> <li>▪ Appropriate</li> <li>▪ Described in detail</li> <li>▪ In alignment with the question addressed and the theory used</li> </ul> <p>In addition, the author demonstrates</p> <ul style="list-style-type: none"> <li>▪ An understanding of the methods' advantages and disadvantages</li> <li>▪ How to use the methods</li> </ul> <p><b>COMPONENT 5: RESULTS OR ANALYSIS</b> The analysis</p> <ul style="list-style-type: none"> <li>▪ Is appropriate</li> </ul>
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<sup>6</sup> Barbara E. Lovitts. *How to Grade a Dissertation*. (Author of *Making the Implicit Explicit: Creating Performance Expectations and Assessing the Outcomes of Doctoral Education*. Stylus Publishing). Downloaded May 2006 from <http://www.aaup.org/publications/Academe/2005/05nd/05ndlovi.htm>

<p><b>COMPONENT 2: LITERATURE REVIEW</b> The review</p> <ul style="list-style-type: none"> <li>▪ Is comprehensive and up to date</li> <li>▪ Shows a command of the literature</li> <li>▪ Contextualizes the problem</li> <li>▪ Includes a discussion of the literature that is selective, synthetic, analytical, and thematic</li> </ul> <p><b>COMPONENT 3: THEORY</b> The theory that is applied or developed</p> <ul style="list-style-type: none"> <li>▪ Is appropriate</li> <li>▪ Is logically interpreted</li> <li>▪ Is well understood</li> <li>▪ Aligns with the question at hand</li> <li>▪ In addition, the author shows comprehension of the theory's: Strengths, Limitations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Aligns with the question and hypotheses raised</li> <li>▪ Shows sophistication</li> <li>▪ Is iterative</li> </ul> <p>In addition, the amount and quality of data or information is</p> <ul style="list-style-type: none"> <li>▪ Sufficient</li> <li>▪ Well presented</li> <li>▪ Intelligently interpreted</li> </ul> <p>The author also cogently expresses</p> <ul style="list-style-type: none"> <li>▪ The insights gained from the study</li> <li>▪ The study's limitations</li> </ul> <p><b>COMPONENT 6: DISCUSSION OR CONCLUSION</b> The conclusion</p> <ul style="list-style-type: none"> <li>▪ Summarizes the findings</li> <li>▪ Provides perspective on them</li> <li>▪ Refers back to the introduction</li> <li>▪ Ties everything together</li> <li>▪ Discusses the study's strengths and weaknesses</li> <li>▪ Discusses implications and applications for the discipline</li> <li>▪ Discusses future directions for research</li> </ul>
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Several of these components are worth explaining in greater detail. The following sections detail the literature review, design and methodology, and discussion.

## The Literature Review

The topics in the **LITERATURE REVIEW** are first identified in the **INTRODUCTION** as part of the narrative on the study's Purpose, Rationale, and Significance. The **LITERATURE REVIEW** consists of a detailed expansion of the original statements of Purpose, Rationale, and Significance.

**PURPOSE.** This is a succinct, direct statement of the problem studied -- i.e., what the study will actually address. It should be stated in terms that are clear and specific, not abstract or theoretical. The **PURPOSE** statement encompasses the hypotheses and research questions of the study.

**RATIONALE.** The rationale is the logical argument or reasoning that leads to the hypotheses and research questions. Why is a particular relationship expected? Why is a particular relationship predicted to be true? The basis for this argument or arguments rests on theory, case studies, and/or previous research evidence.

**SIGNIFICANCE.** The significance is why the results of the study are potentially important. How can these results be used? What are its implications? This may include contributions to theory, methods, policy and/or professional practice. When relevant, the scope of the problem should be included based on objective data.

## **REVIEW OBJECTIVES**

The **LITERATURE REVIEW** is at heart an expansion of the rationale. It is a detailed explication of the arguments that lead to proposing a given set of hypotheses and research questions. Its core organizing principle is the author's governing conceptualization. Its organization is created by the author and is original to the author. The review is based on previous thinking and research in the literature, and tells a story of the evolution of thinking and research on the topic. It is a synthesis of previous thinking but provided in the context and framework of the author's governing conceptualization. The author's ideas, thoughts, conclusions guide the **LITERATURE REVIEW**. The author's ideas should be stated up front, and then elaborate the basis for these ideas by referencing theory, previous empirical studies, and/or discussions.

The **LITERATURE REVIEW** is not an annotated bibliography, or a list of all the articles relevant to the topic. It presents the author's thinking and conclusions about the issues; it includes how a particular finding is relevant, evaluates the strength of findings, and the consistency and applicability of theory.

Examples of typical organizing ideas may include the following:

- A theory which makes a specific prediction or two conflicting theories which the dissertation tries to resolve.
- A critique of previous literature suggests that conclusions from a body of studies or a major study may be wrong –e.g., limitations on type of sample, data collection method-- and proposes an alternative approach or theory.
- Demonstrates contradictory evidence from previous studies, and proposes a way of empirically resolving what may be the problem.
- Addresses a gap in the literature, or extends an idea, theory, or approach to a new population group (e.g., application of asset development strategies to people with disabilities).
- Addresses a new problem that has not been studied.

## **CONTENT CONSIDERATIONS**

**EVOLUTION OF IDEAS.** In the process of writing a literature review, you may begin with a general idea of your topic and read a range of relevant material. This material will influence the final form of your hypotheses and research questions. That is, what you progressively learn may change your thinking about what should be studied. Your research is refined, and adapted to the current state of knowledge and thinking on the topic. By the end of this

process, not everything you read is relevant to the final focus of your study. Much will be discarded and not reported. Include only material that is directly relevant to the argument set forth by the hypotheses and research questions.

**TYPE OF EVIDENCE.** When presenting evidence supporting an argument you should clearly distinguish and specify the various types of evidence (i.e., theory, empirical data, case studies). In empirical studies more weight is given to a "stronger" study. Hence, a brief description of its methodology should be included along with a critique of the method. The summary should include a statement of hypothesis and research questions, research design factors, the nature, size and type of sampling, and methods of data collection.

**ORIGINAL SOURCES.** The literature review is based on original sources. A review article may be useful for gathering material and learning one author's viewpoint, but it should not be relied upon as the truth. The pursuit of truth in science is based not on authority but on observation. You must read the original sources and form your own opinion. Citations are only included if one has actually read the material.

**HYPOTHESES AND RESEARCH QUESTIONS.** The literature review leads to the statement of hypotheses and research questions. All hypotheses and research questions must be discussed, even if there is little literature on any one item. You can still show related literature, explain why you believe it may be true, and what your thinking is based on. It is good practice to follow each research question and hypothesis with a summary rationale.

**RATIONALE.** A rationale has the form of a logical argument. Hence, its writing style should be neutral, even-handed, and unemotional. Present both sides of an argument and the evidence for each. It is not appropriate to use a polemical style, or one that is overly dramatic, appealing to emotions, or even poetic.

**BEST EFFORT.** The literature review should be your best effort, not your first effort. The literature review will go through several drafts as your thoughts crystallize and as you better understand your topic. It helps to discuss your ideas with others to gain clarity. It also helps to have someone else read your draft to give you feedback on where your argument sounds weak. The manuscript should be carefully proofread both by yourself and someone else for typing, spelling, and grammatical errors before submission to your Advisor or Committee.

**TO INCLUDE OR NOT TO INCLUDE.** The decision of which content areas to include in your literature review is not easy to discuss in the abstract. Some guidelines and general principles can be suggested. There are two general cases: (1) You selected a topic in which there is a voluminous literature and you need to cut it down to manageable size. Your study is largely based on previous work.

Review only literature directly relevant to your hypotheses and questions. But do not select only literature that supports your viewpoint. The goal of the literature review is a comprehensive overview of what has been written to date. So you include all material that is relevant whether or not it supports your hypotheses or viewpoint. If the material does not support your hypothesis, see if the discrepancies can be explained or, preferably, reconciled by a reformulation of the theory; the latter is the more elegant result, but only if your subsequent findings bear you out.

(2) You selected a topic in which there is almost no literature and you are at a loss trying to figure what to write about. This task will involve creativity. You will need to discover bodies of already existing literature which are indirectly relevant to your questions and hypotheses. From this material, you will be able to draw inferences and parallels that relate to your specific concerns. Generally, the areas to look at either broader than your specific concerns or analogous to them.

For example, you wish to study factors that are related to residential satisfaction with manufactured housing. You uncover only two references on manufactured housing, and none that addresses the residents' perspective. One possibility is to explore a broader area: e.g., residential satisfaction in general, as there is a substantial body of literature in this area. But you should not review all literature in residential satisfaction, only that most relevant to your study. You should seek material that deals with those factors of residential satisfaction that you plan to address in your study, then draw parallels from that literature.

A general principle when looking at the hypothesis that variable A is related to variable B, is that you should not review everything ever done on variable A, and then everything ever done on variable B. Much of this material may be irrelevant, even if some may be useful for background. What you need is literature that addresses both variables A and B. The online jargon for this is a *Boolean* search (i.e., use of "and" "or" "if" or other search qualifiers). This resulting literature will either support or not support the AB relationship you predict, and can be used to argue your point. In addition to reviewing the empirical literature, you also need to consider what theory (or theories) may be relevant to your topic. Some topics fall much more easily into a theoretical framework than others.

## Design and Method

This section should be brief and written to serve as an introduction to the Methods chapter. The author should identify the basic design features, notation, and include an overview of the study method. Details of the methodology are elaborated in the sections that follow.

**POPULATION AND SAMPLING.** This section details who and how many are the subjects? What sampling method is employed? What eligibility criteria is

established for selection? How is sampling operationalized? Where does the study take place? How many subjects or participants are needed? (in quantitative studies, power analysis is often used, based on a pre-selected power and effect size, to determine sample size). If the study involves an institution or organization it should also be described in general terms.

**NATURE OF THE DATA.** This section details the types and sources of all data used in the research. All the major variables are identified and operationalized. The dependent and independent variables are specified, along with the level of measurement for each variable. If standardized measures are used, describe their development, prior use, reliability and validity, content, format, and administration procedures (including estimated time needed to administer, and scoring procedures). If new measures are developed for the research, describe the underpinning theory, measurement development, how reliability and validity are ensured. The types of reliability and validity that may be relevant to data analysis include: face or content validity, Thurstone scaling (a procedure for selecting scale items for a given construct to assure validity), inter-rater reliability (performed before and after data collection), inter-item reliability or Cronbach's alpha (performed after data collection but before data analysis). If new measures are developed, describe the content, format, administration and scoring procedures. Copies of all instruments are always included in the appendix.

**DATA COLLECTION PROCEDURES.** This section details the precise steps in sequential order that are performed to collect the data. Issues regarding protection of human subjects also need to be addressed. Copies of all letters to subjects and informed consent forms are included in the appendix.

**METHODS OF DATA ANALYSIS.** This section details a general plan of the analyses to be conducted. Data analyses should derive directly from the research questions and hypotheses. It may include a summary Logic Model as a roadmap linking research questions to analyses. The Logic Model or a summary table should show the expected direction of the effect for the main comparisons and simple main effects. This data analysis section includes three sub-sections:

1. A discussion of any preliminary data analysis that may be necessary prior to testing the hypotheses. For example, testing reliability of measures such as Cronbach's alpha, or comparison of groups on socio-demographic variables to establish equivalence and rule out alternative hypotheses.
2. A description of the sample --descriptive statistics that detail particulars of the sample in terms of socio-demographic variables and the independent and dependent variables.
3. Testing hypotheses and research questions. Create a table that outlines the research questions and hypotheses, and specifies the statistical test(s) employed to address each item. Explain choices as necessary.

**STATEMENT OF LIMITATIONS.** The **STATEMENT OF LIMITATIONS** includes three general components: First, any limitations that derive from any aspect of the study and its methodology. Second, a detailed discussion of any mitigating factors or measures the investigator uses to counter or reduce these limitations. Third, any limitations that may remain after corrective steps were taken, and how these remaining limitations may delimit findings.

The **STATEMENT OF LIMITATIONS** acts as an insightful critique of the research design and method. It should include threats to validity, reliability, any potential confounding or alternative interpretation, sampling and other issues that limit or may appear to limit findings. The author is best served by being his/her own best critic. All corrective steps should be detailed and the author should identify all remaining issues that act as limitations to the study and its generalizability. An honest and forthright approach is the best policy.

## Discussion Chapter

The discussion chapter should begin with a brief restatement of your findings to set a roadmap for the reader. The purpose of this chapter is to go beyond the specific findings, and to explain and give meaning to the findings, and put them into a broader context. This meaning and context should have been already introduced in the literature review (i.e., rationale for hypotheses and questions). That is, the meaning of the study was already discussed at a more abstract level, including a rationale for hypotheses and research questions referencing relevant theoretical and empirical literature. Now that the results of the study have been formally presented, you are positioned to discuss results in this broader context, with greater latitude, and to compare and contrast these findings with what has previously been found and/or theoretically predicted in the literature.

**HYPOTHESES.** Your predictions were either upheld or not. If results were in the direction predicted, you can say that you found support for your hypothesis, and that your reasoning seems to be valid. Literature originally cited as relevant can be raised again and any similarities or differences between your result and previous findings should be discussed. If results were not in the predicted direction, you must state that your hypotheses were not supported, and explain. One approach is to reconsider your theoretical framework and present an alternate theoretical explanation for your results. That is, you need to think if there is a different way of conceptualizing your study that would better explain your results. This may be easier after results contradict your mindset, freeing you to think of alternative explanations.

If the previous research literature showed mixed results, another approach is to try to determine if methodological differences may account for these results. This can include a consideration of what mediating variables might explain the results. Another approach is to assume that predicted or expected results are still correct

but the method was not an adequate test of the hypothesis (i.e., a function of the limitations of your method, such as sampling or measurement), and may have interfered with an adequate test of the hypothesis.

**ORGANIZATION.** Probably the simplest way to organize the discussion section is to follow the organization of the results section. That is, discuss each result in the order it was presented. Although this is not the only way, it is especially useful when there are a large number of results to be discussed, since it is easier for the reader to follow.

In addition to thinking about each individual result, one needs to step back and look at the set of results as a whole. Further thoughts, explanations, or meanings may become apparent when you look at the overall pattern that emerges. Also, it may be necessary to explain why one result is obtained, whereas another one was not. This overview needs to be integrated into your discussion.

You may need to return to the library for a couple of reasons: (1) Since some time has elapsed since you completed your review of the literature, you need to check if new material has come out. (2) The discussion of results may require additional references. Particularly if you use an alternative theoretical framework to explain unpredicted results, which often requires additional reading.

#### **STATEMENT OF LIMITATIONS.**

This is an important section of the discussion chapter. The study's limitations should already have been discussed first in the dissertation proposal and then in the dissertation's methods and procedures section. Once the data collection and analysis have been completed, other limitations may become apparent, or the effect of previously known limitations made evident. That is, this section addresses the *third* limitation identified in the Methods section (i.e., limitations that may remain after corrective steps were taken) and adds a *fourth* (limitations that become apparent after data collection and analysis have been completed). These limitations, and how they delimit findings, should be openly presented to the reader. In addition to known limitations identified in the Methods section, examples of newly emerging limitations may involve unforeseen difficulties confronted in collecting data which led to bias, problems in data analysis due to lack of variability in the data or small sample numbers in certain subgroups.

The **STATEMENT OF LIMITATIONS** should include a summary narrative describing all four general components: First, limitations that derive from any aspect of the study and its methodology. Second, a summary of any mitigating factors or measures the investigator uses to counter or reduce these limitations. Third, limitations that may remain after these corrective steps were taken. And fourth, limitations that become apparent after data collection and analysis have been completed. The goal of this section is to clearly identify all threats to validity, reliability, any potential confounding or alternative interpretation, and any other issue that limit or may appear to limit the study's findings and generalizability.

## IMPLICATIONS

Just as the discussion relates back to the **RATIONALE**, the **IMPLICATIONS** relate back to the **SIGNIFICANCE**. The dissertation may have one or more of three general types of implications: theoretical, professional practice, and research. Each that is relevant should be addressed in an **IMPLICATIONS** subsection.

**THEORETICAL** implications should include a discussion of how results support or refine a pre-existing theory, or establish a new theory. What are the potential implications of this new or refined theory? **PROFESSIONAL PRACTICE** implications should include a discussion of how the knowledge obtained affects professional practice. Does it validate new interventions or innovation in existing programs? Does it suggest changes in current practice? Does it help plan, target or strategize interventions for given groups? Does it help us understand the root causes of a professional practice phenomenon? This discussion should explain how results help practitioners, and clarify what the practitioner may learn from the research in order to advance professional practice? **RESEARCH IMPLICATIONS** should include a discussion of how the methods used may affect future research. For example, the dissertation may cut new ground by using a new or unusual method and demonstrate its efficacy. More commonly, the dissertation research may have developed a new scale and shown it to have good reliability and validity. Gaamaa Hishigsuren<sup>7</sup> (2004) did this by creating objective indicators of *mission drift* to assess the effects of increased regulation on microlenders in India. Or the dissertation research may have used a scale which is relatively new and/or used in a new way, adding to its value or validity. Jolan Rivera<sup>8</sup> (2006) adapted municipal property valuation formulas to assess the added value of cooperative ownership over private ownership in manufactured housing parks.

## FUTURE RESEARCH

This section should discuss how the results suggest further research. Whenever research is conducted, some aspects of the research problems are left out or the results may raise questions which were not obvious prior to the study. As the investigator seeks to reconcile results with the thinking that went into the discussion section, new questions and hypotheses may emerge. For example, as some aspects of the methodology are critiqued, suggestions for research with new or improved methods may arise. If an alternative theory was used to explain results, new or next questions or hypotheses may arise to further test the alternative theory. The purpose of this section is to suggest further research, based on dissertation findings, as a next step to expand the knowledge base or make results more applicable to professional practice.

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<sup>7</sup> Gaamaa Hishigsuren (2004). *Scaling Up and Mission Drift: Can Microfinance Institutions Maintain a Poverty Alleviation Mission While Scaling Up?* Ph.D. Dissertation, School of Community Economic Development, Southern New Hampshire University.

<sup>8</sup> Jolan Rivera (2006). *Mode of Ownership and Housing Value Appreciation of Manufactured Home Parks*. Ph.D. Dissertation, School of Community Economic Development, Southern New Hampshire University.

## 5. Formatting and Binding Procedures

The purpose of these standards is to ensure proper preparation and preservation of the dissertation as required by the doctoral program. It is imperative that in preparing the final manuscript the following steps be thoughtfully carried out. A dissertation should be written in a style appropriate to the discipline. Form, organization, and bibliographical style used by the Doctoral Program are compatible with professional publications in the field.

### Manuscript Formatting

Guidelines for formatting the dissertation are found on the next few pages. The Doctoral Program must review a draft copy of your dissertation *before* the final copies are made to avoid last minute changes, extra charges and/or delays. The manuscript must be printed on standard 8½ x 11 inches, white, un-punched, non-glossy, 100% cotton fiber acid-free paper; erasable bond paper cannot be used. Print is restricted to one side of the page. Variations in font, size, italics, and bold may be used judiciously for highlighting purposes. References and bibliography must consistently follow an approved standard format. APA Style is recommended, but others like MLA or Chicago Style may be used.

Dissertations have an approval page, title page, abstract, and table of contents, in addition to the text. Manuscripts should contain the following sections, in the order listed (use model Dissertation Cover Pages in the appendix):

- Cover/Approval (Signature) Page
- Title Page
- Copyright Page (only if author is copyrighting)
- ACKNOWLEDGMENTS (optional)
- DEDICATION (optional)
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- PREFACE (optional)
- ABSTRACT
- Introduction
- Chapters/Text
  - Introduction
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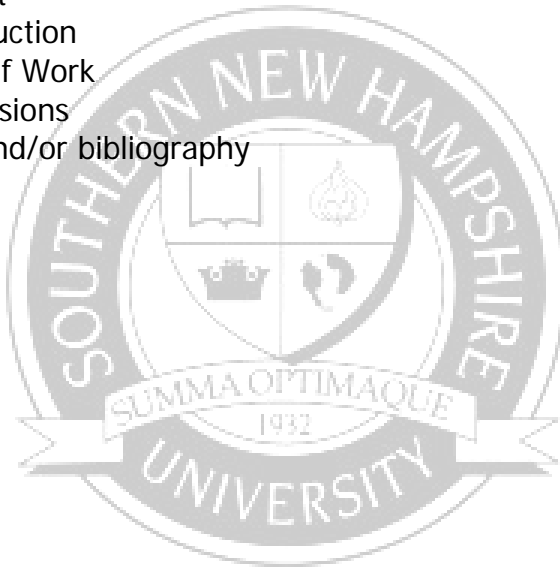
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Appendices





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DOCTOR OF PHILOSOPHY IN COMMUNITY ECONOMIC DEVELOPMENT

By

Insert Author's Name Here

Bachelor of Arts

Southern New Hampshire University, 1987

Master of Arts

Southern New Hampshire University, 1990

Chair: Insert Name of Committee Chair  
School of Community Economic Development

April 2006

Southern New Hampshire University

Manchester, New Hampshire

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This is dedicated to my loving husband John, my two wonderful daughters Lena and Lana, and my dog Bootsie.



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## ACKNOWLEDGEMENTS

I would like to thank the many friends, relatives, and supporters who have made this happen. My loving husband, John, assisted me in my research. My daughters helped me with word processing and notes. Drs. Spock and McCoy, and the other members of my committee were of invaluable help. Captain Kirk of the Applied Research Center helped me resolve vexing methodological troubles with Tribbles. Finally, thanks go out to the Shapiro Library for providing a quiet and well-equipped place in which to work.

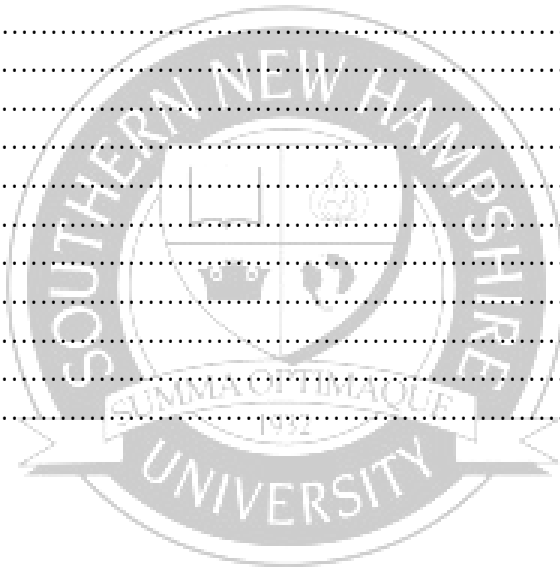


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## ABSTRACT

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Insert Author's Name Here, Ph.D.

Southern New Hampshire University, 2006 (year of conferral)

Dissertation Chair: Professor Insert Name Here

This dissertation examines the relationship between mode of housing ownership in manufactured home parks and housing-related economic asset accumulation. It asks if households within and near member-owned manufactured home parks experience higher property value appreciation than their counterparts in investor-owned parks.

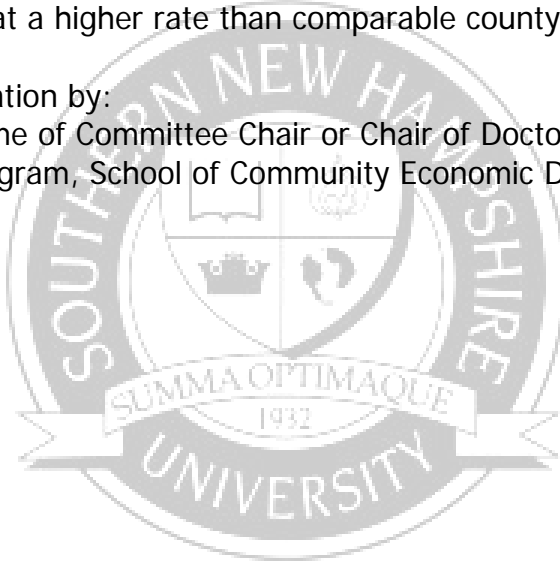
The main component (Component One) of the study focuses on differences in housing value appreciation between member-owned and investor-owned parks. The exploratory component (Component Two) looks at how abutting properties are affected by proximity to member-owned or investor-owned parks. Component One views housing value appreciation as affected by several independent and intervening variables: household rent payments, availability of financial products exclusively for member-owned parks, length of ownership, structural characteristics of units, park layout, and park location. Component Two studies value appreciation of abutting properties as a function of the type of home park ownership.

Component One is examined using an archived proxy-pretest, multiple-treatment, quasi-experimental design, while Component Two relies on an archived proxy-pretest, two-treatment, expanded, quasi-experimental design. Analyses included secondary data, informant interviews, and direct observation. Analyses for Component One involved both descriptive and inferential statistics, while only descriptive statistics were used in Component Two.

The study found that homes in member-owned parks in New Hampshire have better housing characteristics: they are newer, larger, have more rooms, are closer to commercial amenities and roads, and have better park layout. Member-owned park residents also pay lower monthly rents and have access to non-subprime housing loans. Homes in member-owned parks have higher values compared to those in investor-owned parks with comparable housing characteristics. However, these economic advantages do not translate to a higher value appreciation in member-owned parks. Manufactured homes appreciate in value over time, regardless of the type of park ownership. This finding is conditional to inflated housing market conditions. Whether this applies under “normal” market conditions is subject for future research.

The study also found that value appreciation of abutting homes is not associated with manufactured home parks location. Living next to manufactured parks does not decrease the value of abutting homes; indeed, the value of manufactured homes appreciated at a higher rate than comparable county and state rates.

Approved for publication by:  
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# 1. Introduction

Text for this chapter begins here. First person and sex-stereotyped forms are avoided. Material is presented in an unbiased and unemotional (e.g., no "feelings" about things), but not necessarily uninteresting.

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## REFERENCES (OR BIBLIOGRAPHY)

Bolker, Joan (1998). *Writing Your Dissertation in Fifteen Minutes a Day: A Guide to Starting, Revising, and Finishing your Doctoral Thesis*. New York: Henry Holt.

Booth, Wayne, Gregory Colomb, & Joseph Williams (2003). *The Craft of Research*. 2<sup>nd</sup> edition. Chicago: The University of Chicago Press.

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Usmail, G. (2003, January). In support of snailmail. *Manchester Today*, 70-76.

## NEWSLETTER ARTICLE

Usmail, G. S. (2003, Spring). Survey research and stamps addiction. *The School of Community Economic Development Newsletter*, 22, 2.

## PAMPHLET

Just Say No Institute (2003). *Say no to drugs*. 9th ed. [Brochure]. Washington, DC: Author.

## IN-TEXT REFERENCING

- Use author-date to cite references in text: "...as Smith (1990) points out..."  
"...a recent study (Smith, 1990) shows..."
- 2-author citations, spell out both authors on all occurrences.
- Multiple-author citations (up to 5) name all authors the first time, then use "et al." so the first time it is Smith, Jones, Pearson and Sherwin (1990), but second time it is Smith et al., with a period after "al" but no underlining.

- The first time the "et al." reference is used in a paragraph, give the year, thereafter (if the citation is repeated in the paragraph) omit the year.
- 6+ authors: use et al. the first time and give the full citation in references.
- Include page reference after the year, outside quotes but inside the comma: The author stated, "The effect disappeared within minutes" (Lopez, 1993, p. 311), but she did not say which effect... Another example: Lopez found that "the effect disappeared within minutes" (p. 311). The sentence is capitalized only if presented after a comma, as a complete sentence.
- If two or more multiple-author references shorten to the same "et al." form, making it ambiguous, give as many author names as necessary to make them distinct, before et al.: (Smith, Jones, et al., 1991) to distinguish it from (Smith, Burke, et al., 1991).
- Join names in a multiple-author citation with "and" or ampersand (&) in reference lists and parenthetical comments: e.g., As Smith and Sarason (1990) point out, the same argument was made by in an earlier study (Smith & Sarason, 1990).
- If a group is readily identified by its initials, spell it out only the first time: "As reported in a government study (National Institute of Mental Health [NIMH], 1991)..." and thereafter, "The previously cited study (NIMH, 1991) found that..."
- Author unknown or unspecified: use the first few words of the reference list entry (usually the title): e.g., ("Study of Syncopated Rhythms," 1992).
- If citing multiple works by the same author at the same time, arrange dates in order. In general, use letters after years to distinguish multiple publications by the same author in the same year: Several studies (Johnson, 1988, 1990a, 1990b, 1995 in press-a, 1995 in press-b) showed the same thing.
- For old works cite the translation or the original and modern copyright dates if both are known: (Aristotle, trans. 1931) or (James, 1890/1983).
- Always give page numbers for quotations: (Cheek & Buss, 1981, p. 332) or (Shimamura, 1989, chap. 3, p. 5).
- For e-mail and other "unrecoverable data" use personal communication: (V.-G. Nguyen, personal communication, September 28, 1993). These do not appear in the reference list.

[Sample Appendices. **DELETE THIS TEXT**]

## APPENDICES

### Appendix 1 Excellence in Dissertation Research Questionnaire



[Sample Curriculum Vitae. **DELETE THIS TEXT**]

[CV is the last page of the dissertation or thesis]

## CURRICULUM VITAE

Author's Name was born on August 30, 1966, in Boston, Massachusetts. She graduated from Madison Park High School, Boston, Massachusetts, in 1975. She received her Bachelor of Arts from Southern New Hampshire University in 1980. She was employed as a teacher in Boston for two years and received her Master of Arts in Community Economic Development from Southern New Hampshire University in 1990.



## SAMPLE REQUEST TO USE COPYRIGHTED MATERIAL

DATE:

TO:

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I seek permission to reprint the following material from your publication:

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Title:

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Estimated publication date:

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Mailing Address:

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Permission Granted By:

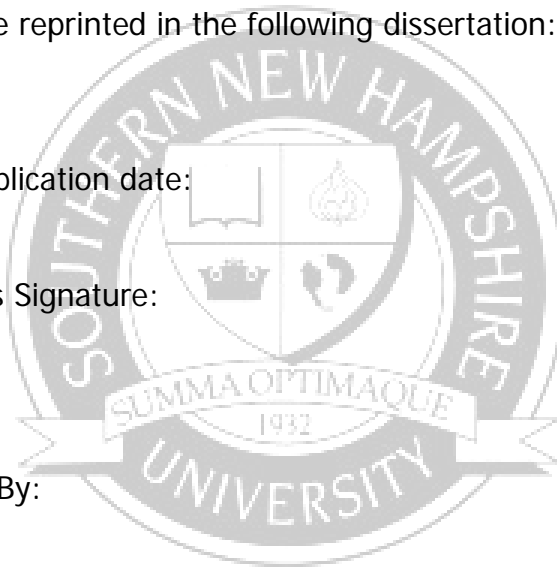
Name:

Title:

Conditions: (if any)

Signature:

Date:



# APPENDIX: Dissertation Approval Forms

**APPROVAL OF PHD DISSERTATION COMMITTEE**

**APPROVAL OF PHD DISSERTATION PROPOSAL**

**APPROVAL OF PHD DISSERTATION**

**PETITION TO GRADUATE**







**Ph.D. in CED Program**  
 School of Community Economic Development  
 Southern New Hampshire University  
 2500 North River Road  
 Manchester, NH 03106-1045

## Approval of Dissertation Committee Form

### To the Doctoral Candidate:

Please provide the information requested even if you do not yet have a full committee. Return this form signed by your Dissertation Committee Chair to the Chair of the Doctoral Program at the address above:

\_\_\_\_\_  
 Name of Doctoral Candidate

\_\_\_\_\_  
 Name of Current Academic Advisor

### DISSERTATION COMMITTEE

Dissertation Chair	Affiliation	telephone	e-mail
Committee Members	Affiliation	telephone	e-mail

*Note: The Dissertation Committee Chair and one committee member must be full-time CED faculty.*

Dissertation Research Title (tentative):

\_\_\_\_\_

\_\_\_\_\_

**Please attach a 1-page abstract describing the proposed dissertation.**

**I agree to supervise this dissertation and Chair the Dissertation Committee.**

\_\_\_\_\_  
 Signature of Dissertation Committee Chair

\_\_\_\_\_  
 Date

### Approval

*Committees should include members representing areas of expertise needed to oversee the proposed dissertation.*

\_\_\_\_\_  
 Signature of Chair, Doctoral Program

\_\_\_\_\_  
 Date



**Ph.D. in CED Program**  
 School of Community Economic Development  
 Southern New Hampshire University  
 2500 North River Road  
 Manchester, NH 03106-1045

## Dissertation Proposal Approval Form

### To the Doctoral Candidate:

Please attach this form to a full copy of your proposal, a copy of the *Institutional Review Board's* approval of your proposal, and have this form signed by your Dissertation Committee members. The signature of the Doctoral Program Chair below extends final approval of your proposal and authorizes you to start the research. **No data may be collected prior to human subjects review and approval by the Institutional Review Board and the Doctoral Program.**

\_\_\_\_\_  
 Name of Doctoral Candidate

\_\_\_\_\_  
 Name of Academic Advisor

### DISSERTATION COMMITTEE

Dissertation Chair	Affiliation	signature
Committee Member	Affiliation	signature

*Note: The Dissertation Committee Chair and one committee member must be full-time CED faculty.*

Dissertation Research Title: \_\_\_\_\_

**Please attach (a) your dissertation proposal, and (b) IRB approval.**

### Approval

*The signature of the Chair of the Doctoral Program below extends final approval of this dissertation proposal and authorizes the doctoral candidate to start the research and conduct it along the lines detailed in the methodology. Changes in procedures and methods will require approval of the Dissertation Committee and, at the discretion of the Dissertation Committee Chair or the Doctoral Program Chair, a resubmission to the Institutional Review Board.*

\_\_\_\_\_  
 Yoel Camayd-Freixas, Ph.D.  
 Professor & Chair, Doctoral Program

\_\_\_\_\_  
 Date

ARCHIVED in student academic records.



**Ph.D. in CED Program**  
 School of Community Economic Development  
 Southern New Hampshire University  
 2500 North River Road  
 Manchester, NH 03106-1045

## Dissertation Approval Form

### To the Doctoral Candidate:

Please attach this form to a copy of your dissertation, and have this form signed by your Committee members. The signature by the Doctoral Program Chair extends final approval of your dissertation, the Dean's signature indicates acceptance of the dissertation by the School.

\_\_\_\_\_  
 Name of Doctoral Candidate

\_\_\_\_\_  
 Name of Academic Advisor

### DISSERTATION COMMITTEE

Dissertation Chair	Affiliation	Approval signature
Committee Member	Affiliation	Approval signature

*Note: The Dissertation Committee Chair and one committee member must be full-time CED faculty.*

Dissertation Title:  
 \_\_\_\_\_  
 \_\_\_\_\_

**Please attach (a) a printed copy of your dissertation that meets the guidelines of the PhD Dissertation Procedures Policy, and (b) include a PDF file containing a digital version of your dissertation.**

### Approval

*The signatures of the Chair of the Doctoral Program and the Dean of the School below extend final approval and acceptance of this dissertation in partial fulfillment of the requirements for the degree of Doctor of Philosophy in Community Economic Development.*

\_\_\_\_\_  
 Yoel Camayd-Freixas, Ph.D.  
 Chair, Doctoral Program

\_\_\_\_\_  
 Michael Swack, Ph.D.  
 Dean, School of Community Economic Development

ARCHIVED in student academic record.

**To the Doctoral Candidate:**

Please obtain a **PETITION TO GRADUATE** form from the School of CED Office or the Office of the Registrar, complete it and pay the graduation fee for the Ph.D. degree.



snhu.edu  
on campus. on location. online.

Southern New Hampshire University  
2500 N. River Road  
Manchester, N.H. 03104  
Phone: 603.644.3103 | Fax: 603.644.3130  
For More Information: [www.snhu.edu/ced](http://www.snhu.edu/ced)