

THESIS/PROJECT HANDBOOK

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GRADUATE PROGRAMS

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INTRODUCTION

Purpose of Handbook

California Lutheran University's graduate students may be required to complete a thesis or a project as part of their master's degree program. Both the thesis and project are forms of research that involve studying a problem through the gathering, treatment, and interpretation of data. This handbook will serve to guide students through the process of conducting and reporting their research. It will provide necessary background information as well as University requirements which must be completed by the student before the thesis or project is accepted by the University.

Purpose of Scholarly Research

Scholarly research requires the skills of inquiry which must be demonstrated by all students. As a participant in research activities at CLU, the University expects you to develop the abilities to:

1. create or contribute empirical knowledge to the existing body of information in a discipline;
2. carry out systematic inquiry;
3. use tools of research including analyzing existing research, implementing research designs, using and/or developing instrumentation, employing appropriate methods of data analysis, and handling the logistics of conducting a research study;
4. work with faculty or other professionals on a research project;
5. use scholarly writing techniques.

Research may be a thesis or a project. While both are important contributions to the body of knowledge in a discipline, they have different purposes.

Definition of Thesis

The thesis is the result of an original empirical investigation that creates new knowledge within a discipline. It solves a problem related to lack of knowledge and is generally composed of the following elements:

1. identification of a problem caused by lack of knowledge;
2. background and literature review of existing information about the problem;
3. methods to be used for obtaining the needed knowledge;
4. resulting new knowledge;
5. interpretation of the new knowledge.

Definition of Project

The project is the development of a new product such as a handbook or workshop that applies knowledge to an identified need. The project is generally composed of the following elements:

1. identification of a problem that could be solved by a practical solution;
2. background literature review of existing information about the problem;
3. methods to be used for developing and field testing a product to solve the problem;
4. resulting new product;
5. evaluation of the new product.

PROCEDURES

The following are suggested steps in the process of completing a thesis or project. The steps are only suggestions but are strongly recommended so that the thesis or project may be completed in an expedient and rewarding manner.

Planning Activities

1. Enroll in course (ED GEN 507, PA 550, or PSY 596).
2. Contact a potential Chairperson.
3. Meet with the Chair to discuss the following:
 - General thesis or project overview;
 - Feasibility of the thesis or project;
 - Selection of potential committee members;
 - Development of an action plan or timeline.
4. Develop the proposal in the course and under the guidance of the potential Chair.

Working Process

- Phase 1* Enroll in ED GEN 507, PA 550, or PSY 596.
 Contact potential committee chair and members.
 Develop proposal (Chapters I through III).
- Phase 2* Submit a full draft of the proposal to the committee members at least two weeks prior to the proposal defense meeting.
 Conduct proposal defense with the committee.
 Redesign the proposal as needed.
- Phase 3* Submit proposal to the CLU Research and Review Committee (RRC).
- Phase 4* Obtain permission from potential research site to conduct the study.
 Select or design instrumentation.
 Field test instrumentation.
 Revise instrumentation.
- Phase 5* Enroll in 599 Thesis/Project course.
 Obtain appropriate signatures for Thesis or Project Memorandum of Acceptance (Appendix G).
 File Memorandum form with the Graduate Enrollment Services Office.
- Phase 6* Collect data.
 Analyze data.
 Meet with the Chair to discuss results.
- Phase 7* Write Chapter IV - Results.
 Meet with the Chair to discuss Chapter IV.
 Make required changes.
- Phase 8* Write Chapter V - Discussion.
 Meet with the Chair to discuss Chapter V.
 Make required changes.

- Phase 9* Write abstract.
- Phase 10* Submit full draft to each committee member at least two weeks before the final defense meeting. (The student must re-register if the final defense is not held within a year of the date when the thesis or project was started.)
- Phase 11* Meet with full committee for final oral defense of thesis or project to be conducted no later than three weeks prior to the end of the term in which the student expects to graduate.
- Phase 12* Make required changes.
Submit manuscript to the Committee Chair for final editing.
Make required changes.
Obtain required signatures on at least three original signature pages.
Make copies of entire document.
- Phase 13* Submit minimum of three copies for binding with original signatures pages and binding fees to the Office of Graduate Enrollment Services which will obtain signature of appropriate Dean.
Additional copies may be submitted at this time along with binding fees if the student wants one or more personal copies.

COMPONENTS AND STYLE OPTIONS

This section lists the items which should be included in a thesis or a project. It is only a guide. Not all items will be necessary in all theses or projects and the order of the items may vary within each chapter. The following models suggest three possible formats for chapters and subject matter for two styles of theses and a project. Students should consult with their chairperson to determine the appropriate style to be used.

The Thesis - Style I

Abstract

Chapter I: The Problem

Introduction-Statement of the Problem
Background or Significance of
the Problem

Chapter II: Literature Review

Overview
Historical Background
Presentation of Literature
Purpose of the Study and Rationale
Questions or Hypotheses
Operational Definitions
Summary

Chapter III: Method

Overview
Research Method
 Research Design
 Pilot Studies (if applicable)
 Selection of Subjects
 Instrumentation
 Procedures for Data Collection
 Procedures for Data Analysis
Assumptions and Limitations
of the Study
Summary

Chapter IV: Results

Findings Organized by Questions or
Hypotheses

Chapter V: Discussion and Recommendations

Discussion of Results and Conclusions
Recommendations
Suggestions for Further Research

References
Appendices

The Thesis - Style II

Abstract

Chapter I: The Problem

Introduction-Statement of the Problem
Background or Significance
of the Problem
Purpose of the Study and Rationale
Questions or Hypotheses
Operational Definitions

Chapter II: Literature Review

Overview
Historical Background
Presentation of Literature
Summary

Chapter III: Method

Overview
Research Method
 Research Design
 Pilot Studies (if applicable)
 Selection of Subjects
 Instrumentation
 Procedures for Data Collection
 Procedures for Data Analysis
Assumptions and Limitations
of the Study
Summary

Chapter IV: Results

Findings Organized by Questions
or Hypotheses
Analysis of Findings
Summary

Chapter V: Discussion and Recom- mendations

Discussion of Results and Conclusions
Recommendations
Suggestions for Further Research

References
Appendices

The Project

Abstract

Chapter I: The Problem

Introduction-Statement of the Problem
Background or Significance of Problem
Purpose of the Study and Rationale
Questions or Hypotheses
Operational Definitions

Chapter II: Literature Review

Overview
Historical Background
Presentation of Literature
Summary

Chapter III: Method

Overview
Product Development
 Source of Content
 Target Group
 Description of Product
Field Test or Critical Review
by Various Experts
Summary

Chapter IV: Results

Overview
Results of Field Test or Critical Review
Improvements and Modifications
Description of Final Product
Summary

Chapter V: Discussion and Recommendations

Overview
Recommendations and Conclusions
Suggestions for Further Research

References
Appendices

FORMAT AND DOCUMENTATION GUIDELINES

California Lutheran University uses the *Publication Manual of the American Psychological Association* (APA), Fourth Edition (1994) and the California Lutheran University *Thesis/Project Handbook* (1997) as style manuals. In instances where the two differ, the CLU Handbook takes precedence over the APA Manual. The APA format uses a simplified system of documentation in the reference list by presenting the author(s) and publication date first. Following this style, the writer simply repeats the author(s) and date of the publication of the citation.

I. Preliminary Sections

These pages provide information on the approval, background, summary, and organization of the study.

Title Page

This page provides the name of the thesis/project, names of the university and school or department, and date of completion. The title page should be prepared in accordance with the sample page found in Appendix A. The date at the bottom of the page is the month and year the degree is awarded. The title page is unnumbered but is counted as page “i.”

Approval Page

This page provides the name of the author and blank lines for the signatures of the committee members and the Graduate Dean of the appropriate School. The pages are signed when the members and Dean determine that the thesis or project is complete. The approval page should comply with the page form found in Appendix B. It should bear original signatures for all copies. The date at the bottom of the page is the date the degree is awarded; however, the page is not counted in the numbering system.

Dedication Page

This optional page contains a brief dedication to the individual(s) whom the author wishes to honor. If included, this page is numbered as page “ii” (lower case Roman numeral).

Acknowledgement

This optional page lists persons and/or institutions whom the author wishes to thank for their assistance in completing the thesis or project. Such assistance can be provision of personal, financial, or moral support, or access to data sets or subject populations. A brief statement as to the type of assistance provided may follow each person or institution named. If included, this page continues the lower case Roman numeral sequence begun above.

Abstract

The abstract provides the reader with a brief, but complete, summary of the entire study, including the rationale, procedures, subjects, and results. The abstract should be one page in length. It continues the lower case Roman numeral sequence begun with the thesis or project title page. A sample abstract is contained in Appendix C.

Table of Contents

These pages provide a list of the major sections of the study and their page location. Included is the location of the list of tables, lists of figures, chapters references and major sections within chapters, and appendices, that is, all the elements of the thesis or project. The table of contents pages continue the lower case Roman numeral sequence begun with the thesis or project title page. See Appendix D.

Lists of Tables or Figures

These pages provide lists of the numbers and titles of tables or figures and their page locations. Tables and figures are placed in separate lists that include the number of each table or figure as it appears in the text, the title of the

table or figure, and the page number where the table or figure is located. These pages follow the table of contents and are numbered with lower case Roman numerals consecutively following the table of contents. See Appendix E for an example.

II. Body of Document

This section contains all five chapters of the study.

Chapter I

This chapter prepares the reader for the rest of the document and introduces a rationale for the study. It provides a statement of the problem and information on the importance of the problem under study. It may also include research questions, hypotheses, and operational definitions. Each chapter should start with a page like the one described in Appendix F. Chapter I begins pagination with an Arabic numeral “1” placed in the upper right corner.

Chapter II

This chapter presents a more detailed history of the area under study and a detailed, well organized presentation of relevant literature. The function of this chapter is to demonstrate that the researcher has examined the work of others, built on that work, developed a sound rationale for the present study, and may include stated testable research hypotheses or answerable research questions.

Chapter III

This chapter presents the methodology used to complete the study. It contains information on design, subjects, instrumentation, data collection and data analysis.

Chapter IV

This chapter presents data analyses and results for the hypotheses or research questions previously posed. For the thesis, the chapter contains results of data analyses that are organized specifically around the research hypotheses or questions, in a hypothesis-by-hypothesis or question-by-question format. For the project, the materials are discussed and the field test and/or critical review results are presented, organized by the research questions or hypotheses.

Chapter V

This chapter concludes the study. The writer takes an objective look at the results, drawing conclusions about the findings by accepting or rejecting the hypotheses or answering the research questions. The writer also makes recommendations for changes and future study of this topic.

III. Concluding Sections

Reference List

This section lists all of the literature cited in the study. References are presented in alphabetical order by author's last name according to the format required by the APA manual being used. Each entry in the reference list should have a hanging indent. The reference list continues the Arabic numerals begun with Chapter I and continuing through Chapter V.

Appendices

This section presents documents that were of special import to the study. These may include materials developed, instrumentation, consent form, letters, etc. The appendices should be placed after the reference list and organized in the order of reference in the body of the manuscript. Appendices may include newspaper clippings, maps, photocopies of letters, photographs, graphs, charts, and/or instrumentation. They should conform to margin requirements, and each appendix should be labeled separately beginning with the letter “A.” The appendices continue the Arabic numeral sequence from the reference list pages.

Other Guidelines

1. The thesis or project drafts may be typed on regular typing paper with the correct margins (see the template in Appendix F), but the final draft must be typed on 20-pound paper composed of 25 percent rag (cotton).
2. All typing of text, tables, and illustrations must be placed within the prescribed margins.
3. Figures and tables should be incorporated at the appropriate point in the text. Short tables may appear on a page with text. Each long table and each figure is placed on a separate page immediately after the page on which the table or figure is first mentioned.
4. Major sections of chapters may be divided into topic categories and subcategories. The use of categories, titles, and placement of titles on pages is discussed in the APA Manual under the topic "Headings and Series."
5. All pages except for the title page and signature page must be numbered in accordance with the conventions listed in the section on Style of Documentation. The page numbers appear in the lower center of the page for lower case Roman numerals and the upper right-hand corner of the page for Arabic numerals. All numerals should be placed according to APA guidelines. Do not use hyphens, periods, or parentheses with any page number. See Appendices A through F for examples.
6. All final copies must be typed using a typewriter or word processor. The type face should be legible and consistent throughout the paper. See the APA Manual for further guidelines.
7. Generally, text must be double-spaced throughout the paper, including lengthy quotations. As suggested by the APA Manual in the section on thesis preparation, single spacing can be used for table titles and headings, figure captions, references (but double spacing is required between references), footnotes, and long quotations. Judicious triple- or quadruple-spacing can be used to improve appearance, for example after chapter titles, before major subheadings, before and after tables in the text.
8. Right margins are not justified.
9. No correction using fluid or tape is permitted.
10. The thesis or project should be proofread BEFORE final submission to the Committee Chair. Documents containing errors will be returned to students for correction before final acceptance.
11. All copies of the document submitted to the Office of Graduate Enrollment Services must have ORIGINAL approval signatures. Other copies submitted for binding for personal use need not have original approval signatures.

COURSES

The thesis or project is developed through a series of courses in either Education, Psychology, or Public Administration. The number of courses and their sequence vary. The courses are presented by department below.

Education

ED GEN 507 - Research Methods (3 credits)

A systematic study and analysis of current research and methods of conducting research. This course is used to develop a draft proposal of the first three chapters of the thesis or project. It is a prerequisite for 599A or 599B.

ED GEN 599A - Thesis (3 credits)

Advisement for the development of a masters thesis. This course is used to carry out the thesis proposal developed in ED GEN 507. The student must have completed a minimum of 24 semester hours toward the masters degree in order to register for this course. If the thesis is not completed within one calendar year from the date of enrollment for 599A, the student must re-register for 599A and do so annually until the thesis is completed.

ED GEN 599B- Project (3 credits)

Advisement for the development of a masters project. This course is used to carry out the project proposal developed in ED GEN 507. The student must have completed a minimum of 24 semester hours toward the master's degree in order to register for this course. If the project is not completed within one calendar year from the date of enrollment for 599B, the student must re-register for 599B and do so annually until the project is completed.

Psychology

PSY 539 - Advanced Statistics (3 credits)

Study of advanced statistical methods, including univariate and multivariate analysis of variance, correlation, multiple regression, factor analysis, and other methods. Computer applications of statistical software for data analysis purposes will be emphasized.

PSY 542 - Advanced Research Methods (3 credits)

Study of research and evaluation methodology, including consideration of experimental, quasi-experimental, and other methods. Various designs for different types of research studies will be emphasized. Prerequisite - PSY 539.

PSY 596 - Research Practicum (3 credits)

Supervised experience in designing and conducting an experiment or other empirical research in any area of psychology. This course is used to develop a draft of the first three chapters of the thesis or project. Prerequisite - PSY 542.

PSY 599 - Thesis (3 credits)

Supervised research and writing of the thesis for the master's degree. This course is used to carry out the thesis proposal developed in PSY 596, the prerequisite course. If the thesis is not completed in one calendar year from the date of registration for 599, the student must re-register for 599 and do so annually until the thesis is completed.

Public Administration

PA 550 - Research Methods (3 credits)

Study of scientific methods of analysis of current research and methods of conducting research: problem definition, hypothesis construction, research design, sampling, collection, evaluation of data and interpretation of findings. This course is used to develop a draft proposal of the first three chapters of the thesis or project. It is a prerequisite for PA 599A or 599B.

PA 599A - Thesis (3 credits)

This course is used to carry out the proposal developed in PA 550. The student must have already taken a minimum of 24 hours toward the masters degree in order to register for this course. If the thesis is not completed in one calendar year from the date of registration for 599A, the student must re-register for 599A and do so annually until the thesis is completed.

PA 599B - Project (3 credits)

This course is used to carry out the proposal developed in PA 550. The student must have completed a minimum of 24 semester hours toward the master's degree in order to register for this course. If the project is not completed in one calendar year from the date of registration for 599B, the student must re-register for 599B and do so annually until the project is completed.

REGISTRATION

Enrollment in 599 Course

Students who are writing a project or a thesis must register for 599A (Thesis) or 599B (Project). See your own program requirements for details.

At the time of registration, the student must complete a Memorandum of Acceptance (See Appendix G). This form indicates that the student's department and committee have accepted the student's research topic. It contains a summary of the proposed research and the signatures of the department chair, the committee members, and the appropriate Dean.

Registration for 599A or B may not be undertaken until the student has completed the specified number of credit hours toward the master's degree. If the project or thesis is not complete within one calendar year from the date of enrollment for 599A or B, then the student must re-register for these courses and do so annually until the project or thesis is accepted. The student must complete the thesis or project within the seven years of beginning courses toward the master's degree.

The 599A or B course is graded by the Committee Chair as part of the degree course requirements. The grade is submitted at the time the student submits the final draft for binding. The 599A or B course has a limit up to one year of validity from the beginning of the semester of registration.

Important Dates

1. The student must present the thesis or project to the committee at least two weeks prior to any meeting in which the manuscript is to be discussed.
2. The final defense must be arranged and conducted at least three weeks prior to the end of the term in which the student expects to graduate.
3. To obtain a master's degree, the thesis or project must be completed within seven years from the initial enrollment in master's courses.

Meetings

1. Proposal Defense Meeting

When the chair has approved the student's research design proposal which was developed in PSY 596, Ed Gen 507, or PA 550, a proposal defense meeting will be scheduled at the request of the student to be convened by the Chair. The student schedules the date, time and location. All committee members are to be present, and the student will provide each member with a copy of the proposal at least two weeks prior to the meeting date. The purpose of the meeting is to discuss the research design and modifications which might be needed. Following the proposal defense meeting, the student is also expected to gain approval from the Research and Review Committee (RRC).

2. Progress Meetings

Students must meet with the chair or other committee members throughout the life of the project or thesis.

3. Final Defense Meeting

The student is ready for the final defense meeting when the Chair has determined that the manuscript is in final draft form. At least two weeks prior to the meeting, the student will provide the Chair and each committee member with a final draft form of the manuscript. The meeting should be attended by all committee members. The student may also invite one guest to the defense.

Committee Membership

The committee is composed of a Chairperson and two other members, one of whom must be a full-time faculty member from the student's department or school. The requirements for each are listed below:

Committee Chair

The chair must have knowledge of the area under investigation for the project or thesis. Must be a part-or-full-time faculty member of the department or school. Must be chosen with the approval of the program Director or Chair.

Committee Members

Members must have knowledge of the area under investigation for the project or thesis. Must be full-time, part-time faculty, or a professional in the community with at least a Master's degree. He or she must be chosen with approval of program advisor and thesis Committee Chair.

Final Product

1. Committee Approval

When the student has successfully defended the thesis or project, the signatures of the committee will be affixed to the approval page. (See Appendix B.)

2. Editing

When the thesis or project has been approved by the committee, the student will submit the final draft of the completed manuscript to the Chair of the committee for final editorial review.

3. University Approval

Two copies and the original manuscript (three in total) must be printed on 20-pound paper composed of 25% rag or cotton fiber, and all copies must have original signatures. After the signatures have been obtained, the student presents the three manuscripts to the Office of Graduate Enrollment Services for binding. The signature of the appropriate Dean for the school or program is obtained by the Graduate Enrollment Services Office at this time. For Education work, the appropriate dean is the Dean of the School of Education, and for Psychology and Public Administration, the appropriate Dean is the Dean of the School of Arts and Sciences. Students may also present additional personal copies for binding at this time. There is a binding fee due at this time payable per manuscript to California Lutheran University.

4. Binding

The University binds at least three copies of the thesis or project. One is placed in the University Library, one is placed in the student's department, and one copy is given to the Committee Chair. Binding fees are paid by the student when all copies are submitted to the Office of Graduate Enrollment Services.

5. Submission of Grade

At this time, the student requests the Graduate Enrollment Services Office to confirm receipt of final drafts to the Committee Chair. Upon confirmation, the Chair then submits to the University Registrar a grade for completion of the student's 599A or B coursework.

ROLES AND RESPONSIBILITIES

Each individual involved in the process of developing a thesis or project has certain tasks for which he/she is responsible. These are listed by role below.

Committee Chair

1. Assure appropriate level of inquiry into the problem.
2. Verify that all ethical standards including those for human research are met. Assist the student in securing approval of the Research and Review Committee (RRC). See Appendix H for forms and procedures.
3. Assist in the selection of committee members.
4. Develop with the student a schedule of activities for the completion of the project or thesis.
5. Review proposal procedures with the student and approve Chapters I to III.
6. Call together and preside over all formal committee meetings.
7. Keep the thesis or project on schedule.
8. Analyze instrumentation.
9. Assist in data analysis.
10. Delegate tasks to other committee members.
11. Review contents; make suggestions for revision or modification of Chapters IV and V.
12. Coordinate proofing and editing of the document. Contact all committee members before the final defense to solicit comments and suggestions for the final document.
13. Assure that CLU publication standards are upheld.
14. Submit final grade when in possession of formal confirmation from the Office of Graduate Enrollment that all approved, final drafts have been submitted for binding.
15. Submit notice of completion of thesis or project to the Office of the Provost with a request to release all Committee Stipends.

Committee Members

1. Attend scheduled meetings which include proposal defense meeting, progress meetings as needed, and final defense meeting.
2. Provide feedback on thesis or project drafts.
3. Provide individual advice or consultation with student as requested.
4. Analyze instrumentation.
5. Assist in data analysis.

6. Review contents; make suggestions for revision or modification of Chapters IV and V.
7. Proof and edit document.
8. Assist the Committee Chair as requested.

The Student

1. Be aware of the responsibilities of the Chair, committee members, and student.
2. Complete Thesis or Project Memorandum of Acceptance and register in 599A (Thesis) or 599B (Project) course, or 599C for continuing semesters.
3. Secure approval of the Research and Review Committee (RRC), with the assistance of the Chair. See Appendix H for forms and procedures.
4. Fulfill CLU requirements for completing a thesis or project, including proper editorial format.
5. Arrange for committee meeting dates, times and locations.
6. Adhere to planned timelines.
7. Provide drafts of all documents to all committee members at least two weeks before a scheduled meeting.
8. Attend regular meetings with the chair.
9. Make notes of all meetings.
10. Seek the advice of individual committee members.
11. Keep entire committee informed of progress.
12. Make revisions as required.
13. Submit the thesis or project to the committee for final defense and approval.
14. Submit the approved thesis or project to the Office of Graduate Enrollment Services to obtain appropriate Dean's signature, assignment of 599 A or B course grade and credit from Committee Chair, and binding of thesis or project copies.

BIBLIOGRAPHY

American Psychological Association (1992). Ethical principles of psychologists and code of conduct. *American Psychologist*, 47, 1597-1611.

American Psychological Association (1994). *Publication manual of the American Psychological Association* (4th Edition). Washington, D.C.: American Psychological Association.

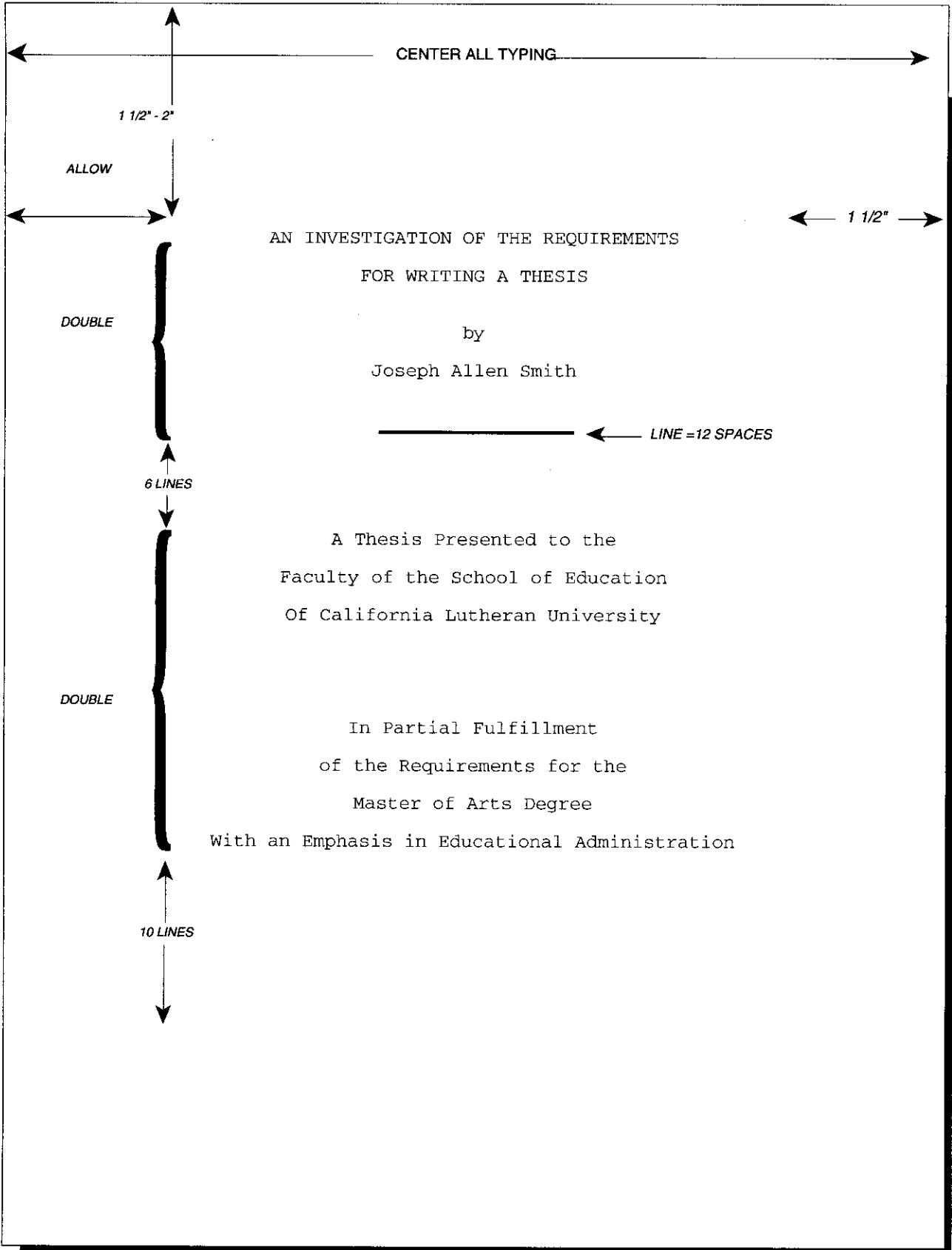
Campbell, W., Ballon, S., and Slade, C. (1990). *Form and style - Thesis, reports, and term papers*. (8th ed.). Boston: Houghton Mifflin.

Li, X. and Crane, N. (1996). *The official internet world guide to electronic style: A handbook for citing electronic information*. Westport: Meckler.

Note: A convenient source is found on the CLUnet Library web page for both "Style Manuals and Guides" and "Citing Electronic Sources." (Available at robes.callutheran.edu/iss/vlib2.html#style.)

SAMPLE PAGES

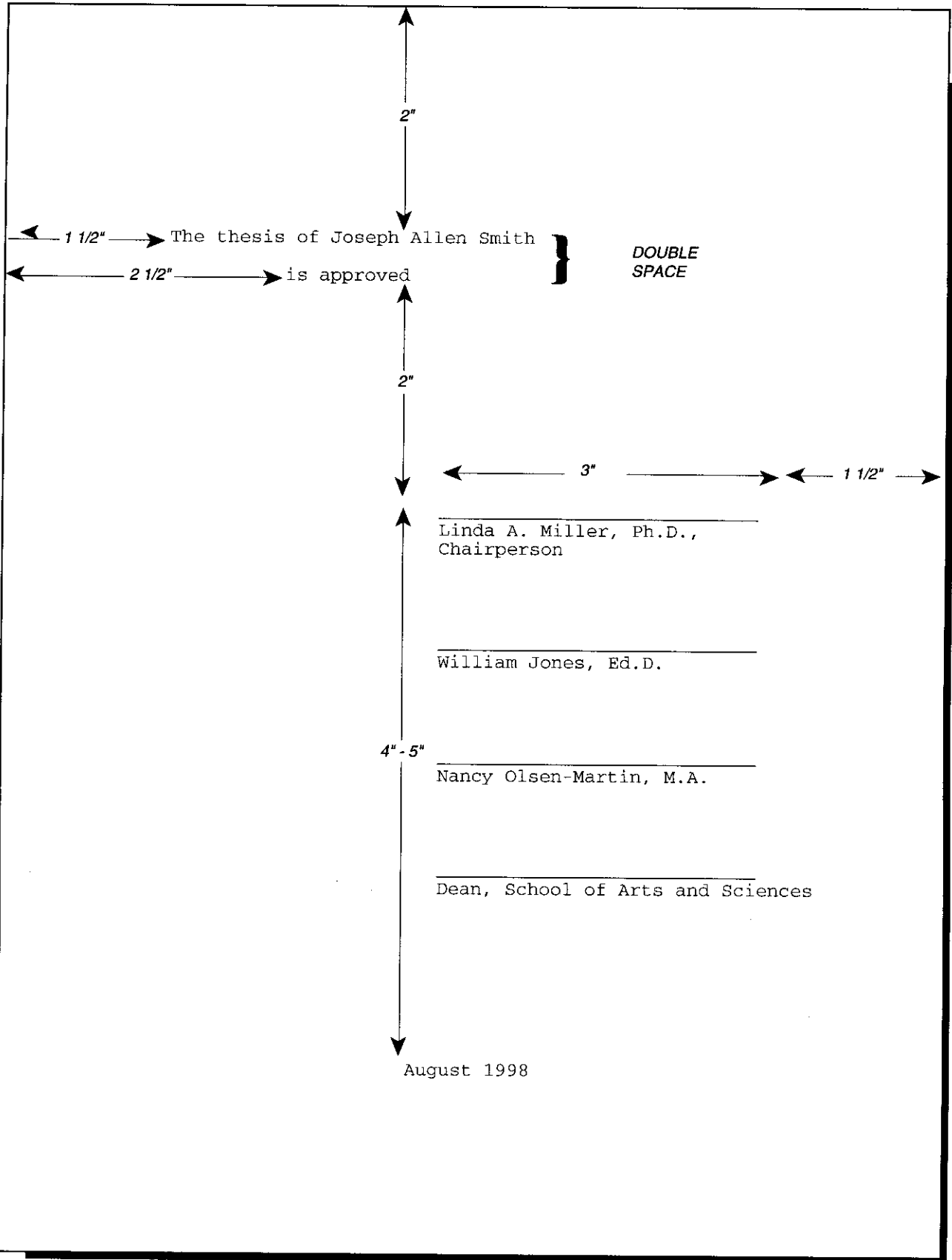
TITLE PAGE



APPENDIX B

SAMPLE PAGES

APPROVAL PAGE



ABSTRACT

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ABSTRACT

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The purpose of this study was to determine the status of Hispanic student involvement in extra-curricular activities in the high school setting. The type and degree of involvement, as well as the reasons for participation or non-participation, was determined using student self-reports and school club and activity group membership and attendance records.

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A total of 100 randomly selected Hispanic and 100 randomly selected non-Hispanic students' extra-curricular activities were compared using a self-report questionnaire and the membership roles and attendance sheets of fifteen randomly selected school organizations at two local high schools.

The questionnaire asked students to describe the type and degree of their involvement in extra-curricular activities as well their reasons for involvement or non-involvement. The instrument was administered by teachers to students in their English classes. All questions were read to students in either English or Spanish. All data were examined using comparisons of percentages of responses and Chi Square tests for independence.

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SAMPLE PAGES

TABLE OF CONTENTS

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TABLE OF CONTENTS

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	<u>Page</u>	
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Abstract	iii	
List of Tables	v	
CHAPTER		
I. The Problem	1	
Introduction		
Background of the Problem		
Statement of the Problem		
Purpose of the Study		
Etc.		
II. Literature Review	15	
Organization of the Chapter, etc.		
III. Method	33	
Overview		
Description of Research Method		
Etc.		
IV. Results	44	
V. Discussion and Recommendations	56	
References	68	
Appendices	74	

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iv

APPENDIX E

SAMPLE PAGES LIST OF FIGURES OR ILLUSTRATIONS AND/OR LIST OF TABLES

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LIST OF TABLES

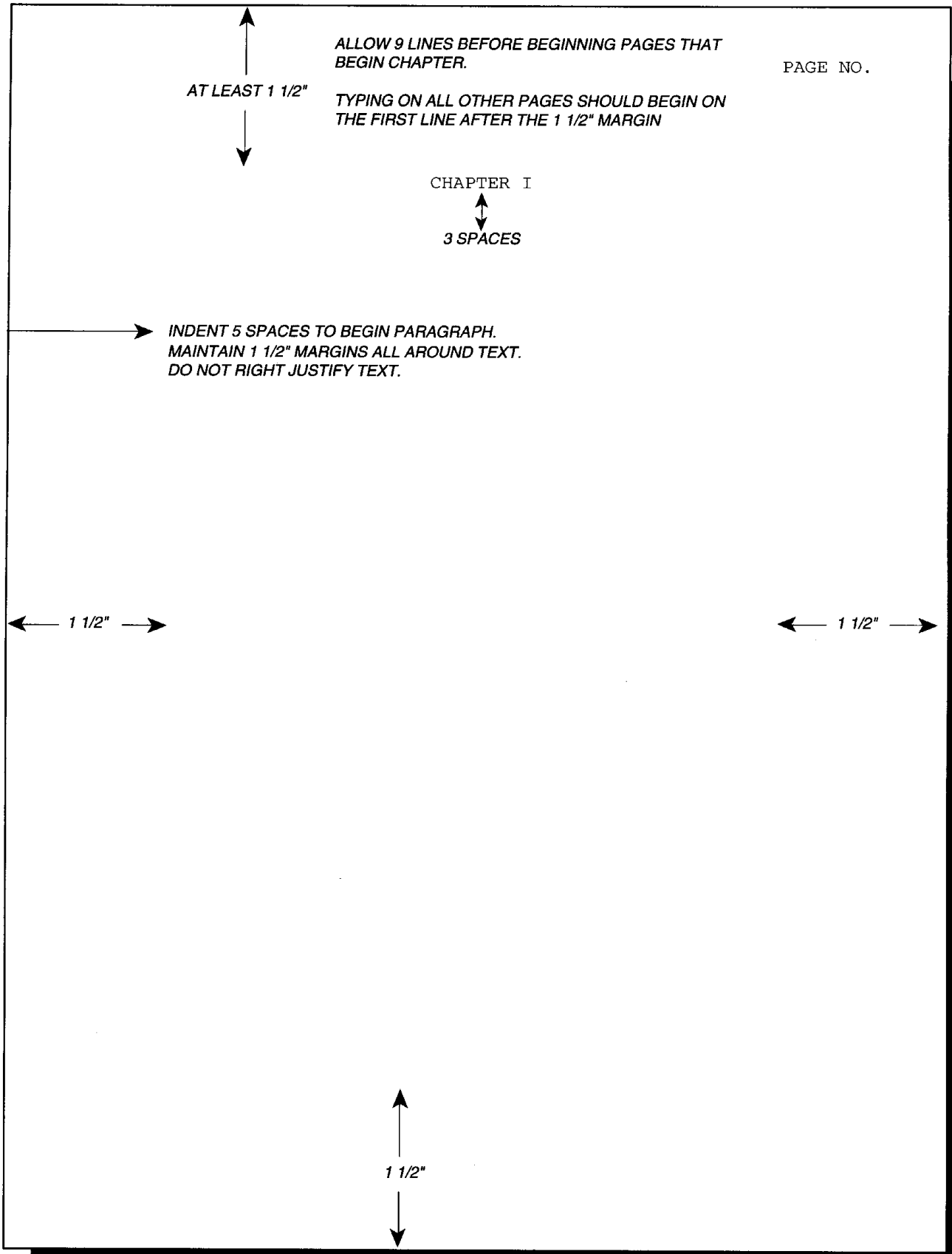
	Page
← 1 1/2" → Table 1. Mean Performance Scores of CLU Graduate Students	55 ← 1 1/2" →
Table 2. Cumulative Grade Point Average of Second Year Graduate Students	58
Etc.	

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↓
iv

APPENDIX F

SAMPLE PAGES

TEMPLATE



MEMORANDUM OF ACCEPTANCE



California Lutheran University

60 West Olsen Road
Thousand Oaks, California 91360-2787
805/492-2411

Date: _____

Student Name: _____

Address: _____

Phone: Day _____ Evening _____

Degree Program: ED MFC MPA Psych

Degree Emphasis: _____

Proposed Topic/Title: _____

Brief Description of Study: _____

Proposed Committee
(Please print or type names)

I am willing to serve on committee.
(Members signatures)

Chairperson

Date

Advisor's Approval of Committee and Topic

Department Chair's Approval of Committee & Topic

Dean's Approval of Committee and Topic

Copies: Student
Chair Committee
Graduate Studies Office
Dept. Chairperson

APPENDIX H

H. POLICIES AND PROCEDURES FOR THE RESEARCH AND REVIEW COMMITTEE (RRC)

This document describes the process of submitting a thesis or project proposal to the Research and Review Committee (RRC).

Introduction

The Research and Review Committee (RRC) was established to help researchers ensure that their studies protect human and animal rights and provide humane treatment. The RRC reviews ONLY research conducted by CLU faculty, staff, administrators or students using animal or human participants within or external to the University. General faculty or staff surveys (conducted by ISS, personnel, etc.) are exempted from RRC review. Instructors of courses requiring student research projects (e.g., Research Methods) are responsible for notifying the RRC Chair that such projects meet all criteria necessary for RRC approval. In such cases, the completion of Form A is required. RRC evaluates prospective research using the following criteria:

1. Are there at-risk populations such as children, pregnant women, incarcerated persons, or the mentally ill involved in the study?
2. Are at-risk treatments used in the study? This would involve treatments such as drug studies; the revealing of behavior that might be deemed “socially inappropriate” in certain settings such as drug use, homosexuality, etc.; and the examination of psychological variables that involve those at risk of mental instability.
3. Are subjects participating in the study with informed consent? Have they been informed of the nature and purpose of the study and of how the data will be used?
4. Does the study have provisions for protection of the identity of study participants?
5. Does the study have provisions for subjects to elect not to participate without adverse consequences and to withdraw their consent at any time without penalty or prejudice?
6. Does the study have provisions for the handling of possible adverse reactions of subjects, such as allergic reactions to substances or emotional reactions to psychological treatments?

The RRC uses a two-stage process:

1. A preliminary review is conducted to initially examine a proposal for the evaluation criteria named above. If the study has no at-risk populations and no-at-risk treatments, and if criteria 3 through 6 have been met, then the proposal is approved. Only the completion of Form A is required. Upon approval, a letter (Form D) is sent to the researcher, sponsoring faculty member, and/or committee chair. Most proposals are approved at this level of review, including student research projects completed as part of a class requirement.
2. An in-depth review is conducted for proposals that involve at-risk subjects or treatments or that have not met criteria 3 through 6. Upon approval, a letter (Form D) will be sent to the research and sponsoring faculty member or committee chair.

If at risk subjects or treatments are used, the following steps are required:

1. The applicant submits a request for a review of his/her proposals to RRC. The request must contain the following items:

- a. A letter (See the model letter Exhibit One) requesting a review that includes:
 - A description of the study design that includes attempts to meet the six criteria used by ARRC for review (Form B).
 - A statement signed by the student's thesis or project committee chair, that the proposal has been reviewed and accepted by the committee.
 - b. A sample letter of disclosure (see the model letter Exhibit Two).
 - c. A completed copy of RRC Form A located in this document.
2. The RRC reviews the study and sends written notice of study approval (Form D) to the applicant and the committee chair if the applicant is a graduate student. The applicant may then begin the study.
 3. Step 2 of the RRC review process is completed ONLY if the study involves at risk subjects or treatments. If a study is not approved, it is primarily because it did not meet the six criteria. At this point the RRC Chair should notify the applicant of the necessary corrections.

Summary:

Included in this document are the required forms (A-D) and model letters (Exhibits 1-4). It is the responsibility of the research committee chairs and sponsoring faculty members to understand the Policies and Procedures contained in this document. Questions should be directed to the RRC Chair.

EXHIBIT 1: MODEL LETTER TO RRC

Anne Smith
407 Grand Avenue
Ventura, CA 91370

Date:

_____ Chair, RRC
California Lutheran University

Dear _____:

This letter is a request for a RRC review of my Master's thesis proposal titled, Attitudes and Perceptions of Southern California School District Test Directors. The study will involve a survey research design that includes a random sample of 50 percent of the test directors in the Southern California area. The directors will be asked to complete a 20-item survey that includes identification of tests currently in use in their district, their perception of the quality of these tests, and their perceptions of important testing issues and practices.

I believe my study meets all six of the criteria for approval of studies by RRC. I have presented these criteria below with the provisions in my study for meeting them.

1. No at-risk subjects: The subjects of the study, test directors, are not an at-risk group.
2. No at-risk treatments: There are no treatments. The study will request information on current district practice and opinions of the directors.
3. Subjects participate with informed consent: I will include a copy of a letter of disclosure that informs the participants of purpose and nature of the study and the data analyses and reports to be completed.
4. The study has provisions for protection of the identity of study participants - The subjects will not be requested to place their names on any documents. I will use case numbers of each mailed survey. These case numbers will be used only to determine who has responded and who needs a follow-up letter for response. No data analyses or reports will carry any district or personal identifiers. I will assure the participants of this protection in my letter of disclosure.
5. The study has provisions for subjects to elect not to participate without adverse consequences: The study is voluntary. The directors may elect to not participate by simply deciding not to return the survey.
6. The study has provisions for handling of possible adverse reactions of subjects, such as allergic reactions to substances or emotional reactions to psychological treatments: There are not treatments, so there is no need for provisions for handling of possible adverse reactions.

Please note that I have attached my letter of disclosure and additional support information.

Thank you for your assistance in reviewing my proposal. I look forward to your decision.

Sincerely,

Anne Smith

This proposal has been examined and approved by the student's thesis/project committee in a proposal defense meeting.

(Signature of Thesis/Project Committee Chair)

EXHIBIT 2: MODEL LETTER OF DISCLOSURE FOR SURVEY

Anne Smith
407 Grand Avenue
Ventura, CA 91370

Date:

Dear

This letter requests your participation in a study for my master's thesis through California Lutheran University's School of Education. The purpose of this study titled, Attitudes and Perceptions of Southern California School District Test Directors, is to help identify tests currently in use in southern California school districts and to describe the testing issues and concerns expressed by test directors.

The study involves a short survey enclosed in this package. Please complete it by March 31, 1998 and return it in the enclosed self-addressed, stamped envelope. Note that no names or other identifiers are requested from you as a respondent. Because no names will be placed on the survey, all responses are anonymous. Further, all information will be stored in locked cabinets.

I plan to develop summaries for your responses for my thesis that will include the number and types of tests in use and summaries of your stated issues and concerns. You will also have an opportunity to comment on your survey and the results of the study itself.

No risk or disadvantage to you as a participant is foreseen. The research should benefit all test directors, although not all benefits or risks of research can be known ahead of time, even when research is well conducted.

Participation in this research is voluntary and you may withdraw your consent at any time, with no penalty or disadvantage to you. If you are not satisfied with your participation, you may inform me by mail or by telephone at (805) _____ or my thesis chair, Dr. _____, the School of Education at California Lutheran University. Dr. _____ may be reached at (805) _____, between the hours of ____ and ____.

Please note that your completed survey will be considered your agreement to participate in the study. No other forms are required. If you choose not to participate, simply dispose of the survey.

Thank you, in advance, for your help in this study.

Sincerely,

Anne Smith

EXHIBIT 3: MODEL INFORMED CONSENT FORM FOR STUDIES OTHER THAN SURVEY RESEARCH

Anne Smith
407 Grand Avenue
Ventura, CA 91370

Date:

Dear Student:

This letter requests your participation in a study for my master's thesis through California Lutheran University's Department of Psychology. The study involves personality factors, mood, and their relationship to performance in school as measured through two questionnaires. These questionnaires require about 20-30 minutes to complete and will be administered by me. In addition, copies of your semester grade report will be collected at the end of the current term.

Findings from this study will be reported without names or other identifiers and will be summarized rather than reported as information on individuals. All data will be stored in locked cabinets. When the study is completed, you will have an opportunity to receive feedback on your questionnaires and on the results of the study itself.

No risk or disadvantage to you as a participant is foreseen. The research should benefit students, although not all benefits or risks of research can be known ahead of time, even when research is well conducted.

Participation in this research is voluntary and you may withdraw your consent at any time, with no penalty or disadvantage to you. If you are not satisfied with your participation, you may inform me or my thesis chair, Dr. _____, Department of Psychology, California Lutheran University.

I have attached a form, required by California Lutheran University, that indicates that you understand the study and that you give your consent to participate. Please return your signed copy of this statement in the enclosed self-addressed envelope. If you have any questions or want additional information about your rights as a research subject or what to do about any injury that may result from your participation in this research, please call me at (805) _____ or my thesis adviser, Dr. _____, at (805) _____ between the hours of _____ and _____.

Sincerely,

Anne Smith

EXHIBIT 4: MODEL CONSENT LETTER

Date:

To:

Anne Smith
407 Grand Avenue
Ventura, CA 91370

I understand that the study in which I have been asked to participate involves personality factors, mood, and their relationship to performance in school as measured through two questionnaires. These questionnaires require about 20-30 minutes to complete and will be administered by the researcher. In addition, copies of my semester grade report will be collected at the end of the current term.

I also understand that findings from this study will be reported without names or other identifiers and will be summarized rather than reported as information on individuals. All data will be stored in locked cabinets. When the study is completed, I understand that I will be able to comment on my questionnaires as well as the results of the study itself.

As the study has been explained to me, no risk or disadvantage to me as a participant is foreseen. The research should benefit all test directors, although not all benefits or risks of research can be known ahead of time, even when research is well conducted.

Further, I understand that my participation in this research is voluntary and I may withdraw my consent at any time, with no penalty or disadvantage to me. If I am not satisfied with my participation, I understand that I may call Anne Smith or Ms. Smith's thesis committee chair, Dr. _____, Department of Psychology, California Lutheran University.

I, the undersigned, understand the above explanations and, on that basis, I give consent to my voluntary participation in this research.

_____ Date: _____

Subject or Parent/Guardian of _____

_____ Date: _____

Location (e.g., Thousand Oaks, CA)

FORM B RESEARCH AND REVIEW COMMITTEE (RRC)

Suggested outline of proposal to be submitted to RRC. Researchers are encouraged to use this as a checklist to insure that all required information is included. Length of the proposal should not exceed two (2) pages.

1. Background and Purpose of Research
2. Research Methodology
 - a. Subject Population
 - b. Facilities Where Research Will Be Conducted
 - c. Research Procedure of Proposal
 - d. Estimated Duration of Subject Participation and of Study
3. Subject's Risks/Benefits
 - a. Potential Risks
 - b. Risk Management Procedures, Including Informed Consent Procedures
 - c. Potential Benefits
 - d. Risk/Benefit Ratio
 - e. Expense to Subjects
4. Sample Consent Form (For Human Subjects Only)

FORM C RESEARCH AND REVIEW COMMITTEE (RRC)

Requirements for Consent Form

The consent form is designed as an agreement for the protection of the rights and welfare of any individual who participates as a subject in research. The following basic considerations should be covered on the consent form used.

1. A statement of the procedures and purposes.
2. A statement of any potential associated risk and/or discomfort for the subject.
3. A statement of any associated benefits for the subject.
4. A statement indicating that participation is voluntary, and that the subject may withdraw at any time.
5. A statement indicating that the subject was given the opportunity to ask questions about the procedure, and that they were answered prior to the subject's agreement to participate.
6. A statement that there is no agreement, written or verbal, beyond that expressed on the consent form.
7. A statement of the duration of subject participation.
8. A statement regarding the confidentiality of the subject.

The consent form should include no exculpatory language by which the subject might waive or release the institution or its representatives, including the researcher, from liability in connection with the research.

The form should conclude as follows:

I, the undersigned, understand the above explanations and, on that basis, I give consent to my voluntary participation in this research.

Subject or Parent/Guardian of

Date: _____

FORM D APPROVAL FORM

Date:

Subject:

Dear

The Committee for Research and Review has examined your Research proposal.

We are pleased to inform you that your proposal is in accordance with the University guidelines and has therefore been granted exemption from further review. Good luck in your research.

Sincerely,

RRC Committee Chair



California Lutheran University

60 West Olsen Road

Thousand Oaks, California 91360-2787