DOCTOR OF EDUCATION PROGRAMS

K-12 Leadership

Higher Education Leadership

DISSERTATION

HANDBOOK

Second Edition

Thousand Oaks, California

November 2009
The CLU Vision of Educator Preparation and Development

The mission of California Lutheran University is to educate leaders for a global society who are strong in character and judgment, confident in their identity and vocation, and committed to service and justice.

In accordance with the mission of CLU, the School of Education seeks to develop reflective, principled educators who STRIVE to:

- Serve as mentors and models for moral and ethical leadership
- Think critically to connect theory with practice
- Respect all individuals
- Include and respond to the needs of all learners
- Value diversity
- Empower individuals to participate in educational growth and change

The Purpose of the Dissertation Handbook

The purpose of the dissertation handbook is to articulate for doctoral students the processes and procedures of writing a dissertation in the field of Education at California Lutheran University. This handbook includes formatting and procedural requirements for completing the dissertation. All university policies apply to this process.
Table of Contents

CLU Vision of Educator Preparation .............................................................. ii
Purpose of the Dissertation Handbook ......................................................... ii
Table of Contents ......................................................................................... iii

Section I. Introduction to the Dissertation Process ...................................... 1
    A. The Purpose of the Dissertation .......................................................... 1
    B. The Dissertation at California Lutheran University .......................... 1
    C. The Dissertation in Perspective .......................................................... 1

Section II: Characteristics of the Dissertation ...................................... 3
    A. The Dissertation Deals with a Significant Issue or Problem .............. 3
    B. The Dissertation Employs a Theoretical Awareness and a Discernable Methodology ...... 3
    C. The Dissertation Explores the Phenomena Under Study ....................... 4
    D. The Dissertation Has Thematic or Generalizable Results ..................... 5
    E. The Dissertation is Original and Creative ........................................... 5
    F. The Dissertation is of Significant Scope ............................................. 5
    G. The Dissertation is of a High Quality ................................................. 7

Section III: Types of Dissertations ......................................................... 8
    A. The Individualized Dissertation ......................................................... 8
    B. The Thematic Dissertation .................................................................. 8

Section IV: Content of the Dissertation ............................................... 10
    A. Content of the Chapters ..................................................................... 10
        1. Chapter 1 ...................................................................................... 10
        2. Chapter 2 ...................................................................................... 11
        3. Chapter 3 ...................................................................................... 12
4. Chapter 4 ................................................................................................................. 13
5. Chapter 5 ................................................................................................................. 13
6. Chapter 6 (Qualitative or Mixed Methods Studies) .................................................. 15

B. Mixed Methods Studies .......................................................................................... 15
C. Other Dissertation Requirements ............................................................................ 15

Typical Dissertation Outline (Quantitative) ............................................................... 16
Typical Dissertation Outline (Qualitative) ................................................................. 17

Section V: Planning and Resources ............................................................................. 18
A. The Advising Process .............................................................................................. 18
B. Dissertation Preparation Courses and Seminars ..................................................... 18

Section VI: The Dissertation Committee ................................................................. 20
A. The Committee Chair .............................................................................................. 20
B. Committee Members ............................................................................................... 20
C. Approval of the Committee .................................................................................... 21
D. Working with the Committee .................................................................................. 21
E. Committee Review ................................................................................................... 22

Section VII: The Dissertation Process ....................................................................... 23
A. The Pre-Proposal Period .......................................................................................... 23
B. The Dissertation Proposal ....................................................................................... 23
   1. Proposal Content and Format ............................................................................. 23
   2. The Proposal Defense ......................................................................................... 23
   3. Proposal Approval Meeting ................................................................................ 24
   4. Advancement to Candidacy ............................................................................... 24
   5. The Institutional Review Board Proposal .......................................................... 24
C. Data Collection and Analysis ................................................................. 25
   1. Permissions ....................................................................................... 25
   2. Data Collection ................................................................................. 25
   3. Use of Outside Assistance ............................................................... 25
D. The Oral Defense .................................................................................. 26
   1. Timing of the Oral Defense .............................................................. 26
   2. Purpose of the Oral Defense ........................................................... 27
   3. The Oral Defense Meeting ............................................................... 27
E. The Dissertation Timeline .................................................................... 28

Section VIII: The Format of the Dissertation ........................................... 31

A. Preparing the Document ..................................................................... 31
   1. Order of the Document ................................................................. 31
   2. Style Manual .................................................................................. 31
   3. Font, Spacing, Margins, Pagination ............................................ 31
   4. Chapter Titles ................................................................................ 32
   5. APA Heading Levels ....................................................................... 32
   6. Indention and Justification ............................................................ 32
   7. Tables and Figures ........................................................................ 33
   8. Quotations ...................................................................................... 33
   9. Copyright Page and Signature Page ............................................. 33
  10. Abstract .......................................................................................... 33
  11. Corrections and Paper Quality ...................................................... 34
B. Submitting the Final Copy ................................................................. 34
   1. Revisions and Corrections .............................................................. 34
   2. Check for APA Format ................................................................. 34
   3. Fees for Binding ................................................................. 34
   4. Submission to the University ......................................................... 34
   5. Submission to ProQuest/UMI ....................................................... 35

Section IX: Guidelines and Policies ................................................. 37
   A. Academic Integrity ................................................................. 37
   B. Copyright Permissions ............................................................. 37
   C. Time Limit for Degree Completion ............................................. 38
   D. Leaves of Absence ............................................................... 38
   E. Continuous Enrollment ............................................................ 39

Section X: Graduation and Beyond ............................................... 40
   A. The Graduation Ceremony .......................................................... 40
   B. Degree Posting ....................................................................... 40
   C. Publications and Presentations ................................................. 40

References ......................................................................................... 41
I. Introduction to the Dissertation Process

A. The Purpose of the Dissertation

The Ed.D. dissertation is a culminating experience that provides doctoral students with opportunities to apply their critical thinking and research skills as educational leaders to some of the complex problems and issues facing contemporary educational organizations. The work of the dissertation should lie at the nexus of emerging paradigms of effective educational leadership and the needs and problems of schools, school systems, colleges and universities, and other types of educational organizations. The high-quality Ed.D. dissertation should make a compelling case for changes in policy or practice that will enable an educational organization to more effectively accomplish its mission.

B. An Overview of the Dissertation Process at California Lutheran University

The dissertation at CLU involves a four-year process that begins in the first year of the program as students begin to anticipate the problem area they would like to pursue in their research. The first summer session is devoted to a review of the literature as students explore this problem area more deeply. The exploration continues into the second year as students identify a potential dissertation chair with whom they initially work informally to continue the process of clarifying a more specific research question. During the second summer seminar students develop a complete dissertation proposal and finalize the formation of their dissertation committees. The proposal should be successfully defended by the end of the fall term of year three. Once the proposal has been approved by the committee and the CLU Institutional Review Board, students begin conducting their research. This continues during the remainder of the third year and throughout the third summer seminar. The fourth year is devoted to completing the writing process, successfully defending the dissertation, and producing the final copy of the manuscript.

C. The Dissertation in Perspective

For most students, completing a dissertation will be a new experience. Preparing a dissertation is intended as a learning experience in which all aspects of the doctoral program are brought together. Material from content areas, research strategies and design fundamentals, writing in a scholarly style, and
locating and critically evaluating professional literature are all integrated into one project which is completed with faculty guidance.

This handbook is intended to provide direction so that students have positive experiences and success with the dissertation. Completing a dissertation requires a well-organized personal management approach to the project. Good stewardship of time and financial resources are required in order to develop a quality dissertation and to lessen the negative impact on one’s personal life. A close relationship between student and committee is basic to this process. A student’s motivation and commitment to the project provide the impetus to finishing the dissertation in a timely manner.

Each dissertation contains an organizational pattern. The structure varies somewhat from study to study—each one is unique. The structure for a study becomes clear after a student identifies a problem and develops a design to study the problem. The chair and committee serve as guides through this process. While they are important personal consultants throughout the study, the student’s initiative is the most important component.
II. Characteristics of the Dissertation

Successful completion of a dissertation is the culmination of doctoral study. The dissertation provides students with the opportunity to display their knowledge in a specialized area of study and to demonstrate creative skills in defining a problem and conducting original research to shed light on that problem. The doctorate is not granted to those who simply accumulate the proper number or credits; rather, it is awarded to those who have demonstrated significant skills in conceptualizing, conducting, and defending original research. It is possible, therefore, that a student succeeds in completing course work but has difficulty or fails in efforts to complete the dissertation. In general, the doctoral dissertation in educational leadership must meet all of the following criteria:

A. The Dissertation Deals with a Significant Issue or Problem.

Educational leadership is a professional field. As such, its practitioners must confront and solve practical problems in curriculum and instruction, administration, or in the provision of human services. Education is also a controversial field, one in which there is often sharp disagreement about educational philosophy, theory, and practice. A doctoral dissertation in educational leadership must deal with a relevant issue – a proposition or set of propositions about which there may be honest disagreement – and must address a problem (i.e., a matter of professional concern or activity) wherein some significant improvement in practice could be brought about through improved understanding of the phenomena involved.

Unlike certain other areas of research, educational research is directed toward some immediate or long-range solution to an actual problem confronted by people in the field of education. The contribution of the research may be a clearer understanding of a philosophical issue, testing or development of a theory, or the development and evaluation of a new practice. The research, therefore, can be either basic or applied, but it must be relevant to some problem faced by educators.

B. The Dissertation Employs a Theoretical Awareness and a Discernable Methodology.

A dissertation must be located within some broad range of theory and must employ an explicit and discernible methodology. Theory provides the framework; methodology is the road that is traveled in solving the problem. The research must utilize the theories and methodologies generally associated with one or more of the academic disciplines. It must employ a recognized and
accepted set of methods and techniques or create and test new methods and techniques.

Efforts by university faculties to come to agreement about which methods are acceptable and which techniques are to be excluded generally result in a stalemate. It is our policy not to exclude a priori any particular methodology and not to give greater prestige or preference to a particular methodology. Thus students are free to employ, for example, experimental design, ethnography, case studies, correlational studies, historical studies, and grounded theory depending on the appropriateness of the methodology to the problem under investigation.

It is recognized that the level of information available varies with the type of problem; therefore, the methodology will vary with the nature of the problem and the extent to which it has been investigated. Methodology per se, is not the issue; but the appropriateness of the methodology to the research question and the manner of its employment within a theoretical framework are extremely important.

It should be recognized, however, that individual faculty members, because of their particular skills and/or philosophical biases, may be best able to assist a candidate with particular kinds of research and may eschew involvement with other kinds of research. We regard this as an important aspect of academic freedom, and it falls upon the student, therefore, to seek out those faculty members whose interests and methodological skills and interests are compatible with his or her projected area of research.

C. The Dissertation Explains the Phenomena Under Study.

A good research paper usually reports and describes a state of affairs; a dissertation goes beyond description to analysis, understanding, and explanation. Research which must ultimately shed light on a problem is designed in such a way as to analyze and explain the phenomena under investigation, i.e. to demonstrate how something functions, why it functions the way it does, how it came to be, and/or how it is likely to function in the future. Explanations, of course, must be based on evidence. Depending on the methodology employed, the phenomena under investigation may or may not be conceptualized as variables, and the statements describing the phenomena may or may not be tested in the form of hypotheses, but all research at the doctoral level will have as its underlying goal the analysis and explanation of the phenomena under investigation as a significant ingredient in the solution of a problem.

D. The Dissertation Has Thematic or Generalizable Results.
The results of research should be of interest and value to more than one individual or set of individuals in a localized setting. A dissertation should deal with a significant issue or problem about which there is a general interest or concern. The research should be designed, therefore, in such a way that the results will have implications for or be applicable to other settings. Results may be thematic or generalizable. The degree to which one can generalize depends on the nature of the problem, the theory employed, and the methodology. Some phenomena are "historically unique," and the degree of generalization may be limited. When proper caution has been taken against overgeneralization, the student is encouraged to draw inferences from the specific to the general to validate these inferences, and, insofar as possible, to make recommendations to educators and others who face common problems in similar professional settings.

E. The Dissertation Is Original and Creative.

The dissertation should demonstrate the student's ability to conduct original research. This does not mean that every student must embark upon something totally new and untested. The newness and originality must come in the way the student has conceptualized the problem and undertaken the research. Two or more researchers, sometimes far removed geographically, may knowingly be studying the same phenomena at the same time, but it is still possible for all parties to be conducting "original" research, assuming that they are using different theories, methodologies, and/or techniques. Originality is not a function of methodology. It is important, however, for each doctoral student to know exactly what other researchers in the field are investigating; it is not necessary to be the only person conducting investigations of the phenomena.

Mere creativity is not sufficient. A dissertation should not only be creative; it must meet the other criteria outlined above. A student, for example, who wishes to write a fourth grade reader or design a better scheduling system for a high school may do so, but only if the creative work falls within some larger context, wherein the effectiveness of the project is tested in such a way as to meet other criteria for a dissertation.

F. The Dissertation Is of Significant Scope.

It is difficult to define the proper scope of a dissertation. Obviously, scope has little to do with the number of pages written. Students are cautioned against undertaking a study that goes beyond the limits of their financial resources and a reasonable expenditure of time. A dissertation usually is not as extended in
scope as a national study or the various types of research supported by a sponsoring agency.

The Council of Graduate Schools (1991) defined a "traditional dissertation" as "a unified work with an introduction that states an objective, a literature review, a presentation of the methodology or procedures to be used, and a concluding discussion of results" (p. 4).

Within this framework, allowable types of research in the School of Education include, but are not limited to:

• traditional modes of qualitative and quantitative research;
• historical or policy research;
• evaluation research with multiple measures;
• a comprehensive meta-evaluation or meta-analysis.

To decide whether a proposed dissertation is of significant scope, students may wish to consider some of the following criteria:

• Quantitative studies should consider multiple variables of interest.

• Qualitative studies should explore some central phenomenon with a sufficient degree of complexity.

• The sample should include a significant number of participants, or, as in the case of historical research, an adequate investigation of sources.

• The selection of subjects or material should not be unduly localized, i.e., the study should be broadly applicable.

• The nature and extent of the treatment, where experimental design is involved, should be of sufficient intensity and duration to produce the anticipated effects.

• The analysis of the data or source documents should be sufficiently complex.

• The study should be of publishable quality or of a quality to present at a professional meeting.
G. The Dissertation is of High Quality.

Whatever the form of inquiry, the dissertation should be of a high quality, demonstrated by the following:

• A clear intention to answer a question or solve a problem so as to make a significant contribution to the field of knowledge;
• A clear relationship to or generation of a theory or model;
• A clear research question or questions reflecting sound conceptualization;
• A well-organized, thoughtful review of the relevant theoretical and research literature;
• An appropriate, rigorous, and internally consistent research design and methodology flowing logically from the purpose statement or hypotheses;
• Clarity in reporting findings and results;
• Cogent interpretation for theory, policy, practice, and further research;
• Evidence of critical thinking at every step in the process.
II. Types of Dissertations

Students are generally encouraged to follow the typical pattern of quantitative, qualitative, or mixed-methods designs in completing their dissertations. These are the primary approaches that are taught in the program’s research methods courses. However, depending on faculty support and expertise, there are other forms of dissertations that may be considered. These include philosophical or historical studies, evaluation studies, and meta-analysis studies. Students interested in alternative dissertation models should discuss these options with the department chair. Alternative models are subject to approval by the doctoral program faculty.

Students also have the option of following the dissertation process in one of two ways, either as (1) an individualized project, or (2) as one of a cluster of studies that are carried out around a common theme.

A. The Individualized Dissertation

In the individualized dissertation the student works individually with a three-member committee in completing the dissertation. It is the student’s responsibility to secure a chair for the committee from among the full-time faculty of the School of Education. The chair and the student work informally during the student’s second year in refining the research question. From the beginning of the third year, the student, the chair, and (to a lesser degree) the other committee members work very closely together as the student refines and defends the dissertation proposal. When the dissertation is completed, the student defends the completed dissertation to the three-member committee.

B. The Thematic Dissertation

As with the individualized dissertation, students who complete a thematic dissertation will produce and defend an individual project along the same timeline as described above. It is unique, however, in that a group of 2-5 students will collaborate around a common problem area—or theme—and thereby will make a collective contribution to the practice of effective educational leadership. The thematic dissertation differs from the individualized dissertation in at least three significant ways: (1) students will work collaboratively in reviewing the literature and formulating research questions related to their theme; (2) the same chair and dissertation committee will provide direction for all members of the dissertation group; and (3) all members of the group must work collaboratively in producing an additional integrative “product” as part of the culminating process.
Students who are working collaboratively on thematic dissertations may approach the theme in one of two ways: (1) each student will develop a unique research question around a common theme, or (2) each student will pursue the same basic research question but in unique settings or contexts.

Students who participate in the thematic dissertation process will have the added responsibility of producing an integrative product that relates the results of the individual dissertations. This can take one of several forms: (1) a collaborative chapter that describes the collective findings of the individual projects; (2) a collaborative monograph that describes the studies and how they can collectively inform educational practice around the problem area being studied; (3) submission of a manuscript for consideration by a peer-reviewed educational journal; or (4) a symposium for educational practitioners at which results of the research are presented and discussed.
III. Content of the Dissertation

A. Content of the Chapters

Quantitative dissertations typically have 5 chapters; qualitative and mixed methods dissertations may have 5 or 6 chapters. The organization of chapters may vary somewhat depending on the methodological approach, but in general they are structured as follows.

1. Chapter 1:

- A general introduction to the problem to be studied.

- A section outlining the broad research problem, purpose for the study, topic, or issue with specific research questions related to the problem.

- The theoretical orientation or foundation of the study should be described and supported by relevant literature.

- Terms must be defined, sometimes in the format of a glossary. A discussion of specific terms may be provided with some notation from appropriate literature to facilitate understanding of the term’s relationship to the research question.

- A brief description of the procedures to be used in the study. This section is more complete in the methods chapter (3).

- A section may be included which is a discussion of the history or background of the dissertation topic or problem. A statement of the significance, originality, unique contribution, or importance of the topic may be inserted here.

- Assumptions should be made clear and limitations of the study noted. A few statements concerning what is being excluded from this particular study; i.e. what is not being studied. This clarifies the scope of the dissertation.

- Often, there is a section near the end that describes what is to follow in the next chapters of the dissertation.

- A summary of the first chapter provides a transition to the review of literature chapter that follows.
2. Chapter 2

The purpose of Chapter 2 is to provide a review of literature that provides a theoretical discussion of the research related to the problem, topic, or issue of the dissertation. This chapter should provide a crucial synthesis of the relevant research related to the topic generally and to the research questions specifically. It is more than an extended annotated bibliography. It is important to work closely with your dissertation mentor to assure complete coverage and an in-depth analysis of the topic.

Often, the first few paragraphs describe the source of the literature being reviewed such as journals, books, government documents, dissertations, etc. The purpose is to assure the reader that relevant, primary sources were reviewed or contacted and that a comprehensive and appropriate background was considered in the study. Chapter 2 could be structured in several ways.

- It could be a chronology of related studies. If this approach is used, care should be taken to group studies thematically and provide an explanation in each case as to how these studies relate to the current study.

- The topical format works well with three or four major issues explored which are related to the problem or topic. One way to structure the topical assessment is to focus on the context, problems, theories, concepts, and even methods that are related to the study.

- The null set literature review is one approach to a topic or problem that has seldom been studied before. The task of the literature review is to show what has been done before and to demonstrate how this dissertation helps fill a gap in the literature.

The literature review is an exploration of what has preceded the student's work on the major research questions. It is an opportunity for the student to demonstrate his or her mastery of the literature in this area of study. The literature review should demonstrate how authors view the problem or topic differently. Discussing only the supportive literature provides only one side of the issue, but the writer must give the reader a clear sense that all sides of the issue have been considered. The literature review should consider the various groupings or schools of thought concerning the dissertation topic. The chapter is concluded with a brief summary of the analyses of the chapter. In some dissertations, the review is combined with introductory work of Chapter 1.

3. Chapter 3
Chapter three describes the method and procedures used in the research. It is composed of a number of sections that vary from one dissertation to another depending on the type of problem being considered. It is a detailed outline of how the study was conducted. The detail should be sufficiently outlined to provide for ease of replication. The sections of the chapter are as follows:

- The first few paragraphs describe the content of the paper. The purpose of the study and research questions are commonly repeated.

- An early section concerns the method that was employed in the study. This may be described as a quantitative method, qualitative method, mixed methods, historical or philosophical approach, etc. It should be in sufficient detail to indicate why it is the most relevant approach for the problem being studied.

- The rationale for a particular research design should be indicated. Cite the literature supporting this design and justify why this approach is appropriate for the research questions.

- The population for the study and a detailed description of the sample should be included. For quantitative studies, this may involve a description of the number of participants by gender, location of the study, age, special groupings, physical or psychological category, etc. For qualitative studies, this may involve a description of each of the participants.

- The characteristics of all research instruments are described. These include psychometric characteristics and the purpose of each instrument. The number and categories of items are included if the instrument is structured in such a manner. Previous research concerning the reliability and validity of the instrument with samples of subjects similar to those to be used in the present study should be indicated if available. In qualitative studies, the interview or observational protocols should be described along with the process by which they were developed.

- The procedures used in conducting the study are described. This may include the location of the study, how the instrument(s) were used, management of participants, time allocation, method of recording data, characteristics of the experiment(s) or interviewer(s), confidentiality, and so forth.
• The method or methods of analyses are described. This varies by the type of study. Relevant quantitative approaches and qualitative approaches have very specific methods of analysis and frequently employ computer software. Data entry and specific methods of analysis are described and summarized.

• A summary paragraph describes the highlights of the methods and procedures used in the study.

4. Chapter 4

Chapter 4 is a presentation of the results or findings of the study. In quantitative studies, it includes tables of data summarizing the outcome of data analysis. In qualitative studies, the chapter may include descriptive comments in narrative form. These comments may include themes and quotations from the subjects and/or descriptions of events. The data are organized to address each of the research questions of the study. An introductory paragraph provides an overview of the organization of the chapter and the chapter is concluded with a paragraph or two summarizing the results of the study. Usually, this chapter is focused on the results of the study with interpretation and discussion reserved for the final chapter.

5. Chapter 5

Quantitative Studies

In a quantitative study, Chapter 5 should provide a concise summary of the study, answer the research questions, discuss implications, note limitations, describe new research questions and recommendations for further study, and show the significance of the study. Each of these sections relate back to the first four chapters.

The summary section summarizes the entire study in 3 to 5 pages. This provides the reader with a comprehensive overview of the research and facilitates preparation of the abstract. The discussion section is usually organized by the research question(s) as stated in Chapter 1. The data are analyzed and interpreted in this section and “the answer” to the research question is provided here. In this section, the student may insert new findings from the research, which were not accounted for by the original research questions. In some dissertations, this is followed by an interpretation section, which may include interpretation of this data in terms of the findings from the review of literature of Chapter 2.
The importance of this study in advancing knowledge of the field may be indicated here also. Limitations of the study are described such as adequacy of the sample size and choice of subjects, nature of the sample, choice and adequacy of instruments, time constraints, examiner characteristics, reliability of the data, etc. Recommendations for additional research are stated and may flow out of the limitations section. The adequacy of the original research questions, concerns that have arisen during the study, and items from the limitations section may be included in the recommendations section.

This chapter is unique in that it is an opportunity for the student to express his or her impressions of the contributions that this study made to extending knowledge in this field. In previous chapters, the writer is held to addressing specific research question concerns, i.e., the literature base, the analysis and data gathering, appropriateness of the sample, instrumentation that fits the purpose of the study, etc. Now, in Chapter 5, the student may address his or her impressions of the outcome of the study and what it means for the area. This is prepared in consultation with the mentor and committee.

**Qualitative Studies**

In qualitative studies utilizing a five-chapter format, the fifth chapter closely corresponds to the fifth chapter in a quantitative study and is also devoted to an integration of the research findings with the research literature. In qualitative studies utilizing a six-chapter format, the fifth chapter is only devoted to an integration of the research findings with the research literature.

In some qualitative dissertations, the literature review in chapter two will be brief because there is not a strong foundation of literature and theory to draw from when research on the topic is new or emerging. In that case, much of the literature review will occur in chapter five. In most qualitative approaches, regardless of the breadth or depth of literature reviewed in chapter two, the literature review continues during and following data collection. A fifth chapter provides an opportunity for the student to engage in a “conversation” between his or her findings and the scholarly literature. This chapter should identify areas in which the findings support and are congruent with other research. It should also identify areas in which the new findings depart from the research literature.

6. **Chapter 6 (Qualitative or Mixed Methods Studies)**
For those dissertations that follow a six-chapter format, the 6th chapter in a qualitative or mixed methods study should closely correspond with the 5th chapter in a quantitative study (see above).

B. Mixed Methods Studies

Mixed methods research combines theoretical and/or technical aspects of quantitative and qualitative research within a particular study. A mixed methods dissertation may follow either a five chapter format or a six chapter format. Both quantitative and qualitative data collection procedures should be described within the methodology chapter. In a five chapter dissertation, the findings are presented together in Chapter 4, organized around the relevant research questions. In a six chapter dissertation, the quantitative and qualitative analyses are typically presented in separate chapters.

C. Other Dissertation Requirements

The dissertation must be written in English. Students are expected to write in active voice and use a scholarly tone. Care must be taken in use of verb tenses; in particular, research findings, principles, and theories still accepted as true are stated in the present tense, while those that have been superseded are expressed in the past tense. Students are expected to use the past tense to describe their own data collection and analysis methods. In addition, use of first person is acceptable when describing actions taken by the student during data collection and analysis.

The dissertation follows requirements of the Publication Manual of the American Psychological Association (American Psychological Association, 6th ed., 2009). The details necessary for the dissertation are found in the Section VIII of this handbook, including margins, placement of tables, sequence of front matter (abstract, table of contents, etc.), and paper required for copies to be bound.

Sample dissertation outlines are provided in the tables that follow, the first more appropriate for quantitative, the second for qualitative, research. Neither outline applies to all dissertations; rather, each provides a starting point for discussion with the dissertation chair. Students should seek advice of faculty and consult research handbooks specific to the design and analysis they contemplate to insure appropriate organization of the dissertation document.
Typical Dissertation Outline (Quantitative)

Chapter 1. Introduction
   Background/Problem
   Purpose of the Study
   Research Questions and/or Hypotheses
   Significance (i.e., importance) of the study
   Definitions of terms (especially variables)

Chapter 2. Review of the Literature
   Theoretical Framework
   Synthesis and Discussion of the Literature

Chapter 3. Methodology
   Research Design
      Description
      Rationale
   Population and Sample
      Description
      Rationale
   Setting and Site Selection
   Instrumentation/Measures/Protocols
      Description (source or development procedures, validity, reliability)
      Rationale
   Procedures
      Plan for Data Collection and Analysis

Chapter 4. Results
   Data Analysis (often organized by research questions)
   Findings/Results

Chapter 5. Conclusions
   Discussion/Interpretation
   Significance of the Study
   Limitations
   Implications for Policy and Practice
   Recommendations for Action
   Areas for Further Research

References

Appendices
   Tables (e.g., Participant Demographics)
   Examples (e.g., Consent Forms)
   Permissions
   Data Collection Tools (e.g., Surveys)
**Typical Dissertation Outline (Qualitative)**

Chapter 1. Introduction  
- Background/Problem  
- Purpose of the Study  
- Exploratory Questions  
- Significance (i.e., importance) of the study  
- Definitions of terms (especially variables)

Chapter 2. Review of the Literature  
- Theoretical Framework  
- Synthesis and Discussion

Chapter 3. Methodology/Data Collection  
- Design/Approach  
- The Researcher (reasons for interest in the study; relevant background)  
- Participants  
  - Selection Process (usually including rationale)  
  - Setting and Site Selection  
  - Demographics  
- Data Sources (e.g., interviews, observations, including rationale)  
- Data-Gathering Procedures (usually including rationale)  
- Analysis Procedures and Coding Process

Chapter 4. Findings and Analysis  
- Initial Categories  
- Emergent Themes

Chapter 5. Discussion of Findings  
- Comparisons  
- Connections (literature review may be referred to or extended)

Chapter 6. Conclusions  
- Significance of the Study  
- Limitations  
- Implications for Policy and Practice  
- Recommendations for Action  
- Areas for Further Research

References

Appendices  
- Tables (e.g., Participant Demographics)  
- Examples (e.g., Consent Forms)  
- Permissions  
- Data Collection Tools (e.g., Interview Protocols)
V. Planning and Resources

A. The Advising Process

Students are assigned an advisor when they are accepted into the doctoral program. Students may select a new advisor at any point, with the consent of the faculty member who will be the new advisor and the approval of the department chair. It is the student's responsibility to notify the department chair when a new advisor is desired. Once the student has selected a dissertation chair, all advising shifts to that faculty member.

B. Dissertation Preparation Courses and Seminars

In order to facilitate completion of a proposal and the dissertation a specific sequence of courses and seminars is offered. In these classes/seminars, guidelines for preparing a dissertation are discussed and suggestions are provided to make this a successful experience for the student. The role of the chair and committee is described and the way in which students progress through the various stages of the dissertation is outlined. Suggestions for preparing the dissertation proposal as well as the application to be submitted to the Institutional Review Board (IRB) are presented. Suggestions for writing each of the chapters are discussed as well as personal strategies for completing the dissertation successfully.

EDLD 610 Research Seminar: Literature Review (4 units)—1st Summer
A comprehensive review of the research literature related to designated themes and a general topic of research interest, with a focus on literature review of the anticipated dissertation topic. Candidates will complete the integrative literature review and begin framing research questions for further pursuit.

EDLD 620 Research Seminar: Dissertation Proposal (4 units)—2nd Summer
In this course, candidates receive the direction and guidance needed to develop their dissertation research proposals. At the end of the course, students will have a draft of their proposal, which must be presented to their dissertation committee.

EDLD 630 Research Seminar: Data Analysis (4 units)—3rd Summer
This course is intended to guide candidates through the organization and analysis of their dissertation data. Advanced topics in data analysis will be introduced, including multivariate statistics; factor analysis; and multilevel modeling. Other advanced qualitative topics including the use of computer programs for qualitative data analysis will be presented. Candidates will be expected to present a draft of the problem
statement, literature review, and methods sections of their dissertations by the end of the summer seminar.

**EDLD 634  Dissertation Seminar 1 (3 units)—Fall of Year 4**

**EDLD 635  Dissertation Seminar 2 (3 units)—Spring of Year 4**

**EDLD 636  Dissertation Defense (3 units)—Spring of Year 4**

**EDLD 637  Dissertation Seminar (2 units)—Continuous Enrollment**

Candidates will remain continuously enrolled until the dissertation is completed. If additional time is required, candidates must register for two dissertation units per semester until the dissertation is successfully defended.
VI. The Dissertation Committee

A. The Committee Chair

Students are encouraged to talk with their advisor and other program faculty about the selection of a chair for the dissertation committee. The chair should be chosen during the summer term in which the student is enrolled in EDLD 620 (the proposal writing seminar). The instructor for that course will also work with students in selecting the committee chair. All doctoral committees at CLU must be chaired by a full-time faculty member in the School of Education.

The chair should be selected based on his or her ability to effectively manage the dissertation process. Often the chair also has expertise in the content area or methodology used by the student in the dissertation. The candidate proposes his or her intended topic to a prospective chair, who must consider the topic and methodology, as well as his or her existing dissertation load. Any student who experiences difficulty in obtaining a chair should seek advice from the department chair. Once selected, the chair will advise the student on the selection of the other members of the dissertation committee.

The primary role of the committee chair is to advise the student throughout the dissertation process and facilitate communication among committee members and the student.

B. Committee Members

The dissertation committee includes the chair and two additional members other who guide the student during the development of the dissertation proposal and the completion of the dissertation process. Typically one member of the committee (which may or may not be the chair) is designated as the methodologist and other members are selected on the basis of their content expertise, writing expertise, or ability to support the student. All committee members must hold an earned doctorate from a regionally accredited university. One member of the committee may be from outside the Cal Lutheran faculty.

The primary role of the committee members, other than the chair, is to read the doctoral student’s written work in a timely fashion and provide written or oral critique regarding the quality of the research and writing.
C. Approval of the Committee

The committee must be approved by the dissertation chair and the department chair. If a member of the proposed committee is not a faculty member at Cal Lutheran, a vita for that person must also be provided to the department chair. It is the student’s responsibility to ensure that his or her dissertation committee has been approved before defending the dissertation proposal.

At any point in the dissertation process, the student has the right to request a change in committee composition. Such a request should be made in writing to the department chair and should include an explanation of the reason for the request. Decisions regarding a change in committee membership are at the discretion of the department chair.

D. Working with the Committee

The committee process is intended to provide students with the guidance of an expert team. The candidate should review his or her dissertation timeline with the chair to ensure the chair’s availability at critical checkpoints in the process. Typically, the dissertation chair works with the student initially and indicates when sufficient clarity has been attained in any given portion of the dissertation, so it is ready for review by other committee members. However, procedures are shaped by the student’s needs and the nature of the dissertation, as well as by the preferences of the chair and committee members, as agreed at the proposal defense.

The student, rather than the faculty, has primary responsibility for establishing a timeline and meeting it, for checking on deadlines and procedures, and for initiating communication with the dissertation chair and committee members. The dissertation is not simply turned in on a particular date and approved; rather, it must be revised until it meets the standards set forth elsewhere in this handbook and in standard texts on research methodology.

A wise dissertation student recognizes that faculty members have other obligations, and that a careful reading of a single chapter may require many hours. Therefore, the student does well to work on other aspects of the dissertation while waiting for material to be returned. The timeline should also allow adequate time for reading and revision by both faculty members and the student.
E. Committee Review

Throughout the process, candidates should expect that the chair or other members of the committee may ask to review supporting evidence of their work, such as the literature search, raw data, coded transcripts, and statistical analyses. Candidates should keep all materials well beyond the date the dissertation is submitted for binding.
VII. THE DISSERTATION PROCESS

A. The Pre-Proposal Period

As the student is developing the dissertation proposal in EDLD 620, he or she should have informal conversations with the chair and other committee members to discuss the dissertation topic, possible research questions and lines of inquiry, significant literature sources, and methodological issues. A timeline should be developed and a date scheduled for the proposal defense that is mutually agreeable to the entire committee. If possible, a pre-proposal meeting of the committee and the student should be held to discuss these topics.

B. The Dissertation Proposal

Prior to beginning work on the actual dissertation, candidates prepare a research proposal. A draft of the proposal is developed during the second summer term when the student enrolls in EDLD 620 (Proposal Seminar). This draft must be approved by the course instructor in order for students to receive credit for this seminar.

Students work with the chair and other committee members to refine the proposal. When the dissertation chair and committee consider the research proposal sufficiently developed, the proposal defense is held, providing opportunity for the candidate and the committee to review the proposal together.

1. Proposal Content and Format

The proposal generally parallels chapters one to three of the final dissertation format. However, the specific format and length of an individual proposal is negotiated with the dissertation chair and the committee. The dissertation proposal should conform to the requirements of the Publication Manual of the American Psychological Association (American Psychological Association, 6th ed., 2009).

2. The Proposal Defense

The primary purpose of the proposal defense is for the committee to approve the guiding research question(s) and the data collection and analysis strategies to be utilized by the student in completing the dissertation. Prior to conducting the proposal meeting, the chair and committee members must indicate that the proposal is ready for defense. The student is responsible for contacting committee members to schedule the proposal defense meeting. This meeting
should be conducted as early as possible in the fall semester of the student’s 3rd year but no later than the end of that term.

3. **Proposal Approval Meeting**

The Proposal Approval Meeting, unlike the oral defense of the completed dissertation, is a private meeting of the student and the dissertation committee. The chair reviews the procedures to be following during the meeting and invites the student to give a personal background statement and tell of the interest in the topic. The student continues with a summary of the proposal in a 15 minute presentation. The chair then invites the committee members to question the student. At the conclusion of this discussion, the student is excused so that the committee may meet and deliberate privately. Following those deliberations the student is invited back into the meeting and the committee’s decision is shared with the student.

To be approved, a proposal must meet standards of sound research and ethical inquiry. All committee members must be confident that the student possesses the requisite content knowledge and research skills to collect, analyze, and interpret data appropriately. The committee may approve the proposal at the first meeting, or the student may be asked to submit changes before committee members sign the approval form. The student may also be asked to make changes and schedule another proposal meeting.

4. **Advancement to Candidacy**

The following requirements must be met for advancement to candidacy:

- completion of all content-related coursework (excluding dissertation-related seminars);
- approval of the dissertation proposal by the dissertation committee.

Upon advancement to candidacy, the student is entitled to write the letters ABD (all but dissertation) or Cand. EdD after his or her name.

5. **The Institutional Review Board Proposal**

Students are responsible to conduct research in a manner that protects the rights, privacy, and dignity of participants; recognizes the responsibilities of universities and other organizations to their students and clients; and reports findings accurately and thoughtfully. This requirement includes the need to obtain permissions from individuals and institutions with whom research will be conducted as required by law, ethical guidelines, and professional courtesy.
In addition, federal law applies to research with human and animal subjects. In accordance with relevant laws, California Lutheran University has an Institutional Review Board (IRB) that is responsible to review investigations involving human subjects before any data are gathered. Submissions to the IRB require approval of the dissertation chair and; all IRB submissions are logged by the Ed.D. program coordinator.

The dissertation proposal, including any instruments—surveys, measures, or interview protocols—must be approved by the full committee before the proposal is taken to the dissertation committee chair (current practice) for submission to the Institutional Review Board. Dissertation proposals must be formally approved by the Institutional Review Board before data-gathering may begin.

C. Data Collection and Analysis

1. Permissions

All appropriate permissions, individual and institutional, must be obtained in writing prior to conducting research. These signed permission forms must be retained by the student and the dissertation chair until 7 years past the time when all signatories will have reached the age of 21.

2. Data Collection

Research is to be conducted and reported honestly and ethically. The student is responsible to consult with the dissertation chair at every step in the research process and with other committee members as needed to avoid errors or irregularities. Care must be taken in analyzing and interpreting the material gathered in the investigation to ensure that the conclusions are logically defensible.

3. Use of Outside Assistance

Dissertation research and the dissertation itself are the independent, scholarly work of a single candidate working under the direction and with the assistance of his or her appointed committee. Outside help is to be obtained only with prior knowledge and consent of the dissertation chair and is to be reported to the committee. This requirement applies even to the instances cited below that are generally acceptable.

Unless explicitly approved otherwise by their chair, candidates are expected to personally conduct the following aspects of their dissertation:
a) the literature search
b) creation of any new instruments or protocols
c) interviewing or otherwise collecting data for a qualitative dissertation
d) designing experimental protocols or interventions to be tested
e) coding transcripts

With the approval of the chair, outside help may be employed to enter and analyze data. However, the candidate must have examined the raw data and must work closely with the data entry person to be sure any ambiguous responses are appropriately handled. Candidates may consult a statistician for suggestions on choice of statistics, interpretation of findings, and report formats. However, students must choose and apply statistical or other analytic procedures to their data, explain why they have selected those procedures rather than others, and authoritatively interpret the results. The candidate will be fully responsible at the defense to interpret all statistical analyses.

Areas where candidates may seek outside assistance include the following, although approval of the chair is expected for each:
• obtaining permissions from agencies, school districts, organizations, or universities
• collecting quantitative data
• data entry
• transcribing (although it is strongly recommended that students do this themselves)
• word processing
• creating tables
• statistical assistance, within the parameters outlined above
• copy editing

D. The Oral Defense

I. Timing of the Oral Defense

The oral defense occurs after the entire committee has indicated by their signatures that the dissertation is ready for defense. This agreement rarely occurs before each committee member has read multiple drafts and provided feedback.

The defense must take place prior to the May commencement with a complete and corrected manuscript due by July 31 following commencement. The student is responsible to contact committee members to obtain possible times and to arrange a meeting space.
The defense must be held on the main CLU campus, and the department chair must be notified of the date and location at least two weeks in advance so that invitations may be sent to all university faculty members.

2. **Purpose of the Oral Defense**

The purposes of the oral defense are as follows:
- for the candidate to formally present his or her research to the committee
- for the committee to determine that the candidate fully understands the dissertation’s context, research procedures, findings, and implications
- for the committee to evaluate the dissertation in order to determine if further revisions are necessary and if the candidate may proceed to graduation
- for the doctoral faculty to be kept apprised of current research of the students within the program

3. **The Oral Defense Meeting**

The expectation is that the dissertation is in the best possible condition before defense. The candidate’s defense is held on campus and is open to all university faculty members as well as to other interested persons with the approval of the dissertation committee chair. At the beginning of the meeting, the chair introduces the candidate and the members of the committee. The chair describes the procedures for the meeting.

The candidate presents an overview of the dissertation that should take approximately 20 minutes. Following the presentation, the committee chair moderates a question time. Questions to the candidate are first asked by committee members followed by questions from faculty and guests. At the conclusion of the question time, all guests are excused so that the committee may meet privately with the candidate for additional discussion. The candidate is then excused so that the committee may deliberate privately. Following the deliberations, the candidate is invited to rejoin the committee and the chair announces the committee’s decision.

4. **Approval of the Defense and Approval of the Dissertation**

The committee must unanimously approve the candidate’s defense of the dissertation. Approval of the defense indicates that the committee is fully satisfied that the candidate adequately understands the dissertation’s context, research procedures, findings, and implications. The chair communicates the committee’s decisions. If the committee requires any changes to the dissertation, the chair informs the candidate.
Failure of the defense occurs only when students do not demonstrate sufficient knowledge of the content area and/or research methodology to competently interpret and communicate their findings. Should a student fail the defense, he or she must work with the dissertation chair to reschedule another defense. Students have two opportunities to pass the oral defense of their dissertation.

Approval of the dissertation signifies that the dissertation is a scholarly research contribution. Committee members may approve the dissertation at the defense and rely upon the chair to withhold final approval until all requested revisions are made, or they may elect to withhold their signature until they have seen the revisions themselves.

Committee members sign three copies the Dissertation Defense Approval form, and a copy of the form is kept in the candidate’s file. The originals are placed after the title page in the copies of the dissertation to be printed and distributed.

The final form of the dissertation is approved by the full committee, the dissertation chair, and after the library staff has accepted the dissertation as meeting APA and university standards.

E. The Dissertation Timeline

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>YEAR ONE</td>
<td>✓ Explore possible dissertation topics through coursework and in conversations with faculty.</td>
</tr>
<tr>
<td></td>
<td>✓ Identify a broad dissertation topic (or problem area) by the end of the Spring Semester.</td>
</tr>
<tr>
<td></td>
<td>✓ Complete a literature review on your topic during the first Summer Term as part of EDLD 610.</td>
</tr>
<tr>
<td>YEAR TWO</td>
<td>✓ Continue to refine your dissertation topic based on your literature review.</td>
</tr>
<tr>
<td></td>
<td>✓ Continue expanding your literature review around your more focused topic.</td>
</tr>
<tr>
<td>Year</td>
<td>Tasks</td>
</tr>
<tr>
<td>------</td>
<td>-------</td>
</tr>
</tbody>
</table>
| Year Three | ✓ Begin formulating your research questions.  
 ✓ Complete research methods coursework and begin considering appropriate methodologies for your study.  
 ✓ Select your dissertation chair.  
 ✓ Complete a draft dissertation proposal during the Summer Term as part of EDLD 620.  
 ✓ Work with your chair in selecting your other committee members.  
 ✓ Hold a pre-proposal meeting with your chair and committee in September.  
 ✓ Revise the dissertation proposal and submit the proposal to your committee for review.  
 ✓ Defend the dissertation proposal by December.  
 ✓ Complete the IRB process with CLU and other institutions or school districts as needed.  
 ✓ Begin collecting and analyzing data. |
| Year Four | ✓ Complete the analysis of data.  
 ✓ Complete a draft of the entire dissertation by December.  
 ✓ Work with your chair and committee members on revisions.  
 ✓ Submit a final draft of the dissertation to your committee by March 1.  
 ✓ Schedule the oral defense during March or April.  
 ✓ Successfully defend the dissertation. |
| ✓ Complete revisions as instructed by your committee. |
| ✓ Prepare and submit the final manuscript. |
Section VIII: The Format of the Dissertation

A. Preparing the Document

1. Order of the Document

The dissertation should contain the following elements in this order:

- Title Page
- Copyright Page
- Signature Page
- Abstract
- Dedication (optional)
- Acknowledgements (optional)
- Table of Contents
- List of Tables (if applicable)
- List of Figures (if applicable)
- List of Appendices
- Preface (optional)
- Manuscript of Chapters
- References
- Appendices (each with its own title page and labeled with a capital letter (e.g., Appendix A)

2. Style Manual

The dissertation should be written according to the Style Manual of the American Psychological Association, 6th Edition. Where the university requirements differ from APA requirements, the university requirements are to be followed.

3. Font, Spacing, Margins, Pagination

A 12-point font size should be used throughout the dissertation in a style that is identified as acceptable by the APA manual. In figures and tables, a smaller font size may be used, but in no instance should the font size be less than 8. Figures should use a sans-serif type font such as Arial.

All text should be double-spaced with the exception of the reference list which should be single-spaced within each entry and double-spaced between entries. Printing may appear on only one side of each page.

All pages of the dissertation must observe the following uniform margins:
1.5 inch left-hand margins (must be wide for binding requirements) and 1 inch right-hand margins

Top margins: 2 inches for the Table of Contents, List of Tables, List of Figures, Dedication, Acknowledgements, Dedication, Abstract, first page of each chapter, and references; All other pages should have a 1 inch top margin.

Bottom margins: 1 inch throughout

Page numbers appear in the middle of each page at the bottom margin (in a footer) beginning with the Table of Contents. In the front matter, each page after the title page counts. The signature page is counted but does not show a page number. Pagination for front matter is in small Roman numerals; all other pages use Arabic numerals that begin on the first page of chapter one and continue through the appendices. Each appendix has its own title page that counts as a page.

No headers (and thus no running head) are used in a dissertation.

4. **Chapter Titles**

The chapter and number appear two inches from the top of the page with the chapter title double-spaced below and follow Level 1 formatting (see below).

5. **APA Heading Levels**

CLU has adopted three levels of headings (see APA 6th p. 62, section 3.03). Chapter titles start each chapter and are formatted Level 1. Subheadings within chapters are Level 2 and Level 3.

- **Level 1.** Centered, Boldface, Uppercase and Lowercase Heading
- **Level 2.** Flush Left, Boldface, Uppercase and Lowercase Heading
- **Level 3.** Indented, boldface, followed by a period.

Note: Level 3 is never included in the table of contents (TOC). Table of contents only includes chapter number and title and Levels 1 and 2.

6. **Indention and Justification**

All paragraphs are indented one-half inch. The list of references utilizes a one-half inch hanging indent for each reference listed. All copy is to be left justified.
7. Tables and Figures

Tables consist of text or data, while figures contain visual material such as diagrams, graphs, or photographs. Tables are placed at the first opportunity after they have been mentioned in the text. Tables that are smaller than a full page should appear at the top or bottom of a page and not in the middle of text. A table is never split between two pages unless it is too large for one page. Tables do not appear prior to their reference in the body of the text. Tables should only be used to help clarify and illustrate the material being presented in text format. They should never be used as a substitute for the narrative. Each table should be labeled (e.g. Table 2.1).

8. Quotations

*Short quotes:* Quotations of fewer than 40 words should be incorporated into text and enclosed by double quotation marks. See APA 6th, p. 92.

*Long quotes:* Block quotes of 40 or more words should be displayed in single space with double space before and after with no quotation marks (APA 6th, p. 92).

9. Copyright Page and Signature Page

Signatures must be in black ink. The library copy and the two copies for the School of Education must include original signature pages. Committee members’ signatures on the signature page indicate that the final copy of the dissertation has been fully approved by each committee member. The copyright page precedes the signature page. The information should be centered and three-fourths of the distance down the page. See APA 6th, pp. 19-20.

Copyright © 2010 by John Doe

All Rights Reserved

10. Abstract

An abstract of no more than 350 words must be included on a separate page. The abstract is a critical element of the dissertation, for it is that part of the document that is likely to be most widely read. The abstract is page number iii. Two inches from the top of the page, center and type the following lines of information, inserting a triple space before the double-spaced abstract.
11. Corrections and Paper Quality

Each page of the dissertation is to be free of errors. It is not permitted to use correction fluid or correction tape. All final copies for the university library, departments, and faculty are to be submitted on acid-free 20-lb. weight paper with a minimum of 25% cotton or rag content and a shelf life of 100 years.

B. Submitting the Final Copy

1. Revisions and Corrections

Following the defense, the candidate makes necessary modifications in the written dissertation as requested by the committee. These modifications are approved by the dissertation chair and any other member of the committee who wishes to review them. This process should occur promptly, since several steps remain before the student has completed the dissertation process.

2. Check for APA Format

The final corrected copy is then submitted to a technical reader on the staff of the CLU Library, who checks the dissertation for compliance with the Publication Manual of the American Psychological Association and university guidelines. Students are responsible for making all technical corrections required by the reader and for paying appropriate fees for the services of the reader.

3. Fees for Binding

A check, payable to California Lutheran University, or credit card voucher available from the Ed.D. program coordinator, is required to pay for binding. Checks or money orders are to be presented to the Ed.D. program coordinator along with the unbound dissertation copies. The program coordinator will
contact the students when the bound copies are received so the students can make arrangements for receiving any personal copies they might have ordered.

4. Submission to the University

Three copies with original signatures are required: one for the CLU Library, one for the School of Education Dissertation Collection, and one for the committee chair. Students may order as many personal copies as they desire.

All unbound copies must be submitted to the Ed.D. program coordinator. Copies are to be separated by sheets of colored paper. Students will not receive their final grades for EDLD-636 (Preparation for Defense), nor the degree posted, until their unbound dissertation copies are received for binding and verification has been received that the ProQuest/UMI process has been completed (see next section).

5. Submission to ProQuest/UMI

The final step is to submit the dissertation to ProQuest/UMI and register your work with the U.S. Copyright Office. This is a requirement of all doctoral graduates of California Lutheran University.

After completing these steps, your dissertation will be listed in Dissertations Abstracts International and, with your permission, made available in full-text for other scholars through ProQuest' Dissertations & Theses database. The entire fee is $130. You will also be eligible to receive royalties when ProQuest subscribers purchase copies of your work.

A final document of your dissertation in PDF format will be sent to you electronically by the university library. All you need to do is upload it to the Web site and pay the required fees.

Please follow these steps:

a. Go to: http://dissertations.umi.com/callutheran/

b. Next, click on the Start Your Submission button

c. Register and create an account

d. You will be required to include an abstract of your dissertation. Simply copy and paste the abstract you wrote.
e. You will have two publishing options. CLU recommends the **Traditional Publishing** option, which will make your work available for purchase and ensure your eligibility to receive royalties on the sale of your work. The ProQuest/UMI fee for Traditional Publishing is $65.

f. The university also recommends **No Restrictions** on the release of your work so that your dissertation will be available as soon as it is published. You might also have the option to release your entire document for others to access or only the abstract. We recommend releasing the entire document so other scholars and researchers can read your work.

g. You will also have an option to register your dissertation with the U.S. Copyright office for a $65 fee. Please check this option and pay the fee along with the submission fee. It will be well worth the small fee for ProQuest to handle the entire copyright process on your behalf.

h. Continue through the registration steps.

i. When you come to the point of uploading your document, use the attached version. Copy it to your computer or desktop so it can be uploaded.

Both you and the CLU library will receive e-mail verification once you have completed this process. This verification must be provided to the doctoral program coordinator so that your final grade can be recorded and your degree posted.
Section IX: Guidelines and Policies

A. Academic Integrity

Each student at California Lutheran University is expected to follow guidelines regarding professional ethics and academic integrity as set forth in the university's Graduate Catalog, statements of relevant professional associations, and applicable laws.

Academic dishonesty is a serious offense that diminishes the quality of scholarship and defrauds those who depend upon the integrity of the educational system. Consult the CLU Graduate Catalog for definitions of cheating, fabrication, facilitating academic dishonesty, and plagiarism. According to university policy, students who engage in academic dishonesty may be in jeopardy of disciplinary action, including suspension or expulsion from the university.

When drawing from resources, students must provide citations and a reference list, all in accordance with the APA Style Manual. All paraphrases and summaries should be identified with appropriate citations, and all borrowed ideas traced and attributed to their original source. Paraphrase or summarize in your own words, with appropriate citation, unless there is good reason to quote verbatim.

If the same source is used for more than one paragraph, whether quoting or summarizing, APA requires that the source be cited at least once per paragraph. As to format, all direct quotations should be in quotation marks (39 words or less) or parallel-indented and double-spaced (40 words or more), followed by the page number or (for an html document) paragraph reference.

Students are expected to do independent work. Even when a source is acknowledged with a citation, the following are not acceptable: (a) quoting verbatim without quotation marks, (b) a summary that essentially abridges someone else's words, or (c) a version that simply omits portions of the original, inserts some synonyms, or rearranges the original text. Note that paraphrasing that is too close to the original is a form of academic plagiarism, even if the author is cited.

B. Copyright Permissions

For material under copyright, students must obtain written permission to use passages of more than 200 words or any table or figure, including a photograph or chart. Such permissions must be acknowledged in the dissertation as required by APA and the copyright holder.
The demands of scholarship include, but often exceed, the requirements of copyright law. Scholars must recognize the community to which they belong by tracing and acknowledging all sources, including the originator of an idea. This principle includes, where applicable, explaining that one is replicating a study or acknowledging someone who may have recommended a study like one’s own. Violation of these principles constitutes academic plagiarism, even if copyright law is observed.

C. **Time Limit for Degree Completion**

Doctoral students are permitted 10 years from the date of initial enrollment to complete all requirements for the Ed.D. degree. Extensions beyond this deadline due to unusual circumstances may be granted at the discretion of the department chair and the dean of the School of Education. Students needing an extension must present their request in writing, stating the reasons for the extension and the expected date of degree completion. The dissertation chair must support such a request in order for it to be considered.

D. **Leaves of Absence**

Should a student wish to interrupt dissertation work for a semester or more, he or she must apply for leave from the program. Failure to register for more than two or more consecutive semesters without applying for leave is regarded as withdrawal from the program.

A leave of absence for a stated period of time not to exceed two years is available by petition to doctoral students in good standing and making satisfactory progress toward the degree who must interrupt doctoral studies for a compelling reason (e.g., illness, study abroad, family conditions or crises, etc.). Requests for leave must be in writing and state both the reasons for the leave and the semester in which the student will re-enroll. Except in case of an unforeseeable emergency, application must be made in advance of the semester for which the leave is requested. Leaves of absence must be approved by the department chair and the dean of the School of Education. Typically, leaves of absence extend the total time available to students for completing the doctoral degree by the amount of time granted for the leave.

Students who fail to return to enrolled status at the end of an approved period of leave are considered to be no longer in pursuit of the degree and, if they choose to continue their studies at a later time, they must reapply for admission to the program.
E. Continuous Enrollment

Students will typically enroll for EDLD 634, 635, and 636 during the fourth year of their program. If the students do not successfully defend the dissertation during the term in which they are enrolled for EDLD 636 (Dissertation Defense), and/or if the completed manuscript is not filed prior to July 31, students are required to enroll in two units of dissertation seminar (EDLD 637) each semester until they have successfully defended the dissertation and filed the final version of the completed manuscript.
**Section X: Graduation and Beyond**

**A. The Graduation Ceremony**

Participation in the commencement ceremony is a special cause for celebration in the life of a doctoral student. A formal reception for graduates and their families is typically held during the week prior to commencement in May. California Lutheran University holds one commencement ceremony per year.

A notice of intent to graduate must be filed with the office of the Registrar by the deadline, currently 90 days prior to the graduation ceremony. Students will be approved to participate in commencement ceremonies provided they have successfully defended their dissertations. No student who has not passed the oral defense of the dissertation will be allowed to participate in graduation ceremonies.

**B. Degree Posting**

The student’s degree is not posted until the end of the term in which the final copies of the completed dissertation have been accepted and filed with the university library and with ProQuest/UMI. All fees must be paid before the degree will be posted.

**C. Publications and Presentations**

Students are strongly encouraged to report their research findings at conferences and in professional journals. Faculty members welcome opportunities to suggest appropriate venues for publication and to advise students in preparing for presentation or publication.

Students who publish aspects of their dissertation should appropriately acknowledge assistance from their committee. In particular, the contribution of the dissertation chair may be acknowledged through joint authorship of articles or presentations based on the dissertation. As noted in the guidelines of the American Psychological Association (2009), the student is always listed as the first author.

References