BUT I’VE NEVER WRITTEN
A DISSERTATION BEFORE
A USER-FRIENDLY GUIDE
FOR THE PREPARATION OF THE
DISSERTATION PROPOSAL AND DISSERTATION

For dissertations
submitted to the faculty of the
School of Professional Studies
of Gonzaga University
in partial fulfillment of the requirements
for the degree of
Doctor of Philosophy

by
Doctoral Program in Leadership Studies
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OVERVIEW

This guide is designed to assist you, a student in the Doctoral Program in Leadership Studies, in the writing of your dissertation. The guide focuses primarily on the development of the dissertation proposal, which includes the first three chapters of the dissertation. However, the guide also includes suggestions for how the final chapters of the dissertation might be structured and what is essential as to their content. We anticipate this guide will be helpful to you throughout the various phases of the research process, from designing the study to reporting data results.

The guide, originally written in 1993, was revised 1998, 2001, and again in 2004. It will continue to be modified when necessary. Any comments you may have regarding the content and design of the guide will be welcomed and greatly appreciated.

Note: A copy of the guide can be found on the Doctoral Homepage (www.gonzaga.edu/doctoral).

Also on the Doctoral Homepage, you are encouraged to download the template for formatting the dissertation. This Guide is based on DPLSdiss61.dot.
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CHAPTER I
SELECTING THE TOPIC

The doctorate symbolizes the ability of an individual to plan and conduct research and scholarly work at the highest levels. The finished product should demonstrate a comprehensive knowledge and exceptional attainment of scholarship pertinent to a specialized field of study.

Admittedly, the concept of planning and conducting original research can be both exhilarating and intimidating to many students. Anderson (1990) helped to put this challenge in perspective:

There are more than 20,000 articles published in educational journals each year and there have been over half a million masters and doctoral theses written in North America alone. The next thesis will add one more small contribution to a vast and expanding universe of knowledge. Thousands of studies add up to very little in the way of concrete knowledge. Rather, there tends to be modest advances which together, over time, add up to a better understanding. (p. 29)

In selecting a topic and in making decisions on quality throughout the dissertation process, you should maintain a balance between the recognition that: (a) your dissertation will probably not be the definitive work in an area, but rather your first major research study in the area, hopefully followed by long careers as an inquiring professional; and (b) your dissertation will be published and accessible to professionals and other doctoral
students, internationally, hence its quality represents both the student and Gonzaga University.

Selecting a topic is often the most difficult and anxiety-producing task associated with the dissertation. Locke, Spirduso, and Silverman (2000) defined this process as the quest for a situation that is sufficiently unsatisfactory that it may be experienced as a problem. Anderson (1990) suggested that there are three basic approaches to identifying this problem; although all-too-common, there appears to be little to recommend the third approach:

1. **Prescriptive Approach.** Assumes a “building block” notion of knowledge, in which the student builds upon previous work by other researchers.

2. **Individualized Approach.** Student selects a problem and works back to the literature to find studies which support the topic of interest, an approach which lends itself to explanatory research and descriptive studies.

3. **Muddling Through.** Student takes a general topic, begins doing research and collecting data, and probably does not define the problem sharply until after the study is almost complete. Then it must be rewritten and recast in terms that relate to the problem which has now been defined. It is recommended only for those who have unlimited time and resources and who thrive on inductive solutions to life's problems. (p. 30)

Locke, Spirduso, and Silverman (1987) provided additional guidance in the process of selecting a dissertation topic:

Regardless of whether the student follows a prescriptive or individualized approach to selecting a topic, the importance of knowing, thoroughly, the professional literature related to that topic cannot be underestimated. In the prescriptive approach, research questions emerge from three broad sources:
logical, practical, and accidental. In some cases, the investigator’s curiosity is
directed to a gap in the logical structure of what is already known in the area. In
other cases, the investigator responds to the demand for information about the
application of knowledge to some practical service. In yet other cases, serendipity
operates and the investigator is stimulated by an unexpected observation, often in
the context of another study. (p. 40)

In some cases, the researcher may choose a topic because of the desire to replicate
or cross-validate a previous study under new conditions, such as a different population,
different instrumentation for data collection, or improved analysis techniques. Again, the
importance of a thorough knowledge of the literature base is obvious; without this, the
student runs a serious risk of repeating an existing work in ignorance of its existence, or
of failing to account for defects or limitations of previous studies, perhaps even flaws that
have already been critiqued in the literature base.

Topics for Quantitative Studies

Rudestam and Newton (1992) provided a useful paradigm for students attempting
to identify a topic to be addressed through a quantitative research approach. They note
that research questions almost invariably involve the relationship between two or more
variables, phenomena, concepts, or ideas. The nature of that relationship may vary.
However, the authors note that even the presence of two variables is apt to be limiting,
and oftentimes it is only when a third “connecting” variable is invoked that an idea
becomes researchable. The precise function of this third variable will depend on the
logic of the conceptual model underlying the study. A moderator variable pinpoints the
conditions under which an independent (predictor) variable exerts its effects on a
dependent variable (criterion). A mediating variable tries to ascribe “how” rather than
“when” effects will occur by accounting for the relationship between the independent
variable and the dependent variable. The expectation for quantitative studies, then, is that
prior to conducting the study, the research topic will be refined into research questions,
and possibly into research hypotheses to be tested.

Topics for Qualitative Studies

Unlike their quantitative counterparts, qualitative research designs do not
typically intend to prove or test a theory deductively, but rather they attempt, inductively,
to collect data from which a theoretical model can be inferred. As Marshall and Rossman
(1989) suggested:

The researcher begins with interesting, curious, or anomalous phenomena, which
he observes, discovers, or stumbles across. Qualitative research usually begins
with observations in the real world that raise such questions as (1) Why don't the
everyday experiences I am hearing about fit with extant theory? (2) Why haven't
policy and practice led to the predicted results? (3) How do the existing theories,
models, and concepts apply to this new and different population or setting? (pp.
21-22)

As such, although the topic is defined and researched in the literature base prior to
data collection, the specific research questions may often emerge or be refined or
reformulated during the course of the data collection or analysis. In essence, research hypotheses developed prior to the study would artificially limit the researcher's work and be antithetical to naturalistic inquiry. As Marshall and Rossman (1989) stated:

The role of intuition in the research process cannot be underestimated. By allowing ideas to incubate, and through maintaining respect for the mind's capacity for reorganization and reconstruction, the researcher finds that richer research questions evolve. (p. 29)

These same authors also posited:

Qualitative researchers pursuing questions should creatively relate them to tentative, intuitive hypotheses. Initial hunches begin the process of bounding and framing the research, of establishing the parameters and developing a perspective through the conceptual framework. (p. 30)

Comparing Qualitative and Quantitative Studies

As noted, the process of defining the problem differs somewhat between qualitative and quantitative studies. For quantitative studies, it is appropriate, if not necessary, to define the problem precisely even before considering research methodology, or data collection techniques. This level of precision may extend beyond the identification of research questions to the definition of research hypotheses.

For qualitative studies, research problems are generally wider in scope, and attempts at precise definition and limitation of the study prior to data collection may actually be counter-intuitive and damagingly restrictive. Instead, you may find that a more appropriate approach to stating the research problem is tracing its conceptual
development throughout the research process. For example, it would be possible to begin this discussion (to be incorporated into Chapter I) with a clarification of the observations of real-world situations that led the researcher to consider the study, or with references to specific previous studies that suggested the area as worthy of study. While reserving the specific literature review for Chapter II, you then might highlight key references from the literature base and the influence they had on the formulation of the research questions. This would, in essence, define your perception of the problem at the time of establishing the data collection techniques, and initiating the data collection itself. Finally, you might explain any refinements or revisions to the research questions, which were occasioned by the data collection or data analysis processes. These revisions, and their genesis, might be noted retroactively in Chapter I, or interwoven into the chapters on collection or analysis of the data, depending on the specific writing style and preferences of the student (and with the consent of the committee chair).

A Few Cautions about Selecting a Topic

The most common frustration faced in selecting a topic seems to stem from the tendency to select a very meaningful issue, such as, “What makes an administrator effective,” but one which is far too broad to be manageable in a single research study. It is a frustrating necessity to reduce the scope of the dissertation to one aspect of the larger question, such as the interplay of several variables as they relate to administrative effectiveness.
Less common, but admittedly problematic, is the selection of a topic of great personal interest to you, yet of such limited scope or relevance beyond the immediate situation of the research environment that its investigation will be of limited interest and contribution to others.

To assist you in determining the appropriateness of a prospective topic, Rudestam and Newton (1992) offered the following advice:

1. A topic needs to sustain your interest over a long period of time.
2. It is wise to avoid a topic that is overly ambitious and overly challenging.
3. Avoid topics that may be linked too closely with emotional issues in your own life.
4. Select a topic that has the potential for you to make an original contribution to the field and allow you to demonstrate your independent mastery of subject and method.
5. The study must generate or help validate theoretical understanding in an area or contribute to the development of professional practice.
6. Contradictions or puzzling results found through the literature review represent opportunities to resolve a mystery.

In other words, the topic must be worth pursuing! (pp. 9-11)

A further caution that should be considered is the extent to which the proposed topic can be investigated sufficiently within the constraints of available time and budget. The final caution is that topics of intense personal emotional impact may not be the wisest choice for dissertation research. Deep emotional involvement with the topic may interfere with the objectivity necessary to be an effective researcher, or may limit the researcher’s efficiency in other ways. Finding a genuine question that is worthy of
conducting a research study and writing a dissertation will provide you just cause for celebration!
CHAPTER II
SELECTING THE DISSERTATION COMMITTEE

Following admission to candidacy, one of the first steps in the dissertation process is for you to select your dissertation committee. Departmental policy requires that the chair of that committee, and at least one other member, be faculty members in the Doctoral Program in Leadership Studies. The third member of the committee need not be a faculty member in that department, but must (a) hold the terminal degree in their field, issued by a regionally accredited institution of higher education; (b) possess recognized expertise in the student's proposed area of study; and (c) be formally approved for committee membership by the chair of the Doctoral Program in Leadership.

Selecting a Dissertation Committee Chair

The first step in selecting a committee is to select a chair for the dissertation committee. This decision is perhaps the single most important decision you will make, in that the primary orientation and interaction you will have throughout the dissertation process will be with the chair, not with the full committee. In selecting a chair, you should consider three major factors: (a) the quality of interpersonal communication previously experienced between you and the prospective chair, (b) the interest and expertise of the chair in your area of research interest, and (c) the availability and willingness of the chair to commit to serving as advisor for your particular proposed study.
Having identified a departmental faculty member based on these three criteria, you should schedule an appointment with that faculty member. At this meeting you should discuss your general ideas about the proposed research, even if the precise topic, research questions, or proposed methodology have not yet been identified. You should present the projected time frames for the development of the proposal and of the dissertation (see Appendix A). You should request frank responses from the faculty member about that faculty member’s interest in the proposed topic, the types of assistance which the faculty member may feel comfortable in offering regarding that specific proposed topic or research methodology, and the faculty member’s availability and willingness to serve as chair.

The dissertation is a demanding process for both student and chair, so it is essential that both feel comfortable that the circumstances are right for them to work as a team. You should not feel disappointed if a faculty member declines to serve as the chair of a given dissertation. This may well be an indication that the faculty member respects you too highly to accept this important role when the faculty member does not feel that he or she has the needed expertise in the area to provide content assistance, or would not have the necessary time in his or her schedule to provide you with quality guidance in a timely manner. Similarly, as a result of this opening professional dialogue, you may recognize the need to approach a different faculty member to serve as chair; this is a legitimate professional decision that should be readily acceptable to the faculty member originally approached. In many such cases the original faculty member may agree to
serve as a committee member, recognizing that this role is far less demanding of time and expertise than that of dissertation committee chair.

You should recognize, and prepare for, a research project and writing task that is often lengthier and more frustrating than originally anticipated. As Marshall and Rossman (1989) pointed out: "Quite unlike its pristine and logical representation in journal articles . . . real research is often confusing, messy, intensely frustrating, and fundamentally nonlinear" (p. 21). In addition, things happen in our lives that do not permit us to progress at the rate we had initially intended. Therefore, you may not be able to meet your planned timeline. If this happens to you and you have not able to make any progress on your dissertation proposal for three consecutive semesters (including summer), you may need to negotiate with your chair a new timeline for graduation that is realistic for both you and the faculty member (considering his or her dissertation load at that time). If it is not possible for the faculty member to provide you the assistance needed to assure the completion of your dissertation proposal in a timely manner, or if your altered timeline for graduation puts the faculty member on “overload,” then you may need to select a new chair. You are advised to keep in contact with your chair to let him or her know of any changes in your dissertation timeframe.

Selecting the Remainder of the Committee

Once you have selected the chair, you and the chair should discuss the remaining composition of the committee. Again, this should be a dialogue, with you and chair offering suggestions and discussing the relative merits of those ideas. In some cases, it
may be recommended that you proceed further with the identification of a specific research question or methodology before identifying committee members whose expertise and interest would be most suitable.

You are required to formally identify the committee, well before the defense of your dissertation proposal. The form, “Dissertation Committee Selection” (see Figure 1), should be utilized. It is available from the department. After obtaining the required signatures, you should file the form with the department, which will be placed in your student file. As with all documents, you should also maintain a copy of the signed form in your personal files.

Selecting a Committee Member Outside of the Department

As discussed previously, should you desire, the third member of the dissertation committee need not be a faculty member of the Doctoral Program in Leadership Studies, or even a member of the Gonzaga University faculty. After discussing the qualifications of the proposed committee member with the dissertation committee chair and obtaining the committee chair’s preliminary and informal consent as to the proposed individual’s suitability for committee membership, you are responsible for providing the department chair with up-to-date curriculum vitae of the proposed external faculty member. This document will be utilized as the basis of the formal decision regarding the external member’s qualifications to serve on the dissertation committee.
GONZAGA UNIVERSITY
Doctoral Program in Leadership Studies

DISSERTATION COMMITTEE SELECTION

NAME:_____________________________________________DATE:______________

I have selected the following persons as members of my dissertation committee. Their
signatures indicate their willingness to serve on the committee.

_______________________________________      _______________________
Chair                                    Date

__________________________________      _______________________
Committee Member                       Date

__________________________________      _______________________
Committee Member                       Date

_____________________________________________      _______________________
Committee Member (4th member optional)   Date

Please return this form to the Doctoral Program in Leadership Studies, School of
Professional Studies.

Figure 1. Dissertation committee selection form.
No financial compensation is available for dissertation committee members. Furthermore, you, not the doctoral program, are responsible for all expenses incurred by committee members not on the Gonzaga University faculty, such as travel expenses to attend the proposal defense, mailing, and telephone expenses.

Role of the Dissertation Committee Chair

Upon selection of the dissertation committee chair, that faculty member also assumes the role of academic advisor for the student. Most significantly, it is the dissertation committee chair who determines such decisions as: (a) when your proposal is ready for distribution to the remaining committee members, (b) when you are ready to defend the proposal, and (c) when you are ready to distribute a “final draft” of the dissertation. Throughout the development of the proposal and dissertation, the chair assumes the primary role in critiquing your work. Although you may contact other committee members to benefit from their specific expertise, you should not distribute drafts of the proposal or dissertation to them without the prior consent of the committee chair. This policy reflects the chair’s responsibility for quality control throughout the dissertation and proposal processes.

You should keep in close communication with your committee chair and should not wait for him or her to check your progress. You should set meetings in advance whenever possible, and obtain advice throughout the process, rather than submitting extensive drafts without prior discussion and feedback.

Obviously, individual committee members may be contacted regarding specific questions within their areas of professional interest and expertise, such as clarification of a specific statistical tool under consideration, or interpretation of a given theorist’s position on a content area issue. However, the primary role these committee members can serve is that of interested, knowledgeable readers of the completed draft. Often, both the researcher and committee chair will have become so involved in the details of the research and its presentation, generally in a piecemeal fashion, that this less-involved, global review reveals gaps, inconsistencies, and areas that would benefit from further clarification or explanation. This role is served by the committee members.

At any time during the process, the committee chair may elect to convene the committee for an informal discussion of the proposed research. Such a meeting would typically be held if the chair experienced reservations about a proposed approach or if unanticipated circumstances occasioned a significant change from what had been agreed upon at the proposal defense.

Locke, Spirduso, and Silverman (2000) offered the following advice for working with the committee:

Many proposals evolve through a series of steps. Preliminary discussion with colleagues and faculty members may lead to a series of drafts that evolve toward a final document presented at a formal meeting [proposal defense] of the full dissertation or thesis committee, or to a proposal submitted through the university hierarchy to a funding source. This process of progressive revision can be accelerated and made more productive by following these simple rules:
1. Prepare clean, updated copies of the evolving draft and submit them to committee members in advance of scheduled consultations.
2. Prepare an agenda of questions and problems to be discussed and submit them in advance of scheduled consultations.
3. Keep a carefully written and dated record of all discussion decisions that occur with regard to each item on the consultation agenda. (p. 7)

In summary, choose your chair with great care and then rely upon that person’s judgment throughout the proposal and dissertation process.

A Few Hints about Working with the Committee

Although committees typically defer considerable responsibility and authority to the committee chair, committee membership is generally regarded as a significant professional commitment to the student, to the University, and to the profession. Consequently, committee members approach the commitment seriously.

To respect this commitment and to facilitate the committee’s tasks, you are well-advised to heed the following advice, easily overlooked in the face of time pressures and frustrations often associated with dissertations and proposals:

1. Always give committee members a minimum of several weeks to read the “final” draft of a proposal; and even more, if possible, for the “final” draft of a dissertation. This is very time-consuming work that demands total concentration.
2. Always provide the committee chair high-quality reproductions of any working drafts, carefully edited and word-processed. It not only reflects badly on you to present the chair with a draft containing spelling, typographical, grammatical, or
structural errors, but also imposes unnecessarily and improperly on the chair’s time. The committee chair will undoubtedly make editorial recommendations on the proposal or dissertation; however, you should ensure that only the highest-quality work possible is ever submitted to the chair, even in draft form. Similarly, the chair should never approve circulation of a draft to other committee members unless that draft has been carefully edited, proofread, and well presented.

3. You should be familiar with the doctoral program calendar and submit drafts accordingly. For example, it is unreasonable to expect that a committee chair or committee members will read a draft (or schedule a defense) during a vacation or break period, or during the initial or final weeks of a semester. The summer semester is extremely intensive, allowing committee members’ far less available time to work on dissertations or proposals. Depending on their contracts, faculty members may not be available between April 30 and June 20, or between July 30 and August 31. Although these may be excellent time periods for you to work independently on your research, the utilization of peer support networks is encouraged for time periods when faculty are unavailable. Finally, you are responsible for verifying all University deadlines. With careful planning, you can allow committee the chair and members ample time to perform their roles.

4. You are encouraged to develop support systems (family, friends, colleagues, and peers) beyond the committee. Although the committee chair, and to a lesser extent the committee members, may also provide support, the dissertation process is typically so demanding that they cannot provide all of the support desirable.
5. You may wish to join the doctoral listserve. To do so: From your receiving e-mail address, send an e-mail to majordomo@gonzaga.edu without noting a subject heading. In the message, type subscribe doctoral and then send the message. This will generate a response message once your subscription has been received. You will then automatically receive messages posted to the list. If you respond to a message it will be posted to everyone on the list unless you purposefully direct your e-mail to send it only to specific people.

6. To obtain maximum support from the committee chair, you should discuss with your chair how best to work together. For example: Does the chair prefer to look at material in an early draft form, or after substantial editing has been done? Do you prefer frequent interaction, or substantial independence?
CHAPTER III
THE DISSERTATION PROPOSAL

Having selected a topic and your committee, your next task is to prepare the
dissertation proposal. The dissertation proposal, in essence, represents substantial
progress toward the initial three chapters of the dissertation: Introduction to the Problem,
Review of the Literature, and Research Methods (or Methodology). It is anticipated that
you will continue to make additions and clarifications to each of these three chapters
throughout the research process; however, each chapter must be sufficiently well thought-
out, justified, and clarified in the proposal to allow you and the committee to reach
consensus on the worthiness and validity of the problem and proposed approach.
Furthermore, the proposal should be of such quality as to convince the committee of the
researcher’s capability to conduct the study successfully and within a reasonable, agreed-
upon time frame.

Once completed and successfully defended, the research proposal becomes a
contract between you and the committee (or the department in the event there is a change
in committee membership) that establishes the parameters of the dissertation. Although
circumstances may later recommend modifications to this contract, this should only be
done with the permission of the dissertation chair. Substantial changes may require a re-
convening of the committee, a decision that will be determined by the committee chair.
Content of the Proposal Chapters

The three chapters of your dissertation proposal are to educate your committee as to what your study is about, why it is important to study, and how you plan to carry out the study. As the writer, you are to lead the reader through the study proposal in a way that is informative and interesting. You need to keep in mind that the readers of your proposal (and subsequently your dissertation) may not have a strong background on your topic, so you need to teach them what your topic means and what is being said about your topic by “authorities” in the field. What is to be covered in each of the three proposal chapters is described below.

Chapter I of the Proposal

The purpose of Chapter I is to present the research question. This is the first chapter of your proposal (and dissertation) readers are likely to read, and it is to inform them of:

1. What your study is about;

2. Why your study is important and needs to be done at this point in time (in light of previous research completed on the topic);

3. The conceptual framework you will use for your study; and

4. How you will be carrying out the study (research design).

Before attempting to write Chapter I of your proposal, it is essential you have a good grasp of the literature related to your topic. In fact, you should have Chapter II pretty well developed before writing this first chapter, for in Chapter I you need to use multiple
references to support your ideas and to help you articulate the meaning of your research problem. More specifically, you will be synthesizing some of Chapter II content into Chapter I in order to: (a) inform the reader about what the research question means, and (b) build an argument for the study. In your writing of Chapter I, you want to capture the passion you have for the topic; at the same time convince readers you know what you are talking about. You convince readers of this by substantiating your thinking, to the extent possible, with well-known, respected voices that resound in the literature concerning your topic.

It may be helpful if you think of structuring Chapter I in a “funnel-like” manner. This means introducing your topic to readers with general, more global thoughts about the topic and then narrowing down to the purpose of the study. For example if you were studying ethical decision making as it applies to the healthcare system (as viewed from a business perspective) you could organize this chapter according to the following flow of thought:

1. You could start the chapter by talking about the importance of making ethical decisions in business i.e., what is the social significance of ethical decision making?
2. You would need to articulate what ethical decision making means as you are defining it for your study.
3. From here you could narrow down the focus of ethical decision making to the healthcare system. To do this, you could relate healthcare systems to the business sector. How is healthcare like a business in today’s world?
4. At the end of this description you could inform the reader of the general focus of your study, this is not the purpose statement; rather it is merely to let the reader know what the topic of your study is about. What your study is about should appear somewhere within the first three pages of Chapter I. Sometimes students begin with this information.

5. From here you can provide readers with a summary of the theoretical or conceptual framework for the study (oftentimes headings of either the Background to the Study or the Conceptual Framework are used at this point). This framework includes the theory bases that will guide your thinking about this topic. For the ethical decision-making topic, a theoretical framework for thinking about ethical decision making would need to be summarized (this framework would be elaborated upon in Chapter II). There also would need to be a description of the healthcare system as you are looking at it in your study. This framework would be elaborated on in Chapter II as well.

6. At the end of the section above, or in a separate section which may be titled The Need for Further Study, you would briefly describe research that has been done on this topic. What research has been done on ethical decision making in the business sector? What research has been done on ethical decision making in the healthcare system? What is missing from the existing knowledge base? The hole you identify will be what it is you are planning to study. Why does this gap need to be filled? How will it add to understanding of ethical decision making? How
will it add to understanding the healthcare system? This is the significance of your study, a critical element of Chapter I.

7. At this point, you would be ready to present readers with the Purpose Statement. You will need to make sure the section(s) presented prior to the purpose statement has addressed all variables inherent in the statement. For example, if you were going to study ethical decision making in the healthcare system as it relates to various leadership positions, you would need to discuss these various leadership positions and explain why this is important to your study prior to the purpose statement.

Also included in Chapter I is an overview of the research methods, definition of terms for quantitative research, and an overview of the dissertation/proposal. A possible outline of the topic described above can be seen in Figure 2. Note the APA, version 5, heading format.

There are different ways to organize Chapter I there is no one right way, however, it is important to include all information needed to set the stage for the study (see above. Typically, Chapter I is from 15 to 20 pages in length. Chapter I for some dissertation topics, however, may need to be longer due to their complexity.

Chapter II of the Proposal

The purpose of Chapter II is to provide well-documented support for the selection of the topic, determination of the research questions, and choice of research methodology, as introduced in Chapter I. The importance of the literature review process
CHAPTER I
INTRODUCTION

You could start by stating that the focus of the study is on ethical decision making as it applies to the healthcare system. Then add two or three paragraphs that articulate in a succinct manner, the importance of ethical decision making, what it means, and why it is important to apply it to the healthcare system. (Note: you need to use references to support your thinking and to help describe your thoughts whenever possible.) At this point you could introduce the first main heading which may be called
Background to the Problem or Conceptual Framework.

Background to the Problem

This main section would include a more inclusive description of the problem (most likely a summary of what will be covered in Chapter Two). The purpose of this section is to inform the reader about the nature of the problem you are studying and underlying issues of concern. You could divide this main section into three subsections: ethical decision making, healthcare system, and the need for further research.

*Ethical Decision Making*

*The Health Care System*

*The Need for Further Research*

Other main headings could include:

Purpose Statement

Included in this section would be your research questions, which more specifically delineate your purpose statement.

Overview of Research Methods

This section provides a brief overview of the form of research that will be applied and how the data will be collected (Sometimes this information is incorporated under the purpose statement, rather than having a main heading by itself.)

Definition of Terms
(for quantitative research design)

Overview of the Dissertation

*Figure 2.* Sample outline of Chapter I for ethical decision making in the health care system.
in determining the research questions and the methodology by which to address them cannot be overestimated; for this reason, many advisors recommend that the literature review be conducted, and Chapter II written, prior to Chapters I or III.

All sound research requires reviewing what has been written about the topic, including theories and empirical research findings. Literature about the topic needs to be reviewed to establish a theoretical framework for the study. This theoretical or conceptual framework will guide your thinking and help you make decisions about how you will design your study, and will be helpful in discussing the results of your study. Without such a framework, you will flounder and remain unfocused. Developing the theoretical framework will provide you, and subsequently your readers, with the following:

1. A definition of your topic. What does it mean? For example, if the purpose of your study was to determine how language in the workplace impedes the change process, you would need to review the literature to define language as it will be used for the study. As well, you would need to define change process within the organizational setting.

2. A deeper understanding of the topic, theoretical, philosophical, and/or historical, such that you are able to explain clearly not only what your topic is about, but why it is important. What is the social significance of your topic?

3. An awareness of research that has been done on your topic and how your study will add to the existing knowledge base.
You must develop a framework that is conceptually clear; links the proposed research to significant work previously conducted in the field; and justifies the choices of topic, question(s), variables, population, setting, and methodology for the present study. Locke, Spirduso, and Silverman (1987) elevated the importance of this task to the point of stating, “Creating an organized conceptual framework represents the most important single opportunity for the application of original thought” (p. 30).

It is important to dispel a common, erroneous conception about Chapter II. The literature review is not expected to be an exhaustive (or perhaps more appropriately, exhausting) summary of everything previously written about the research topic or of every study ever conducted on related research questions. Instead, it is a critical analysis of what is known about the topic, structured as an argument supporting the selection of topic, questions, methodology, environment, and other factors of the present study. The value, or necessity, of this critical analysis, as contrasted with mere review, is well presented by Anderson (1990), who noted that research indicates that 30-40% of educational studies are of poor quality. Therefore, Anderson suggested the reader must look for inappropriate methodologies and overall bias in order to evaluate the studies and categorize the significant from the insignificant.

In addition to supporting your choices for the dissertation study, the review of literature serves at least two other vital functions. First, it helps to establish your credibility as a researcher and a scholar in the field. Second, it facilitates the work of other scholars in identifying the key works written on specific topics. To serve either of these functions, it is therefore essential that you be certain to have considered, though not
necessarily included, all available material of significance. It is not the volume of material cited as much as the comprehensiveness of the search that determines the quality of the literature review. Also, it is not the extensiveness of the summary as much as the accuracy of analysis and coherence of argument to which this analysis is put that determines the effectiveness of Chapter II.

Stages of Literature Review

Typically, the first stage of the literature review involves a wide scan of the literature on a topic of interest. This global search allows you to become familiar with the topic: what it means, what current issues are, and what research has been completed. At this stage, the literature review can seem overwhelming because you have gathered so many journal articles and books on the topic. Your work room may contain multiple piles in which you are organizing or categorizing the various writings about your topic.

Once you have narrowed down the topic for your particular research and the purpose of your study has been clarified, the literature review enters a stage of eliminating some of the materials you have already read as they no longer fit, and adding new materials as there may be additional variables inherent in your purpose statement that require you to gain (and share with the reader) additional knowledge and understanding.

In the literature on most any topic, a variety of writings exist. Some are high quality and greatly inform you about the topic. Others are high quality but only partly relate to your topic. And still others lack depth and critical analysis. After you have read
many articles and books on your topic, you will be able to distinguish between those that are solid and those that are lacking in depth and critical thought. You need to be selective and include only those pieces of the literature that are of high quality and that assist you in your thinking about the topic. Some questions to ask yourself regarding whether or not to include a piece of literature in your literature review follow:

1. Does it address your topic or some aspect of your topic?
2. Does it clearly inform you about the meaning of the topic and why it is socially important?
3. Does the author include other references upon which he or she builds knowledge and understanding?
4. Does it provide new, creative, perhaps divergent thoughts?
5. Does the author have some expertise and deep understanding of the topic?
6. Does the work inform through empirical research?

If your answer to any one of the above questions is yes then that piece of literature is likely to be appropriate to incorporate into your literature review.

*Writing Chapter II*

Typically Chapter II is organized according the main sections that apply to the variables or constructs being studied. For example, if the general focus of your study was on organizational learning in higher education, your Chapter II would likely include two main sections: one on organizational learning and the other on higher education. If the purpose of your study addressed other variables, these variables would need to be
addressed as well. Included in each main section would be an analysis of research. The average number of pages for a literature review is around 60. Any literature review over 75 pages may be questionable as to whether the dissertation topic is too broad or you have included too much information. Granted, there are some topics, because of their complexity, require more pages in the literature review than do others.

Chapter II is to be written in a coherent manner that helps pull thoughts and ideas together for the reader. You need to remember that this chapter is a review of literature and is not an opportunity for you to present your personal feelings per se; however, your voice is heard through how you decide to construct the chapter, how you present the models inherent in the literature, how you frame competing thoughts, etc.

In Chapter II, when you are explaining an author’s point and this author is critical to your understanding of the topic and is considered to be an expert in the field, you should reference this author in a direct fashion. You want to include direct quotes throughout Chapter II. However, you need to be modest in the number of quotes you use. Too many appear as though you have nothing to say, or you have not synthesized the material enough. Rudestam and Newton (1992) presented the interesting argument that the overuse of direct quotes signals that the student recognizes an external locus of authority in the field, rather than seeing him or her self as a scholar in the field as well. To avoid this syndrome, and to enhance readability, the student should limit the use of quotes to two major purposes: (a) to demonstrate that a particularly important conclusion or recommendation comes from a leading, recognized authority in the field; or (b) to capitalize on a particularly adroit means of phrasing an important issue. In other
circumstances, it is recommended that the student paraphrase the author’s positions or define the student’s own positions and cite authors whose work directly supports those positions.

Often, a thorough review of the literature reveals polarized opinions or findings of theorists or researchers. In such cases, it is proper to state the two (or more) opinions and then list, parenthetically and in alphabetical order, the primary authorities subscribing to each; for example, “Proponents of the theory of creationism” (Jones, 1991; Roberts, 1990; Santiago, 1992). Similar formats may be used for classifying specific approaches to research design or methodology, such as consistent patterns of research findings. This approach assumes and demonstrates careful analysis of the literature, provides evidence of the extent of research or agreement which exists on the issue, and provides the reader with easy access to the existing work in the field.

Your credibility as a researcher and a scholar is enhanced by including references that might contradict or question the approaches selected for the dissertation study. By demonstrating awareness and critical evaluation of these contrary opinions, and by providing a pithy, analytical justification for choosing alternative approaches, you assert your position as an independent scholar and show both objectivity and the ability to determine the existing weight of evidence. Should the results of the dissertation fail to support your original choices, it may be appropriate in Chapter V, Conclusions and Recommendations to “revisit” these contrary or minority positions. You should be extremely careful to avoid citing opposing opinions out of context or presenting your own arguments in a less-than-objective manner.
The second function of the literature review, as previously mentioned, is that of facilitating other scholars’ access to the literature in the field. To this end, several cautions are appropriate. First, whenever possible, you should cite primary sources. For example, it is far less effective to cite an author’s work as reported in another author’s work, if the original work has been published in a reasonably accessible source. Secondary sources should only be cited in the event that the original work is unpublished or generally inaccessible. Similarly, whenever possible, students should avoid using items such as unpublished manuscripts, papers presented at conferences for which proceedings are not published, and so forth, unless seminal works on a topic are not available in readily-accessible published form.

As it is not possible to predetermine the range of scholars who may have interest in the dissertation topic, the APA (2001) recommended that the review of the literature be developed “with enough breadth and clarity to make it generally understood by as wide a professional audience possible. Do not let the goal of brevity mislead you into writing a statement intelligible only to the specialist” (p. 16).

APA style also dictates that you limit the References section to those works specifically mentioned in the text. This imposes two responsibilities on you, the writer. First, you must identify the primary, most-respected authorities in the field and give due consideration to their contributions. Admittedly, new or lesser-known researchers and theorists should also be considered, but review of their work should be framed in consonance or contrast to the “recognized” positions in the field. Also, you must cite a sufficient number of studies to provide the reader with an accurate dimension of previous
work in the field. For example, it should be readily apparent from Chapter II whether or not there have been a multitude of previous studies on the topic, by various researchers and in various settings, or if the topic has been relatively unexplored to date. Previously, only narrative presentations of the literature were permitted; however, more recent practice has established that tabular presentation of previous studies by various researchers or of related theorists’ models may provide an effective analytical summary.

Whatever framework you may consider, it is highly recommended that this be developed first in outline format with ever-increasing levels of detail. In writing the text, then, students should devote extreme care to the development of smooth, logical, and lucid transitions from section to section and paragraph to paragraph. The outline should facilitate the refinement of your conceptualization of how the various components of the literature review interrelate, and the flow of logic used to support the primary arguments. These arguments should be traced through the literature review to culminate in one of several forms of conclusions. One form of conclusion is a summary of the state of the art of research and theory related to the topic. Another possibility is the formulation of new research questions that logically arise from the literature reviewed. Yet another possibility is an analysis of the major gaps in the existing theoretical or research base; for example, inconclusive results, limitations or flaws in the previous studies, or potential areas for reinterpretation of previous results or conclusions. However, the student should be certain to analyze these apparent gaps with great caution; inconclusive results in repeated studies are not always the product of poor design or instrumentation, but may
actually reflect the nature of the problem and signify an area in which further replication, even with minor modification, may not be warranted.

If you experience extreme difficulty in designing an outline or format for Chapter II, Locke, Spirduso, and Silverman (2000) provided the following 15-step process for approaching the review of literature:

1. Determine the major concepts (no more than two or three) that are pertinent to the proposed research question.
2. List concepts either in descending order of importance or in terms of logical presentation.
3. Prepare an outline with these major concepts as the major headings.
4. Under each major heading, list the articles that are most directly related by listing authors and dates only.
5. If the articles under such major headings cluster themselves and suggest a subheading, then arrange the clusters (and their subheadings) under each major heading in logical order.
6. Without referring to the details in the articles, summarize in one paragraph the combined findings of each cluster of studies.
7. Read the paragraphs and evaluate them for inclusion.
8. Write an introductory paragraph explaining what the two or three major areas are and in what order they will be discussed.
9. Write a statement at the end of each section summarizing the findings within each cluster of studies. Show how this summary of findings relates to those of the cluster of studies described in the following paragraphs.
10. Write a paragraph at the end of each major topic that summarizes the major points, supports the cohesiveness of the subtopics, and establishes the relevance of these concepts to the proposed research question.
11. Write a paragraph at the conclusion that draws together all of the major summarizing paragraphs.

12. After all of these concepts and subtopics have been carefully introduced, described, and summarized, return to the beginning and insert the documentation for each of the concepts in the proper location. That is, document the statements made in each of the paragraphs by describing the studies leading to them or verifying them.

13. Each time a reference is inserted, place the complete citation in a special file for eventual compilation of a reference list.

14. After a week has passed, re-read the related literature section and revise as necessary.

15. Read the entire related literature section for coherence, continuity, and smoothness of transition from one concept to another. Check carefully for accuracy of all citations and edit for mechanics. (pp. 76-77)

In the end, you will know you have a solid theoretical framework for your study when:

1. Each main section (main heading) of your literature review centers on a specific aspect or variable inherent in your purpose statement.

2. Each main section references authors who are considered to be experts in the field.

3. The central issues you have discussed in each main section are those addressed frequently in the literature.

4. There is depth to each main section, which includes a critical analysis of consistent and divergent thoughts.

5. Research on the topic has been presented and discussed.
Remember, the literature review is meant to be exhaustive, not exhausting! Rather than a report on every study every conducted on your topic, it should tell the reader how this literature is related to your specific research question.

*Chapter III of the Proposal*

Chapter III is critical to your dissertation proposal as it specifies, clearly and fully, how it is you intend to carry out your study. As you develop this chapter you will need to imagine yourself actually doing the study and describe, step-by-step, what you will be doing. This level of specificity is helpful not only to yourself but to your committee members as well. Your committee needs to feel confident in you as a researcher - confident that you will be able to collect and analyze data for your study, confident that you know what you are doing. Figure 3 for quantitative research and Figure 4 for qualitative research provide an outline of the main sections that need to be addressed in this chapter. Below is a delineation of these main sections.

*Beginning the Chapter*

Typically this chapter begins with a paragraph that includes a restatement of the purpose of your study. You can change the wording slightly from how you have stated the purpose of the study in Chapter I. However, be careful that you are not including words that change the meaning of that purpose. You need to look at the two statement versions and ask yourself if they are saying the same thing. Also included in this paragraph is an overview of how the chapter is organized (what are the main headings for the chapter).
<table>
<thead>
<tr>
<th>Outline for Quantitative Research Design</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Introduction</strong> (not a heading)</td>
</tr>
<tr>
<td>Purpose of the study, research questions to be answered by the study, and overview of the chapter.</td>
</tr>
</tbody>
</table>

| **Research Methods**                  |
| Discuss survey research, including its strengths and weaknesses, using references |

| **Population and Sampling**           |
| Be specific as to the population parameters, how the sample was selected and its size. Use references where applicable |

| **Instrumentation**                  |
| Address structure of the instrument, how it was developed, and the quality of the instrument including validity and reliability |

| **Data Collection**                  |
| Use references to support your decisions whenever possible |

| **Data Analysis**                    |
| What statistical analysis will be applied to answer each research question? |

| **Limitations of the Study**         |
| You may want to use references here to help you describe limitations to your research design |

| **Ethical Considerations**           |
| Again, you may want to use references to help you address ethical issues |

*Figure 3. Outline for quantitative research design.*
<table>
<thead>
<tr>
<th>OUTLINE FOR QUALITATIVE RESEARCH DESIGN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction (not a heading)</td>
</tr>
<tr>
<td>Purpose of the study and overview of the chapter.</td>
</tr>
<tr>
<td>Research Methods</td>
</tr>
<tr>
<td>Discuss phenomenology research, including its strengths and weaknesses, using references.</td>
</tr>
<tr>
<td>The Research Participants</td>
</tr>
<tr>
<td>Address who is to participate in the study and how they were selected. Use references to help you justify your decisions</td>
</tr>
<tr>
<td>Data Collection</td>
</tr>
<tr>
<td>How will you enter the field? How will you set up the interviews (when, where, why)? What interview guide will you use? How will data be recorded? Etc. Use references to support your decisions whenever possible</td>
</tr>
<tr>
<td>Data Analysis</td>
</tr>
<tr>
<td>How will data be transcribed? How will you analyze the data? Use references applicable to your research methodology to support your decisions.</td>
</tr>
<tr>
<td>Limitations of the Study</td>
</tr>
<tr>
<td>You may want to use references here to help you describe limitations to your research design</td>
</tr>
<tr>
<td>Ethical Considerations</td>
</tr>
<tr>
<td>Again, you may want to use references to help you address ethical issues</td>
</tr>
</tbody>
</table>

*Figure 4. Outline for qualitative research design.*
Discussion of Research Methods

Research Methods could be the first MAIN heading for this chapter. There is not much latitude for far-out, creative thinking in this chapter because of the need to include important information pertaining to research methods. The research methods you choose to use for your study will need to be grounded in methodologies apparent in research literature.

Most likely, you will not be creating a new research method for your study; rather you will be using methods that have already been accepted by a greater scientific community of scholars and applying these methods to your study. Subsequently, you will need to describe, using literature to assist you, the main research methodology you intend to follow.

For example, if you choose to use qualitative research methods, then you need to explain which qualitative method you are going to use (phenomenology, case study, ethnography, heuristic, interpretive biography, etc.) and why this method fits your study. If you choose to use quantitative research methods, then you would need to explain which method (survey, unobtrusive, content analysis, experimental, etc.) and why this method fits your study. You then need to describe (in full) this research method. What does it mean, what does it entail, what are its strengths and weaknesses? Note, this information tends to be substantially longer and more involved for qualitative research methods than for quantitative (unless you are using an experimental design).
Selection and Description of Research Participant OR Population and Sampling

Selection and Description of Research Participant OR Population and Sampling could be a main heading for this chapter. For quantitative research designs, this section of Chapter III needs to include a description of the population parameters for your study. For example, will you be studying nurses in a particular hospital, hospital nurses in a given city, in the northwest (which states?), in the nation? Information about the population would be helpful, such as how large the population is and any other known demographic characteristics of the population you may have. If you are collecting data at one particular setting, you will need to describe this setting.

You then would need to explain how you plan to select a sample from this population. Will the sample be randomly selected? How will this selection be made (e.g., computerized random selection, selected using a random numbers table)? Or will you include the entire population? The use of references to help you make decisions about sampling procedures is required.

If you are using qualitative research design, you will need to describe the research setting, if appropriate, and how participants will be selected from this setting. What technique or criteria will you use to decide on who would be the best participants for your study. You will need to refer to literature concerning qualitative research design to help you make sound decisions about the purposeful selection of participants. How do you select and how many participants are needed are questions that need to be answered.
Instrumentation for Quantitative Research

This could be a main heading for quantitative research design. For quantitative research, you need to describe the measure(s) you will be using for your study. If you are developing your own research instrument, you need to explain why you are doing so. Is it because an instrument is not available that measures the variable you are focusing on for your study; or is it because the measures that are available have limited definitions at the variable? In describing the instrument, or measure, you will be using, you need to include the following information:

1. What is the purpose of the instrument?

2. How is the variable defined (i.e., what is actually being measured)?

3. How is the measure structured? (For each section of the instrument, how many questions (or items) are included? What scale of measure is used? subsections to the instrument?)

4. What is the validity of the instrument? How do you know it is measuring what it says it measures?

5. What is the reliability of the instrument?

Note: If you are developing your own research instrument, you will not have information available about reliability until after you have collected your data. However, information about validity of the instrument can be addressed in your proposal by speaking about how the instrument was developed and reviewed for quality, such as by an outside panel. You will need to pilot test the instrument prior to your proposal defense to assure that the items are stated clearly and can be read and understood by potential
respondents. References are required for this section to substantiate your thoughts about instrument development and attributes of a quality data collection instrument.

*Data Collection*

This could be a main heading. For quantitative research, you need to describe how the instrument will be administered. Will it be mailed out? Will the instrument be administered in a particular setting? What is that setting? What special precautions are you taking to assure that the instrument will be administered in ways that will yield “true” data where participants are not feeling pressure to NOT tell their individual truths? If you are mailing a survey, how can you maximize the response rate? Will you do a second mailing? Will you make phone calls? When will you be collecting the data? References are required to help you explain your intentions.

For qualitative research that involves research participants, you will need to describe how you will be entering the field. How will you be making your initial contact with the setting or with potential research participants? You need to remember that your first impression can make a difference in whether someone is willing to be a participant. You need to begin to build trust at the very beginning, so you need to be thoughtful in your approach. How, when, and where data collection will take place needs to be described. If you are doing interviews, you will need to reference in the appendix the guideline you will use for data collection and you will need to make sure this guideline will provide data to answer your research questions specified in Chapter I. The data collection process needs to be grounded in literature concerning qualitative methods.
Data Analysis

This could be a main heading. For quantitative research designs, often times it is helpful to identify for each research question the data analysis technique you will be using, for example: descriptive statistics, t-test for independent samples. Your committee needs to be able to see that you have matched the data analysis technique to the kind of data and level of measure you will be using, and that the analysis technique will adequately answer your research question. For qualitative research, again you will need to use the literature to help you describe how the data will be analyzed (i.e. Will you use bracketing? How will themes be established? Will you triangulate the data?).

Limitations

This could be a MAIN heading. There are limitations for both quantitative and qualitative research methods. You need to explain such limitations for your particular design as you have described it above. References may be used to help you describe limitations to a certain extent. However, you also need to think critically about your particular design and how you are applying it for your study and then identify limitations. References are recommended for this section as there are limitations inherent in any research design; many of these limitations are discussed in the literature.

Ethical Considerations

This could be a MAIN heading. You need to address how the research participants in your study will be protected from harm from both data collection and
analysis of your data. References are needed to substantiate and enrich your thoughts on this very important aspect of your research design. Gonzaga University’s Institutional Review Board (IRB), from which you must gain approval prior to data collection, is most interested in whether participants in your study will have free choice, whether it will be made clear to them as to the purpose of your study, and whether you will be truthful in data reporting in meeting the intended purpose of your study. Be sure to make mention in the text of Chapter 3 that you have fulfilled the Gonzaga University IRB requirements, and include in an appendix the letter from the IRB director verifying the above.

Defending the Proposal and the IRB

Having prepared a draft of the proposal that the committee chair approves for distribution to the committee and the committee members have had time to read, you may then concentrate on preparing for the defense itself. Your committee chair will schedule a room, unless he or she requests you to contact the department administrative assistant to do so. The room is to be scheduled for a two-hour time block.

In the formal defense of your proposal you will begin with a brief, approximately 10 minutes, oral presentation of the proposed research project. You can assume that the committee has read the proposal previous to the defense. This brief summary should:

1. Highlight the research problem.
2. Provide a brief review of the student's past experiences that may have led to the selection of that topic and problem.
3. Explain the ultimate purpose or benefit from the study.

4. Synthesize the major theoretical models and primary research studies that provide justification and theoretical bases for the study.

5. Discuss the research methodology to be utilized, including a description of the participants, instrumentation, design, and proposed methods for analyzing data.

6. Illuminate anticipated limitations or potential problems that may occur.

Following this brief presentation, the committee chair will facilitate an open discussion of the proposal, which will probe the extent and depth of your knowledge in the area, familiarity and skills with the proposed research methodology and data analysis techniques, and so forth. It is anticipated that each committee member will express his or her individual concerns, and that you and the committee will attempt to reach consensus on how the research study and dissertation may best address these concerns. This critical analysis should help you to identify areas in which a lack of clarity is evidenced in the proposal, research design flaws, or inappropriate proposals for data analysis. The consequence of this discussion may be:

1. The committee directs you to make specific revisions to the proposal and submit them to the committee chair. Upon acceptance of these revisions by the committee chair, and having obtained committee signatures on the signature page, the proposal is officially considered “accepted.”

OR
2. The committee directs you to make substantial revisions to the proposal. Upon acceptance of this new draft by the committee chair, the draft will be circulated to the committee and a new proposal defense scheduled.

OR, in the most exceptional of circumstances,

3. The committee may accept the proposal as submitted and direct you to make the discussed modifications in the dissertation itself. This option should only be considered in the event that the required modifications are primarily editorial in nature and of limited technical impact on the proposal as submitted.

The committee chair prepares a memorandum informing the student of the decision of the committee and other issues discussed during the formal defense. A copy of this memorandum is sent to other committee members as well. The signature form is prepared by the committee chair, who will also publish the time and date of the proposal defense. This form will be brought to the proposal defense by the committee chair. Following acceptance of the proposal, all members of the committee must sign this form, which is then maintained in the student's departmental file, along with a copy of the proposal as accepted. You are encouraged to keep a copy of the signed form. A sample of this signature page is illustrated in Figure 6.

Following the committee’s approval of your dissertation proposal, you must submit forms to Gonzaga’s IRB. The forms to be completed can be found as a link on the Doctoral Homepage. It is important that you not submit the forms until AFTER you have successfully defended your proposal as you may have to make changes in the research design based on discussions that take place during the proposal defense meeting.
In addition, the cover page of the IRB petition must be signed by your dissertation chair signifying it has been approved by your committee. As well, if you are seeking funding for your research, it is wise to wait until you have Gonzaga’s IRB approval.

GONZAGA UNIVERSITY
Doctoral Program in Leadership Studies
DISSERTATION PROPOSAL APPROVAL

DATE:___________________________

NAME:______________________________________________________

Title:

We certify that we have read and approve the proposal submitted by the candidate.

__________________________________________________        _________________
Chair    Date

__________________________________________________        _________________
Committee Member    Date

__________________________________________________        _________________
Committee Member    Date

__________________________________________________        _________________
Committee Member (4th member optional)    Date

Approved and Accepted:    Chair_______________________________

Date________________________________

doctoral\diss-apr.frm

Figure 5. Dissertation proposal approval form.
CHAPTER IV
THE DISSERTATION

The main content of the dissertation includes the first three chapters of your proposal that have been revised somewhat for the dissertation. In addition the dissertation includes a chapter(s) for presenting the results of your data analysis, and a final chapter for presenting conclusions, a discussion of your findings, and recommendations for further study. This chapter of the guidebook provides an overview of the various sections of the dissertation, beginning with the preliminary pages and moving from there to the text of the dissertation. You are strongly encouraged to review other dissertations for format and to download the dissertation template that can be found on the Doctoral Homepage.

Preliminary Pages of the Dissertation

The following pages precede Chapter I and are numbered consecutively with lower-case Roman numerals centered on the bottom of each page, carefully observing the required margins.

Title Page: Titles should be descriptive and concise, and should contain no abbreviations, jargon, or obscure technical terms. The date at the bottom should reflect the month and year that all requirements for the degree were completed, including submission to the Gonzaga University Graduate School of two unbound copies of the dissertation, both with original signatures of all committee members.
Copyright Page: Students are encouraged to submit the required paperwork and fee to secure copyrights to their dissertations. This is especially important for those students who plan to rewrite material from the dissertation for publication in journals, books, or monographs. The copyright filing forms are available from the Graduate School. If this option is taken, page ii of the dissertation should follow the sample format provided. The date represents the year in which the copyright is secured and the name should be the student’s full legal name. The copyright is valid, without renewal, for 50 years beyond the life of the author. As author, you must certify by signing the University Microfilms International Agreement Form that any copyrighted material used in the dissertation, beyond brief excerpts appropriately cited in the text, is included with the written permission of the copyright owner, and that the student will hold harmless University Microfilms International from any damages that may arise from copyright violations. Copies of all permission letters should be attached to the agreement form. Any figures or tables included in the text from copyrighted sources require written permission, as do the use of any survey or questionnaire instruments, tests, or similar materials, even if the student makes minor modifications to these instruments.

Signature Page: A sample of the signature page is provided. Consult committee members for their preferences regarding the forms of their names that will appear and to verify the type of doctoral degree they hold (Ph.D. or Ed.D). The committee chair’s or co-chairs’ name is the first listed; there is no established order for the remaining committee members. Students must bring two copies of this signature page to the signing ceremony which follows the acceptance of the “final draft” of the dissertation by all
committee members. Many students also prefer to have an original signature page should they be planning to have additional copies of the dissertation bound beyond the one that will be bound and then returned by the Graduate School. Students are also advised to bring at least one extra copy to utilize in the event of an error during the signing process. It is essential that the student secure these original signatures; therefore, it is the student’s responsibility to verify that committee members will be accessible and not traveling or working abroad at the time signatures are needed. All signatures should be in black ink and both the typeface and paper should be exactly the same as that used for the remainder of the dissertation.

Dedication: Students may exercise the option to dedicate the dissertation to a person or persons of particular importance to them. Again, the key criteria are sincerity, brevity, and professionalism. This may be used instead of or in addition to an acknowledgments page.

Acknowledgments: This optional page acknowledges significant contributions of family, peers, faculty, and others to the dissertation process. It should be kept brief and not overly sentimental. In the event that the student uses copyrighted material in the text of the dissertation, the source of permission to use that material should be acknowledged here as well. Students are reminded that since this is one of the first pages of their dissertation, care must be taken to maintain a sincere, professional tone.

Abstract: Although only a relatively few people typically read the full dissertation after publication, the abstract will be published in Dissertation Abstracts International and will be read by many scholars and researchers. Consequently, great care must be taken
with the writing and editing of this section of the dissertation. Try to make every word count! It should be noted that Dissertation Abstracts International will not edit or revise the abstract prior to publication. The abstract for the dissertation ranges from one to one and a half pages. No tables, figures, or abbreviations are to be included. The abstract should summarize the problem, methodology, results, and conclusions of the study.

As throughout the dissertation, the abstract should avoid unnecessary technical language or jargon. The study should be described in the past tense, yet the present tense should be used to describe the conclusions of the study. The APA manual (2001) set the following criteria for the abstract: accurate, self-contained, concise and specific, non-evaluative, coherent, and readable (pp. 12-13).

The copies of the abstract to be bound in the dissertation contain no lines for signature. The copies of the abstract submitted to the Gonzaga University School of Professional Studies should conclude with lines for signatory approval for publication by the chair of the dissertation committee and the Dean of the School of Professional Studies. These signed abstracts should contain no page numbers, although those bound in the dissertation are numbered in lower-case Roman numerals. As with all the signature pages throughout the dissertation process, students are advised to maintain an original signature copy for their personal files.

*Table of Contents:* This mandatory listing should begin with the introductory pages, excluding copyright and signature page, followed by the first page of Chapter I, and list not more than four levels of heading throughout the text, including References and Appendixes. Typically double spacing should be used of level 1 headings and single
line spacing should be used for all other levels, as the Table of Contents needs to be limited to two or three pages. All levels of headings need *not* be included in the Table of Contents; however, students must be consistent as to the levels included.

*List of Tables*: The List of Tables should follow the numerical order of the tables and their precise titles as presented in the text. This list should be single spaced.

*List of Figures*: This list follows the same format as the preceding List of Tables, and applies to any graphs, drawings, photographs, or other non-numerical displays included in the dissertation.

Please note that the following sample pages (Figures 6-14) have been *reduced* and *placed within a box* in order to illustrate their appearance and present them as Figures within this guide. In a dissertation, these pages would appear full-sized and not boxed.
TITLE OF DISSERTATION
DOUBLE-SPACED ON TWO OR MORE LINES
AS NEEDED

A dissertation
submitted to the faculty of the
School of Professional Studies
of Gonzaga University
in partial fulfillment of the requirements
for the degree of
Doctor of Philosophy

by
Philomena Hermes Oliver
March 2004

Figure 6. Sample outline of Chapter I for ethical decision making in the health care system.
Copyright © Doctoral Student Name, 2004
All rights reserved

Figure 7. Sample copyright page (reduced).
I certify that I have read this manuscript and that, in my judgment, it is fully adequate in scope and quality as a dissertation for the degree of Doctor of Philosophy:

___________________________  ___________________
James Beebe, Ph.D.  April 2004
Committee Chair

___________________________  ___________________
Karen Norum, Ph.D.  April 2004
Committee Member

___________________________  ___________________
Shann Ferch, Ph.D.  April 2004
Committee Member

Figure 8. Sample signature page (reduced).
DEDICATION

This dissertation is dedicated to
my family, and all the faculty members,
friends, and neighbors who
helped me survive until
completion of this document.
ACKNOWLEDGMENTS

If an Acknowledgments page is included, it is generally typed in the same double-spaced format as the body of the text, including indentation of the first lines of paragraphs. If the section is brief, however, other formatting may be acceptable at the discretion of the committee chair.

Figure 10. Sample acknowledgments format (reduced).
The copy of the abstract that will appear in the dissertation itself must be double-spaced. Further, the guidelines outlined in this chapter must be strictly adhered to in terms of both length and content.

Necessarily, an abstract may run to a second page, which is acceptable as long as it remains within the length restrictions.

Figure 11. Sample abstract page, in dissertation (reduced).
EDUCATION AND INCOME IN FLORIDA LABOR MARKETS

Philomena Hermes Oliver

The 1970 Public Use Sample and the 1976 Annual Demographic File provided empirical data bases for the investigation of the effect of an individual’s education on his or her labor market status in Florida. The results showed the existence of a considerable disparity between the various sex/race/ethnicity groups as to the extent of their education, vocational training, experience, residential and marital patterns, earnings, and representation among the various occupations. Analysis of co-variance and multiple discriminant function analysis indicated that even after adjusting for these differences, whites would enjoy earnings advantages over both Hispanic Americans and blacks. Correspondingly, males would receive higher incomes than females. Very limited inter-occupational mobility was found for any group. Although all variables examined in the study were found to be significant, less than one-half of the variance in earnings was accounted for.

James Beebe, Ph.D.
Committee Chair

Mary McFarland, Ph.D.
Dean of the School of Professional Studies

Figure 12. Sample abstract page, separate document (reduced).
(Note that this is not the abstract included in the dissertation itself.)
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Figure 13. Sample table of contents (reduced).
LIST OF TABLES

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Table 2. The List of Figures Is Formatted the Same as the Table List
(Except that figure captions are in lower case, like this) ............................................. 82

Figure 14. Sample list of tables (reduced).
Text of the Dissertation

All pages of the text of the dissertation, including references and appendixes, should be numbered consecutively, using Arabic numerals double-spaced above the top line of text and placed one inch to the left of the right margin on each page. The first page of each chapter is counted and numbered. A page number is required on every page, including all chapter title pages.

*Chapters I through III of the Dissertation*

Chapters I through III of your dissertation proposal serve as a good beginning for the first three chapters of your dissertation. However, there are changes that typically need to be made in these chapters, sometimes to enrich their content or to improve the flow of thoughts. Oftentimes, when students complete their data analysis, they realize a need to change the first three chapters to reflect the students’ new understanding of the topic.

*Chapter I*

One change that is typical for this chapter is a change in verb tense when talking about your study. For the proposal, you most likely used future tense (e.g. “The purpose of this study will be to…..”); whereas in the dissertation you need to use past tense when referring to your study (e.g. “The purpose of this study was to…”). This is a fairly easy change to make. However, there may be other changes you need to make based on suggestions made by your dissertation committee at the time of proposal defense. Check
the memorandum you received from this meeting that summarizes comments made during this meeting. As well, you will need to read through Chapter I again to see how you might make the argument for the study stronger, or improve the chapter’s readability. Does the chapter say what you want it to say? Given the wisdom you have gained from completing the study, you may want to revise the chapter accordingly, but being careful you do not refer to the results of your study in this chapter. This chapter remains as an introduction to the problem being studied, and it needs to address the elements specified in the third chapter of this guidebook.

Chapter II

You will need to review this chapter carefully and update the references as needed. You should check for any updated references on your topic, since your proposal defense, and determine if these new references should be added to the Chapter II or perhaps Chapter I. As well, you will need to read through the chapter to see if there are any changes you might make, to ensure a better flow. Again, there may be comments made at your proposal defense meeting that suggests changes in this chapter.

Chapter III

The verb tense throughout this chapter needs to be changed to past tense. Further, you need to think back on what happened during your data collection and analysis. Sometimes what you actually do ends up deviating from what you said you were going to do at the time of your proposal defense. The unexpected happens. If this is the case, you need to update this chapter so it reflects what you actually did to carry out the study.
This is true for both quantitative and qualitative research designs. There may be changes in this chapter suggested by your committee as per the proposal defense that you need to pay attention to.

Chapter IV

The purpose of this chapter is to present the results of the study as clearly as possible, leaving the interpretation of those results for the following chapter. As such, this chapter typically contains the analyzed data, often presented in both text and tabular or figure format. However, you should provide sufficient guidance in the text to highlight for the reader those findings of greatest importance. In quantitative studies, individual scores or raw data are generally not presented unless the specific nature of the study suggests that this is appropriate.

Structure is an important issue for you to consider prior to beginning the writing of this chapter. Again, the value of an organizational outline cannot be overstated. Furthermore, you may improve the readability of this chapter by providing the reader with an overview of the chapter’s structure in the introductory paragraph(s). For qualitative studies, the data may be so extensive as to warrant breaking it into several chapters. You should consult with their committee chairs to verify the appropriateness of the specific multi-chapter format envisioned.

Most researchers begin this chapter with a description of the sample, with relevant demographic characteristics presented in the text or in tabular format. Many researchers have successfully approached this chapter by addressing each research question or
hypothesis in sequential order, although combinations of questions or hypotheses or groupings of like findings may suggest a more logical, more readily interpreted format.

*Presentation of Data in Quantitative Studies*

In addition to presenting descriptive statistical findings (mean, median, standard deviation), inferential statistical studies should also include data on the statistical significance of those findings. Predetermined probability levels (such as $p > .05$ or $p > .01$) need not be the same for all data, but it may be necessary to justify why specific levels were established as the standards. It is equally as important to present those findings that fail to show statistical significance, or do not support directional hypotheses, as it is to present those that do confirm the researcher’s anticipations. In some cases in which data does not address major questions or hypotheses, it may be permissible to inform the reader that no statistical significance was found, without presenting the actual data.

One decision most researchers face involves the number of decimal places to which data should be displayed. Rudestam and Newton (1992) posited that a rounded value often conveys information more clearly than one with many decimal places. However, these same authors recommend that both correlation and covariance be reported to three decimal places to facilitate the reproduction of analysis on these values.

In quantitative studies, the text should be utilized primarily to highlight the most significant findings from more complex data displays, or to present the findings if complex data displays are not appropriate. Tables should not be used to present
relatively small amounts of data. Figures should only be utilized when their visual impact conveys a finding not readily apparent from other data. Data presented in tabular or figure format must always be introduced in the text as well.

Although APA format specifies that tables should be double-spaced and of a single font size and format, the Gonzaga University doctoral department recognizes that although these restrictions are generally valid, the readability and visual impact of tables and figures can sometimes be enhanced by moving to a single-spaced format for portions of the table or using a smaller font size for very large or complex tables. If you are considering these or other modifications for a figure or table you should consult with your dissertation advisors. Care should be taken to ensure that any table or figure is sufficiently clear, uncluttered, and large enough to remain so after being microfilmed and then reproduced for public distribution.

Tables should present selected data in uniform format. It is essential that tables be visually attractive, with sufficient white space to direct the reader to important aspects of the data. Column and row averages and totals may also assist the reader in grasping the meaning of the data presented in tables.

The APA manual (2001) provided ample guidance on the formatting of tables and should be consulted carefully regarding presentational details. All tables should be numbered sequentially, carry a title, and include headings that label the organization of the table. Tables should be numbered consecutively in Arabic numerals: Table 1, Table 2, and so on. This number should appear above the table title. The title of the table should appear one space below the title number and should be single spaced.
You should avoid abbreviations of variable names unless their meaning is immediately clear. If such abbreviations or scale acronyms are unavoidable, you should introduce them at the bottom of the table or figure with an explanatory note. This is done by using the underlined word “Note” followed by with an explanation and a period. These explanatory notes apply only to the specific table they follow and must be repeated in all tables in which the same convention is employed. This requirement reinforces the general rule that all tables must be self-explanatory and independent of the text provided. Similarly, explanations may be necessary to clarify how missing data are treated in tables, generally by the use of one or two hyphens. If a single convention is used for all data analysis, this may be explained in the text and need not be re-presented for each table or figure. If the treatment of data varies by table, an explanatory note should accompany the table.

Figures are illustrations which are used to supplement the text, including diagrams, drawings, graphs, maps, photographs, and similar materials. As with tables, these should be placed as close as feasible to the section of text in which they are first referenced. Like tables, figures are also numbered consecutively, using Arabic numerals; the difference, however, is that figure numbers and titles (called captions) appear two spaces below the figure and are followed by a period. If captions are only one line in length, they are centered; if more than one line, they are typed flush left and single-spaced. Only an initial capital is used in the figure caption.

Some figures are so large as to require reduction in order to fit onto the page. In such cases, the title and number of the figure should be typed on after reducing the figure,
appearing in the same size and style font as the remainder of the text in the dissertation. These figures should be centered within the dissertation margins.

Another suggestion regarding the use tables in Chapter IV is that you try to minimize the number of tables whenever possible. For example, if your data analysis included running multiple t-tests on the same variable, it is wise to collapse these analyses onto one larger table, rather than displaying the data in a series of tables. This can make for a better read of this chapter. A final note to remember when writing up your results is that whenever you have a table (or figure) (a) you need to introduce it in the text, (b) the table needs to appear in the text on the same page it was introduced or the very next page, and (c) there needs to be an interpretation of the table for the reader, such as pointing the reader to notice highlights of the table’s contents without repeating every value that is on the table. This “highlighting” is your interpretation (not discussion) of the data, which is important, in a cumulative manner across all tables in the chapter, to arriving at your conclusions for Chapter V.

Presentation of Data in Qualitative Studies

Presentation of data for qualitative studies may occasionally require more than one chapter. This depends on the amount of data you have to report and how you choose to present the data. In some qualitative studies, the results chapter might begin with a description of the participants. This is important information as the reader needs to become familiar with the primary participants of your study. Who are they? What was the interview setting? What did they say about their background? What are their
thoughts about the research topic? From here you might describe themes or patterns in the data. You should discuss with your advisor how you might organize and structure the results chapter, seeking what might be the best way to provide a rich description of the data that displays deep understanding and meaning. The beauty of qualitative research is that you have data that allow you to look beneath the surface at underlying patterns. This is the creative part of your analysis. At the same time, you are grounding the patterns you see with the visible data you have before you.

You will want to make sure you bracket your preconceived notions of what the data might tell you; how you actually do the bracketing needs to be described in Chapter III. The results chapter needs to reflect your ability as a researcher to see beyond and beneath toward new possibilities and new discoveries not only within the data, but within yourself.

Contents of Chapter V

The concluding chapter of the dissertation serves to provide closure and tie together all preceding chapters. To this purpose, Rudestam and Newton (1992) proposed that the chapter should contain the following elements:

1. An overview of the significant findings of the study.
2. A consideration of the findings in light of existing research studies.
3. Implications of the study for current theory.
4. A careful examination of findings that fail to support or only partially support the researcher’s hypotheses.
5. Limitations of the study that may affect the validity or the generalizability of the results.
6. Recommendations for further research.

7. Implications of the study for professional practice or applied settings (optional). (p. 121)

The quality of this chapter is highly dependent on the extent to which you, the researcher, can illuminate the linkages between the data analysis presented in the previous chapter, the problems identified in Chapter I, and the literature base reviewed in Chapter II. This characterizes the final chapter as far more analytical and integrative than a mere reiteration of the findings, although such a summary of conclusions may be an appropriate means of initiating the discussion presented in the chapter. As in the previous chapter, a common format for presenting conclusions may be by addressing, in turn, each research question or hypothesis. If an alternative was adopted for the presentation of the data analysis in the previous chapter(s), it may assist the reader if a similar format is followed in presenting the conclusions and linking them to the knowledge base. Regardless of structure, whenever appropriate this discussion should critically consider alternative interpretations of the findings vis-à-vis the literature, highlighting and examining key points of agreement and unanticipated findings alike.

The APA (2001) manual addressed this process as follows:

You are free to examine, interpret, and qualify the results, as well as to draw inferences from them. Emphasize any theoretical consequences of the results and the validity of your conclusions.

Open the discussion with a clear statement of the support or non-support for your original hypothesis. Similarities and differences between your results and the work of others should clarify and confirm your conclusions. Do not, however,
simply reformulate and repeat points already made; each new statement should contribute to your position and to the readers’ understanding of the problem.

Avoid polemics, triviality, and weak theoretical comparisons in your discussion. Speculation is in order only if it is (a) identified as such, (b) related closely and logically to empirical data or theory, and (c) expressed concisely. Identifying the practical and theoretical implications of your study, suggesting improvements on your research, or proposing new research may be appropriate, but keep these comments brief. (pp. 26-27)

Based on this discussion, it is typical for researchers to discuss any limitations of the study that may have influenced the results obtained. This should not be viewed as a mandate to expose and apologize for all flaws and shortcomings of the study, but rather to provide interpretation as to why results may have varied from the anticipated findings, to provide cautions that may assist future researchers in planning similar studies, or to provide some discussion or assessment of the fidelity of the findings presented.

Similarly, the intent of the “Recommendations for Future Research” section of this chapter is not to outline a full agenda of possible research related to the topic, but rather to highlight one or two areas of particular promise or need. These may include suggestions that derive (a) from the enhancement of the design or instrumentation of the dissertation study, (b) from the perspective of designing a study, to address alternative interpretations of the results, or alternative questions that are suggested by the results, (c) from the perceived validity of examining variables that may not have been considered sufficiently in the dissertation study, or (d) from the replication of the study with different
populations. Again, the analytical prioritization of such recommendations is far more important than the criterion of exhaustiveness.

Discussion of the results in this chapter generally appears in the past tense; that is, “In light of the significant difference found between the two groups” or “Having concluded that”

References

Lacava (1992) noted:

The purpose of listing the citations is threefold: (a) to serve as an acknowledgment of sources; (b) to give readers sufficient information to locate the volume; and (c) in the case of personal interviews or correspondence, to save readers the trouble of attempting to locate material that is not available” (p. 22).

Again, the APA manual (2001) provided strict guidelines for the format of references from a variety of possible sources. Only those citations used in the text may be listed in the references. Full citations on each of these works must be provided and listed in alphabetical order by the last name of the primary author. Multiple works by the same author are listed in chronological order, the earliest first. Very careful attention must be paid to formatting individual references in this section to ensure uniformity and conformity with APA guidelines. Typing of the Reference List, however, differs significantly from the APA manual. Formatting criteria for the department are detailed in the Red Book.
The department *strongly* recommends that students maintain a running reference list, however rough, throughout the dissertation research, ensuring that all required information has been recorded, including relevant page numbers. Familiarity with the APA manual’s examples of required data for the many types of references can avoid many headaches when the time arrives to prepare the final reference list.

### REFERENCES


*Figure 15.* Sample portion of reference page (reduced).

Particular care should be given to citations from classic works. Such references ideally should include both the original publication date of the work and the publication date of the version the student is currently using. Since most of these resources have been translated from original writing, the translator’s name must also be noted. Detailed formatting is included in the APA manual.
Upon completion of the dissertation, each student should carefully crosscheck the references list with the manuscript text to insure that (a) all sources cited in the text appear in the References, (b) all sources in the References have been cited in the text, and (c) that all sources have been cited correctly in the text. The latter require particular attention when citing works by multiple authors and when the References include multiple works by the same author(s).

Appendix(es)

Appendixes are listed in the Table of Contents by the number of the cover page, a sample of which follows.

Figure 16. Sample appendix cover page (reduced).
Timelines for May Graduation

Typically, the semester in which your dissertation committee signs-off on your dissertation is the semester in which you will graduate from with the doctoral degree (pending the completion of the required 60 credits). Because Spring Semester is when faculty’s dissertation load tends to be the heaviest (given students desire to attend May commencement ceremonies for that academic year), certain timelines become critical for students to follow in order to assure the faculty are not unduly overburdened. Please note and adhere to the following requirements for a May graduation:

1. The first draft of the complete dissertation must be submitted to your chair no later than the first of February. The chair then submits the draft to the entire Doctoral Faculty and the entire faculty determines if a May graduation looks realistic. Typically, there are 3 to 5 drafts of the dissertation before it goes to committee. You need to leave at least two weeks for the chair to review your work and give you feedback.

2. The dissertation needs to be signed off by the committee no later than April 15. This means the full committee will need to receive the dissertation for review no later than April 1.

3. Following the committee review and approval (sign-off), you will then prepare the final draft of the document for publication.

Reminder: Degrees can be granted any time of the year; walking in the graduation ceremony can only be in May.
What Happens after the Dissertation is Finished?

Unlike many universities, Gonzaga University does not require a formal defense of the dissertation. Once the dissertation committee chair has approved a “final draft” of the dissertation to be circulated to all members of the committee, the committee members will meet to determine necessary revisions for the final dissertation. You will then make these revisions and submit the completed dissertation to the committee chair for final verification. Once approved, a brief, formal signing ceremony will be scheduled, at which the committee members will sign the signature page, symbolizing that the student has met all departmental requirements for the doctoral degree. Officially, the degree is not considered conferred at this time, as the Dean of the School of Professional Studies must also grant final approval to the dissertation.

Items to Be Submitted for Graduation

On or before the published date in the Graduate School Catalog during the semester you expect to receive your doctoral degree, you must submit to the Graduate School Office the following:

1. Two unbound copies of the dissertation, with original signatures of all members of the committee. These will be reviewed by the Dean of the School of Professional Studies and, if acceptable, microfilmed and bound.
2. Two copies of an abstract with spaces for the signatures of the Dissertation Committee Chair and the Dean of the School of Professional Studies (see sample in Chapter IV). No page number should appear on these copies of the abstract.

3. A completed University Microfilms Publication Agreement Form, available from the Graduate School Office, and a check for the dissertation fee. The fee covers the cost of microfilming the dissertation, publishing the Abstract, supplying the Foley Center with one microfiche copy of the dissertation, and the department with one hardbound copy of the dissertation. The author is entitled to pre-publication discount prices on all copy orders submitted with the Agreement Form. In addition, the author has the option to apply for a registration of copyright on the dissertation. There is an additional charge for this service.

For current fees, please check with the DPLS department:

   Application for Graduation:

   Dissertation fee:

   Copyright fee:

   Transcript fee:

   Note: The application fee for graduation in the May is due to the Registrar’s Office by November 15 of that same academic year. A late fee is charged if this November 15 deadline is not met and the student is, in fact, graduating in May. Prior to paying for the graduation fee, however, you are advised to discuss with your chair the feasibility of completing all necessary work on the dissertation for a May graduation.
Refer to the timelines for May graduation specified at the end of Chapter IV of the guidebook.

Binding the Dissertation

Among the fees paid by the student is the dissertation fee. This fee provides for the binding of two copies of the dissertation, one of which will be placed on permanent file in the department and the other of which is sent to the student. Should the student desire further bound copies of the dissertation, these arrangements must be made privately by the student. As the dissertations are microfilmed prior to binding, and are processed in batch rather than individually, it may take as long as a year for the student to receive the bound copy of the dissertation.

Two copies of the dissertation must be submitted to the Graduate School in standard letter-sized boxes on good quality, (25% cotton rag is recommended), 8 ½ ” x 11” white paper that is appropriate for the type printer (or typewriter) that is being used. In most cases, 20- or 24-pound weight is acceptable, but the same paper, in both weight and brand, must be used for the entire dissertation, including signature approval sheets and abstracts. Typing should always be on only one side of each sheet. Select paper that either has no watermark or only a very faint watermark that does not show when the page is copied.

If a manuscript is more than 2.5 inches thick (approximately 500 sheets of 20-pound paper), it must be divided as equally as possible into two volumes, not to exceed 2.5 inches each. The division must come between chapters or other major divisions, such
as References or Appendixes. The Table of Contents at the beginning of Volume 1 includes all the material in both volumes. Pagination is continuous throughout both volumes. A sheet with VOLUME 1 centered both horizontally and vertically between margins is inserted just before Chapter I. Volume 2 opens with a title page followed by a sheet showing VOLUME 2. Neither volume’s separator sheet is assigned a number.

Commencement

At Gonzaga University, Commencement is conducted in the best ceremonial tradition, with doctoral students participating in the customary academic hooding ceremony. This is an appropriate tribute to the energy and effort made by the student in obtaining the doctoral degree, and to the family, loved ones, and friends of the student who provided assistance and support throughout that process.
REFERENCES


APPENDIX A. DISSERTATION TIMELINE
Dissertation Timeline

<table>
<thead>
<tr>
<th>Task</th>
<th>Projected Completion</th>
<th>Actual Completion</th>
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<tbody>
<tr>
<td>1. Select topic area</td>
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<tr>
<td>2. Determine committee chair</td>
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<td>3. Review literature extensively</td>
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<td>4. Determine committee</td>
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<td>5. Develop proposal</td>
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<td>6. Discuss proposal with committee chair</td>
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<td>7. Revise proposal</td>
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<td>8. Circulate proposal to committee</td>
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<td>9. Defend proposal</td>
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<td>10. Obtain Human Subjects Committee approval</td>
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<td>11. Conduct research</td>
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<td>12. Write dissertation</td>
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<td>13. Write abstract</td>
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<td>14. Clean draft for Department Review for May Graduation</td>
<td>Feb 1, 200_</td>
<td>Feb 1, 200_</td>
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<tr>
<td>15. Obtain dissertation chair’s approval on final draft</td>
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<tr>
<td>16. Circulate draft of dissertation to committee</td>
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<tr>
<td>17. Revise dissertation and prepare final copies</td>
<td></td>
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</tr>
<tr>
<td>18. Signing ceremony</td>
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<td></td>
</tr>
<tr>
<td>19. Submit materials to Graduate School Office</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20. Graduation</td>
<td></td>
<td>May 200_</td>
</tr>
</tbody>
</table>
APPENDIX B. A FINAL NOTE
There are two copies of the abstract. One is in the dissertation, page is numbered, and there is to signature space. The other abstract includes the title of the dissertation, the name of the student and has places for the signatures of the committee chair and the dean of the School of Professional Studies. See Figure 12.