

**D'Youville**

**DISSERTATION HANDBOOK**  
**OFFICE OF GRADUATE STUDIES**

## TABLE OF CONTENTS

<p>Introduction..... 1</p> <p>General Steps for Completing the Dissertation ..... 1</p> <p>The Dissertation Committee..... 3</p> <p style="padding-left: 20px;">Committee Composition ..... 3</p> <p style="padding-left: 20px;">Selection of the Dissertation Committee..... 3</p> <p style="padding-left: 20px;">Changes in Committee Membership..... 3</p> <p style="padding-left: 20px;">Responsibilities of the Committee ..... 4</p> <p style="padding-left: 40px;">Dissertation Director (Graduate Research Director) ..... 4</p> <p style="padding-left: 40px;">Dissertation Committee Members..... 4</p> <p style="padding-left: 40px;">Student Responsibilities..... 4</p> <p>The Dissertation Proposal ..... 5</p> <p style="padding-left: 20px;">Beginning the Process..... 5</p> <p style="padding-left: 20px;">Proposal Formats ..... 5</p> <p style="padding-left: 40px;">Format 1: Qualitative Study--Section Format ..... 5</p> <p style="padding-left: 40px;">Format 2: Quantitative Study--Section Format ..... 8</p> <p style="padding-left: 40px;">Format 3: Quantitative Study—Chapter Format ..... 11</p> <p>Dissertation Proposal Presentation ..... 14</p> <p>Filing the Proposal and Dissertation Proposal Form ..... 15</p> <p>Human Subjects Approval ..... 15</p> <p>Completion of the Dissertation ..... 16</p> <p style="padding-left: 20px;">Parts of the Dissertation..... 16</p> <p style="padding-left: 40px;">Chapter I, Introduction..... 17</p> <p style="padding-left: 40px;">Chapter II, Review of the Literature ..... 17</p> <p style="padding-left: 40px;">Chapter III, Procedures ..... 18</p> <p style="padding-left: 40px;">Chapter IV, Results ..... 18</p> <p style="padding-left: 40px;">Chapter V, Discussion..... 19</p> <p style="padding-left: 40px;">References..... 19</p> <p style="padding-left: 40px;">Appendices..... 19</p> <p>Suggested Steps to Convert a Proposal to a Dissertation, and to Prepare for the Dissertation Defense ..... 20</p> <p style="padding-left: 20px;">Journal Article Manuscript option for chapters IV and V.. 23</p> <p style="padding-left: 20px;">The Dissertation Defense ..... 24</p> <p style="padding-left: 20px;">Filing the Dissertation Defense Form ..... 24</p> <p>Preparation of the Dissertation Manuscript ..... 25</p> <p style="padding-left: 20px;">Key Manuscript Pages ..... 25</p> <p style="padding-left: 40px;">Title Page ..... 25</p> <p style="padding-left: 40px;">Copyright Page..... 25</p> <p style="padding-left: 40px;">Dissertation Approval Page..... 25</p> <p style="padding-left: 40px;">Abstract Page ..... 26</p> <p style="padding-left: 40px;">Acknowledgment Page ..... 26</p> <p style="padding-left: 40px;">Table of Contents..... 26</p> <p style="padding-left: 40px;">List of Tables ..... 26</p> <p style="padding-left: 40px;">List of Figures ..... 26</p> <p style="padding-left: 40px;">List of Appendices ..... 26</p> <p style="padding-left: 40px;">References..... 27</p> <p style="padding-left: 40px;">Appendix Divider Page..... 27</p> <p>General Guidelines ..... 28</p> <p style="padding-left: 20px;">Block Quotation ..... 28</p> <p style="padding-left: 20px;">Chapter Titles and Numbers..... 28</p> <p style="padding-left: 20px;">Citations ..... 28</p> <p style="padding-left: 20px;">Computer Printouts ..... 28</p> <p style="padding-left: 20px;">Corrections..... 28</p> <p style="padding-left: 20px;">Definition of Terms..... 28</p> <p style="padding-left: 20px;">Figures ..... 28</p> <p style="padding-left: 20px;">Grammar..... 28</p>	<p>Headings..... 29</p> <p>Hyphenation ..... 30</p> <p>Indentation..... 30</p> <p>Ink ..... 30</p> <p>Italics ..... 30</p> <p>Justification ..... 30</p> <p>Lists ..... 30</p> <p>Margins ..... 30</p> <p>Numbers ..... 31</p> <p>Page Numbers ..... 31</p> <p>Pagination Verification..... 31</p> <p>Paper..... 31</p> <p>Photographs..... 31</p> <p>Print ..... 31</p> <p>Punctuation..... 31</p> <p>Quotations ..... 31</p> <p>Reproduction ..... 31</p> <p>Running Head..... 32</p> <p>Seriation ..... 32</p> <p>Spacing in Body of Text..... 32</p> <p>Statistics ..... 32</p> <p>Symbols ..... 32</p> <p>Tables ..... 32</p> <p>Tense ..... 32</p> <p>Type Size..... 32</p> <p>Underline..... 32</p> <p>Order of the Parts of the Dissertation ..... 33</p> <p>Dissertation Manuscript Approval..... 34</p> <p>Dissertation Presentation Day ..... 34</p> <p>Microfilming and Binding ..... 35</p> <p>Appendix A Dissertation Processing Forms and Instructions for Their Completion List of Program Graduate Directors (PGDs)..... 36</p> <p>Appendix B Dissertation Manuscript Sample Pages..... 53</p> <p>Appendix C IRB Full Approval Letter..... 71</p> <p>Appendix D Suggested Sequence of Due Dates for Timely Student Graduation ..... 74</p>
--	---

## INTRODUCTION

This Handbook is designed to help doctoral students complete their Doctoral Dissertations by providing a set of guidelines for these students to follow from the start of their dissertation idea to final completion of all forms and graduation. While the forms and procedures contained herein are required for each student intending to complete a Doctoral Dissertation, there are several suggested steps for students to follow that require the guidance of the student's Program Graduate Director (PGD) regarding approved dissertation formats for their programs, and writing styles for their programs. It is suggested that Dissertation Directors guide the student in the use of this handbook.

This Handbook provides style guidelines for those students whose programs have elected to mandate the American Psychological Association (APA) style of writing for their dissertations. Thus, the examples here are often quite specific for use with the 6th edition of the *Publication manual of the American Psychological Association* (2010) (APA Manual). For programs not following the APA style, these may include AMA, APTA, Chicago, and MLA styles. Please check with your PGDs regarding the styles permitted for your individual programs. All programs that require APA style must use the 6<sup>th</sup> edition APA Manual.

## GENERAL STEPS FOR COMPLETING THE DISSERTATION

In general, the steps for completing the dissertation are as follows:

1. After developing ideas from the beginning of the program, finalize a dissertation topic.
2. Approach a certified graduate faculty member in your program who you would like to serve as your dissertation director. Discuss ideas with the doctoral faculty member, ask if the faculty member is willing to serve as your director, and come to agreement on your dissertation topic. Complete the top section of the Approval of Graduate Research Topic and Committee (F-GRT) Form (available at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)) and obtain the dissertation director's signature. See sample Form in Appendix A. (All forms are fillable PDFs and should be typed.)
3. Form your dissertation committee. Obtain their signatures on the F-GRT Form. DATE and SIGN the form yourself! Make sure the top two sections of this form are now completed with all requested information, signatures, and date.
4. Submit the F-GRT Form to your Program Graduate Director (PGD - the Director of the Doctoral program in YOUR Department - available at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)) for a final signature of approval. This form MUST be approved before work on the dissertation can begin. The Graduate Studies Office (GSO, KAB 443) must be notified if any changes to the committee composition are made. The Program Graduate Director (PGD) will send one copy to the GSO, keep one copy, and send one copy to you for your records.
5. Complete your dissertation proposal according to the guidelines in this handbook, then schedule and defend your dissertation proposal.
6. Complete all modifications, corrections, and additions to the dissertation proposal as recommended by the dissertation committee and dissertation director. Once approved by your dissertation director, submit one copy of the final fully approved dissertation proposal to your PGD.
7. Submit the fully approved Approval of Graduate Research Proposal (F-GRP) Form (available at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)) (and see example in Appendix A) to your PGD. The PGD will send one copy to the GSO, keep one copy, and send one copy to you for your records. This form must be signed prior to submitting an application to the Institutional Review Board (IRB).
8. Send letters to copyright holders requesting permission to reproduce any copyrighted material (figures, illustrations, tests or tools in appendices, and so on) you wish to include in the dissertation. It may take up to 6 months to receive written permission. Any copyright permission letters MUST be included in the dissertation appendices. The GSO will not accept any dissertation without needed copyright permission letters included in the appendices.
9. Register for dissertation advisement according to guidelines established for your doctoral program.
10. Submit necessary material to the Institutional Review Board (IRB) to obtain approval to begin the study. Review the guidelines in the *IRB Manual* with your dissertation director to learn how to apply for approval.

11. Save the original approval letter received from the IRB. This must be included as an appendix in the dissertation.
12. Submit necessary material to any agencies and their IRB Committees as needed for approval of data collection *only after obtaining approval from the D'Youville College IRB*.
13. Review the Suggested Due Dates for Timely Graduation Table in Appendix D with your dissertation director, and meet with the Registrar to clear for graduation at least 6 months prior to the expected graduation date.
14. Complete data collection, analysis, dissertation, and dissertation defense. Obtain all dissertation committee member signatures on the Approval of Completed Graduate Research (F-GRC) Form (available at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)) (and see example in Appendix A).
15. Check on the status of copyright permission letters. See step 8 described earlier.
16. Make sure your dissertation director gives final approval to all changes made according to the committee recommendations, and signs the bottom of the F-GRC Form.
17. Submit the fully approved F-GRC Form to your PGD (see list at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)). The PGD will send one copy to the GSO, keep one copy, and send one copy to you for your records. This form **MUST** be approved prior to submitting the manuscript for review and approval by the GSO Outside Reader.
18. Obtain and review the ProQuest Guidelines (available in the document: [ProQuest Forms and Instructions for Submitting Your Thesis or Dissertation \(PDF\)](#) at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)) and the guidelines in this handbook for preparing the final dissertation manuscript.
19. Submit the dissertation in final form to the GSO for format clearance by the Outside Reader who supplies the student with a list of required changes in the manuscript. This first submission should not be on high-quality paper, and may be emailed to the GSO, if desired.
20. Make all corrections and resubmit new (corrected) and old copies of the entire dissertation manuscript for all subsequent reviews. The entire review process takes a minimum of 1 week, *but may take up to 3 weeks* - especially in the weeks just preceding the deadlines for graduation. In addition to the final dissertation, you **MUST** submit a Certification of Approval of All Graduate Non-Course Requirements for Graduation (F-CRTG) (available at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)) (and see example in Appendix A) to the GSO for final approval by the Director of Doctoral and Graduate Programs (Director of Graduate Studies). You should plan to submit the dissertation for its first review at least 2 to 3 weeks prior to the deadline for the F-CRTG Form. This allows time for the Outside Reader to complete the first review, for you to make the corrections, for the reader's second review, and then for you to prepare the final copy of your dissertation for the Graduate Studies Office.
21. Complete the online ProQuest application (see: Instructions for Submitting Your Dissertation or Dissertation (PDF) at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)). Also attach a copy of every copyright permission letter included in the dissertation appendices.
22. Complete the Dissertation Presentation Day requirement. See your PGD for guidelines.
23. Complete the top section of the F-CRTG Form by typing the requested information and obtain the necessary signatures on this form.
24. Submit your application, payment, and final manuscript to ProQuest online no later than the first of May, August, or December, for May, August, and December graduations, respectively.

## THE DISSERTATION COMMITTEE

### DEFINITION

A dissertation is a piece of academic work intended to demonstrate a doctoral candidate's ability to undertake scholarship through intellectual endeavor and use of research skills. It demonstrates the ability to build theory, test ideas, or discover new knowledge. A dissertation is a lengthy formal document that argues in defense of a thesis which is presented in form of a hypothesis or research question. The research or analysis performed to support the thesis must be both original and substantial. The essence of a dissertation is critical thinking, not experimental data. Consult your dissertation director to decide on the kind of dissertation you would like to produce.

### COMMITTEE STRUCTURE

Dissertation committees are composed of three individuals: a dissertation director and two committee members. Committee formation is carried out in consultation with the dissertation director and must adhere to the following requirements. The dissertation director must be a certified graduate faculty member in an Ed.D. doctoral program at D'Youville College. The second member must be a graduate certified faculty member at D'Youville. This second member can be any regularly appointed faculty at D'Youville College with expertise/interest in your dissertation topic. A third member can be an outside expert with relevant subject matter expertise, or a graduate certified faculty member at D'Youville outside of the student's major program. Faculty appointed to a doctoral (Ed.D) program may not serve as third members of any dissertation committee in their own program. In addition, field mentors or outside experts with relevant subject matter expertise must receive graduate certification from the Graduate Studies Office (GSO). It is the student's responsibility to approach these individuals and elicit their willingness to serve as members of the dissertation committee.

A list of Certified Graduate Member faculty who are available for dissertation committees, with a description of their interests and areas of expertise, is available online at the Graduate Studies website: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx).

The Approval of Graduate Research Topic and Committee (F-GRT) Form should be completed by the student, signed by the three committee members, and submitted for filing as described earlier. See sample Form in Appendix A. Actual forms may be obtained online at the Graduate Studies website: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx).

The dissertation committee meets with the student at least three (3) times during the dissertation process: during the development of the dissertation proposal, at the dissertation proposal defense, and at the final defense of the completed dissertation. Other meetings of the committee may be called by the dissertation director, a member of the dissertation committee, or the student. Holding an informal committee meeting early in the proposal development stage may be especially useful in complex studies or in cases where it is unknown whether the committee members agree with the student's planned methodology for completing the research.

### CHANGES IN COMMITTEE MEMBERSHIP

If a student wishes to change committee members or director prior to the dissertation proposal presentation, he or she should consult with the student's dissertation director, PGD, or Department Chair, who may refer the student back to the committee member and/or dissertation director for further discussion. If difficulties are not resolved, the student should complete a revised Approval of Graduate Research Topic and Committee (F-GRT) Form after discussion with all involved parties, and resubmit the form following procedures described earlier in this section.

If a student wishes to change committee members or director after the dissertation proposal presentation, the student's PGD MUST notify the GSO in writing of the composition of the previous committee, the proposed committee change(s), and the rationale for the change(s). Upon written notification to the GSO of approval by the student's PGD, no replacement forms (e.g., F-GRT or F-GRP) are required for the GSO. However, the student may need to repeat the proposal presentation with the new dissertation committee if required by the dissertation director, in which case new forms are required for the GSO to replace those on file.

If the dissertation director or committee member is unable to continue on the dissertation committee or leaves the College, the director will notify the student and the student's PGD or Department Chair of his or her resignation. The student should then follow the above procedures for forming a new committee.

## RESPONSIBILITIES OF THE COMMITTEE

### Dissertation Director (Graduate Research Director):

1. Assist the student in exploration of the problem to be studied.
2. Be available for consultation and preside at dissertation proposal and dissertation defense meetings.
3. Approve all drafts of the students' written material prior to being forwarded to the committee members and to the IRB, guide the student to appropriate resources, and assure a written proposal and final dissertation that are intellectually defensible, grammatically correct, have acceptable composition, and are consistent with the writing style format required by the Department.
4. Suggest consultation with committee members or other persons who might provide specialized assistance in developing the dissertation proposal or dissertation.
5. Receive suggestions for major alterations from the committee members and give guidance to the student based on the committee's consensus.
6. Maintain a folder documenting dissertation advisement sessions.
7. Advise the student of readiness to defend the dissertation proposal, seek IRB approval, and defend the dissertation, as well as providing the student with final approval of the dissertation after incorporating all committee recommendations, and reviewing the student's progress on the timeline of suggested due dates for graduation.
8. Assist the student in following all guidelines for completing the dissertation proposal, IRB application, and dissertation.
9. Monitor the filing of copies of all dissertation-related forms and the fully approved dissertation proposal and final approved dissertation in the student's department file. This may be done on paper or using departmental electronic filing systems.

### Dissertation Committee Members:

1. Agree to serve on the dissertation committee based on expertise and interest in the proposed study.
2. Be available for consultation and dissertation committee meetings.
3. Read student materials and respond in a timely fashion.
4. Discuss suggestions for major alterations with the dissertation director.
5. Evaluate the student's presentation of the proposal and defense of the completed dissertation and indicate approval by signature.

## STUDENT RESPONSIBILITIES

1. Select dissertation director and committee members, obtain their agreement to serve, and submit all dissertation-related forms, dissertation proposal, and dissertation as described earlier in this manual. All forms must be filed within 5 working days of their completion.
2. Provide the dissertation director and committee members with materials AT LEAST 10 working days before expecting a response. This may be expanded to 20 days during the first and last 2 weeks of the semester.
3. Make time, date, and place arrangements for all dissertation committee meetings, presentations, and defenses.
4. Follow all guidelines of the PGD and the Graduate Council applicable to proper completion of the manuscript, obtaining human rights approval, and, as needed, agency approval, and follow all suggested due dates for graduation (see Appendix D of this Handbook).
5. Prepare the dissertation using the proper format required by the student's program. For example, students in programs requiring APA format are responsible for learning APA format and applying all of the APA rules to their dissertations. Dissertation Directors will ensure that students follow these formats, but do not serve as copy editors for the student's work.

## THE DISSERTATION PROPOSAL

### PROPOSAL DEFENSE

Proposal defense is a requirement for all doctoral students. After the proposal has been completed and the dissertation director has made recommendation for defense, a final copy of the dissertation proposal is distributed to each committee member by the student. Second and third committee members provide feedback and approval to the dissertation director. Many faculty are not available between May commencement and the beginning of the Fall semester, so proposal presentations should be scheduled accordingly. The dissertation proposal defense does not occur until all members of the committee have adequate information and time to review the proposal.

### PROPOSAL FORMATS

Several formats are available for the proposal. Check with your PGD to determine which format is required in your program. While any of the acceptable formats may be used, those programs requiring APA writing style must follow the guidelines described in the 6th edition of the *Publication manual of the American Psychological Association* (2010) (APA Manual). Appendices must be paginated and a running head used throughout the proposal document. It is recommended that an abstract also be prepared to facilitate application to the IRB later.

#### FORMAT 1:

#### QUALITATIVE STUDY -- SECTION FORMAT

The proposal is written in separate sections in the third person, future or past tense, using the following format:

#### **Title Page (see example in appendix)**

#### **Abstract**

An abstract, typically ranging in length from 150 to 250 words, should be written to highlight the details of the proposal.

#### **Introduction**

The function of the introduction is to attract the reader's interest and attention. It is a broad overview of the problem to be addressed but should be relatively short. Documentation is needed when citing the ideas of another person.

#### **Statement of the Purpose**

The desired effect or result of the study should be explained. This part identifies the specific focus of the dissertation, which will tend to be one of discovery, description, conceptualization (theory building), sensitization, or illustration. Be sure to label the type of research you are doing when making this statement, for example by stating "The purpose of this qualitative, descriptive research . . ." as you introduce the purpose.

#### **Conceptual/Theoretical Framework**

Two approaches may be followed in terms of the conceptual/theoretical framework in qualitative research. The first may be an inductive phenomenological approach where the aim of the research is to develop a theory from observations of a specific phenomenon. The second may be a deductive theory format, where the aim of the research is to move from the generalizations of a specific conceptual/ theoretical framework to formulate conclusions regarding a specific experience. If the deductive approach is chosen, the conceptual/theoretical framework of the dissertation should be discussed in a comprehensive manner so that its major ideas and their relationships are identified and described. How this framework will be used within the dissertation should be explained, primarily as the last part of this section.

#### **Preliminary Review of Literature**

The preliminary review of literature covers the broad topics, including articles on the theoretical/conceptual framework and research methodology that are germane to the study. Previous research and literature on the dissertation topic should be critiqued.

#### **Significance and Justification**

This section should convince the reader of the necessity for this research and refer to the results of the preliminary review of literature, as well as clinical evidence, such as statistics, that shows the need for studying the topic. It should emphasize how the study will add to the present knowledge in the field by addressing the gaps in previous research or replicating prior studies. The study's tentative usefulness to the specific field of practice should also be addressed. With qualitative research using extremely

small samples, it is important to avoid exaggerating the significance of the dissertation. The major purpose of qualitative research is to add to the body of knowledge regarding a specific topic by delineating the perspectives of one or more individuals on this focus.

### **Assumptions (optional)**

Assumptions are statements accepted as universal truths that you believe are inherent to your study. Assumptions related to the problem, the conceptual/theoretical framework, and the research methodology should be outlined.

### **Research Questions / Objectives / Specific Aims of the Study**

The specific goals or questions to be addressed in the study should be outlined.

### **Definition of Terms**

This segment serves to assure that the readers will interpret words or phrases not in the vernacular, but as the writer intends. The list should include words used in the title, research purpose, the research questions/objectives, ones unique to the study, and the conceptual/ theoretical framework. Esoteric terminology, foreign words or phrases, and terms having more than one interpretation should be considered for definition.

### **Variables and Concepts**

Typically in qualitative research, the key variables or concepts are not known at the beginning of the study. Thus, this section is not included in the proposal.

### **Limitations**

The specific limitations and biases of the research should be discussed. Limitations related to the use of qualitative methodology should be included.

### **Procedure for Making Observations, Generating Descriptions, and/or Formulating Analyses**

This portion of the proposal should begin with an introductory paragraph that describes what is included in this section. Subheadings should be used to denote the discrete elements of this section and follow this order:

#### **Introduction.**

**Setting for the dissertation.** This should include the general area of the country where the study is being conducted (e.g., northeastern United States). It should also include the specific place where the sample is being derived from (e.g., clients who attend a specific clinic), and the place where the data gathering will occur (e.g., an office, participant's home, place of convenience to the subject).

**Population/sample.** The population to be studied should be described. The unique issues of sampling in a qualitative study should be addressed. The number of participants should be identified, with the rationale for choosing a very limited number of participants. The criteria for selecting the sample should be delineated. How the sample will be selected should be discussed in full. Each step in this process must be included - from how, when, and who will make the initial contact with each individual, to how the person actually becomes designated as a study participant.

**Method of data collection.** The strategies of data collection, such as field notes, interviewing, participation-observation, historical process, content analysis, etc. should be described in detail. The rationale for choosing this method should be explained. The procedure for developing the specific method for the dissertation should also be discussed. If the method will be pilot-tested, describe the way this will be accomplished.

**Plan for protecting the human rights of the participants.** This section should address each of the components noted in the *IRB Manual*. The process of informed consent must be fully explained, and the consent form must follow the suggested one almost verbatim.

**Proposed plan for data collection.** The proposed plan for data collection should be delineated in a step-by-step manner. Points to consider include how the researcher will gain access to the setting, obtain the sample, obtain the data/observations, and then keep the data/ observations organized and retrievable. The plan for the storage of the material should also be included.

**Plans for analysis of data/observations.** The plan for the analysis of the data/observations should be described. If appropriate, the tentative framework for the analysis of the material should be highlighted. If the method for data analysis will be derived from the data, explain how this process will be pursued. The standards of the method of judging the quality of the specific



type of qualitative research should be addressed. For example, the concept of auditability or an audit trail may be noted. Other criteria, such as credibility, fittingness, or the utilization of primary sources as data for historical research, may be highlighted.

### Summary

Write one paragraph that summarizes what has been covered in the proposal.

### References

The list of references must begin on a new page. APA style requires that each reference in the list be double-spaced, with the first line left-justified and remaining lines indented .5" from the left margin. An individual reference should not be divided or split across pages.

### Appendices

Each appendix must have an appendix divider page. The appendices must be placed according to the order in which each is first mentioned in the text of the proposal. See Key Manuscript Pages section later in this manual. Include the following appendices as determined in consultation with the dissertation director and dissertation committee members:

**Budget. (Optional).** A listing of all anticipated expenses and the amount needed for each expense. This should include the complete cost of all dissertation-related expenses, including the purchase of commercially available tests or instruments to be used in data collection and other expenses to be incurred in data collection, typing, copying, and binding.

**Interview Guide/Tools.** A copy of each data collection tool is to be included in the appendix, including test instruments and student-made tools for collecting demographic or study data. A copy of the letter of permission from authors to use their unpublished tools must be included.

**Copyright Permission.** If copies of figures, illustrations, tools, or instructions are made from published sources, including those in appendices, a copy of the letter of permission from the copyright holder must be included. Original approval letters should be retained by the student.

**Agency Permission Request.** The letter or forms that will be used in requesting agency permission are included in the appendix as needed.

**Human Subjects Research Proposal Forms.** The completed forms that will be submitted for obtaining human subjects approval from the D'Youville College Institutional Review Board (IRB) should be included in the appendix. Note that application to the IRB is not made until the dissertation proposal has been fully approved in its entirety by the dissertation committee.

**Assent/Consent Forms.** Copies of assent and/or consent forms must be included.

**Script for Recruitment of Subjects.** Include printed materials to be distributed or posted to recruit subjects, and scripts of presentations to be made verbally to potential subjects.

**FORMAT 2:**  
**QUANTITATIVE STUDY -- SECTION FORMAT**

The proposal is written in separate sections in the third person, future or past tense, using the following format:

**Title Page** (see example in appendix)

**Abstract**

An abstract, typically ranging in length from 150 to 250 words, should be written to highlight the details of the proposal.

**Introduction**

The function of the introduction is to attract the reader's interest and attention. It is a broad overview of the problem to be studied. Documentation is neither necessary nor desired. It is concluded with a statement of the hoped-for accomplishment of the study and provides a smooth transition to the next part of the proposal.

**Statement of Problem(s) or Statement of Purpose(s)**

The purpose of the study is described in one or more specific statements that identify what is to be achieved or the objectives to be attained in relation to the problem selected.

**Conceptual Framework or Theoretical Framework**

The framework is an attempt to organize the phenomena under study into coherent systems, identify the relevant concepts and their relationships, and provide a framework for predicting the occurrence of the phenomena.

**Preliminary Review of the Literature (Literature Synopsis) (*optional*)**

This section covers the broad topics germane to the study. The content is derived from the literature with emphasis on the theoretical framework for the study and for related research studies. The areas of content should be identified with subheadings. Programs mandated to use APA format must document the content according to the rules in the 6<sup>th</sup> edition of the APA manual. There should be a concluding sentence or paragraph. This section is often removed when a full literature review is completed for the final dissertation.

**Significance and Justification**

The significance and justification is a summary based on existing literature evidence and clinical evidence that convinces the reader of the validity of the problem and that the study needs to be conducted.

**Assumptions (*optional*)**

Assumptions are those statements accepted as universal truths that have application to the study.

**Hypothesis/ Research Question / Specific Aims**

The writer may state hypotheses or research questions, depending upon the type of study. A hypothesis is a specific prediction or expected outcome of the study, stated positively or in the null form. The predictions are related to the problem in question. A research question is stated in the form of a question and seeks to identify characteristics of variables or relationships between variables.

**Definition of Terms**

This section serves to ensure that readers will interpret words or phrases not in the vernacular, but as the writer intends. The definition of terms used in the hypotheses or research questions should include words newly coined, use of words unique to the study, esoteric terminology, foreign words or phrases, and terminology having more than one interpretation, such as the terms *nurse* or *therapist*, for example. Both theoretical and operational definitions of terms should be included. See General Guidelines later in this manual for format suggestions.

**Variables**

This is a presentation of those variables having a bearing on the study that the researcher chooses to control and also states how the control will be exerted. The independent, dependent, and extraneous variables should be stated as appropriate.

**Limitations**

Statements of limitations may or may not be present. If included, a limitation is the recognition of a variable that has a bearing on the study but over which the researcher has no control.

### Procedure for Collection of Data

This part of the proposal begins with an introductory paragraph describing the research design. Subheadings must be used to denote the discrete elements comprising the collection of data and should follow this order:

**Introduction.** Describe the design of the study (e.g., retrospective chart review, case-control, experimental, survey).

**Setting.** Describe where the study will take place.

**Population and sample.** Describe the population from which the sample will be derived, method(s) for selection of sample, sample size, power analysis as appropriate, and method for randomization as appropriate.

**Data collection methods.** Describe in detail how data will be collected. Typically, this is done in a step-by-step, chronological fashion. Include specification of all data collection procedures.

**Human rights protection.** Describe how the safety, privacy, and rights of human subjects will be protected.

#### Tool to be used:

standardized--to include:

- how constructed
- how assessed for reliability and validity
- how administered
- modifications or additions made by the researcher
- permission from authors for tools not commercially available and purchased

developed by the researcher--to include:

- how constructed
- how assessed for reliability and validity
- how administered

**Treatment of data.** This is the anticipated statistical or content analysis of the data. It is based on the kind of data gathered and statistical methods to be used. This should describe both descriptive and inferential statistics as appropriate and brief explanations with references for statistics not familiar to the committee. Dummy tables planned to be included in the results section of the dissertation may be included to demonstrate data analyses. P values should be specified where appropriate.

### Summary

Write one paragraph that summarizes what has been covered in the proposal.

### References

The list of references must begin on a new page. APA style requires that each reference in the list be double-spaced, with the first line left-justified and remaining lines indented .5" from the left margin. An individual reference should not be divided or split across pages.

### Appendices

Each appendix must have an appendix divider page. The appendices must be placed according to the order in which each is first mentioned in the text of the proposal. See Key Manuscript Pages section later in this manual. Include the following appendices as determined in consultation with the dissertation director and dissertation committee members:

**Budget. (Optional).** A listing of all anticipated expenses and the amount needed for each expense. This should include the complete cost of all dissertation-related expenses, including the purchase of commercially available tests or instruments to be used in data collection and other expenses to be incurred in data collection, typing, copying, and binding.

**Tools.** A copy of each data collection tool is to be included in the appendix, including test instruments and student-made tools for collecting demographic or study data. A copy of the letter of permission from authors to use their unpublished tools must be included.

**Copyright Permission.** If copies of figures, illustrations, tools, or instructions are made from published sources, including those in appendices, a copy of the letter of permission from the copyright holder must be included. Original approval letters should be retained by the student.

**Agency Permission Request.** The letter or forms that will be used in requesting agency permission are included in the appendix, as needed.

**Human Subjects Research Proposal Forms.** The completed forms that will be submitted for obtaining human subjects approval from the D'Youville College Institutional Review Board (IRB) should be included in the appendix. Note that application to the IRB is not made until the dissertation proposal has been fully approved in its entirety by the dissertation committee.

**Assent/Consent Forms.** Copies of assent and/or consent forms must be included.

**Script for Recruitment of Subjects.** Include printed materials to be distributed or posted to recruit subjects, and scripts of presentations to be made verbally to potential subjects.

**FORMAT 3:**  
**QUANTITATIVE STUDY -- CHAPTER FORMAT**

The proposal is written in the third person, future or past tense, using the following chapter format. The proposal may serve as the first three chapters of the dissertation manuscript. This is determined by your Program Graduate Director.

**Title Page** (see example in appendix)

**Abstract**

An abstract, typically ranging in length from 150 to 250 words, should be written to highlight the details of the proposal. Good abstracts include background, objectives, methods, results, and conclusions to be drawn from the proposed research.

**Chapter I**  
**Introduction**

The function of the introduction is to attract the reader's interest and attention. It is a broad overview of the problem to be studied. Documentation (e.g., references) is not necessary, although it may be requested by your Committee. It is concluded with a statement of the hoped-for accomplishment of the study and provides a smooth transition to the next part of the proposal.

**Statement of Problem(s) or Statement of Purpose(s)**

The purpose of the study is described in one or more specific statements that identify what is to be achieved or the objectives to be attained in relation to the problem selected.

**Conceptual Framework or Theoretical Framework**

The framework is an attempt to organize the phenomena under study into coherent systems, identify the relevant concepts and their relationships, and provide a framework for predicting the occurrence of the phenomena.

**Preliminary Review of the Literature (Literature Synopsis) (optional)**

This section is *optional*, covers the broad topics germane to the study. The content is derived from the literature with emphasis on the theoretical framework for the study and for related research studies. The areas of content should be identified with subheadings. Programs mandated to use APA format must document the content according to the rules in the 6<sup>th</sup> edition of the APA manual. There should be a concluding sentence or paragraph. This section is often removed when a full literature review is completed for the final dissertation.

**Significance and Justification**

The significance and justification is a summary based on existing literature evidence and clinical evidence that convinces the reader of the validity of the problem and that the study needs to be conducted.

**Assumptions (optional)**

Assumptions are those statements accepted as universal truths that have application to the study.

**Hypothesis / Research Question / Specific Aims**

The writer may state hypotheses or research questions, depending upon the type of study. A hypothesis is a specific prediction or expected outcome of the study, stated positively or in the null form. The predictions are related to the problem in question. A research question is stated in the form of a question and seeks to identify characteristics of variables or relationships between variables.

**Definition of Terms**

This section serves to ensure that readers will interpret words or phrases not in the vernacular, but as the writer intends. The definition of terms used in the hypotheses or research questions should include words newly coined, use of words unique to the study, esoteric terminology, foreign words or phrases, and terminology having more than one interpretation, such as the terms *nurse* or *therapist*, for example. Both theoretical and operational definitions of terms should be included. See General Guidelines later in this manual for format suggestions.

**Variables**

This is a presentation of those variables having a bearing on the study that the researcher chooses to control and also states how the control will be exerted. The independent, dependent, and extraneous variables should be stated as appropriate.

**Limitations**

Statements of limitations may or may not be present. If included, a limitation is the recognition of a variable that has a bearing on the study but over which the researcher has no control.

**Summary**

Write one or two paragraphs that summarize what has been covered in chapter I.

**Chapter II****Review of the Literature**

This chapter contains a comprehensive survey of all material relevant to the problem under study. Chapter II contains the following types of information:

1. Expansion of the conceptual or theoretical framework used in the study. (Note that some dissertation directors do not require this in Chapter II if they feel it was sufficiently covered in Chapter I)
2. Review of related research studies
3. Review of literature related to the tools, instruments, and methodology used
4. Summary paragraph concluding the chapter.

**Chapter III****Procedures**

This chapter is a presentation of the methodology utilized in the study. It begins with a very brief introduction describing the research design. An alternate title for this chapter is "PROCEDURES FOR COLLECTION AND TREATMENT OF DATA".

The subheading sequence includes at least the following:

**Introduction**

Describe the design of the study (e.g., retrospective chart review, case-control, experimental, survey).

**Setting**

Describe where the study will take place.

**Population and Sample**

Describe the population from which the sample will be derived, method(s) for selection of sample, sample size, power analysis as appropriate, and method for randomization as appropriate.

**Data Collection Methods**

Describe in detail how data will be collected. Typically, this is done in a step-by-step, chronological fashion. Include specification of all data collection procedures.

**Human Rights Protection**

Describe how the safety, privacy, and rights of human subjects will be protected.

**Tool(s):**

- if standardized--to include:
  - how constructed
  - how assessed for reliability and validity
  - how administered
  - modifications or additions made by the researcher
  - permission from authors for tools not commercially available and purchased
- if developed by the researcher--to include:
  - how constructed
  - how assessed for reliability and validity
  - how administered

**Treatment of Data**

This is the anticipated statistical or content analysis of the data. It is based on the kind of data gathered and statistical methods to be used. This should describe both descriptive and inferential statistics as appropriate and brief explanations with references for statistics not familiar to the committee. Dummy tables planned to be included in the results section of the dissertation may be included to demonstrate data analyses. P values should be specified where appropriate.

**Summary**

Write one paragraph that summarizes what has been covered in chapter III of the proposal.

**References**

The list of references must begin on a new page. APA style requires that each reference in the list be double-spaced, with the first line left-justified and remaining lines indented .5" from the left margin. An individual reference should not be divided or split across pages.

**Appendices**

Each appendix must have an appendix divider page. The appendices must be placed according to the order in which each is first mentioned in the text of the proposal. See Key Manuscript Pages section later in this manual. Include the following appendices as determined in consultation with the dissertation director and dissertation committee members:

**Budget. (Optional).** A listing of all anticipated expenses and the amount needed for each expense. This should include the complete cost of all dissertation-related expenses, including the purchase of commercially available tests or instruments to be used in data collection and other expenses to be incurred in data collection, typing, copying, and binding.

**Tools.** A copy of each data collection tool is to be included in the appendix, including test instruments and student-made tools for collecting demographic or study data. A copy of the letter of permission from authors to use their unpublished tools must be included.

**Copyright Permission.** If copies of figures, illustrations, tools, or instructions are made from published sources, including those in appendices, a copy of the letter of permission from the copyright holder must be included. Original approval letters should be retained by the student.

**Agency Permission Request.** The letter or forms that will be used in requesting agency permission are included in the appendix, as needed.

**Human Subjects Research Proposal Forms.** The completed forms that will be submitted for obtaining human subjects approval from the D'Youville College Institutional Review Board (IRB) should be included in the appendix. Note that application to the IRB is not made until the dissertation proposal has been fully approved in its entirety by the dissertation committee.

**Assent/Consent Forms.** Copies of assent and/or consent forms must be included.

**Script for Recruitment of Subjects.** Include printed materials to be distributed or posted to recruit subjects, and scripts of presentations to be made verbally to potential subjects.

**FORMAT 4:****QUANTITATIVE STUDY – HEALTH SERVICES ADMINISTRATION SECTION FORMAT**

The proposal is written in separate sections in the third person, future or past tense, using the following format:

- I. Abstract**
- II. Introduction and Literature Review**
  - a. Background/introduction to describe the study problem
  - b. Provide a synthesis of the findings from key papers (peer reviewed studies, white papers, etc.) related to your topic, demonstrating what is known and not known
  - c. Using the findings from the literature, make the argument for why the study is important (i.e., why should we read this paper and look forward to the results) Specific aims (what one or two key questions do you intend to answer?)
  - d. Conceptual model
- III. Methods**
  - a. Study design
  - b. Sample and setting
  - c. Description of who and how many will participate in the study
  - d. Inclusion/exclusion criteria
    - i. Description of the data sources – where the participants or records will come from
    - ii. Power analysis, if applicable
    - iii. Ethical considerations (e.g., IRB approval will be obtained, data will be de-identified)
    - iv. Definition of measures
  - e. How variables in the study will be defined
    - i. Procedures
  - f. Describe process of enrollment or record selection
    - i. What is your plan for missing data
    - ii. Analysis plan
  - g. Software programs that will be used to collect, manage and statistically analyze your data
    - i. Statistical analysis plan (descriptive and bivariate statistics, multivariate or modeling analysis plan)
- IV. Potential implications**
- V. References**
- VI. Appendix**
  - a. Data definitions, coding table, code/log book
  - b. Template for the descriptive and bivariate results table
  - c. Template for the the multivariate/modeling results table
  - d. IRB application and accompanying documents (e.g. Consent forms, data collection tools, recruitment script)
  - e. Data use agreements
  - f. Budget (optional)

The completed dissertation is written in separate sections in the third person, future or past tense, using the proposal format with the following alterations:



- I. **Abstract**
- II. **Introduction and Literature Review**
  - a. Background/introduction to describe the study problem
  - b. Provide a synthesis of the findings from key papers (peer reviewed studies, white papers, etc.) related to your topic, demonstrating what is known and not known
  - c. Using the findings from the literature, make the argument for why the study is important (i.e., why should we read this paper and look forward to the results) Specific aims (what one or two key questions do you intend to answer?)
- III. **Methods**
  - a. Study design
  - b. Sample and setting
  - c. Description of who and how many participated in the study
  - d. Inclusion/exclusion criteria
    - i. Description of the data sources – where the participants or records came from
    - ii. Descriptive table for study participants
    - iii. Ethical considerations (e.g., IRB approval was received)
    - iv. Definition of unique measures
  - e. How unique variables were defined
    - i. Procedures
  - f. Describe process of enrollment or record selection
    - i. How missing data were handled
    - ii. Analysis plan
  - g. Software programs used to collect, manage and statistically analyze the data.
    - i. Description of the statistical analysis
- IV. **Results**
  - a. Present results of statistical analyses
  - b. Tables of bivariate and multivariate statistics and/or modeling results
- V. **Discussion**
  - a. Interpret results of your statistical analysis
  - b. Describe how the results relate to previous findings
  - c. Describe how the results impact managerial or health care practice
  - d. Discuss study limitations and future studies
- VI. **Conclusion: Brief summary of study implications**
- VII. **References**
- VIII. **Appendix**
  - a. Conceptual model (if applicable)
  - b. Data definitions, coding table, code/log book (if applicable)
  - c. Executive Summary
  - d. IRB application, accompanying documents (e.g. Consent forms, data collection tools, recruitment script) and approvals
  - e. Copyright permission (if applicable)
  - f. Data use agreements (if applicable)
  - g. Budget (if applicable)

## **DISSERTATION PROPOSAL PRESENTATION**

### **APPROVAL TO PRESENT**

After the dissertation proposal has been completed and the dissertation director has given his or her recommendation for presentation, a final copy of the dissertation proposal is distributed by the student to each committee member at least 10 working days prior to the scheduled presentation, however, at least 20 working days may be needed by the committee if submitted during the first or last two weeks of the semester. Electronic copies are permitted, but Committee members who request them must be provided with paper copies. Committee members may provide feedback to the dissertation director regarding readiness for presentation of the dissertation proposal. Committee members with serious concerns regarding readiness for presentation of the dissertation proposal should notify the student and other Committee members prior to the presentation.

### **SCHEDULING**

The student schedules the proposal presentation in consultation with the dissertation director and the committee members. It is the student's responsibility to ensure that all committee members are provided with a final confirmed proposal presentation date, time, and location. Presentation software, overhead projectors, etc., may be utilized. It is the student's responsibility to make arrangements for any projection and/or computer equipment needed.

### **POSTING**

Posting of the date, time, topic, and student's name will be at the discretion of the department.

### **GUESTS**

The Proposal Defense is open to guests at the discretion of the student and dissertation committee. Guests leave the room while committee members meet in closed session to formulate their evaluation.

### **THE PRESENTATION**

The student presents the dissertation proposal to the committee and all components of the planned study are discussed. The student begins the presentation with a summary or review of the content of the dissertation proposal. The summary or review should focus on the nature of the problem under study and the ways in which the problem will be studied. All components of the study are then open for discussion by the committee. The purpose of the defense is for the student to justify the planned study in terms of its significance, contribution to the literature, and the suitability of the chosen methodology for addressing the identified problem.

At the presentation, changes in the study may be recommended and accepted by the student and the committee. One of the purposes of the presentation is to strengthen the proposed research. If changes in the written proposal are needed, the committee may decide to either meet for another presentation or have the dissertation director review and approve the changes on behalf of the committee.

### **REVIEW CRITERIA**

The following criteria may be reviewed in order for the dissertation proposal to be accepted:

1. Problem under study is stated definitively.
2. Theoretical basis for the study is identified and the relationship of the theoretical base to the study is documented.
3. Problem is researchable.
4. Feasibility of the study is substantiated.
5. Methodology of the study is sound and justified in relation to the problem.
6. Projected analysis of the data is appropriate and justified in relation to the problem.
7. Sites available for conducting the research are identified.
8. Availability of sufficient subjects is identified, and all human rights considerations are fully explored if human subjects are utilized.
9. Written proposal is grammatically correct, acceptable composition, and consistent with the program's mandated style.

### **APPROVAL OF THE DISSERTATION PROPOSAL**

The student must demonstrate the ability to respond with knowledge, competence, and confidence to the questions of the total committee. There must be unanimous agreement among the committee members that the review criteria have been met. At the conclusion of the questions, the committee members meet in closed session to formulate their evaluation, and record their decision and signatures on the F-DP form, provided by the student. The student is notified of the committee's decision and recommendation(s) when he or she is recalled to the room, usually within 10-15 minutes.

## FILING THE PROPOSAL AND DISSERTATION PROPOSAL FORM

Only after the dissertation proposal is approved in its final form, with all appropriate signatures and dates recorded on the Approval of Graduate Research Proposal (F-GRP) Form, is the final dissertation proposal given to the Program Graduate Director (PGD) for filing of the proposal in the student's file.

The student is responsible for submitting the copies of the F-GRP Form to the PGD. The PGD will send one copy to the GSO, keep one copy, and send one copy to the student for his or her own records. This form must be fully approved prior to making application to the IRB. See sample Form in the appendix. Actual forms may be obtained online at the Graduate Studies website: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx).

## HUMAN SUBJECTS APPROVAL

### INSTITUTIONAL REVIEW BOARD

In accordance with federal guidelines to institutions conducting research involving human subjects, the Institutional Review Board (IRB) of D'Youville College was established. It is the function of this Board to assess the balance between the risks to human participants and the benefits that may be expected from proposed research.

No research study of any kind by any student affiliated with D'Youville College may be initiated until the D'Youville College IRB has granted full approval for the study.

The *IRB Manual* was developed to describe the types of human subjects review, application forms and procedures, possible IRB dispositions of applications, definitions, and examples of terms used in human subjects review applications. It also provides specific information required for informed consent forms and includes an example of an informed consent form. Consult the manual to begin preparing the IRB application. *IRB Manuals* and application forms are available online at the D'Youville College Institutional Review Board (IRB) website: <http://www.dyc.edu/academics/research/irb.aspx>.

### AGENCY APPROVAL

When research will be conducted at locations other than the College, the researcher will generally have to receive approval from the other institution as well. In these cases, the researcher should first secure preliminary approval from the other institution to conduct the research at that location. This preliminary approval typically involves either verbal or written approval from an official at the other institution that the study would be welcome – this should NOT include submission to, or approval from, the IRB at the other institution. The researcher should then take the first step to formally apply for approval through the D'Youville College IRB. **ONLY when full approval has been granted by the College should the researcher formally apply for approval at the other institution.** Often, the process of having the research reviewed first at the College facilitates a more efficient review at the other institution.

**IN NO CASE MAY FORMAL APPLICATION TO ANOTHER IRB BE INITIATED  
UNTIL FULL APPROVAL FROM THE D'YOUVILLE COLLEGE IRB HAS BEEN GRANTED!**

## COMPLETION OF THE DISSERTATION

The following guidelines provide information relevant to the writing of the dissertation and defense of the dissertation.

The dissertation defense does not occur until all members of the committee have adequate information and time to review the dissertation. At least 10 working days are needed for dissertation reviews; however, at least 20 working days may be needed by the committee if submitted during the first or last two weeks of the semester.

Many faculty are not available between May commencement and the beginning of Fall semester, so schedule dissertation defenses accordingly.

### PARTS OF THE DISSERTATION

The dissertation is written in the third person, past tense, using one of the formats described above and determined by the student's dissertation director. The writing style for the dissertation (e.g., AMA, APA, APTA, Chicago, or MLA) will be determined by the student's program.

While the dissertation proposal follows one of the formats described above (e.g., qualitative study – section format, quantitative study – chapter format, quantitative study – section format), an additional format for the finished dissertation is often encouraged by the programs - **the Journal Article Manuscript Option**. This format allows students to complete their dissertation by substituting a publishable paper, or journal article manuscript of their study for the typical chapter format of the dissertation (e.g., Chapter IV – Results and Chapter V – Discussion). The guidelines for the Journal Article Manuscript Option for the dissertation are described in their own section below. The guidelines here begin with the typical Chapter format for the dissertation.

The student will note that the description of the first three chapters of a dissertation, when written in chapter format, will be based, in part, on the first three chapters of the dissertation proposal. After reviewing the Parts of the Dissertation, a checklist is provided to help students to convert their existing dissertation proposals to the final dissertation format.

The finished dissertation includes several preliminary pages, numbered in Roman numerals. These include:

- i. **Title Page**
- ii. **Copyright Page (single-spaced)**
- iii. **Dissertation Approval Page (with Discipline Lines completed by student)**
- iv. **Abstract Page (no indents, 150–250 words)**
- v. **Acknowledgment Page(s) (optional)**
- vi. **Table of Contents**
- vii. **List of Tables (optional)**
- viii. **List of Figures (optional)**
- ix. **List of Appendices**

These preliminary pages are typically followed by five dissertation chapters (when written in chapter format):

- I. **Introduction**
- II. **Review of Literature**
- III. **Procedures**
- IV. **Results**
- V. **Discussion**

These chapters are then followed by **References** pages, and finally, all necessary **Appendices**. The following sections provide more detail with regard to each of these Parts of a Dissertation.

## Chapter I

### Introduction

This chapter typically consists of elements derived from the proposal. Because the proposal, when written in chapter format, contains the first three chapters of the final dissertation, the following sections are included in the final dissertation. Each of these sections was described previously regarding the dissertation proposal, and will not be repeated here. However, there are some important steps to convert the dissertation proposal to the finished dissertation. The student should consider that the final results presented in the dissertation chapter IV, or the final discussion of the results in chapter V, will produce new insights, or new literature, that must be included in previous chapters. The Introduction in chapter I may need to be updated, additional variables may have been included that do not appear in the “Variables” section of the proposal. Further, new limitations may be noted that will need to be added to Limitations section of chapter I as well. New Terms may be added in chapters IV and V that require addition to the Definition of Terms section.

The student should review each of the sections in chapter I for changes in verb tense. If the proposal was written in future tense, the finished dissertation will require review of all chapters to ensure that the verb tense indicates the completion of the research.

Here are the parts of chapter I that should be reviewed when the dissertation writing has been completed:

#### **Introduction**

#### **Statement of Problem - or - Statement of Purpose**

#### **Conceptual Framework - or - Theoretical Framework**

#### **Preliminary Review of the Literature (Literature Synopsis) (optional)**

#### **Significance and Justification**

#### **Assumptions (optional)**

#### **Hypothesis(es) - or - Research Question(s) - or - Specific Aims**

#### **Definition of Terms**

#### **Variables**

#### **Limitations**

#### **Summary (paragraph concluding the chapter)**

## Chapter II

### Review of the Literature

This chapter contains a comprehensive survey of all material relevant to the problem under study. Once again, new literature may have become available during the time period of the conduct of the dissertation, and this may require being added to chapter II. Any new literature that appears in chapters IV and/or V may need to be added to chapter II as well.

Chapter II contains the following types of information:

1. Expansion of the conceptual or theoretical framework used in the study. (Note that some dissertation directors do not require this in Chapter II if they feel it was sufficiently covered in Chapter I)
2. Review of related research studies
3. Review of literature related to the tools, instruments, and methodology used
4. Summary paragraph concluding the chapter.

### **Chapter III**

#### **Procedures**

This chapter is a presentation of the methodology utilized in the study. It begins with a very brief introduction describing the research design. An alternate title for this chapter is “Procedures for Collection and Treatment of Data”. This chapter is the one from the proposal most likely to be updated after writing chapters IV and V. Any changes in the methodology of the study; number of subjects/participants (Population and Sample), sequence of procedural steps (Data Collection Methods); changes due to IRB regulations (Human Rights Protection), etc., must be updated in this chapter. Any changes in the tools used (Tools), or in the analysis of data (Treatment of Data) must be noted here as well. Finally, verb tense is most likely to require updating here, as chapter III is often written in the future tense at the proposal stage, but re-written in the past tense at the stage of the finished dissertation.

The subheading sequence includes at least the following:

##### **Introduction**

##### **Setting**

##### **Population and Sample**

##### **Data Collection Methods**

##### **Human Rights Protection**

##### **Tool(s)/Instrument(s)**

##### **Treatment of Data (methods of analysis)**

##### **Summary (paragraph concluding the chapter)**

### **Chapter IV**

#### **Results**

This chapter is new; and not included with the proposal. This chapter includes a presentation of the study results. It begins with a brief introduction describing the purpose of the study and the hypothesis tested or research question addressed. An alternate title for this chapter is “Analysis of Data”. This chapter often contains several tables of results that must follow the chosen style format for the dissertation. Typically, each of these tables must appear on its own page, with no text on the page, and one table per page. Any statistical symbols must appear in italics and properly spaced (e.g.,  $p < .05$ ; or  $t(42) = 2.21, p < .05$ ).

Subheadings include:

##### **Introduction**

##### **Description of the Sample (demographics)**

##### **Tests of Hypothesis(es) or Research Question(s)**

##### **Tools or Instruments**

##### **Serendipitous Findings (*optional* – this usually includes unanticipated or unexpected findings)**

##### **Summary (paragraph concluding the chapter).**

## Chapter V

### Discussion

This is the final chapter of the dissertation. An alternate title for this chapter is “Summary, Conclusions, Implications, and Recommendations”. It begins with an introductory paragraph entitled “Summary”. The chapter has four main sections, with the Conclusions section including several subheadings to reflect the various conclusions to be included with the final dissertation. Seek guidance from the dissertation director regarding which of the Conclusions subsections must be included in the dissertation.

**Summary** (brief review of entire study)

**Conclusions** (an exposition of all possibilities that can be derived from the study, drawn about each of the areas below as appropriate). The choice of which of these options to include in the dissertation is determined by the Dissertation Director, and Committee Members, as appropriate:

**Relationship of the Results to the Conceptual Framework.**

**Relationship of the Results to the Literature.**

**Relationship of the Results to the Hypothesis or Research Question. (*optional*)**

**Relationship of the Results to the Variables. (*optional*)**

**Relationship of the Results to the Study Design and Data Collection Methods. (*optional*)**

**Relationship of the Results to the Tool(s) and/or Instrument(s) Used. (*optional*)**

**Relationship of the Results to the Statistical and Data Analysis Methods. (*optional*)**

**Implications for (*choose one: Practice, Management, or Education*)**

**Recommendations for Future Research.**

**References** (must begin on a new page with the Word **References** at the top, bolded, centered, and double-spaced). From the proposal to the dissertation, references may be required to be added to the text, and therefore must be added here as well.

**Appendices** are placed in the order in which they are first mentioned in text. Any additional appendices that have been added since the proposal must be included, especially the letter of full approval received from the IRB after the completion of the proposal. Appendices should include, as appropriate:

- A letter of full approval from the college’s Institutional Review Board
- B script for recruitment of subjects
- C assent/consent forms
- D letters giving permission to reproduce published material or use unpublished material
- E tools
- F demographic sheet
- G any inclusion which contributes to the strength or content of the study.

**NOTE:** Because of the potential for violating confidentiality, the appendices should not include any information that identifies where data were collected. Consistent with the goal of maintaining confidentiality, copies of letters giving the researcher permission to conduct the study at a particular location such as a hospital, clinic, school or business, should be given to the dissertation director for filing in the department’s student file. The originals should be kept by the student.

Each appendix must include an appendix divider page (see Preparation of the Dissertation Manuscript section below). Text on the appendix divider pages should be centered, double-spaced, with a first line 10 double-spaced lines from the top of the page. The first line should include the word Appendix, followed by a letter of the alphabet denoting its place in the order of the appendices, the entire line should be bolded, and followed by double-spaced title lines that are not bolded. All appendix pages should be consecutively numbered, with the same running head at the top of every page as the remainder of the dissertation.

The following pages contain a suggested checklist for converting the dissertation proposal to the dissertation in preparation of its final defense. The pages also include a suggestion for managing forms to be presented to the Graduate Office for final dissertation completion. Students may wish to print these pages out, and go through each step to ensure that all steps have been completed before attempting to defend the dissertation.

### **Suggested Steps to Convert a Proposal to a Dissertation, and to Prepare for the Dissertation Defense**

Often, students are uncertain what to do next after their dissertation proposals have been approved by their Dissertation Chairs. The steps outlined here are designed to serve as a guide for students toward finishing their final dissertation by converting the proposal to a finished dissertation. You may start to complete the steps listed here below immediately upon completing your proposal. As you complete each step, check off the box which signifies that you completed that step.

#### **Step 1: TITLE PAGE:**

- Change Title Page to reflect that the document is now "A Dissertation", not "A Dissertation Proposal"
- Change Title Page to reflect the Official Date of Dissertation Defense, when known

#### **Step 2: ABSTRACT PAGE:**

- Revise the Abstract to reflect the results you found, and their implications

#### **Step 3: PRELIMINARY PAGES:**

Preliminary pages of a dissertation proposal are numbered using Roman Numerals, and often contain ONLY:

- i. Title Page
- ii. Abstract Page

CHECK to make sure that the Preliminary pages of your finished dissertation are also numbered using Roman Numerals, and that they contain ALL of the following pages:

- i. Title Page
- ii. Copyright Page (single-spaced!)
- iii. Dissertation Approval Page (with Names and Discipline Lines completed by student)
- iv. Abstract Page (no indents and a range of 150-250 words!)
- v. Acknowledgment Page(s) (optional)

#### **Step 4: TABLE OF CONTENTS PAGES:**

- vi. Table of Contents Pages - typically, these will run over a single page. Thus it is recommended that these be split into two pages by breaking the first page before the RESULTS section. The first page of the Table of Contents includes:
  - List of Tables
  - List of Figures (optional)
  - List of Appendices
  - Only INTRODUCTION, REVIEW OF THE LITERATURE, and PROCEDURES sections
  - All subheadings listed on this page are single-spaced
  - Check ALL subheadings to make sure that they MATCH PERFECTLY - word-for-word, letter-for-letter, capital-for-capital - with what appears in the text
  - All page numbers here must match with those in the final text
- vii. Second Table of Contents Page, including:
  - Only RESULTS and DISCUSSION sections
  - All subheadings listed on this page are single-spaced
  - Check ALL subheadings to make sure that they MATCH PERFECTLY - word-for-word, letter-for-letter, capital-for-capital - with what appears in the text
  - References and Appendices lines are **double-spaced**, flush left (not indented)
  - All page numbers here must match with those in the final text



**Step 5: LIST OF TABLES PAGES:**

- Make sure all tables that include sample sizes have N or n in their titles, in italics!
- ALL tables included in text MUST appear in the list on this page
- Titles must match text EXACTLY
- Page numbers of tables must match to text EXACTLY

**Step 6: LIST OF FIGURES PAGES (if present):**

- ALL figures included in text MUST appear in the list on this page
- Figure titles must match text EXACTLY
- Page numbers of figures must match to text EXACTLY

**Step 7: LIST OF APPENDICES PAGE:**

- ALL appendices included in text MUST appear in the list on this page
- Appendix titles must match text EXACTLY
- Page numbers of appendices must match to appendix divider pages in text EXACTLY

**Step 8: IRB APPROVAL PAGE:**

- Include a copy of Letter of Approval from the D'Youville IRB, and revise Chapter III accordingly to reflect that the appropriate Appendix now includes Letter of Approval instead of IRB Application Materials

**Step 9: REVIEW OF CHAPTERS 1-3 OF PROPOSAL:**

Very often, the final results of a dissertation data analysis, or the final discussion of the results in chapter V, will produce new insights, or new literature, that must be included in previous chapters. The Introduction in chapter I may need to be updated, additional variables may have been included that do not appear in the “Variables” section of the proposal. Typically, the number of subjects may change when data collection actually takes place, and therefore the “Population and Sample” section of chapter III will need to change.

The final dissertation MUST include all of these changes to ensure its accuracy:

- Review ALL sections of chapters I-III to ensure that verb tense has been updated to past tense – the study WILL not be conducted; it HAS BEEN conducted.
- ALL sections of chapter I must be reviewed and updated, as needed.
- ALL sections of chapter II must be reviewed and updated, as needed.
- No NEW literature should appear in chapters IV or V that have not been included in the literature review.
- “Setting” and “Population and Sample” sections of chapter III must be reviewed to reflect the final results of the study – update sample size, population, and setting, as needed.**
- The “Procedures” section of chapter III must be reviewed to reflect the final results of the study – it is very important to have this section change to accommodate the realities encountered during the conduct of the study.**
- The “Human Rights Protection” section of chapter III must be reviewed to reflect the final results of the study – it is very important to have this section change to accommodate any changes in the proposed conduct of the study.**
- Any new tools designed for data collection must be included in the “Tools” section of chapter III.
- Any change, or addition, to the statistical analysis of the data must be included in the “Treatment of Data” section of chapter III.

**Step 10: REFERENCES PAGES:**

- Re-check ALL references to be sure that they ALL appear in text.
  - 1.) Separate References pages from the rest of the dissertation,
  - 2.) Begin with Title page,
  - 3.) Check for ANY reference on ANY PAGE,
  - 4.) If there is a reference on the page;
    - a. Does author(s) match PERFECTLY to References pages?
    - b. Does date match PERFECTLY to References pages?
    - c. If references now match, put a checkmark next to the reference on the References page, and on the reference in text.
  - 5.) Move on to the next reference found in text.
  
- When you have finished steps 1-5 for ALL references in the text, ANY references MISSING a checkmark must be corrected, re-discovered in the text, or deleted from the reference list.

**Step 11: APPENDICES PAGES:**

- Each Appendix has an Appendix Divider page
- Each Appendix appears IN THE ORDER it appears in the text. Thus, if chapter I refers to an appendix, then that appendix must appear first, as Appendix A, in the appendix pages at the back, and on the preliminary List of Appendices page.
- Appendices do not need to follow the APA guidelines with regard to formatting: they may appear in landscape format, appear in different fonts or different sized fonts, or include bolding. Every appendix page, however, must conform to dissertation margin requirements, and must have a header page that matches all other pages in the dissertation.

**Step 12: PREPARING FOR THE DEFENSE OF THE DISSERTATION:**

- Obtain an “Approval of Completed Graduate Research” (F-GRC) Form and complete the upper third of this form. Follow the directions included in Appendix A of this Handbook.

**Remember to bring this Form to your Defense!**

**Bring these to your Defense also, and make sure that you get signatures on these pages at the defense!**

### **JOURNAL ARTICLE MANUSCRIPT OPTION FOR DISSERTATION CHAPTERS IV AND V**

As noted above with regard to the approved formats for a dissertation, one of the most popular formats is that of the Journal Article Manuscript. The student prepares and defends a three-chapter proposal written in the traditional dissertation format. Following data collection and analysis, the student prepares an article manuscript following the author's guide of a suitable peer-reviewed journal in the student's discipline. The student follows all of the customary procedures, including dissertation defense and presentation of results. The entire dissertation manuscript is bound with all of the same preliminary pages and appendices as in the traditional dissertation format. The dissertation would include two separate reference lists, one for the proposal and one for the article. The major difference between the *traditional* and *article* format is that the article replaces chapters 4 and 5. The article may appear in a format appropriate to a suitable peer-reviewed journal. The student is not required, but is very much encouraged, to submit the article for publication to meet the requirements for graduation. The Journal Article format includes:

**Preliminary pages**, exactly the same as the traditional format described above

**Chapter or Section 1: Introduction**

**Chapter or Section 2: Review of the Literature**

**Chapter or Section 3: Procedures**

**Proposal References**

**Appendices (for proposal only)**

**Article Manuscript:**

**Chapter or Section 4: Follow author's guide of suitable peer-reviewed journal for article sections and style as agreed upon by the committee at proposal defense.**

**Appendices (for both proposal and article)**

Students are strongly encouraged to have a discussion with their dissertation director and thoroughly explore the following areas before embarking on the journal article option in lieu of Chapters IV and V for their dissertation. Agreement on these issues is important to protect the rights and interests of the student as well as the committee members in this process.

#### **Selecting the Option:**

There needs to be formal and complete agreement in reaching the decision to produce a journal article in place of chapters IV and V of the dissertation. Student and dissertation advisor need to be in agreement before the student undertakes this option. The dissertation committee should be informed of the selection of the journal article option, and as early as possible, the journal to which the student expects to submit the manuscript. It should not be chosen as an option late in the dissertation completion process, especially without notifying all committee members.

#### **Rights, Roles and Responsibilities:**

Publishing material, the ownership of the data, authorship of the article, and timeline for submission of the manuscript are critical issues to clarify for both the student and faculty prior to the conduct of the dissertation. Students are encouraged to have discussions with faculty at the outset of the dissertation on each of these topics and others as needed for all parties. The student, dissertation director and the members of the dissertation committee need to be in agreement regarding rights, roles and responsibilities, including, but not limited to:

- data ownership and access to data by non owners following completion of the thesis
- authorship of the article - whose name will appear and in what order of placement
- timeline for submission of the article
- circumstances in which someone other than the student might submit the work for publication

The student, in consultation with the director, is responsible for providing the committee with the selected journal's manuscript submission guidelines prior to the dissertation defense. These guidelines are also to be provided to the Graduate Studies Office at the time the dissertation is presented for the outside reader.

#### **Timing of Agreement:**

Agreement on all of these issues need not be reached before the proposal defense. However, agreement should be reached before the student undertakes writing the journal article.

#### **Documenting the Agreement:**

The agreement should be formalized in writing and signed by the student, the dissertation director, and the committee members. The agreement may be revised should the roles or contributions of the participants, student, dissertation director, and committee members change in a significant way from those envisioned when the original agreement was reached. The document resides in the student's research file in both the student's department and in the Graduate Studies Office.

## THE DISSERTATION DEFENSE

### Approval to Defend

After the dissertation has been completed and the dissertation director has given his or her recommendation for defense, a final copy of the dissertation is distributed to each committee member. Electronic copies may be preferred by some Committee Members, but paper copies must be supplied upon request. Copies should be distributed no later than 10 working days prior to the scheduled defense (20 days during the last 2 weeks of the semester).

### Scheduling

The student schedules the defense in consultation with all committee members and ensures that all committee members are provided with a confirmed defense date, time, and location. It is the student's responsibility to make arrangements for any projection equipment needed.

### Guests

The student may invite guests to the defense. Guests may not be invited by the dissertation committee without the student's permission. Guests must leave the room after the defense so that committee members may meet in closed session to formulate their evaluation.

### The Defense

The student presents the dissertation to the committee and all components of the study are discussed. The purpose of the defense is for the student to demonstrate understanding of the study and to present due cause for acceptance of the study by responding to the questions and challenges from the committee. The student begins the defense by presenting a brief (10-15 minutes) summary of the content of the dissertation. The summary should focus on the nature of the problem and the way in which the problem was successfully studied.

### Review Criteria

Questions and challenges that may be addressed by the dissertation committee include:

1. Relationship of the study to existing literature,
2. Justification of approaches or techniques used in the study,
3. Explanation of statistics, data analysis, and interpretation of results,
4. Application of the results to practice,
5. Presentation of what the student would have done differently after the experience of having completed the study,
6. Identification and substantiation of the most significant implications and recommendations of the study.

### Approval of the Dissertation Defense

The student must demonstrate the ability to respond with knowledge, competence, and confidence to the questions and challenges of the total committee. There must be unanimous agreement among the committee members that the criteria have been met. At the conclusion of the questions, the committee members meet in closed session to formulate their evaluation. The student is notified of the committee's decision and recommendation(s) when he or she is recalled to the room, usually within 10-15 minutes.

It is suggested that students take at least 2 (and up to 5) copies of page iii (signature page) to the defense for signing by committee members at the defense. This avoids looking for members later (especially in summer months).

## FILING THE DISSERTATION DEFENSE FORM

After the dissertation defense is approved, signatures of the student and all three committee members are recorded on the Approval of Completed Graduate Research (F-GRC) Form. The student is then responsible for submitting this form to the student's Program Graduate Director (PGD). The PGD will send one copy to the GSO, keep one copy, and send one copy to the student for his or her records. This form must be fully approved prior to submitting the dissertation manuscript to the GSO Outside Reader. See sample Form in the appendix. Forms may be obtained online at:

[http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx).

## PREPARATION OF THE DISSERTATION MANUSCRIPT

There are a number of persons responsible for both the preparation and acceptance of the final copy of the dissertation including the student, dissertation director, dissertation committee, Outside Reader for Graduate Studies, Graduate Studies Secretary, and the Director of Doctoral and Graduate Programs. However, it is the student's responsibility to make sure that the dissertation meets all of the requirements of the Graduate Office and the doctoral program. **Dissertation Directors and Program Graduate Directors will be responsible for notifying students of formatting errors, but will not serve as copy editors for the students. The students have the responsibility for preparing properly-formatted dissertations.**

Typically, a student prepares the dissertation. However, should the student place the final draft in the hands of a typist, it should be clear to the student that the typist is not responsible for correcting errors in grammar or verifying the arithmetic accuracy of tables. The typist is responsible for supplying the student with a well-typed, attractive-looking copy that meets the standards of the College as to form and format. It is the student's responsibility to see that the typist is supplied with the appropriate information.

Since 2005, several writing styles have been approved for the preparation of the dissertation manuscript. This Handbook provides style guidelines for students in programs that have mandated the American Psychological Association (APA) style of writing for their dissertations. Thus, the examples here are often quite specific for use with the 6th edition of the *Publication manual of the American Psychological Association* (2010) (APA Manual). For programs not following the APA style, these may include AMA, APTA, Chicago, and MLA styles. Please check with your Program Graduate Director (PGD) regarding the styles permitted for your individual program. All programs that require APA style must use the 6th edition APA Manual.

### KEY MANUSCRIPT PAGES

#### Title Page

The title page is always the first page of the dissertation manuscript and is numbered as page i.

The title of the dissertation is centered and typed in all capital letters on the third double-spaced line below the page number. The word "By" is centered and typed in upper and lower case letters on the next double-spaced line below the dissertation title. The student's full first name, middle initial, and last name are centered and typed in upper and lower case letters on the next double-spaced line below the word "By". On the fourth double-spaced line below the student's name, the statement of degree requirements is centered and typed as shown on the sample title page in Appendix B. "Division of Academic Affairs" should be typed on the next single-spaced line in upper and lower case letters. The student's degree program should be centered and typed in upper and lower case letters in place of the bracketed "Program Title". The words "Buffalo, NY" are typed on the next double-spaced line. The date of the dissertation defense should be centered and typed in upper and lower case letters in place of the bracketed "Month Day, Year" (e.g., April 3, 2014). See sample title page in Appendix B.

#### Copyright Page

The copyright page is always the second page of the dissertation manuscript and is numbered as page ii. The statement begins on the first double-spaced line below the page number. Indent 5 spaces or 1/2" and type single-spaced. The student's full first name, middle initial, and last name are typed in upper and lower case letters in place of both bracketed "Full First Name Middle Initial. Last Name" statements. See sample copyright page in Appendix B.

#### Dissertation Approval Page

The dissertation approval page is always the third page of the dissertation manuscript and is numbered page iii. The student is responsible for typing the names and discipline names for all committee members.

The title of this page is centered and typed in italic capital letters on the next double-spaced line below the page number. The subtitle "Dissertation Committee Chairperson" is centered and typed in upper and lower case letters two double-spaced lines below the page title. The signature line is centered with the word "Name" typed in upper and lower case followed by a colon, one space, and approximately 4" of underlined spaces. The discipline line is typed in a similar manner one triple-spaced line below the signature line. The discipline line should be the same length as the signature line. The subtitle "Committee Members" is centered and typed in upper and lower case letters two double-spaced lines below the previous discipline line. Match placement of the remaining text to the sample dissertation approval page in Appendix B. The full date of the dissertation defense should be centered and typed in upper and lower case letters in place of the bracketed "Month Day, Year" (e.g., April 3, 2014).

### **Abstract Page**

The abstract page is always the fourth page of the dissertation manuscript and is numbered page iv. Note that “Abstract” is centered and typed in boldfaced upper and lower case letters, one double-spaced line below the page number. Text in the abstract begins one double-spaced line below the title. Use blocked text, with no indentation on the first line or any other line. The abstract is limited to a range of 150-250 words. Note that  $p = .02$  is counted as three words. See sample abstract page in Appendix B.

### **Acknowledgment Page**

The acknowledgment page is optional. If included, it immediately follows the abstract, is double-spaced, and numbered page v. “Acknowledgment” is centered and typed boldface in upper and lower case letters one double-spaced line below the page number. The text is double-spaced. See sample page in Appendix B.

### **Table of Contents**

The table of contents immediately follows the acknowledgment page(s), unless one is not included, in which case it would follow the abstract page. The page number for the first page of the table of contents is Roman numeral v (acknowledgment excluded) or page vi (acknowledgment included). Additional pages of the table of contents are consecutively numbered with Roman numerals. The table of contents title is centered and typed boldface in upper and lower case letters one double-spaced line below the page number. Titles in the table of contents must match the wording in the text exactly, and page references must be correct. Each subordinate level of heading is indented from the left margin of the previous level. Long headings are to continue on the next line indented up to 5 spaces (1/2”) from the beginning of that heading. It is suggested that chapters not be split across pages, so if possible, the first table of contents page should end with the third chapter of the dissertation, with the remainder continuing on the next table of contents page. See sample pages in Appendix B.

### **List of Tables**

The list of tables page(s) immediately follows the table of contents pages and is consecutively numbered with Roman numerals. The title is centered and typed boldface in upper and lower case letters one double-spaced line below the page number. The word “Table” is typed in upper and lower case letters and is left-justified one double-spaced line below the page title. Each table is numbered (Arabic) and left-justified followed by a period. The title of each table is typed in upper and lower case, left-justified to the fifth space (1/2”), and single-spaced if longer than one line. Periods (or a dotted line) after the table title begin one space after the last letter of the title and continue leaving five blank spaces (1/2”) at the end of the line for the page number of the table (right-justified). Double-space between table titles. See sample page in Appendix B.

### **List of Figures**

The list of figures page immediately follows the list of tables page(s) and is consecutively numbered with Roman numerals. The title is centered and typed boldface in upper and lower case letters one double-spaced line below the page number. Follow typing format as described in List of Tables. See sample list of figures page in Appendix B.

### **List of Appendices**

The list of appendices page immediately follows the list of figures page and is numbered with a roman numeral. The title is centered and typed boldface in upper and lower case letters one double-spaced line below the page number. The word “Appendix” is typed in upper and lower case letters and left-justified one double-spaced line below the page title. The first appendix is typed left-justified one double-spaced line below the word “Appendix”. Appendix titles are typed in upper and lower case letters, single-spaced, with a double-spaced line between titles. Appendices are identified by capital letters, left-justified, (use no periods here), followed by a short space (two spaces, or a 1/2” tab), and the appendix title.

Periods (or a dotted line) after each appendix title begin one space after the last letter of the title and continue leaving five blank spaces (1/2”) at the end of the line for the page number of the appendix (right-justified). See sample list of appendices page in Appendix B.

**References**

Every citation that appears in the text must also appear in the reference list. The reference list is not a bibliography; therefore only those citations appearing in the text may be included in the reference list.

In the reference list, references are typed double-spaced with no extra blank lines or spacing between references. The first line of each reference begins at the left margin but the second and remaining lines are indented 1/2" from the left margin. Each new reference begins at the left margin.

All authors up to 6 must be listed in the references; for 7 or more authors, abbreviate the 7th and subsequent authors with "et al.". Watch for correct alphabetical order; list different works by the same author in order of date. Use a comma before the ampersand for 2 or more authors. Use state abbreviations with city names. Follow the examples in chapter 6 of the APA Manual, as there is important information about referencing electronic sources. See sample page in Appendix B.

**Appendix Divider Page**

Each appendix must have a divider page. The divider page number is the number used in the List of Appendices. Text on the appendix divider pages should be centered, double-spaced, with a first line 9 double-spaced lines from the top text margin of the page. The first line should include the word Appendix, followed by a capitalized letter of the alphabet denoting its place in the order of the appendices, the entire line should be bolded, and followed by double-spaced title lines that are not bolded. All appendix pages should be consecutively numbered, with the same running head at the top of every page as the remainder of the dissertation. Appendices must fit the margins of the thesis; reduce if necessary. See Appendix B for sample page.

## GENERAL GUIDELINES

Since 2005, several writing styles have been approved for the preparation of the dissertation manuscript. This Handbook provides style guidelines for students in programs that have mandated the American Psychological Association (APA) style of writing for their dissertations. Thus, the examples here are often quite specific for use with the 6th edition of the *Publication manual of the American Psychological Association* (2010) (APA Manual). For programs not following the APA style, these may include AMA, APTA, Chicago, and MLA styles. Please check with your Program Graduate Director (PGD) regarding the styles permitted for your individual program. All programs that require APA style must use the 6th edition APA Manual.

### Block Quotation

See Quotations.

### Chapter Titles and Numbers

Each chapter starts on a new page. Double-space twice after the page number. The word "Chapter" is centered and typed in boldface upper and lower case letters, followed by one space, and the number of the chapter is typed in boldface capital Roman numerals (I, II, and so on). The title of the chapter is centered and typed in boldface upper and lower case letters, one double-spaced line below the chapter number. The text begins one double-spaced line below the chapter title. See sample chapter title page in Appendix B.

### Citations

Only cite works actually used. In the text, spell out "and" before the final author when citing 2 or more authors; however, in parentheses within the text, use the ampersand "&" instead. For 2 authors, always use both names. For three, four, or five authors, use all names the first time you refer to that source. All subsequent references in text should be written as FirstAuthor et al. (date); all subsequent references in parentheses should be written as (FirstAuthor et al., date).

For references with six or more authors, all references in text should be written as FirstAuthor et al. (date); all subsequent references in parentheses should be written as (FirstAuthor et al., date).

If two references shorten to the same form, use the full reference each time. Multiple citations in parentheses are in alphabetical order. Citations must match the References. Watch order of names in sources with multiple authors.

### Computer Printouts

These are acceptable in an appendix but the printout must meet all margin restrictions and the typeface must be letter quality.

### Corrections

Corrections are difficult to hide. Correction tape, chalk, erasures, strikeouts, ink eradicators, correction fluids such as White-Out™, and corrections in ink are not acceptable; they appear as black marks on microfilm. Make corrections on the original manuscript before it is photocopied.

### Definition of Terms

Two suggested formats for the Definition of Terms section of the dissertation are shown in Appendix B.

### Figures

Every figure must be checked for completeness and agreement with the explanation in the text. Figure numbers must match citations in text. The figure caption serves as the title of the figure, and should be placed directly below the figure, flush left, with the first word and proper nouns capitalized, and ending with a period. The word "Figure" and its number should be in italics. Each figure with its caption is on its own page, placed on the page after first mentioned in the text, with no other text on this page. Make sure that no copyrighted material is included in the figure without having received written permission to include it.

### Grammar

Every sentence of the manuscript must be carefully checked for grammatical correctness.



**Headings**

Be consistent in your heading levels, following APA 6<sup>th</sup> edition format on pages 62-63. All headings must be in the Table of Contents (indented to show levels of subordination), and the wording must be exactly the same as in the text. Examples of formatting of the levels are shown here. For Levels 3-5, follow the examples on p. 58 of the *APA Manual* (2010).

**Level 1: Centered, Boldface, Upper and Lower Case**

**Level 2: Flush Left, Boldface, Upper and Lower Case**

**Level 3: Indented, boldface, lowercase paragraph heading (sentence case), ending with a period.**

*Level 4: Indented, boldface, italicized, lowercase paragraph heading (sentence case), ends with a period.*

*Level 5: Indented, italicized, lowercase paragraph heading (sentence case), ends with period.*

Consistent with the examples in the *APA Manual* (2010) on p. 63, typical dissertation chapters 3-5 headings – Procedures, Results, discussion – are displayed as Level 1 headings. Section headings would therefore follow Level 2 headings, and subheadings of sections would correspond to Level 3 headings, etc. Examples of dissertation level headings are shown here:

Chapter I	Chapter II
<b>Introduction</b>	<b>Review of Literature</b>
<b>Statement of the Problem</b>	<b>Introduction</b>
<b>Theoretical Framework</b>	<b>Seriousness of Falls</b>
<b>Social Information Processing Theory.</b>	<b>Defining Older Adults</b>
<b>Moral development theories.</b>	<b>The Prevalence of Falls</b>
<b>Social Learning Theory.</b>	<b>The Impact of Fall Injuries</b>
<b>The theory of Andragogy.</b>	<b>Common Fall Injuries</b>
<b>Significance and Justification</b>	<b>Head injury.</b>
<b>Assumptions</b>	<b>Hip fracture.</b>
<b>Hypothesis</b>	<b>Fall-Related Costs</b>
<b>Definition of Terms</b>	<b>A Growing Number of Older Adults</b>
<b>Variables</b>	<b>Fall Prevention Strategies</b>
<b>Limitations</b>	<b>Therapist Assessment of Fall Risks</b>
<b>Summary</b>	<b>Physical therapist assessment of risk factors.</b>
	<b>Occupational therapist assessment of risk factors.</b>
	<b>Lack of Fall Risk Assessment</b>
	<b>Calls for Improvement</b>
	<b>Fall Prevention Education</b>
	<b>Summary</b>

<p><b>Chapter III</b></p> <p><b>Procedures</b></p> <p><b>Introduction</b></p> <p><b>Setting</b></p> <p><b>Population and Sample</b></p> <p><b>Data Collection Methods</b></p> <p><b>Protection of Human Subjects</b></p> <p><b>Tools</b></p> <p style="padding-left: 40px;"><b>The Fall Risk Assessment (FRA).</b></p> <p style="padding-left: 40px;"><i>Reliability of the FRA tool.</i></p> <p style="padding-left: 40px;"><i>Validity of the FRA tool.</i></p> <p style="padding-left: 40px;"><b>The FRA-Chart Audit Tool (FRA-CAT).</b></p> <p style="padding-left: 40px;"><i>Reliability of the FRA-CAT tool.</i></p> <p style="padding-left: 40px;"><i>Validity of the FRA-CAT tool.</i></p> <p><b>Treatment of Data</b></p> <p><b>Summary</b></p>	<p><b>Chapter IV</b></p> <p><b>Results</b></p> <p><b>Introduction</b></p> <p><b>Description of the Sample</b></p> <p><b>Interrater Reliability of Assessment Tools</b></p> <p><b>Tests of Hypotheses</b></p> <p><b>Summary</b></p>
	<p><b>Chapter V</b></p> <p><b>Discussion</b></p> <p><b>Summary</b></p> <p><b>Conclusions</b></p> <p style="padding-left: 40px;"><b>Relationship of the results to the theoretical framework.</b></p> <p style="padding-left: 40px;"><b>Relationship of the results to the literature.</b></p> <p><b>Implications for Education</b></p> <p><b>Recommendations for Future Research</b></p>

**Hyphenation**

Do not hyphenate words at the end of a line; instead, leave a line of text a little short rather than hyphenating a word. All self-compounds should be hyphenated. Be consistent. Review Tables 4.1, 4.2 and 4.3 on pages 98-100 in the APA Manual.

**Indentation**

Each paragraph in the text is indented five spaces (1/2”), except for the Abstract, which uses blocked text with no indentation on the first line, or any other line.

**Ink**

Only black ink is acceptable. Laser print quality is preferable.

**Italics**

Use italics in text for statistical terms, emphasis, book titles, anchors of a scale (e.g., "on a Likert scale from 1 (*strongly disagree*) to 5 (*strongly agree*)), and for technical or key terms (e.g., "The term *creative destruction* appeared frequently in the literature). In the References, use italics for book titles, journal titles, and volume numbers, but not for issue numbers.

**Justification**

The right margin should not be justified; it is left uneven. See sample page in Appendix B.

**Lists**

See Seriation.

**Margins**

The left margin on each page is 1.5”. The top, right, and bottom margins on each page are 1”. Note that the top margin of 1" is from the edge of the page to the running head; this is the header margin. The text margin should be 1.66" at the top.

## Numbers

Write in words the numbers one through nine and use numerals for all numbers 10 and above. Note that there are many exceptions to these general rules. See pages 111-114 of the APA Manual (2010). Use numbers not words for ages, time, percentages, sample size, measurements, and dates, except as the first word of a sentence. Space mathematical copy as you space words, use " $p = .03$ "; not " $p=.03$ ". Plurals of numbers should not add an apostrophe (e.g., the 1960s – not the 1960's).

## Page Numbers

Page numbers are typed in the upper right. Every page of the dissertation has a page number. The Preliminary pages of the manuscript from the title page to the page just before the first page of chapter I are numbered with lower case Roman numerals (i, ii, iii, iv, and so on). The first page where numbering changes from Roman to Arabic numbers is the first page of chapter I – this becomes a new page 1. All remaining pages of the manuscript including the text, references, and appendices are consecutively numbered with Arabic numerals (1, 2, 3, and so on).

## Pagination Verification

The original dissertation and reproductions will be microfilmed and bound exactly as they are received by the bookbinder. Therefore, it is the student's responsibility to ensure proper pagination. The student should also be sure to keep a copy of the original for the student's files.

## Paper

Print the manuscript on 8 1/2" x 11" nonerasable high-quality, white paper, with a minimum 20-pound weight and 25% rag or cotton content. Students should check the quality of the paper with their dissertation director to ensure that the proper paper is to be used prior to final printing of the manuscript for binding. It is essential that all watermarks run the same way to achieve high-quality microfilming. Only manuscripts printed on such white paper will be accepted by the Graduate Studies Office for submission to UMI.

## Photographs

The student is responsible for the permanent mounting of photographs and other material to be included for the photographic reproduction of materials. Dry mounting tissue provides the neatest and most permanent method of affixing photographs. A photograph release form must be signed by each individual in a photograph. Do not use color photographs.

## Print

The print must be letter quality (laser or letter-quality printer) with dark black characters that are consistent, clear, and dense.

## Punctuation

Space twice at the end of sentences. Space once for all other punctuation, with no spaces between internal periods of abbreviations (such as: "e.g.," or "U.S.") (pp. 87-88). In a series of three or more, use a comma before "and" (e.g., "Bentley, Morgan, and Stanley wrote..."). Use the find and replace function on your word processor to check this before submitting your dissertation. A dash, such as one that appears for each term defined in the Definition of Terms, is formed by typing two hyphens with no extra spaces, like--this.

## Quotations

Quotes of less than 40 words are incorporated into text enclosed by double quotation marks ("").

Quotes of 40 or more words are typed double-spaced in block format. The first line is indented 1/2" from the left margin without the usual paragraph indent. Subsequent paragraphs in a block quote are indented 1/2" from the new margin. Quotation marks are not used for block quotes.

All quotations should include a reference to page number(s).

See special notes in sections 1.10 p. 15, 6.15 pp. 176-177, 6.03 pp. 170-171, 4.07 p. 91, and 4.08 p. 92 in the *APA Manual*.

## Reproduction

The College requires 2 copies of the completed dissertation for binding, including 1 original and 1 reproduction on the type of paper specified above. No reproductions should be made without first securing the written signature of the Graduate Studies Outside Reader on the F-CRTG Form. Some doctoral programs require an additional copy of the dissertation for filing in the student's department file. Check with your Program Graduate Director (PGD).

**Running head**

Top of page, 1" down from the upper edge of the page, flush left, ALL CAPS, <=50 characters (p. 229). The Title page requires the additional words "Running head: " exactly as shown here, prefacing the running head words that will appear on *every other page* in the dissertation.

**Serialization**

Within a paragraph, use (a), (b), and (c).

In separate paragraphs, use 1., 2., and 3. Number and indent the first lines of paragraphs only, and finish each with a period or proper punctuation (see *APA Manual* (2010) example, p. 57). All elements in a series should be grammatically parallel in style.

**Spacing in Body of Text**

The entire dissertation is double-spaced except the text for the copyright page (ii), some of the lines on the title page (i), and figures or appendices in original formats (e.g., the IRB letter). On all pages of the text except the chapter title pages, the text begins one double-spaced line below the page number, or 1.66" down from the edge of the paper. See sample body of text page in Appendix B.

**Statistics**

Report the results of statistical tests using the examples shown on pages 93-95, 111-112, and 116-123 of the *APA Manual*. Consider the discussions of the use of statistics as well, on pages 30-31 and 33-34.

**Symbols**

Mathematical, scientific, chemical, and other kinds of symbols that cannot be typed should be carefully drawn with a template or guide. Transfer symbols are not allowed due to lack of permanence. Handwritten symbols should be avoided but are acceptable if done carefully, in black ink, uniformly, and in a shape that conforms with accepted print.

**Tables**

Each table is positioned on a new page, following its reference in the text; the text reference must precede the table in text. The word Table is followed by the table number at the top of the page, flush left, without a finishing period. The table title is positioned one double-spaced line below the table number, flush left, and italicized, with principal words capitalized. Vertical lines are to be avoided. Tables may be single- or double-spaced; double spacing sometimes can improve readability of numerical displays. Tables may extend beyond a single page, but none of the text in the sections or chapters of the dissertation may appear on a page with the table; a table and any text within it must stand alone. Table titles should be detailed enough to stand alone from the rest of the text of the dissertation. If a table continues to the next page, *do not type "(continued)" in italics next to the table title on the next page*, but repeat all column headings on the next pages. See sample of table pages in Appendix B (and see the *APA Manual* (2010), p. 127). Every table must be checked for completeness, mathematical correctness, and agreement with the explanation in the text of the dissertation. Table numbers must match citations in text.

**Tense**

The dissertation is written in the past tense; that is, the research has been completed. However, use present tense to describe facts that are permanently true. For example, "In the 1500s, Galileo said the world is round."

**Type Size**

The type size should be set to be 12-point. APA recommends Times New Roman for ease of readability (p. 228). Because the manuscript will be reduced in size on microfilm, 12-pitch type is recommended. The type must be uniform and consistent throughout the manuscript with the exception of the lettering or numbering of photographic plates, original drawings, and graphs.

**Underline**

Avoid underlining. Use italics instead.

**ORDER OF THE PARTS OF THE DISSERTATION**

The following order of optional and compulsory components of the dissertation must be followed:

1. Title page
2. Copyright page
3. Dissertation Approval page
4. Abstract
5. Acknowledgments (optional)
6. Table of Contents
7. List of Tables (only if tables are used)
8. List of Figures (only if figures are used)
9. List of Appendices
10. Chapter I
11. Chapter II
12. Chapter III
13. Chapter IV
14. Chapter V
15. References
16. Appendix A Divider Page
17. Appendix A
18. Appendix B Divider Page
19. Appendix B
20. (remaining appendices)

**Note:** The appendix from the dissertation proposal containing the agency approval to conduct research (or collect data) must not include any identifying information in the final dissertation. There must be no information in the final dissertation that specifically identifies where data were collected. Material related to the agency approval and any other identifying information should be given to the dissertation director for filing in the student's program student file. Finally, the researcher's phone number in the consent form (or other correspondence in the appendices) should be replaced with a blank underline, or properly blackened out.

## DISSERTATION MANUSCRIPT APPROVAL

When all changes resulting from the dissertation defense have been made, the student may then have the final manuscript typed. It is submitted in final form to the Graduate Studies Office (GSO), and for those programs requiring APA format, this will require the Outside Reader to ensure sure that the manuscript has no errors in APA format and is consistent with the requirements outlined in this handbook. Students should allow at least 1 week (and up to 3 weeks in April, July, and November) for the entire review/correction/re-review process.

A fully approved and signed Approval of Completed Graduate Research (F-GRC) Form must be on file in the GSO before a dissertation will be accepted for review.

Because the dissertation is a reflection of the quality of the student and D'Youville College, the Director of Graduate Studies has the authority to require the necessary corrections before the F-CRTG Form will be signed. See sample Form in Appendix A. Actual forms may be obtained online at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx).

It is recommended that a competent reader other than the student review the final manuscript for errors and style compliance before it is submitted to the GSO. Manuscripts must be submitted in folders or other acceptable sized envelopes. Loose manuscripts will not be accepted.

## DISSERTATION PRESENTATION DAY

Dissertation Presentation Day is a requirement for all dissertation students. In order to present, students must have completed the analysis of research data and be able to answer the research questions or provide results of hypothesis testing. Students give a timed 10-minute presentation of their dissertation. The presentation should include an overview of why the topic was chosen, major concepts in the theoretical framework, hypotheses or research questions, research design, sample, tool, findings, application to practice, and conclusions.

Some programs allow students to present closely related research findings in groups, or to prepare poster presentations in lieu of individual presentations. Check with your Program Graduate Director (PGD) for more information.

Audiovisual aids may enhance the presentation—but prior arrangements must be made with the PGD. The audience consists of the D'Youville College community and any outside interested persons.

Dissertation Presentation Days are usually held in November, April, and July, for December, May, and August graduations, respectively. This event is scheduled each year by the PGDs of the various doctoral programs in consultation with the GSO. Check with your PGD for details about presentation options, dates, times, and any written material you are required to submit in order to register for Dissertation Presentation Day.

## MICROFILMING AND BINDING

1. Once the dissertation has been approved, locate the instructions for submitting your dissertation on the GSO website at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx). ProQuest is the company that the College uses for the microfilming and binding of all doctoral dissertations. All requirements in their guide must be met.
2. The student pays for the microfilming and binding of the dissertation online directly to ProQuest. Costs, which include microfilming, copyright, and binding, are described in the online instructions.
3. The final manuscript is converted to a PDF file and submitted online to ProQuest.
4. The F-CRTG Form is submitted at the time that the manuscripts are submitted. The Administrative Assistant in the Graduate Studies Office must sign off on this F-CRTG Form.
5. The Graduate Studies Office approves and delivers the submissions to ProQuest for microfilming and binding.
6. The student is responsible for binding personal copies of the dissertation. The College Bookstore handles personal dissertation binding orders, with other binderies searchable online. It is possible to order additional copies from ProQuest if you wish, but all copies will be delivered to the GSO. You are responsible for picking up personal copies.
7. The two bound copies of the dissertation returned by ProQuest are distributed to the dissertation director and the library. Bound copies may take up to 4 months before shipping from ProQuest.

**Appendix A**

Dissertation Processing Forms and Instructions for Their Completion

List of Program Graduate Directors (PGDs)



(this page intentionally left blank)

## Instructions for Completing Graduate Research Forms:

### **Step 1: The Approval of Graduate Research Topic and Committee Form (F-GRT):**

(Sample Form Only)

**D'YOUVILLE COLLEGE**

#### APPROVAL OF GRADUATE RESEARCH TOPIC AND COMMITTEE

**Directions:** Student prints information in top section, and in APPROPRIATE middle section, obtains APPROPRIATE signatures, signs and dates form. Submit completed form to Program Graduate Director or Chair to complete the bottom section. Program Graduate Director or Chair keeps top copy, sends 2nd copy to the Graduate Studies Office, and sends last copy to student.

Last Name	First Name	MI
-----------	------------	----

9 Student ID / User ID Number	- - - Program Start Date	Student Major or Program
-------------------------------	--------------------------	--------------------------

Check one:    Research Practicum     Project     Thesis     Dissertation

Topic Title: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

<div style="border: 1px solid black; padding: 2px; text-align: center; margin-bottom: 5px;"><b>FOR A RESEARCH PROJECT:</b></div> <div style="border: 1px solid black; padding: 2px; text-align: center; font-size: small; margin-bottom: 5px;">(Use this side for a RESEARCH PRACTICUM PROJECT)</div> <div style="border: 1px solid black; padding: 5px; text-align: center;"><b>REQUEST FOR APPOINTMENT OF A RESEARCH PROJECT COMMITTEE:</b></div> <p>Project Director Signature              _____              Print: Project Director Last Name</p> <p>Second Member Signature (if applicable)              _____              Print: Second Member Last Name (if applicable)</p> <p>Third Member Signature (if applicable)              _____              Print: Third Member Last Name (if applicable)</p> <p>Student Signature _____ Date Completed _____</p>	<div style="border: 1px solid black; padding: 2px; text-align: center; margin-bottom: 5px;"><b>FOR A THESIS or DISSERTATION:</b></div> <div style="border: 1px solid black; padding: 5px; text-align: center;"><b>REQUEST FOR APPOINTMENT OF EITHER: A THESIS or DISSERTATION COMMITTEE:</b></div> <p>Thesis/Dissertation Director Signature              _____              Print: Thesis/Dissertation Director Last Name</p> <p>Second Member Signature              _____              Print: Second Member Last Name</p> <p>Third Member Signature              _____              Print: Third Member Last Name</p> <p>Student Signature _____ Date Completed _____</p>
---	--

**Actions of the Program Graduate Director (ALL boxed fields require actions\*):**

<p><b>* Graduate Research Topic and Form Completion approved by Program Graduate Director or Chair?</b>    Yes <input type="checkbox"/>    No <input type="checkbox"/></p> <p><b>* Second (or Third) Member Approved (Based on content expertise if not in student's program)?</b>    Yes <input type="checkbox"/>    No <input type="checkbox"/></p>	<p>Reason(s) for Disapproval and/or Recommended Changes:              _____              _____</p>
---	--

\* Signature of Program Graduate Director or Chair \_\_\_\_\_    \* Date of Final Approval \_\_\_\_\_

## Instructions for Completing Graduate Research Forms:

**Form 1: Approval of Graduate Research Topic and Committee (F-GRT):** This form includes three sections:

- The top section is to be completed by the student.
- The middle section includes the required signatures from both faculty and student.
- The bottom section form is to be completed by the Program Graduate Director (PGD) (PGDs are listed at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)).

In the top section of this form, the student is REQUIRED to fill in:

1. the student's name (including middle initial),
2. the Student's ID/User ID Number (do NOT use your Social Security, or Social Insurance Number here),
3. the Month, Day (optional), and Year the Student was First Enrolled in the program (Start Date),
4. the Student's specific doctoral program (avoid abbreviations whenever possible),
5. a check next to the box indicating that the student plans to complete a Doctoral Dissertation,
6. a tentative Title. The title for this form is NOT required to match subsequent titles of any subsequent forms, as students may change their topics later on in the research process.

The middle section of this form includes spaces for the student who intends to complete either a Graduate Research Project (on the left side) or a Thesis or Dissertation (on the right side). The student will first complete the top of the form, and then submit the form to the Dissertation Director, and subsequent Committee Members for signature approvals.

ONLY THE DISSERTATION SIDE of the middle section of this form should be completed.

Required Signatures in the Middle Section:

- The student is REQUIRED to obtain one signature in the middle section of the form from the Dissertation Director.
- The student is REQUIRED to obtain two additional signatures in the middle section of the form from the additional Committee Members.
- ALL Faculty who sign MUST make sure that the student has printed their names clearly and accurately in the boxes provided below their signatures.

When ALL three faculty signatures have been obtained in the middle section of the form, the student is REQUIRED to sign the middle section, and record the date of completion of this form. The student's signature indicates that the middle section of the form has been fully completed. The student then submits the form to the Program Graduate Director (PGD) to complete the bottom section. A list of current PGDs is included at: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx), but as these positions are subject to change, the student should check with the Graduate Research Director (GRD) or Department Chair to identify the most current PGD. The student will NOT submit this form to the Graduate Office.

The bottom section of the form REQUIRES a check mark in the "Yes" or "No" box for Approval of the Research Topic, the Date of Approval, and the signature of the PGD PRIOR TO submission to the Graduate Office. Should the Second Committee Member not come from the student's program, the PGD may require a change in Committee membership by checking the appropriate "No" box on the form, and provide a Reason for Disapproval and/or Recommended Committee Change in the spaces provided on the right of this form. Should the PGD determine, for any other reason (e.g., the dissertation topic is not appropriate, duplicates another's previously approved research topic, or the form has not been completed properly), that the topic or the completed form cannot be approved, the PGD will check the box marked "No" on the left side of the form, and provide a Reason for Disapproval and/or Recommended Changes in the spaces provided on the right of this form. ONLY when the PGD has signed and dated the bottom of the form shall ONE copy of this form be submitted to the Graduate Office. **It is the responsibility of the student to properly complete the top two sections of this form, but the ultimate responsibility of the PGD that this form is completed properly, as indicated by the PGD's approval signature. Improperly or insufficiently completed forms will not be accepted by the Graduate Office.**

# Instructions for Completing Graduate Research Forms:

## **Step 2: The Approval of Graduate Research Proposal Form (F-GRP):**

(Sample Only)

D'YOUVILLE COLLEGE

### APPROVAL OF GRADUATE RESEARCH PROPOSAL

Last Name															First Name															MI
Student ID / User ID Number					Program Start Date			Student Major or Program																						

Check one:    Research Practicum     Project     Thesis     Dissertation

Proposal Title: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**RECOMMENDATIONS OF RESEARCH DIRECTOR\*/COMMITTEE:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**RESEARCH DIRECTOR\*/COMMITTEE ACTION:**

\_\_\_\_ - \_\_\_\_ - \_\_\_\_    **Date of Action**

\_\_\_\_\_    **Not Approved**

\_\_\_\_\_    **Approved**

\_\_\_\_\_    **Approved with Recommendation(s)**

**SIGNATURES OF COMMITTEE AND STUDENT:**

**Research Director\*:** \_\_\_\_\_

**Second Member:** \_\_\_\_\_

**Third Member:** \_\_\_\_\_  
(if applicable)

**Student Signature:** \_\_\_\_\_

( If checked, Research Director\* MUST complete additional section below: )

**Research Directors\* MUST complete this section for students receiving Approval with Recommendations:**

**Date Recommendations Approved:** \_\_\_\_ - \_\_\_\_ - \_\_\_\_    **Research Director\*:** \_\_\_\_\_

**\* For thesis or dissertation, the Research Director is the Thesis or Dissertation Director.**

**FILING OF THIS FORM:**

ORIGINAL: Graduate Program Director or Chair (for Student Program File)

COPIES: Office of Graduate Studies and Student

## **Instructions for Completing Graduate Research Forms:**

**Form 2: Approval of Graduate Research Proposal (F-GRP):** This form includes four sections:

- The top section is to be completed by the student.
- The second section is optional, providing a description of any recommendations required by the student's Dissertation Director (Graduate Research Director) prior to final approval of the proposed research.
- The third section includes the action and action date of the student's Dissertation Director or Committee as well as the required signatures of faculty and student.
- The fourth section is optional, providing the final approval date of the student's proposed research if there were required recommendations listed in the second section. This section is completed by the student's Dissertation Director as needed.

In the top section of this form, the student is REQUIRED to fill in:

1. the student's name (including middle initial),
  2. the Student's ID/User ID Number (do NOT use your Social Security, or Social Insurance Number here),
  3. the Month, Day (optional), and Year the Student was First Enrolled in the program (Start Date),
  4. the Student's specific doctoral program (avoid abbreviations whenever possible),
  5. a check next to the box indicating that the student plans to complete a Doctoral Dissertation,
  6. a proposed Title. The title for this form is NOT required to match EXACTLY to the titles on previous or subsequent forms; however, it is expected that the title on this form will appropriately reflect the dissertation that is subsequently completed for the program.
- After completing the top section of this form, students should attach a photocopy of the previously approved Approval of Graduate Research Topic and Committee (F-GRT) Form, and submit these materials to the student's Dissertation Director. This allows the student's Dissertation Director to be certain that the student has completed previous steps necessary for submission of the Approval of Graduate Research Proposal (F-GRP) Form.

The second section of this form includes spaces for a description of any recommendations required by the Dissertation Director (and/or Committee Members, as appropriate) prior to final approval of the proposed research. This section may be left blank if the student's dissertation proposal has been fully approved by the Dissertation Director.

- NOTE: Forms that indicate that the student's dissertation proposal was "Approved with Recommendations" will require completion of the section entitled "RECOMMENDATIONS OF DIRECTOR/COMMITTEE:", and subsequent completion of the line indicating the "Date Recommendations Approved".

## **Instructions for Completing Graduate Research Forms:**

The third section of this form includes spaces for the Action and Action Date of the Dissertation Director or Committee as well as the required signatures of faculty and student. The following steps are REQUIRED to complete this form:

1. the Dissertation Director (Graduate Research Director) fills in the Date of Action,
2. the Dissertation Director marks the appropriate line for DIRECTOR/COMMITTEE ACTION,
3. the Dissertation Director signs on the Research Director's line,
4. other Committee Members sign,
5. the student signs under Student's Signature.

The fourth section is optional, providing the final approval date of the student's dissertation proposal if there were required recommendations listed in the second section. This section is completed by the Dissertation Director as needed.

- For forms that indicate that the student's dissertation proposal was "Approved with Recommendations", the line indicating the "Date Recommendations Approved" must be dated and signed by the Dissertation Director.

Steps to be completed before submitting the Approval of Graduate Research Proposal (F-GRP) Form to the Graduate Office:

1. the student completes the top section of the F-GRP Form,
2. the student attaches a photocopy of the Approval of Graduate Research Topic and Committee (F-GRT) Form,
3. the student obtains ALL appropriate signatures and dates the F-GRP Form,
4. the student submits the F-GRP Form to the Program Graduate Director (PGD),
5. the PGD reviews the F-GRP Form to ensure that it is complete. The original the F-GRP Form goes to the student's file, one copy is sent to the Graduate Office, and a third copy is returned to the student.

**It is the responsibility of the student to properly complete the top section of this form, and the Dissertation Director (Graduate Research Director - GRD) to complete all other sections of this form. Again, it is the ultimate responsibility of the Program Graduate Director (PGD) that this form is completed properly and submitted to the Graduate Office.**

**Improperly or insufficiently completed forms will not be accepted by the Graduate Office.**

**The Graduate Office will only accept F-GRP Forms for those students with Approval of Graduate Research Topic and Committee (F-GRT) Forms ON FILE in the Graduate Office.**

## **Instructions for Completing Graduate Research Forms:**

### **Step 3: Application to and Full Approval from the D'Youville College Institutional Review Board (IRB):**

**Application to the D'Youville College Institutional Review Board (IRB):** Although not included with a specific form in these instructions, it is important to note that students must apply to IRB before they continue on with their Dissertations.

**Upon completion of the Approval of Graduate Research Proposal (F-GRP) Form, Dissertation Directors (Graduate Research Directors) should ensure that EVERY student completes an application to the D'Youville College Institutional Review Board (IRB). Dissertation Directors should ensure that EVERY student also receives a letter of APPROVAL from the IRB prior to the conduct of their graduate research. ALL graduate research requires review by the D'Youville College IRB, and requires Approval from the IRB before their conduct.**

Application forms for the D'Youville College IRB are available online at the D'Youville College Institutional Review Board (IRB) website: <http://www.dyc.edu/academics/research/irb.aspx>. The guidelines for applications to the D'Youville College IRB are detailed in the *D'Youville College Institutional Review Board Manual*, also available online at: <http://www.dyc.edu/academics/research/irb.aspx>. Dissertation Directors (Graduate Research Directors) and Program Graduate Directors are responsible for ensuring that students are made aware of the D'Youville College IRB policies, and for ensuring that students have applied for approval to, and received letters of approval from, the D'Youville College IRB prior to the conduct of their research.

Dissertation Directors and Program Graduate Directors should review the IRB application materials online at <http://www.dyc.edu/academics/research/irb.aspx> and the *D'Youville College Institutional Review Board Manual* with their students to ensure that students are aware of what needs to be completed for the D'Youville College IRB. **Dissertation Directors are required to review the completed IRB application materials prior to their submission to the Graduate Office. No IRB materials will be accepted by the Graduate Office without a signature of approval from the student's Dissertation Director.**

Dissertation Directors and Program Graduate Directors should ensure that students have received their letters of Approval from the D'Youville College IRB prior to the conduct of their research. Copies of these letters are sent to each student's Dissertation Director as well as to the students themselves. Dissertation Directors and Program Graduate Directors should recognize that some IRB letters may indicate that students have NOT received Approval, but instead have received letters of Conditional Approval, indicating that they must meet certain conditions prior to receiving approval to conduct their research. Dissertation Directors should review the IRB letter with each student prior to the conduct of the student's research to be certain that the student has received IRB Approval.

**The Graduate Office will ONLY accept IRB Application Forms for those students with BOTH Approval of Graduate Research Topic and Committee (F-GRT) and Approval of Graduate Research Proposal (F-GRP) Forms ON FILE at the Graduate Office.**





## **Instructions for Completing Graduate Research Forms:**

**Form 3: Approval of Completed Graduate Research:** This form includes four sections:

- The top section is to be completed by the student.
- The second section is optional, providing a description of any recommendations required the student's Dissertation Director (Graduate Research Director) prior to final approval of the dissertation.
- The third section includes the action and action date of the student's Dissertation Director or Committee as well as the required signatures of faculty and student.
- The fourth section is optional, providing the final approval date of the student's dissertation if there were required recommendations listed in the second section. This section is completed by the student's Dissertation Director as needed.

In the top section of this form, the student is REQUIRED to fill in:

1. the student's name (including middle initial),
  2. the Student's ID/User ID Number (do NOT use your Social Security, or Social Insurance Number here),
  3. the Month, Day (optional), and Year the Student was First Enrolled in the program (Start Date),
  4. the Student's specific doctoral program (avoid abbreviations whenever possible),
  5. a check next to the box indicating that the student completed a Doctoral Dissertation,
  6. the dissertation Title. The title for this form is REQUIRED TO MATCH EXACTLY the dissertation title on the final Certification of Approval of All Graduate Non-Course Requirements for Graduation Form (F-CRTG).
- After completing the top section of this form, students should attach a photocopy of the previously approved Approval of Graduate Research Proposal (F-GRP) Form and a copy of the Letter of Approval from the D'Youville College IRB, and submit these materials to the student's Dissertation Director. This allows the student's Dissertation Director to be certain that the student has completed previous steps necessary for submission of the Approval of Completed Graduate Research (F-GRC).

The second section of this form includes spaces for a description of any recommendations required by the Dissertation Director (and/or Committee Members, as appropriate) prior to final approval of the research. This section may be left blank if the student's dissertation has been fully approved by the Dissertation Director.

- NOTE: Forms that indicate that the student's dissertation was "Approved with Recommendations" will require completion of the section entitled "RECOMMENDATIONS OF DIRECTOR/COMMITTEE: ", and subsequent completion of the line indicating the "Date Recommendations Approved".

## **Instructions for Completing Graduate Research Forms:**

The third section of this form includes spaces for the Action and Action Date of the Dissertation Director or Committee as well as the required signatures of faculty and student. The following steps are REQUIRED to complete this form:

1. the Dissertation Director (Graduate Research Director) fills in the Date of Action,
2. the Dissertation Director marks the appropriate line for DIRECTOR/COMMITTEE ACTION,
3. the Dissertation Director signs on the Research Director's line,
4. other Committee Members sign,
5. the student signs under Student's Signature.

The fourth section is optional, providing the final approval date of the student's dissertation if there were required recommendations listed in the second section. This section is completed by the Dissertation Director as needed.

- For forms that indicate that the student's dissertation was "Approved with Recommendations", the line indicating the "Date Recommendations Approved" must be dated and signed by the Dissertation Director.

Steps to be completed before submitting the Approval of Completed Graduate Research (F-GRC) Form to the Graduate Office:

1. the student completes the top section of the F-GRC Form,
2. the student attaches a photocopy of the Approval of Graduate Research Proposal (F-GRP) Form, and a photocopy of the Letter of Approval from the IRB,
3. the student obtains ALL appropriate signatures and dates the F-GRC Form,
4. the student submits the F-GRC Form to the Program Graduate Director (PGD),
5. the PGD reviews the F-GRC Form to ensure that it is complete. The original the F-GRC Form goes to the student's file, one copy is sent to the Graduate Office, and a third copy is returned to the student.

**It is the responsibility of the student to properly complete the top section of this form, and the Dissertation Director (Graduate Research Director - GRD) to complete all other sections of this form. Again, it is the ultimate responsibility of the Program Graduate Director (PGD) that this form is completed properly and submitted to the Graduate Office.**

**Improperly or insufficiently completed forms will not be accepted by the Graduate Office.**

**The Graduate Office will only accept F-GRC Forms for those students with Approval of Graduate Research Topic and Committee (F-GRT) Forms, and Letters of IRB Approval ON FILE in the Graduate Office.**

**Instructions for Completing Graduate Research Forms:**

(this page intentionally left blank)



## Instructions for Completing Graduate Research Forms:

**Form 4: Certification of Approval of All Graduate Non-Course Requirements for Graduation (F-CRTG):** This form includes five sections:

- The top section is to be completed by the student.
- The second section REQUIRES the signature of the Program Graduate Director (PGD - see List at the end of this Appendix) upon completion of the student's presentation of the Dissertation.
- The third section is for Project students only, and REQUIRES the signature of the Dissertation Director (Graduate Research Director) upon completion of the student's Dissertation.
- The fourth section is for Thesis or Doctoral students only, and REQUIRES the signatures of the Graduate Studies Outside Reader for APA and College Format Clearance, and the Graduate Studies Secretary for ProQuest Microfilm and Binding Approval.
- The fifth section is for ALL students, and REQUIRES the signature of the Director of Doctoral and Graduate Programs (Director of Graduate Studies), certifying that students have completed ALL of their Graduate Non-Course Requirements for Graduation.

In the top section of this form, the student is REQUIRED to fill in:

1. the student's name (including middle initial),
  2. the Student's ID/User ID Number (do NOT use your Social Security, or Social Insurance Number here),
  3. the Month, Day (optional), and Year the Student was First Enrolled in the program (Start Date),
  4. the Student's specific doctoral program (avoid abbreviations whenever possible),
  5. a check next to the box indicating that the student completed a Doctoral Dissertation,
  6. the dissertation Title. The dissertation title for this form is REQUIRED TO MATCH EXACTLY the dissertation title on the Approval of Completed Graduate Research (F-GRC) Form.
- After completing the top section of this form, students should attach a photocopy of the previously approved Approval of Graduate Research (F-GRC) Form and a copy of the Letter of Approval from the D'Youville College IRB, and submit these materials to the student's Dissertation Director. This allows the student's Dissertation Director to be certain that the student has completed the previous steps necessary for submission of the Certification of Approval of All Graduate Non-Course Requirements for Graduation (F-CRTG) Form.

**THE GRADUATE OFFICE WILL ONLY ACCEPT THESE FORMS FOR THOSE STUDENTS WITH BOTH Approval of Completed Graduate Research (F-GRC) Forms and Letters of IRB Approval ON FILE AT THE GRADUATE OFFICE.**

The second section of this form REQUIRES the signature of the PGD (see List at:

[http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx)) upon completion of the student's presentation of the Dissertation.

- **NOTE: Faculty who are NOT Program Graduate Directors (PGDs) of their programs, and who serve as observers of the student's presentation, may sign for the PGDs in this section of the form, but this signature must be subsequently initialed by the appropriate PGDs.**

The third section is NOT to be completed by students who are completing Doctoral Dissertations.

## Instructions for Completing Graduate Research Forms:

The fourth section is for Thesis or Dissertation students only, and **REQUIRES** the signatures of the Graduate Studies Outside Reader and date of approval for APA and College Format, and the Graduate Studies Secretary and date of approval for ProQuest Microfilm and Binding.

- **NOTE: Outside Readers are NOT responsible for correcting APA or other formatting mistakes in the student's Dissertation. This is the primary responsibility of the student. Dissertation Directors (Graduate Research Directors) and Program Graduate Directors are responsible for ensuring that students have formatted their Dissertations properly BEFORE submission to the Outside Reader for final review.**

**The role of the Outside Readers is to serve as final proof-readers ONLY, to verify any last-minute problems before final copies are sent for binding to ProQuest. While faculty do not serve as copy editors for student dissertations, the Dissertation Directors and Program Graduate Directors are responsible for notifying the student of formatting problems that must be corrected PRIOR TO final submission to the Graduate Office Outside Readers for final proofing.**

When the Dissertation has been approved by the Outside Reader, there is a list of directions for the student to follow to finalize the Dissertation for publishing and binding. Detailed instructions are available at the Graduate Studies website: [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx). These instructions are included in the document:

- [Instructions for Submitting Your Thesis or Dissertation \(PDF\)](#)

Students should read these instructions carefully before preparing the Dissertation for final printing on high-quality paper. The instructions there will alert the student to several additional steps necessary for the student to complete before final notification to the Registrar that the student has completed all Non-coursework Requirements for Graduation on the F-CRTG Form. The student should work closely with the student's Dissertation Director and the Graduate Studies Secretary to ensure that all of these steps are followed before final approval signatures may be obtained on the F-CRTG Form. After reviewing the steps necessary for final completion of Non-Coursework Requirements for Graduation, the Graduate Studies Secretary will review the completion of each of the following steps, and place a checkmark in each of the appropriate boxes on the F-CRTG Form when the corresponding step has been completed.

The Graduate Studies Secretary will verify that all of the following are in place:

1. the student's name (including middle initial),
2. the Student's ID/User ID Number (do NOT use your Social Security, or Social Insurance Number here),
3. the Month, Day (optional), and Year the Student was First Enrolled in the program (Start Date),
4. the Student's specific doctoral program (without abbreviations whenever possible),
5. a check has been placed next to the box indicating that the student has completed a Doctoral Dissertation,
6. the Dissertation Title. The title for this form is **REQUIRED TO MATCH EXACTLY** the dissertation title on the Approval of Completed Graduate Research Form (F-GRC).
7. a copy of the Approval of Completed Graduate Research (F-GRC) Form is on file in the Graduate Office,
8. all ProQuest electronic submission information has been filled out, and a PDF of the manuscript has been uploaded to ProQuest,
9. all copyrighted materials have either been removed from the final documents, or letters of permission for including these materials have been provided,
10. final copies of the Dissertation have been checked to ensure that all pages have been included - that there are no missing pages anywhere in the final Dissertation copies,

**ONLY when all of these requirements are met will the Graduate Studies Secretary will sign the F-CRTG Form.**

## **Instructions for Completing Graduate Research Forms:**

The fifth section is for ALL students, and REQUIRES the signature of the Director of Doctoral and Graduate Programs (Director of Graduate Studies) and date of certification that students have completed ALL of their Graduate Non-Course Requirements for Graduation.

Upon completion of all required signatures on this form, the Director of Doctoral and Graduate Programs (Director of Graduate Studies) will forward the original to the Registrar for graduation clearance. A copy will be kept in the Graduate Office in the student's file, and a second copy will be sent to the Program Graduate Director (PGD) for inclusion in the Student's file.

## **List of Program Graduate Directors (PGDs):**

While each student will be working directly on their dissertations with their individual **Dissertation Directors** (noted on most Forms as **Graduate Research Directors - GRDs**), each of the graduate programs at the College has its own **Program Graduate Director (PGD)**, who are responsible for the collective graduate research in their own programs. Thus, each program has only one **Program Graduate Director (PGD)**, as opposed to many individual **Dissertation Directors**, who are responsible for directing an individual student's Doctoral Dissertation. A current list of those **Program Graduate Directors (PGDs)** who are responsible for policies and procedures followed by the **Dissertation Directors** and their students in each program is available at [http://www.dyc.edu/academics/graduate\\_studies.aspx](http://www.dyc.edu/academics/graduate_studies.aspx).



## **Appendix B**

### Dissertation Manuscript Sample Pages\*

\* NOTE: (Shaded) or [bracketed] text in this Appendix must be *replaced* by appropriate text – No brackets or shading are permitted in APA formatted text.

[TITLE OF DISSERTATION]

[CENTERED IN CAPS AND DOUBLE-SPACED]

By

[Full First Name Middle Initial. Last Name]

A dissertation  
submitted to the Faculty of D'Youville College  
Division of Academic Affairs  
in partial fulfillment of the requirements  
for the degree of

Doctor of Education

in

[Program Title]

Buffalo, NY

[Month Day, Year]

Copyright (c) 2014 by [Full First Name Middle Initial. Last Name]. All rights reserved. No part of this dissertation may be copied or reproduced in any form or by any means without written permission of [Full First Name Middle Initial. Last Name].

*DISSERTATION APPROVAL*

Dissertation Committee Chairperson

Name: \_\_\_\_\_ Type Name Here

Discipline: \_\_\_\_\_ Type Discipline here

Committee Members

Name: \_\_\_\_\_ Type Name Here

Discipline: \_\_\_\_\_ Type Discipline here

Name: \_\_\_\_\_ Type Name Here

Discipline: \_\_\_\_\_ Type Discipline here

Dissertation defended

on

[Month Day, Year]

### **Abstract**

This study was designed to determine the ability of individuals with chronic pain to return to occupational role. Functional gain, discharge FIM<sup>TM</sup> Instrument score, marital status, gender, and age were factors considered to affect return to occupational role. Data on 66 individuals with chronic pain were analyzed using logistic regression. The results indicated that age, gender, functional gain, and discharge FIM instrument scores were not significant predictors for return to occupational role. However, marital status was found to be statistically significant in predicting return to occupational role for individuals with chronic pain.

### **Acknowledgment**

[Inclusion of an acknowledgment page is optional. The student should seek guidance from the dissertation director on whether to include the page in the final dissertation manuscript. If it is included, it is numbered as page roman numeral v, each paragraph is indented five spaces (1/2”), and the text is double-spaced. This page is placed just after the Abstract and just before the Table of Contents.]

## Table of Contents

List of Tables .....	viii
List of Figures .....	ix
List of Appendices .....	x
Chapter	
I. INTRODUCTION .....	1
Statement of Problem.....	3
Statement of Purpose .....	3
Conceptual Framework.....	3
Literature Synopsis .....	8
Significance and Justification .....	10
Assumptions.....	11
Hypotheses.....	12
Definition of Terms.....	13
Variables .....	15
Limitations .....	16
Summary.....	16
II. REVIEW OF THE LITERATURE .....	18
Physiology of Kinesthetic Receptors .....	18
Approaches in Measuring Kinesthesia.....	21
Kinesthetic Sensitivity Test .....	21
The Rod Push.....	26
Kinesthesiometer.....	28
Problems in Measurement of Kinesthesia.....	31
Relationship to Motor Behavior.....	39
Summary .....	43

III.	PROCEDURES.....	44
	Introduction.....	44
	Setting.....	44
	Population and Sample .....	44
	Data Collection Methods .....	45
	Human Rights Protection.....	48
	Tools .....	49
	Treatment of Data .....	53
	Summary.....	54
IV.	RESULTS .....	55
	Introduction.....	55
	Description of the Sample.....	55
	Hypotheses.....	57
	Tools ( <i>optional</i> ) .....	66
	Serendipitous Findings ( <i>optional</i> ).....	67
	Summary.....	69
V.	DISCUSSION.....	70
	Summary.....	70
	Conclusions.....	71
	Relationship of the Results to the Conceptual Framework.....	73
	Relationship of the Results to the Literature.....	75
	Relationship of the Results to the Hypothesis ( <i>optional</i> ) .....	79
	Relationship of the Results to the Variables ( <i>optional</i> ) .....	81
	Relationship of the Results to the Study Design and Data Collection Methods ( <i>optional</i> ).....	83
	Relationship of the Results to the Tools and Instruments Used ( <i>optional</i> ).....	87
	Relationship of the Results to the Data Analysis Methods ( <i>optional</i> ).....	88
	Implications for Practice ( <i>or Management, or Education</i> ).....	96
	Recommendations for Future Research .....	108
	References.....	111
	Appendices.....	123



**List of Tables**

## Table

1.	Demographic Description of the Sample ( $N = 56$ ) .....	56
2.	Means and Standard Deviations for the Angles of Shoulder Flexion Achieved Under Kinesthetic Control at Each Standard Angle by Body Side ( $N = 56$ ) .....	58
3.	The Main Effects of Gender and Handedness, and the Interaction of Gender by Handedness at the Standard Angle of 45 Degrees on the Right Side of the Body ( $n = 47$ ) .....	61
4.	Means and Standard Deviations for the Angle Differences Formed Between the Angle Achieved Under Kinesthetic Control and the Standard Angle Set by the Examiner ( $n = 47$ ) .....	65

\* HINT: Statistical symbols such as  $n$  or  $N$  or  $p$  must be in italics throughout the text, including on this page, as shown in the example above.

### List of Figures

#### Figure

1. The Senses, Integration of Their Inputs, and Their End Products ..... 5
2. Gender Differences for Normative Data Involving Kinesthetic Perception on a Sample of Children Without Disabilities ..... 62
3. Means of the Angles of Shoulder Flexion Achieved Under Kinesthetic Control by Gender at the Standard Angle of 45 Degrees ..... 64

**List of Appendices**

Appendix

A IRB Full Approval Letter.....123

B Parental Consent Form .....125

C Subject Assent Form.....127

D Instructions for Student Screening.....129

E Student Screening .....132

F Protocol for Test Administration.....134

G Scoring Form .....145

H Diagram of End-stop.....147

\* (HINT: Check this page carefully to see if any materials have been included in the appendices that may require copyright permission letters. Check this list in your Dissertation to see if you have copied tools or scales in your appendices that require copyright permission.)

## Chapter I

### Introduction

The “golden years” can still be a very productive and enjoyable time in one’s life. These years may be viewed as the time when many adults are finally able to reduce the time spent working in order to have the time to engage in activities enjoyed with family and friends. However, these golden years may be interrupted, or worse, be denied because of an injury incurred as a result of an unexpected fall.

It is interesting to consider that there are so many different ways to fall, so many different types of falls, and so many different consequences of falls, researchers have had some difficulty even defining what a fall is. Therefore, the present study chose the Gibson, Andres, Isaacs, Radebaugh, and Worm-Petersen (1987) definition commonly referred to in the literature as the Kellogg International Workgroup definition. This definition for identifying a fall in older adults (over the age of 65) is “unintentionally coming to the ground or some lower level and other than a consequence of sustaining a violent blow, loss of consciousness, sudden onset of paralysis as in stroke or epileptic seizure” (p. 14).

With this definition in mind, it has been estimated that at least one-third of all adults over the age of 65 in the United States experience at least one fall each year (Lach et al., 1991; Shumway-Cook et al., 2009; Tinetti & Williams, 1997). While this percentage is very high, it may even under represent the frequency of falls, as many others experience, but do not report, a fall because there was no resultant injury requiring

### **Statement of Purpose**

The purpose of this study was to determine whether or not a match exists between goal preferences among patients, family members, and occupational therapists, as measured by the Clinical Goal Preference Assessment Tool (CGPAT). Goal preferences of therapy may differ among patients, family members, and occupational therapists. Each brings unique views to therapy, which should rightfully be acknowledged. Consideration of the meaning of occupation for the patient as well as input from the family and therapist is important for future planning, so as to accurately prioritize therapeutic intervention. Determination of the preferences held by patients, family members, and occupational therapists regarding goals will aid occupational therapists in devising intervention plans that consider the views of each.

### **Conceptual Framework**

In order to conduct a research study, it must relate back to a broad base of knowledge. Knowledge may be categorized into that which is general or more abstract, and that which is specific. At a general level, knowledge can be organized into a paradigm. More specific knowledge is often expressed through various conceptual practice models. A paradigm describes the general view held by members of a profession, which defines and establishes the parameters of a field. Conceptual practice models include concepts that are articulated, modified, and applied by members of a profession who utilize them to guide their practice. A conceptual practice model is developed according to the views of the paradigm (Kielhofner, 1997). For an individual

\*\*\* SAMPLE APA DEFINITIONS OF TERMS FORMATS \*\*\*

SAMPLE STYLE 1:

### **Definition of Terms**

The following terms were either conceptually or operationally defined for the purposes of the present study:

#### *Age*

Theoretical definition: the number of years a person has been living since birth.

Operational definition: the student's age upon entrance into the nursing program as reported in item 8 on the data gathering tool.

SAMPLE STYLE 2:

### **Definition of Terms**

The terms in the research questions were defined theoretically and operationally.

1. *Age*--the number of years a person has been living since birth. Operationally defined as the student's age upon entrance into the nursing program as reported in item 8 on the data-gathering tool.

Table 3

*Descriptive Statistics on FIM<sup>TM</sup> Instrument Item Scores at Admission for Subjects Who Returned or Did Not Return to Role Following a Traumatic SCI Resulting in Tetraplegia (N = 250)*

Return to Role	<i>n</i>	<i>M</i>	<i>SD</i>	<i>Min</i>	<i>Max</i>
<b>Eating</b>					
Did Not Return	197	2.75	1.98	1	7
Returned	53	3.66	2.06	1	7
<b>Grooming</b>					
Did Not Return	197	2.34	1.63	1	7
Returned	53	3.13	1.90	1	7

---

Return to Role	<i>n</i>	<i>M</i>	<i>SD</i>	<i>Min</i>	<i>Max</i>
----------------	----------	----------	-----------	------------	------------

---

Bathing

---

Did Not Return	197	1.73	1.24	1	7
Returned	53	2.43	1.92	1	7

---

Dressing Upper Body

---

Did Not Return	197	2.01	1.47	1	7
Returned	53	2.77	1.88	1	7

---



## References

- Affifi, W., & Weiner, J. (2004). Toward a theory of motivated information management. *Communication Theory, 14*(2), 167-190.
- Ajzen, I. (1988). *Attitudes, personality, and behavior*. Chicago: The Dorsey Press.
- Ajzen, I., & Fishbein, M. (1980). *Understanding attitudes and predicting social behavior*. Upper Saddle River, NJ: Prentice-Hall.
- Block, G., Block, T., Wakimoto, P., & Block, C. (2004). Demonstration of an e-mailed worksite nutrition intervention program. *Preventing Chronic Disease, 1*(4), 1-13.  
Retrieved on December 1, 2008 from  
[http://www.cdc.gov/pcd/issues/2004/oct/04\\_0034.htm](http://www.cdc.gov/pcd/issues/2004/oct/04_0034.htm)
- Campbell, D., & Stanley, J. (1963). *Experimental and quasi-experimental designs for research*. Boston: Houghton Mifflin.
- Cantarovich, F. (2002). Improvement in organ shortage through education. *Transplantation, 73*(11), 1844-1846. Retrieved on July 31, 2008 from  
<http://www.transplantjournal.com/pt/re/transplantation/abstract.00007890-200206150>
- Chyou, P., Scheuer, D., & Linneman, J. (2006). Assessment of female participation in an employee 20-week walking incentive program at Marshall Clinic, a large multispecialty group practice. *Clinical Medicine & Research, 4*(4), 256-265.
- Cohen, J. (1988). *Statistical power analysis for the behavioral sciences*. Hillsdale, NJ: Lawrence Erlbaum.

Feeley, T., & Servoss, T. (2005). Examining college students' intentions to become organ donors. *Journal of Health Communication, 10*, 237-249.

Finn, J. D., & Mattsson, I. (1978). *Multivariate analysis in educational research*. Chicago: National Educational Resources.

Fishbein, M., & Ajzen, I (1975). *Belief, attitude, intention and behavior: An introduction to theory and research*. Reading, MA: Addison-Wesley Publishing.

\* NOTE: FOR APA REFERENCING OF ELECTRONIC MEDIA,  
See *APA Manual* (2010), pp. 187-192.

**Appendix C**

IRB Full Approval Letter

\*\*\* SAMPLE APPENDIX DIVIDER PAGE \*\*\*

TO: [Student Name]

FROM: [IRB Director/Coordinator Name]  
Institutional Review Board

DATE: September 1, 2012

SUBJECT: IRB FULL APPROVAL

I am pleased to inform you that your application to the D'Youville College Institutional Review Board entitled: "*[Title of Graduate Research]*" has been granted **FULL APPROVAL** with respect to the protection of human subjects. This means that you may now begin your research unless you must first apply to the IRB at the institution where you plan to conduct the research.

Please note that you are required to report back to this IRB for further review of your research should any of the following occur:

1. a major change in the method of data collection
2. unanticipated adverse effects on the human subjects
3. unanticipated difficulties in obtaining informed consent or maintaining confidentiality
4. the research has not been completed one year from the date of this letter

Congratulations and good luck on your research!

eb

cc: Director of Graduate Studies  
[Name of Student's Dissertation Director]  
file

## How to Get Your IRB Letter into Your Dissertation

### A. Using a Copier:

1. In your dissertation, put a page break after the Appendix divider page for your IRB Approval Letter. Print that page.
2. Take your original approval letter to a copy machine and copy it at 75% size. You are reducing the letter to 75% of its original size.
3. Position the reduced letter on the blank, pre-printed page from step 1 so that the header shows and the margins are correct. Watch especially that the left margin is 1.5 inches.
4. Make a copy of the blended pages - the blank, pre-printed page, with the 75% reduced IRB approval letter properly placed on top of it.
5. Insert the copy made in step 4 into your dissertation.

### B. Using a Scanner:

1. Scan your IRB letter to an electronic file; typically as a .pdf file.
2. Open your Dissertation document file in Microsoft Word.
3. Move to the proper appendix page where you wish to put the IRB letter – make sure it is a blank page in the document, with the proper running head and page number at the top in sequence with the remainder of the document.
4. Open the scanned page in Adobe Acrobat, and adjust its image so that the letter is fully visible onscreen.
5. Push the "Prt Scr" button on the keyboard.
6. Switch back to your Word Dissertation document, and with the cursor on the proper page, choose "Paste".
7. Click on the image that appears, and use the "Picture Tools", "Format" option to "Crop" the image until only the letter shows – make sure no lines appear at the edges of the letter.
8. "Stretch" the small image to fully fit the page in your dissertation – make sure you do not exceed any of the margins – 1.5 on the left, the running head must show at the top, etc.

These same processes work for any diagrams, graphs, printed materials, and/or pictures that go into your dissertation text.

## **Appendix D**

Suggested Sequence of Due Dates for Timely Student Graduation

		<b>Guidelines for Due Dates for College Graduation:</b>		
<b>College Graduation Dates:</b>		<b>May, 201x</b>	<b>August, 201x</b>	<b>December, 201x</b>
<b>Tasks To Complete:</b>		<b>DUE DATE:</b>	<b>DUE DATE:</b>	<b>DUE DATE:</b>
1	<b>Meet with Registrar to Clear for Graduation</b>	<b>November 1, 201x</b>	<b>February 1, 201x</b>	<b>June 4, 201x</b>
2	<b>Approval from Dissertation Chair to Schedule Defense of Dissertation</b>	<b>March 29, 201x</b>	<b>July 1, 201x</b>	<b>October 31, 201x</b>
3	<b>Public Presentation of Dissertation (Dissertation Presentation Day); Approval Signed on F-CRTG Form</b>	<b>April 5, 201x</b>	<b>July 8, 201x</b>	<b>November 7, 201x</b>
4	<b>Successful Defense of Dissertation; Dissertation Approval; F-GRC Form Signed</b>	<b>April 8, 201x</b>	<b>July 11, 201x</b>	<b>November 8, 201x</b>
5	<b>Approval from Dissertation Chair for Dissertation to go to the Outside Reader in Graduate Office</b>	<b>April 15, 201x</b>	<b>July 18, 201x</b>	<b>November 15, 201x</b>
6	<b>Dissertation to Outside Reader (Meet APA Style and Graduate Office Requirements)</b>	<b>April 15, 201x</b>	<b>July 18, 201x</b>	<b>November 15, 201x</b>
7	<b>Approval from Outside Reader; Approval Signed on F-CRTG Form</b>	<b>April 25, 201x</b>	<b>July 26, 201x</b>	<b>November 25, 201x</b>
8	<b>2 Copies of Dissertation and F-CRTG Form to Graduate Office</b>	<b>April 26, 201x</b>	<b>July 26, 201x</b>	<b>November 27, 201x</b>
9	<b>Payment of ProQuest Fees; Final Signature on F-CRTG Form</b>	<b>May 1, 201x</b>	<b>August 1, 201x</b>	<b>November 29, 201x</b>

