CLARK ATLANTA UNIVERSITY

THE DEPARTMENT OF
EDUCATIONAL LEADERSHIP

DOCTORAL PROGRAMS
HANDBOOK

Guidelines for Completing the
Prospectus/Dissertation

2021-2022

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# TABLE OF CONTENTS

**OVERVIEW OF THE DISSERTATION PROCESS** ................................................... 4

- Purpose of the Dissertation ............................................................................. 4
- The Dissertation Prospectus ........................................................................... 4
- Selecting a Topic .............................................................................................. 4
- Role of the Faculty Advisor ............................................................................ 5
- The Dissertation Committee .......................................................................... 5
- Timetable and Deadlines ................................................................................ 6
- Reference Guides ............................................................................................. 6
- Candidate's Responsibilities ........................................................................... 6
- Editing the Paper ............................................................................................. 7
- Research Timelines ......................................................................................... 7
- Dissertation Process ......................................................................................... 7

**CHAPTERS 1 - 3 (THE PROSPECTUS)** ............................................................. 8

**CHAPTER ONE: INTRODUCTION** .................................................................. 8

- Introduction ....................................................................................................... 8
- Statement of the Problem ................................................................................ 8
- Purpose of the Study ....................................................................................... 8
- Research Questions ........................................................................................ 8
- Significance of the Study ................................................................................ 8
- Chapter Summary ............................................................................................ 9

**CHAPTER TWO: REVIEW OF LITERATURE AND THE THEORETICAL FRAMEWORK** ......................................................................................................................... 9

- Organization of the Review .......................................................................... 9
- Emergent Themes ......................................................................................... 9
- Theoretical Framework ............................................................................... 10
- Theory of Variables .................................................................................... 10
- Definition of Variables & Other Terms ...................................................... 10
- Relationships Among Variables ................................................................. 10
- Summary ........................................................................................................ 11

**CHAPTER THREE: RESEARCH METHODOLOGY** ........................................ 11

- Research Design .......................................................................................... 11
- Description of the Setting .......................................................................... 12
- Sampling Procedures .................................................................................. 12
- Working with Human Subjects .................................................................. 12
- Instrumentation ........................................................................................... 13
- Participants/Location of Research .............................................................. 13
- Data Collection Procedures ...................................................................... 13
- Description of Data Analysis Methods .................................................. 14
- Limitations of the Study ........................................................................... 14
- Summary .................................................................................................... 15
Purpose of the Dissertation
The dissertation requires the candidate to conduct an intensive, scholarly, and in-depth examination of a topic that is relevant to the discipline of educational leadership and of professional interest to the student.

The dissertation has a two-fold purpose. First, it allows doctoral candidates to demonstrate their ability to conduct, write and defend an independent doctoral level research study. Second, it allows the candidate to explore thoroughly and critically and to offer an informed perspective of a challenge or problem within the field of educational leadership.

The Dissertation Prospectus
The first phase of the dissertation process is the development, submission, and oral defense of a prospectus. The purpose of the dissertation prospectus is to provide the faculty with evidence of the significance and rationale of the proposed study; the philosophical/theoretical knowledge base within which the dissertation topic is developed and the methodology or procedures to be employed. The proposal reflects the candidate's preparedness to conduct the investigation and write the dissertation.

The prospectus is the first three chapters of the dissertation. These chapters will be revised once the research is complete and with two additional chapters (chapters four and five) the manuscript will become the dissertation.

Selecting a Topic
The dissertation phase of the Doctor of Education program begins with the selection of an issue for research by the student early in the program. The student is encouraged to choose the research topic in the first semester of the program and to use opportunities in the courses in the first year of the program to review the literature and develop other phases of the prospectus for the research.

The selection of the dissertation topic should be done with great care. The topic should be of interest to the candidate in keeping with the mission of the School of Education and should be relevant to the discipline and practice of educational leadership and administration. Further, the topic should make a contribution to the field while being significant and innovative. Candidates should also consider such issues as access, economic feasibility, and time constraints.

Prior to selecting a dissertation topic, the candidate should conduct a thorough review of related literature in order to determine the current academic thought on and discourse around the intended area of study. It is advisable to conduct a computerized literature search (with a librarian, if necessary). The preliminary literature review should cover
professional books and journals (e.g., *Dissertation Abstracts, Sociological Abstracts, Psychological Abstracts*, etc.).

**Role of the Faculty Advisor**

On admission to the program, students are assigned a faculty advisor. With respect to the dissertation, the role of the faculty advisor is to work closely with the candidate in choosing a research topic; selecting a research methodology and identifying appropriate research. Ideally, the dissertation topic should be closely aligned with the major interests and expertise of the advisor and the department. The advisor should schedule frequent meetings with the candidate. The main purpose of these meetings is to discuss and refine the dissertation topic and to develop a plan of action and timetable.

Candidates prepare the prospectus in consultation with their faculty advisor. Once the advisor determines that the prospectus is theoretically, methodologically, and structurally sound. The advisor schedules an oral defense of the prospectus in collaboration with the Department Chair.

While the advisor assists the student as needed, *developing the prospectus/dissertation is the primary responsibility of the candidate as a demonstration of her/his ability to engage in scholarly independent research.* The candidate is expected to maintain a close relationship with the advisor and to establish a schedule for consultation.

**The Dissertation Committee**

After the oral prospectus defense, a committee will be formed to assist the candidate in conducting the research. The candidate’s committee will indicate (1) approval to conduct the intended research, (2) corrections needed for final approval, or (3) the need to revise the prospectus entirely. The successful defense of the prospectus marks the beginning of the final phase of the doctoral process. At this important juncture, the candidate is admitted to candidacy for the Doctor of Education degree, and, with the approval of the University’s Institutional Review Board (IRB), is permitted officially to begin the research phase of the dissertation.

The dissertation committee is composed of the dissertation chair and a minimum of two additional persons. The dissertation chair must be a full time faculty member in the Department of Educational Leadership. At least one other member of the committee must be a full-time faculty member in the department. The third member of the committee may be a faculty member at Clark Atlanta University with expertise in the area of the proposed research or a person outside the university with comparable academic credentials. If the candidate desires to have a committee member who does not work at the university or who is an adjunct faculty member, this person must have an earned doctorate and possess expertise in the dissertation area. Additionally, the candidate must submit a copy of the person’s curriculum vitae to the department chair for review and final approval.
The dissertation chair and committee members should receive sections of the proposal and dissertation prior to the scheduling of meetings so that the ensuing discussions will be productive. The committee will determine if the candidate and the document are ready for the oral defense of the dissertation.

**Timetable and Deadlines**

The candidate must adhere to the printed departmental, school, and university deadlines for submission of materials and the holding of oral defenses. *No exceptions will be made to these dates.* The submitted document must be edited (free from grammatical, structural, spelling, and punctuation errors). Additionally, the candidate must ensure that the documents are free of any plagiarism or other violations of academic standards and ethics. All submissions will be subject to review through Turn-it-in to check for extent of borrowed material. This process must be completed by the committee chair. The department allows for not more than 20 percent of a submission to be directly attributed to other sources. All direct quotes along with paraphrased material must be fully referenced. The candidate is responsible for submitting the final draft of the dissertation to each committee member at least two weeks prior to a scheduled oral defense. *No exceptions will be made to the deadlines for submission of documents.*

Candidates must understand that the process of completion of the dissertation does not end with defense of the dissertation before the department.

Following defense of the dissertation the candidate must complete all corrections and changes to the satisfaction of the committee before moving on to the next phase.

Once the committee approves the corrected dissertation, the document is then sent to the Dean of the School for review and from there to the Office of Graduate Education for further review. The candidate must be prepared to make corrections required at any of these stages. Please see Thesis and Dissertation Manual, 2018 -2020, or the most recent version, available from the Office of Graduate Education Programs for guidance on preparation and submission of dissertations.

**Reference Guides**


Additionally, the prospectus and dissertation must be written in accordance with the most recent edition of the *Publication Manual of the American Psychological Association.*

**Candidate's Responsibilities**

The candidate should feel free to consult the committee chair and/or other committee members as needed. When in doubt or confused, ask! The candidate is responsible for the content, structural quality, and editing of the prospectus/dissertation. Further, the comments and suggestions arising from consultations with the chair and committee should be reflected in the document. The prospectus/dissertation is an independent project that represents the candidate's original writing. *Accordingly, the candidate is responsible for*
**ensuring that citations from other authors are given proper credit.** It is the candidate's responsibility to insure that the prospectus/dissertation complies with the previously noted reference guides. Students are not allowed to present and defend their research in the same semester. This is a two semester requirement.

**Editing the Paper**
The person who edits the prospectus and dissertation should be familiar with APA style. Drafts should be submitted to the Editor as early as feasible in order to provide for a reasonable turnaround time. It is important to seek a professional who has documented experience in formatting dissertations and theses. **The candidate is ultimately responsible for the timely submission and accuracy of these documents.**

**Research Timelines**
A reasonable timeline for completing each phase of the prospectus and the dissertation should be developed and discussed with the committee chair early in the process. The timeline should include the estimated month and day for the completion of related sections and must be in keeping with departmental, school, and university deadlines.

**Dissertation Process**

1. **CEDA 699/CHED 699 Research Methods**
   - Develop Concept Paper and Literature Review

2. **First CEDA 995/CHED 995**
   - Develop and Present Prospectus (Chapters 1-3)

3. **Obtain IRB Approval at CAU**

4. **Second CEDA 995/CHED 995**
   - Collect Data; Write Chapters 4 and 5
   - Defend Dissertation
CHAPTER ONE: INTRODUCTION

Introduction
The beginning of the dissertation should consist of a brief introduction consisting of two or three paragraphs that place the study in a local and national context. The introduction presents an overview of the study and should conclude with a statement that gives the intent of the investigation.

Statement of the Problem
The problem statement should be written with assertion, clarity, and specificity. The problem should be viewed in terms of the factor or dependent variable to be examined. A concise problem statement should establish clearly the specific issue of concern and demonstrate that it is a viable and legitimate problem in educational administration. Where possible, empirical data should be provided to support the importance of the issue to be examined.

Purpose of the Study
Following the statement of the problem, the writer should indicate the intent of the research/investigation as related to addressing the problem. For ex post facto studies, the independent variables selected to be examined as possible predictors of variation in the dependent variable should be identified in this section. The purpose section of the dissertation provides indication of the general intent of the research and how the researcher plans to approach the problem.

Research Questions
The general problem lends itself to a number of interrelated areas to be addressed in order to conduct a comprehensive investigation. Therefore, research questions should be generated that enumerate each of the specific inquiries of the problem to be addressed through the research. The nature of these questions will depend upon whether the proposed inquiry is to be quantitative or qualitative or mixed method in approach. The research questions should serve as precise guides for the conduct of the research.

For quantitative studies, the research questions should tie the dependent variable to each independent variable in questions asking about relationships or about possible differences between two or more groups.

For qualitative studies, do not use the word “statistical significance” when wording the research questions.

Significance of the Study
The significance of the proposed research should indicate how the potential findings will benefit current theory and/or practice in educational leadership. How might the findings
be used? What implications will the expected findings have for policies and procedures? What impact can be expected? In this section, the writer asserts the potential value of the outcome and the need for the study.

Chapter Summary
The first chapter concludes with a summary of the highlights contained therein. It is not appropriate to introduce new information in this section. The intent is to address in a comprehensive, yet succinct manner, the chapter's major areas of emphasis or emergent themes. Each of the chapters of the prospectus and dissertation should conclude with a summary.

CHAPTER TWO: REVIEW OF LITERATURE AND THE THEORETICAL FRAMEWORK

Review of the Literature
The review of the related literature is one of the most important sections of a dissertation or thesis. The literature review demonstrates the writer's awareness and understanding of the current knowledge base regarding the dissertation topic. Through the literature review, the proposed study is placed in theoretical and/or historical context. The review should begin with an introduction that explains what is to be reviewed and how it will be presented or organized.

The researcher should try to limit the review to the most recent research. Often there are "benchmark" or classic pieces of literature that are necessary to place the research in historical context; therefore, these may and, in most cases, should be included. The bulk of the citations, however, should be as recent as possible, preferably within the past five-to-seven years. This chapter typically includes at least three sections:

- Organization of the Review
- Emergent Themes (Analysis)
- Summary of the Literature Review related to the topic and the independent variables

Organization of the Review
The researcher must decide how and around what sub-topics the review will be organized. This may be done in a number of ways according to the nature of the topic. A convenient way to do this that provides clarity to the review is by the variables selected in chapter one. Preferably, this should be explained in an opening paragraph.

Emergent Themes
It is important for the literature review to be written with an indication of the interrelationships among reviewed research studies. The researcher reports on the similarities and any contradictions contained in the literature. In general, the literature review should build a strong indication of the researcher’s awareness of what is currently
being written about the topic. By synthesizing the literature, the researcher pulls the various parts together and interprets their meaning.

Because there needs to be a strong indication of how the proposed study relates to the current body of literature, the review should demonstrate in-depth understanding of that relationship. What are the implications of the literature for the study? How might the findings of the study fill existing voids in the empirical and/or theoretical literature?

In addition to reviewing the substantive findings and conclusions of the literature, the review should also examine critically the methodology used in each article and/or book. This chapter is not a collection of book reports; instead it is a summative analysis of contemporary scholarship that contextualizes the study within the discipline. The review should be done in a scholarly manner that demonstrates familiarity with the existing body of knowledge and ability to relate the intended study to that body, both in content and procedure.

Theoretical Framework

Theory of Variables

The researcher should identify and describe two or three theories or sets of leadership principles that can support the study. The theories selected will depend on the nature of the problem to be examined and the factors or variables to be used in examining the problem. The researcher should explain how the variables used in the study align with the theories selected.

Definition of Variables & Other Terms

The variables that are used in the study should be operationally defined as they are applied by the researcher, within the context of the dissertation. Dictionary definitions are not always suitable in the particular context of most studies. Treatment variables in experimental studies should be described fully and comprehensively to allow for replication.

Terms are to be defined separately from variables. Terms that are widely used in educational circles should not be defined (i.e. "university"..."president"..."faculty"...etc.) Only those terms with definitions that will lend clarity to the intent of the study should be defined. The definitions should be comprehensive, brief, and clear.

Relationships Among Variables

For quantitative studies that examine relationships among variables, the hypothesized relationships among the independent and dependent variables should be presented and explained clearly. The writer should indicate, with an appropriate diagram, how these variables impact on each other through input/output connections. This section is not
required for qualitative studies or quantitative studies that use only descriptive research questions.

**Summary**
The summary should indicate how the candidate’s proposed study can fill a gap in the body of related literature. The chapter should conclude with a brief summary of the general highlights of the theoretical framework.

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**CHAPTER THREE: RESEARCH METHODOLOGY**

The chapter on methodology sets forth the framework for carrying out the research inquiry. It describes the design, the setting, the procedures for selecting the participants, the setting, the instruments or other methods of gathering information as well as the methods for assessing the data and drawing meaning from such data.

The process of scholarly inquiry, your research method, should be decided in consultation with your dissertation committee chair. Educational researchers utilize various methods to study phenomena. However, typical methodological choices in the Department of Educational Leadership can be broadly classified as quantitative, qualitative, or mixed-methods.

"Quantitative studies test specific hypotheses, usually stated in advance, and incorporate measures that can be analyzed statistically. This type of research uses tables or charts to display findings that can (hopefully) generalize beyond the sample to a wider population." (Suter, 1998, p. 87). Hypotheses are normally used with randomized samples. Where samples cannot be randomized, a less rigorous approach is used with research questions instead of hypotheses.

"Qualitative studies, by contrast, often allow a hypothesis to emerge after careful exploration, observation, or interaction. They often use narrative to describe their observations. These stories capture a rich understanding which may not generalize beyond the research setting and unique characteristics of the sample." (Suter, 1998, p. 87).

Mixed methods studies integrate qualitative and quantitative approaches to data collection and analysis.

**Research Design**
The design selected for the study will be determined by the researcher's intent. Basically, the design gives indication of the type of study that is proposed and how it will be conducted. There are numerous types of designs, including quantitative, qualitative, and mixed methods.

Quantitative research designs allow the researcher to investigate relatively large amounts of data and subjects using descriptive, correlation, survey, experimental, ex post facto,
inferential, and other techniques. Qualitative approaches include ethnographic studies, case studies, policy analyses, historiography, and other techniques.


**Description of the Setting**
A description of the setting will include the physical location and key components of the locale. If the setting is a school district or institution of higher education, it should be described in a comprehensive manner. If specific schools therein are to be used, they should be given particular attention. If the researcher is required to provide anonymity of the setting, the description should be done in such a way to honor this requirement.

**Sampling Procedures**
Rarely is an entire population used to conduct a study. It is, therefore, necessary to explain whether the entire population was selected. Because there are several techniques that are acceptable for sampling procedures, the researcher should select the appropriate sampling technique for the study.

The researcher should indicate the type of sampling method employed: probability or non-probability sampling. Probability sampling, also known as random sampling, is a kind of sample selection where randomization is used instead of deliberate choice. Non-probability sampling techniques are where the researcher deliberately picks items or individuals for the sample based on their research goals or knowledge. Probability sampling methods include simple random sampling, systematic sampling, stratified sampling, and cluster sampling. Non-probability sampling methods include convenience sampling, quota sampling, purposive sampling, and snowball or referring sampling.

The population should be described in a comprehensive manner. If the study is qualitative in nature and does not lend itself to sampling techniques, the researcher should indicate how and why the setting and subjects were selected.

In experimental studies, experimental and control groups should be described and compared explicitly so that results can be validly ascribed to the treatment without contaminating effect of other variables.

**Working with Human Subjects**
All research with human subjects should be conducted so that no harm will come to those involved. The researcher should guarantee anonymity and confidentiality so that participants will not be identifiable in any printed documents. Subjects must voluntarily participate in the research.
All potential researchers operating under the umbrella of Clark Atlanta University must complete an IRB application for approval from the Office of Research and Sponsored Programs after completing the Collaborative Institutional Training Initiative (CITI Program) exam. IRB approval is sought after satisfactorily defending the prospectus, including presentation of all data collection instruments.

In addition to the approval of the University’s IRB, the researcher must also secure written permission to conduct the study at the selected location from the appropriate authority at the particular location. Most school districts require that (after receiving administrative approval) a letter from the researcher requesting the voluntary participation of students be on file. Additionally, letters of consent signed by the parents of participating students must be on file at each school. If the study is using a school district, it is good to secure permission as early as feasible since many school districts have set deadlines for receiving proposals for research. Similarly, when human subjects are involved, researchers in the Higher Education programs should seek written approval from the higher education institution where they plan to conduct the study.

**Instrumentation**

Any instruments used to collect data for the study should be described in detail, including how the instrument was developed and by whom. The instruments may range from a published standardized test to an interview scale developed by the researcher.

If the selected instrument is a published survey or test, it should be described to include information regarding authorship, standardization, reliability, validity, etc. It is the researcher's responsibility to secure written permission from the author to use instruments that are not published.

If the instrument was developed by the researcher, it should be noted what steps were taken to ensure its content validity (i.e., use of a panel of experts to develop the questions).

**Participants/Location of Research**

The prospectus should specify who or what is to be investigated and where the research will take place, how are the participants selected and how did the researcher gain access to the research setting.

**Data Collection Procedures**

The steps used to collect the necessary data should be enumerated clearly and carefully. Because this section must be written so that another researcher could replicate the study easily using the same procedures, the writer must ensure that all procedures are detailed.

Indicate the exact procedures and sequence of events the researcher followed to collect the data. Also specify the nature of the materials and/or instruments that were used to gather the data.
Description of Data Analysis Methods

For Quantitative Methods: The statistical tools and methods that will be used to analyze the data must be selected carefully and explained fully. The appropriate methods will depend upon the hypotheses/research questions and the best methods for addressing them. The writer should select the appropriate statistics for data analysis.

For Qualitative Methods: Indicate how the data will be analyzed. How will the researcher make sense out of the evidence that is to be collected? How will the data be interpreted and brought to bear on the research questions to be investigated?

The researcher should include in this section a table that shows the alignment between research question, variables, items in the instruments that are used to measure the variables, and data analysis methods utilized to answer that research question. An example is provided in the table below for a mixed methods study.

<table>
<thead>
<tr>
<th>RQ</th>
<th>Variables</th>
<th>Instrument Items</th>
<th>Data Analysis Methods</th>
</tr>
</thead>
<tbody>
<tr>
<td>RQ1) What stress factors do novice faculty encounter related to student interaction?</td>
<td>DV: Student interaction stressors scale</td>
<td>Survey: Q1-Q5</td>
<td>Descriptive statistics (Mean, SD, %)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Interview: Q1-Q3</td>
<td>Content Analysis</td>
</tr>
<tr>
<td>RQ2) What stress factors do novice faculty encounter related to professional identity?</td>
<td>DV: Professional identity stressors scale</td>
<td>Survey: Q6 - Q10</td>
<td>Descriptive statistics (Mean, SD, %)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Interview: Q4-Q6</td>
<td>Content Analysis</td>
</tr>
<tr>
<td>RQ3) To what extent does mentoring affect the level of stress for the new faculty?</td>
<td>IV: Participation in Mentoring (Yes/No)</td>
<td>Survey: Q26</td>
<td>Descriptive statistics</td>
</tr>
<tr>
<td></td>
<td>DVs: all FSI scales</td>
<td>Survey: Q1-Q25</td>
<td>Independent samples t tests</td>
</tr>
</tbody>
</table>

Limitations of the Study

Whenever an investigation is conducted, there are a few areas that cannot be controlled by the researcher. These areas represent limitations (or assumptions) that may cloud the interpretation of the findings. For example, the sample may be too small to allow for generalization beyond the setting in which the research was conducted or, if the study requires subjects to complete a questionnaire, the researcher assumes that the subjects might not be fully forthcoming in the self reported data. Accordingly, a limitation of such
a study is that the obtained data may rely on the accuracy (honesty) of the respondents. The limitations of the study allow the researcher to enumerate those areas over which he or she has limited or no control.

**Summary**
The chapter should conclude with a summary of the general highlights of the methodology section.

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**CHAPTER FOUR: PRESENTATION AND ANALYSIS OF THE DATA**

In the final preparation of the dissertation, the data analysis chapter demonstrates how the hypotheses or research questions were addressed and what the outcome of the analyses yielded. If the study was quantitative, the findings should be displayed in tabular format and explained through accompanying narratives. Tables included in this chapter describe the data and the findings therein. Each hypothesis/research question is restated followed by a data table which illustrates how the data are analyzed (what statistical procedures are applied), what the outcome is, and if it is significant. The table is followed by a statement which indicates if the hypothesis is accepted or rejected and why.

If the study is qualitative in nature, the findings will be presented with more emphasis on narrative discussion. However, tables should be used where possible to provide a visual display of and support for the narrative presentation. For qualitative research, the writer must develop and present a theoretical paradigm for data analysis and presentation that demonstrates rigorous standards for addressing the research questions. The data analysis section should conclude with a summary related to the highlights of the section.

If the study uses a mixed methods, the researcher should compare results from the quantitative and quantitative analysis. For each research question, the presentation of quantitative and qualitative findings should be followed by an integrative summary that is supported by both approaches.

**Summary**
The chapter should conclude with a summary of the key findings for each research question.
CHAPTER FIVE: DISCUSSION OF FINDINGS, IMPLICATIONS, RECOMMENDATIONS, AND CONCLUSIONS

The final chapter of the dissertation allows the student to "make sense" of the entire study. What was found? What does it mean? How do the findings relate to previous research? How can the findings be used to improve current practice, affect policy, or suggest further research related to the investigation? This chapter is the culminating scholarly synthesis of the research and should be reflective of the researcher's newly acquired knowledge base.

Discussion of Findings
Begin the discussion by reminding the reader of the main focus of the study and the major findings. This discussion should be organized by research question. Specifically, what do the accepted or rejected hypotheses actually mean? What do the answers to the research questions really mean? How does the researcher interpret the findings of the research?

Keep stats to the minimum – this is not a reiteration of all the results reported in Chapter 4. For each research question, the researcher should describe how the results of the current study relate to previous findings cited under Review of Research Literature in Chapter 2. Elaborate on expected and unexpected results. Additionally, the researcher should describe how the results support the theories discussed in Chapter 2.

Implications
The implications are inferential in nature. What does the study allow the researcher to infer? What implications do the findings have for current and future practice and policy related to the purpose of the research? The implications may be related to improvement of practices, additional policies, new procedures, innovative training, etc. They must, however, be related to the findings of the study. The implications should be presented separately for future practice and policy.

Limitations of the Study
The limitations identify methodological matters that may have impacted the findings of the study, including threats to internal and external validity (In the final version of the dissertation, this section should be removed from Chapter 3, where it was included as part of the Prospectus).

Recommendations for Future Research
The recommendations represent the section in which the researcher indicates what he or she would recommend future research to explore or expand on based on the findings of the study. Recommendations may include ways to address the limitations of the study by suggesting improvements in the methodologies used by future research. Recommendations must derive specifically from the findings and not from the assumptions of the researcher.
**Conclusions**
Conclusions are more interpretive. Based on the findings, what does the study allow the researcher to conclude?

**OTHER IMPORTANT RELATED INFORMATION**

**Timeline for Completion**
A reasonable schedule for completing research tasks should be included. Specifically, this should include when data will be collected, anticipated timeline for analyzing data, projected completion and submission of drafts, and tentative date for the defense. The timeline is based upon the candidate’s and dissertation chair’s best predictions and will likely change as the process unfolds.

**References**
The reference list must consist of all published and unpublished articles, dissertations, books, and manuscripts that are cited in the dissertation. The reference list should only contain references that are cited in the body of the document. It is the student's responsibility to insure that the reference list corresponds to the requisites of the APA format.

**Data Collection Instruments**
All data collection instruments (surveys, interview protocols, etc.) must be included in the appendices.

**Abstract**
After you completed all chapters, you are required to write an abstract of your dissertation. Limit the abstract to 350 words and place it directly behind the title page, but do not number it. Since the abstract is an important summary of your work and is the basis upon which scholars may decide to read the entire dissertation, you must exercise great care in preparing the abstract. The text of the abstract must be double-spaced, and must provide a concise summary of the following information:

- A statement of the problem,
- A description of the research procedure or method,
- An explanation of the results of the research,
- A summary of your conclusions.

**Turnitin Report**
Once the dissertation has been formatted by your Editor, you will need to submit it to Turnitin. Please ask your dissertation chair to assist with this task. The highest similarity score accepted by the department is 20%. The Turnitin Report has to be submitted along with the final version of the dissertation to Department’s Administrative Assistant for further transmittal to the Dean.
References
The reference list will consist of all published and unpublished articles, dissertations, books, and manuscripts that are cited in the dissertation. The bibliography should contain no references that are not cited in the body of the document. It is the researcher’s responsibility to insure that the bibliography corresponds to the requisites of the APA format.

Appendices
All documents that support the research but are inappropriate for the main body of the dissertation should be included in the appendix section. These items will include letters of approval or authorization to conduct the research, samples of the data collection instruments, samples of letters, and other items of importance. A copy of the IRB approval letter saved as an image file (.jpeg) must be included as an appendix in the final dissertation.
SUGGESTED SOURCES

In addition to texts directly related to your topic or methodological resources, the following resources may be helpful:

**Essential**

**Recommended**

*Writing the Winning Dissertation* by Allan Glatthorn & Randy Joyner

*Dissertations and Theses from Start to Finish* by John Cone & Sharon Foster

*Secrets for a Successful Dissertation* by Jacqueline Fitzpatrick, Jan Secrist, and Debra J. Wright

*Guide to the Successful Thesis and Dissertation* by James E. Mauch and Jack W. Birch

*Proposals That Work* by Lawrence Locke, Waneen Wyrick Spirduso, and Stephen J. Silverman
APPENDIX A

HELPFUL ADVICE TO CANDIDATES


2. Acquaint yourself with all departmental, school, and university deadlines. A dissertation is a substantive research project that requires a substantial period of time to complete. In most cases it is unrealistic to present the prospectus one semester and defend the completed dissertation the next semester. The pace of your work depends largely upon the intensity and consistency of your work habits. Research, however, is a systematic inquiry that requires the researcher to follow specific procedures in an orderly manner. It takes time to conduct, analyze, and describe research.

3. Your research must be in keeping with your approved prospectus. You must incorporate recommendations from your committee into your research plan.

4. You must consult with and obtain approval from your dissertation chair and the department chair prior to disseminating any letters, surveys or other correspondence to anyone external to the department. This included adoption of any research instruments.

5. Your dissertation committee chair must review all drafts of your prospectus and dissertation and other related documents including letters, interview guides, etc.

6. Your dissertation committee chair will make every attempt to review your dissertation and/or related documents within two weeks (14 days). If you leave your telephone number or e-mail address, you will be notified when the review has been completed.

7. During this entire process, it is imperative that you meet with your dissertation chair and committee on a regular basis. That committee is assigned to assist you when you need assistance; however, it is your primary responsibility to complete the research project. You will discover that rewriting sections of the dissertation is a standard process; therefore, you should keep accurate notes of recommendations provided by your committee. It recommended that you seek the help of an external reader before you submit your drafts to your chair and committee. Your chair is not expected to serve as your editor.
APPENDIX B

REVIEW AND APPROVAL PROCESS FOR THE PROSPECTUS AND DISSERTATION

1. Prospectus reviewed and approved by the Prospectus/Dissertation Committee
2. Prospectus oral defense set by committee chair in conjunction with department chair
3. Revisions completed per recommendations from oral defense
4. Final approval of prospectus by committee and department chair
5. Candidate admitted to doctoral candidacy
6. Letter of support approved by department chair to go to school district, university or agency head authorizing candidate to conduct research
7. Copy of prospectus made available to designated department of agency for formal approval to conduct research
8. Completion of dissertation chapters drafts
9. Review and approval of chapter drafts by dissertation committee
10. Dissertation oral defense set by dissertation committee chair in conjunction with candidate and department chair
11. Revisions made to dissertation per recommendations from oral defense
12. Approval of the revised dissertation by dissertation committee
13. Submission of approved dissertation to department chair for review and approval
14. Submission of approved dissertation by department chair to Dean for review
15. Approval of dissertation by Dean of School of Education
16. Submission of dissertation to Dean of Graduate Education for review and approval
17. Completion of any recommendations by Dean of Graduate Education
18. Final approval of dissertation by Dean of Graduate Education
19. Award of the Doctor of Education degree (EdD)
APPENDIX C

A GUIDE TO THE ORAL DEFENSE

Prospectus Defense

1. Make your PowerPoint approximately 20-25 minutes.
   A. Include bullet points but not entire paragraphs.
   B. Make your presentation a fluent delivery.
   C. Try not to read directly from your notes or your slides.
   D. Try to sit in on a presentation prior to your scheduled date.

2. Include in your presentation:
   A. An introduction to the topic
   B. The problem statement
   C. The significance of the study
   D. Highlights of literature review
   E. The theoretical framework
   F. The methodology including any instruments and protocols
   G. Timelines for completion

3. Check with Ms. Cooke regarding the number of copies to provide the faculty.

Dissertation Defense

1. Make your PowerPoint approximately 30-45 minutes.

2. Include in your presentation
   A. A summary of your first three chapters
   B. Your data analysis and findings, including any surprises
   C. Your conclusions and implications
   D. Your recommendations

3. Be prepared to field questions from your committee

4. Be prepared to follow up on recommendations provided by the committee.

NOTE: Please consider the fact that your dissertation will become a significant part of your academic and scholarship portrait to be viewed for years to come. Given this fact, you should wish to leave only the best effort that you can put forth. Diligence and perseverance, mixed with studious commitment, must become your constant companions during this challenging process.
Dear ------------------,

I am a graduate student at Clark Atlanta University conducting research to investigate the factors affecting student motivation and achievement in the middle school science classroom at ……….. This study may further the understanding of factors that affect student achievement. I believe that this information will help educational leaders throughout the district.

Information obtained in this study will not be shared with other teachers, administrators, parents, or district leaders. There are no known risk factors with your participation in this investigation.

Your participation is voluntary in this study, your perspective and accounts are valued.

If you have any questions or concerns, please feel free to call me at . . . . . .. If you prefer to email me, you can reach me at ……..

Thank you for your participation,

--------------------------------
Clark Atlanta University
Doctoral Candidate
# APPENDIX D

Clark Atlanta University
IRB Application

## Cover Sheet

- ☐ If Requesting Exempt Status Check Box and Complete Cover Sheet, Part I and Part II.
- ☐ If Requesting Nonexempt Status Check Box and Complete Cover Sheet and Part II.

Please check off or provide details on the following (if not applicable, please enter N/A).

<table>
<thead>
<tr>
<th>Principal Investigator Name:</th>
<th>☐ Faculty/Staff</th>
<th>☐ Graduate Student</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department</td>
<td>Educational Leadership</td>
<td>Campus Address:</td>
</tr>
<tr>
<td>Phone:</td>
<td>404-880-6015</td>
<td>Fax: 404-880-8564</td>
</tr>
<tr>
<td>Name of Research Advisor/Committee Chair if Graduate Student:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department</td>
<td>Educational Leadership</td>
<td>Campus Address:</td>
</tr>
<tr>
<td>Project Title:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Funding Agency:</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>Objective Estimate of Risk to Subject:</td>
<td>☐ None</td>
<td>☐ Low</td>
</tr>
<tr>
<td>Existing Documents</td>
<td>☐</td>
<td>Existing Specimens</td>
</tr>
<tr>
<td>Gender of subjects:</td>
<td>☐ Female</td>
<td>☐ Male</td>
</tr>
</tbody>
</table>

### Source of Research Subjects:

- ☐ Subject Pool ( ____________ )
- ☐ AUC Students
- ☐ Community
- ☐ Prisons
- ☐ School Teacher/Administrator
- ☐ Other, Please Specify (Congressman)

### Subject Recruitment:

- ☐ Person-to-Person Contact
- ☐ Telephone Solicitation (Attach a phone script)
- ☐ Newspaper Ad (Attach a copy)
- ☐ Posted Notices (Attach a copy)
- ☐ Letter (Attach a copy)
- ☐ Other (Describe)

### Compensation

- Compensation Yes | ☐ No

### Research/Course Credit

- Research/Course Credit Yes | ☐ No | Deception Credit Yes | ☐ No

### Will Video ☐ or Audio tapes ☐ be used?

### Confidentiality/Anonymity

If yes, answer the following:

| Retained | ☐ Yes | ☐ No | ☐ | Replies Coded |
| Secure Storage |
| Anonymous Response OR |
| Confidential Response |

| Destroy/Erase | ☐ Yes | ☐ No | ☐ | (Cannot be both anonymous) |

- Other (explain) Use specified in consent form? Yes ☐ No ☐

Designate who will use or have access to tapes: Principal Researcher
**Invasive or Sensitive Procedures:**

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

**Sensitive Subject**

<table>
<thead>
<tr>
<th>Alcohol, Drugs</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Blood Samples</th>
<th>Urine Samples</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Physical Measurements</th>
<th>Stress Exercise</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Depression/Suicide (electrodes, etc.)</th>
<th>Review of Medical/Pysch. Records</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Disability</th>
<th>rDNA</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Other (Specify)</th>
<th>Learning</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>AIDS/HIV, Sex</th>
<th>Other please</th>
</tr>
</thead>
</table>

**Inventory**

**Location Where Signed Consent Forms Will Be Filed:**

(Consent forms must be kept on file for three (3) years after the successful close-out of the project.)

*(It is best to keep the forms in a campus office in a locked file cabinet.)*

**Do you have any relationship with any or all of the subjects, other than your investigator role?**

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

**If "Yes," you must explain in the source of subjects section; explain how you will avoid any type of coercion.**
PART I: CERTIFICATION OF EXEMPTION

Researcher and Faculty Sponsor (for student researchers)

<table>
<thead>
<tr>
<th>Department</th>
<th>Educational Leadership</th>
<th>Phone #</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>404-880-6015</td>
</tr>
</tbody>
</table>

This is a Request for Exemption from the full review by the Institutional Review Board (IRB). (Check and initial all applicable conditions, sign below and provide protocol of research design.)

I certify that the project identified above, which involves the use of human subjects, qualifies as exempt from full IRB review and approval because it meets the criteria (ion) specified below:*

<table>
<thead>
<tr>
<th>Initials</th>
<th>(1) The research will be conducted in established or commonly established settings, involving normal education practices. For example:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(a) Research on regular and special educational instructional strategies;</td>
</tr>
<tr>
<td></td>
<td>(b) Research on effectiveness of instructional techniques, curricula or classroom management techniques.</td>
</tr>
<tr>
<td></td>
<td>(2) The research involves use of education tests (cognitive, diagnostic, aptitude, achievement), and the subject cannot be identified directly or through identifiers with the information.</td>
</tr>
<tr>
<td></td>
<td>(3) The research involves survey or interview procedures, in which:</td>
</tr>
<tr>
<td></td>
<td>(a) Subjects cannot be identified directly or through identifiers with the information;</td>
</tr>
<tr>
<td></td>
<td>(b) Subject's responses, if known, will not place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing or employability;</td>
</tr>
<tr>
<td></td>
<td>(c) The research does not deal with sensitive aspects of subject's own behavior (illegal conduct, drug use, sexual behavior or alcohol use);</td>
</tr>
<tr>
<td></td>
<td>(4) The research involves the observation of public behavior, in which:</td>
</tr>
<tr>
<td></td>
<td>(a) The subjects cannot be identified directly or through identifiers;</td>
</tr>
<tr>
<td></td>
<td>(b) The observations recorded about an individual could not put the subject at risk of criminal or civil liability or be damaging to the subjects, financial standing or employability;</td>
</tr>
<tr>
<td></td>
<td>(c) The research does not deal with sensitive aspects of the subject's behavior (illegal conduct, drug use, sexual behavior or use of alcohol);</td>
</tr>
<tr>
<td></td>
<td>(d) The research involves survey or interview procedures with elected or appointed public officials, or candidates for public office.</td>
</tr>
<tr>
<td></td>
<td>(5) The research involves collection or study of existing data, documents, records, pathological specimens or diagnostic specimens, or which:</td>
</tr>
<tr>
<td></td>
<td>(a) The sources are publicly available; or</td>
</tr>
<tr>
<td></td>
<td>(b) The information is recorded such that the subject cannot be identified directly or indirectly through identifiers.</td>
</tr>
</tbody>
</table>

I certify that the project will not be changed to increase the risk or exceed the exempt condition(s) without filing an additional or application for approval by the IRB.

---

Signature: Researcher (if researcher is a student) Date

Signature: Faculty Sponsor (if researcher is a student) Date

Signature: Department Chair Date
PART II: PROTOCOL

I have read the Belmont Report, "Ethical Principles and Guidelines for the Protection of Human Subjects of Research," and subscribe to the principles it contains. In light of this Declaration, I present for the Board's consideration the following information, which will be explained to the subject about the proposed research:

Principal Investigator Name: ________________________________  □Faculty/Staff  □Graduate Student

CAU Internal Control No: ________________________________

Department: Educational Leadership  Campus Address:  223 James P. Brawley Dr., S.W.

Phone:  404-880-6015  Fax:  404-880-8564  E-mail: ________________________________

Name of Research Advisor/Committee Chair if Graduate Student: D

Department: Educational Leadership  Campus Address:  223 J.P. Brawley Dr.  Phone: X6015

Project Title: ________________________________

Funding Agency: ________________________________

Funding Agency Mailing Address: ________________________________

Funding Agency Contact Name: ________________________________  Funding Agency Telephone: ________________________________

Funding Agency Contact Fax: ________________________________  Funding Agency E-mail: ________________________________
1. SELECTION AND SOURCES OF SUBJECTS

2. EXPERIMENTAL PROCEDURE

3. RISKS AND BENEFITS TO SUBJECTS

4. SIGNATURE ASSURANCE:

Principal Investigator/Graduate Student Assurance Statement:

I understand Clark Atlanta University's policy concerning research involving human subjects and I agree:

1. To accept responsibility for the scientific and ethical conduct of this research study;
2. To obtain prior approval from the Institutional Review Board before amending or altering the research protocol or implementing changes in the approved consent form;
3. To immediately report to the IRB any serious adverse reactions and/or unanticipated effects on subjects which may occur as a result of this study;
4. To complete, on request by the IRB, the Continuation/Final Review Forms.

SIGNATURE: ___________________________ DATE: ________________________

TYPED NAME _______________________________________________________

"Faculty/Research Advisor's Assurance Statement:" 

I certify that I have read and agree with this proposal, that the PI has received adequate training to perform this research, and will receive adequate supervision while performing this research.

SIGNATURE: ___________________________ DATE: ________________________
If the principal investigator is completing this project to meet the requirements of a Clark Atlanta University academic program, both the student's faculty/research advisor and the departmental head should sign the Signature Assurance Sheet.

*Department Head

This is to certify that I have reviewed this research protocol and agree that the research activity is within the mission of the Department and appropriate for the responsibilities and assigned duties of the principal investigator.

SIGNATURE: _______________________________ DATE: ___________________

TYPED NAME: _______________________________

*If the principal investigator is also the Head of the department, the Dean of the School or equivalent should sign the Signature Assurance Sheet.