

GUIDE TO THE DISSERTATION PROCESS

Argosy University, San Francisco Bay Area Campus,



Department of Counseling Psychology



A Manual on Procedures for Planning and Writing a
Doctoral Dissertation at Argosy University/SFBA

Revised Spring 2006



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Overview of the Dissertation Process

What is the Dissertation?

The dissertation is an original, comprehensive investigation that makes a unique contribution to an academic discipline. This comprehensive investigation is the culminating activity of a doctoral student's formal academic career and represents an original contribution to the disciplinary literature. Research for the dissertation is generally conducted using quantitative, qualitative, action or mixed methodology with focus on a specific issue or topic within the student's discipline. The dissertation is the culminating activity of the student's academic study at Argosy University and reflects the highest levels of intellectual rigor and quality in higher education.

The dissertation has a formal structure, and this guide is designed to assist students in learning the process for completion and the format for presenting the dissertation at Argosy University. This guide designates to the students and their committees a set of foundations for their work together. The guide constitutes a starting place for mutual student and committee decisions on the writing, printing, presentation, use of assistance, submission, and planning that is necessary for completion of the dissertation. Any discrepancy between this guide and department policy will be resolved by the Program Chair.

As with any creative process, there will be times when the committee will choose to deviate from this guide. This should not be done without careful consideration or consultation with the Program Chair. The committee should deviate from this guide only with the best interests of the student and sound academic practice as the guiding factors. Students should refer to the guide and follow its direction whenever submitting materials to their committees unless otherwise directed by their committee chair.

The dissertation committee is the sole arbiter of whether students have successfully completed the dissertation requirements at Argosy University. The selection of and working relationship with the committee is crucial to the successful outcome of the dissertation process. The extent to which students use this guide, other resources available, the input of the committee, and their own abilities, skills and motivation, will determine whether the degree is obtained. Argosy University has prepared this guide to assist students in this very important journey.

The Dissertation Calendar

The timeline to complete the dissertation process, from the time of the committee assignment to the final signatures for the document, is approximately 15-18 months. In rare circumstances the process may be accomplished in a shorter amount of time, and in some cases, the process may take longer.

At Argosy University, the dissertation process is four semesters in length. Students register for dissertation credit in increments referred to as “blocks.” These blocks divide the total number of credits required to complete the dissertation process. For some students it is possible that additional time will be needed beyond the required four semesters, while some students may be able to complete in fewer semesters. Students needing time beyond four semesters will register for dissertation hours. Each block helps to define progress through the dissertation process.

Block I

1. Student writes a prospectus describing research interest.
2. Preparation of Chapters 1,2 and 3
3. Approval of Prospectus

Block II

1. Finalization of dissertation committee
2. Proposal development and defense
3. Application to the campus Institutional Review Board.

Block III

1. Data-gathering phase(s).
2. Analysis of data.
3. Preparation for Chapter 4.

Block IV

1. Preparation of Chapter 5.
2. Completion of final dissertation document, including appendixes, reference list, acknowledgements, dedication, and table of contents.
3. Submission of document to *Turnitin* ®.
4. Approval of the final dissertation document.
5. Final oral defense of the dissertation (open to faculty, student, public).
6. Completion of any committee-recommended revisions to the dissertation document and submission of the document to the chair, committee members, and the University.
7. Completion of final copy editing for binding and placement in the Library. A university-approved editor must edit the final document. Students are responsible for implementing editing revisions and submitting a final document.

The Dissertation Format

The Dissertation is generally divided into the following chapters/sections:

Introduction - The Topic to be Studied, Definitions, Significance of the Study,
 Overview of the Sections of the Dissertation
 Review of Literature
 Methodology
 Results (May include more than one chapter)
 Analysis
 Conclusions
 Appendixes (e.g., Survey Instruments, Interview Guides)
 Reference List

The list above is not necessarily exhaustive. Alternative formats are possible with approval of the Dean or Program Chair and the dissertation committee. While there is no specific length requirement for the dissertation, it is expected that all dissertations be of appropriate length to cover the research question. A reasonable range is 100 to 200 pages, not including the appendices and other ancillary sections or pages. Refer to University policy regarding total length of time allowed for degree completion (see Appendixes for appropriate cover sheets and samples).

The Writing and Drafting Process

The student may be required to complete multiple drafts of each chapter prior to approval by the committee chair. In some instances, it may be required that the student seek assistance in writing skills from a professional editor. The cost of this assistance or editing will be exclusively the student's responsibility.

Review of the dissertation chapters is time consuming. Students should allow at least two weeks for review keeping in mind that committee members have multiple responsibilities.

The Dissertation Chair and Committee Members

The Committee Selection Process

Upon successful completion of the comprehensive examination and after meeting all financial obligations to the University, the student begins the dissertation process. The first step after the selection of a topic, is to establish a dissertation committee (hereafter referred to as "the chair" and the "the committee" in this document).

The dissertation committee consists of the chair and two additional committee members (or a chair, a member and a reader). The student may discuss the topic with faculty members to facilitate the student's decisions regarding who they wish to serve, while faculty determine whether or not they may wish to serve. The student submits names for the chair and committee members to the Program Chair for approval (It is important for students to know that they may not be assigned committee chair and members they selected, due to faculty schedules or other circumstances).

The committee members and chair are selected for their expertise. One may have content expertise, another may have methodology expertise, and another may have research expertise. Relationships among the committee members are important as well.

Qualifications of the Committee Members

Committee members and chair must have academic expertise in the field (business, education, or counseling psychology) and hold a dissertation-based doctoral degree. Committee members may include content experts, administrators, researchers, or professors from outside the University. In some cases, one or two committee members may have expertise primarily in a content area or vocation appropriate to the study. This person or persons may be deemed eligible for committee membership based on the person's expertise, which is specific to the dissertation topic or methodology, but must submit curriculum vitae to the University, as well as an official transcript which reflects the degrees earned.

Qualifications of the Committee Chair

In addition to academic expertise in the field (business, education, or counseling psychology), chairs must also have expertise in the proposed dissertation research methodology to be qualified for approval by the program chair. The chair must be affiliated with Argosy University (full-time, part-time, adjunct, or an administrator), and an official transcript reflecting the terminal degree earned for that person must be on file with the University. Persons from outside the University, and with no affiliation with it, are usually not permitted to serve as a committee chair. In addition, no person without dissertation experience will be permitted to chair a dissertation committee. Terminal degrees such as the Masters of Business Administration (MBA), the Masters of Fine Arts (MFA), or the Juris Doctor or Doctor of Jurisprudence (JD) are not research-based and do not require for conferring of the degree, a culminating original research work; therefore a person holding such a degree but no doctoral degree that does require such work, may not chair a dissertation committee. The JD, formerly known as the LLB in most United States Universities, was changed to the JD to confer an equivalent professional status found in other American professional fields, such as medicine and dentistry. The graduate law degree of Doctor of Juridical Science (JSD) confers the academic title of "doctor," but practicing lawyers in the United States rarely uses the title. Those lawyers who hold doctorates, along with persons who hold a Doctor of Medicine (MD) and other similar degrees, are entitled to use the title of "doctor," but they are not likely to have completed a research project for a dissertation. In addition, all universities in the United States any person to hold an earned Master of Science (MS) or Master of Arts (MA), or its equivalent to study for the degree of Doctorate of Education (EdD), Doctor of Philosophy (PhD), Doctor of Business Administration (DBA), or Doctorate of Psychology (PsyD); for pursuit of a JD degree, however, an earned MA or MS is not required.

Responsibilities of the Committee Chair

The chair is responsible for the general direction of the dissertation, and relies on close collaboration with the student and the committee members. The student is responsible for keeping the chair informed of all the developments as the dissertation is conceptualized, designed, and conducted. The chair works with the student in the theoretical and conceptual frameworks of the dissertation, and reviews the prospectus, proposal, and dissertation before each document is sent to the committee members for their assessment and feedback. The dissertation chair also maintains communication with the two committee members concerning the student's progress. Should a seemingly irresolvable disagreement occur between the student and a committee member or between the two committee members, the student should contact the chair to try to resolve the conflict. The chair will seek appropriate ways to resolve the situation in a timely fashion so that the student can proceed with the dissertation process. If, for any reason, a conflict arises between the student and the chair, the student should try to resolve the conflict with that chair. If the conflict is not resolved, however, the student should contact either the program advisor, program chair or dean.

Responsibilities of the Committee

The members and chair should:

1. Serve as resources
2. Provide advice, suggestions, and guidance
3. Suggest sources of relevant literature
4. Suggest sources of data appropriate to research questions
5. Read for content and substance including:
 - a. Organization: logical and meaningful consistency in structure.
 - b. Completeness: evidence of covering all the parts without "wandering," and informing the reader without leaving unanswered questions.
 - c. Content: citation of significant concepts and insights from relevant theories of literature, and in-text citations in correct APA format.
 - d. Relevance: avoidance of digression(s) from main points of argument(s); avoidance of "filler" or "boiler-plate" material; avoidance of redundancy, jargon, slang, and other non-standard academic English usage.
 - e. Cogency: depth and breadth of insight, reasoning and understanding exhibited through integration of thought and argument.
6. Check for format and writing style to:
 - a. point out problems in writing, including "run-on" sentences, sentence fragments, misplaced modifiers that the student needs to edit or revise
Note: although committee members may point out constantly recurring errors, it is not their responsibility to proofread or correct every writing or APA error.
 - b. make suggestions for writing assistance such as reference materials or outside editing options.
 - c. verify correct APA style on tables, figures, citations, headings and references.

The Committee and the Prospectus

Doctoral candidates provide committee members with the prospectus as soon after completion of the comprehensive examination as possible. A meeting may be set to discuss it at which members will make suggestions and provide guidance on the research plan. At the meeting, or before, the student also provides the committee members with a calendar that sets forth when each task of the dissertation process will be completed. The calendar is important because once a member has agreed to the prospectus, that member can then plan a time to permit attendance at defenses, and other meetings that may be necessary. When the committee members and the student come to agreement on the plan and the calendar, they will sign two copies of the Committee Membership Form (Appendix C). The student keeps one copy and the other is submitted to the Program Chair to be kept on file.

The Committee and the Proposal Defense

Prior to the proposal defense, the student must submit the proposal document to *Turnitin*® and then submit the confirmation report from that process to the committee chair. The student provides the committee members with a final copy of the proposal at least 10 days prior to the proposal defense. This defense is a discussion of the proposal. The proposal defense may be closed or open, at the discretion of the campus. The committee chair does the scheduling of the proposal defense. At this meeting, committee members:

1. Ask clarifying questions.
2. Relate concerns about scope, writing issues, data collection or analysis, and other issues.
3. Suggest additions that may be required or omissions that need to be reviewed.
4. Set a date for revision to be completed and the proposal returned to the chair.

The Committee and the Dissertation Oral Defense

Prior to the oral defense, the student must submit the document to *Turnitin*® and subsequently submit the confirmation report from that process to the committee chair. Doctoral candidates then provide the full committee with a final copy of the dissertation at least two weeks prior to the dissertation defense. The dissertation defense is open to the public and announced as such. Notification will be made to the university community at least 48 hours prior to the defense.

During the defense, the student presents the dissertation key points and may elect to use a Microsoft PowerPoint® presentation, which includes:

1. The conceptualization of the study.
2. A brief literature review.
3. Research methodology.
4. Data collection.

5. Results.
6. Summary, conclusions, implications and recommendations.

The committee assists the student in deciding what medium will be used for such a presentation.

The committee will then:

1. Ask the candidate for clarification of points.
2. Ask the candidate to defend conclusions, sources of data, and appropriate methodology.
3. Identify and suggest minor additions or omissions.
4. Set a date for revisions to be completed and the edited dissertation copy to be returned to the chair (Note: if major revisions are required, the entire committee may be requested to re-read the dissertation and perhaps to participate in a second oral defense).
5. Sign the Dissertation Approval Form (Appendix G).

The Student's Role in Working with the Committee

The student's responsibility in the dissertation process includes:

1. Proposing a viable project.
2. Conducting ethical research.
3. Delivering an error-free, professionally composed, final draft prospectus, proposal, and dissertation.
4. Incorporating the advice and editorial suggestions from the full committee in all sections of the dissertation.

Although securing assistance from resources outside of those found at the University is permissible, the student must keep the chair fully informed when this is a consideration and when it occurs. Assistance of any kind must only be in support of the student's own work. Though a student may consult with a statistician, editor, or formative or summative committees, in no case should any person other than the student conduct the work of the dissertation.

In the event that the student is experiencing or expecting changes that affect the progress of the dissertation (such as employment changes or personal situations), it is imperative that the student communicates with the chair. In addition, the student must communicate with the chair at least once a month to report on progress and/or obtain advice, service, or assistance. The student must be registered for dissertation credits to receive dissertation services or assistance.

Throughout the dissertation process, each individual (the student or any individual committee member) must send copies of significant correspondence to all the members of the committee and the student. The student is responsible for following up on all

communications that appear to be unclear or contradict previous decisions. A normal “turnaround” time for such communication should be no more than 10 days.

Changing the Committee Membership

Should a problem occur and the student finds it to be irresolvable, that student may submit a request to change the chair and/or members of the committee, to the Program Chair. If the Program Chair agrees that the change is indicated, the student then submits a list of the new membership to the Chair for approval (Appendix C). If the new committee membership is approved, the student must submit the prospectus to the new committee individual(s). The committee may decide to require the student to begin the entire process again, or again begin at any point in the process. Changing the membership of a committee is a serious event; it may result in additional time and cost for the student, if the change makes it necessary for the student to begin at a point in the process that occurred earlier than the point at which that student was at the time of the change. A request to change membership should be considered very carefully. The committee has sole discretion as to where in the process the student begins work with the new membership. A change in committee membership also requires completion of the “Change in Procedure Application” pages in the IRB application form (Appendix R).

Components of the Dissertation

An outline of the dissertation sections can be found in Appendix S. Some variations may occur, depending upon the nature of the research. For example, for certain types of qualitative research, there may not be \a hypotheses.

Chapter One: The Introduction

The introduction and statement of the problem section presents the problem to be addressed by the dissertation research. This section should describe the nature and purpose of the study, present the guiding research question(s), provide the definitions of the terms, identify the limitations and delimitations, and explain the significance of and justification for conducting the study. A framework for writing a solid introduction, regardless of the approach used, should include these five key components:

1. Some introductory material to present the topic.
2. The research problem.
3. The hypothesis/hypotheses (if appropriate).
4. The definitions of terms.
5. The limitations and delimitations of the study.
6. The anticipated significance of the study.
7. The overview of the study.

The final section of each chapter should lead smoothly into the next chapter.

Chapter Two: The Literature Review

The foundation of the dissertation begins with a review of the relevant literature. The relevant theories and the methodological and measurement considerations will be found in the literature. The literature review is extensive but not necessarily exhaustive. The literature review should provide the foundation to frame the argument explaining why the study is necessary and relevant.

The sources for the literature review include government documents, appropriate databases, books, professional journals, previous research on the topic, and other information about previous investigations and existing theories that form the rationale for the current undertaking. Information must be evaluated and interpreted, properly referenced and presented to build an argument for the importance of the research and the appropriateness of the methods used in the dissertation to add new and original information to the knowledge that already exists on the subject being explored.

Subsequent to the body of the literature review, Chapter Two usually closes with a summary, or recapitulation of the literature, where study results are presented in aggregate form. A sentence or paragraph to lead into Chapter Three follows.

Chapter Three: Methodology

In this chapter the design, procedures, and analysis plan for carrying out the purpose of the study are presented. When it is completed, this chapter will include all aspects of the methodology, both proposed and what actually occurred during the course of the research, in replicable detail. Prior to the proposal defense (see appropriate section of this document), this chapter is written in future tense. Subsequent to completion of the research, this chapter, along with Chapter One, is written in past tense.

The methodology chapter begins with a brief restatement of the nature and purpose of the study. This includes the research question(s) and a description of the methodology employed (i.e., quantitative, qualitative, action, experimental, non-experimental). Although there will be different sections and headings for studies of varying approaches, the most common sections are: an introduction, a description of the research design, the population and sampling procedures, access and permission information, data collection, instrumentation, procedures, data analysis, and interpretation. Some of these sections are described more fully in this chapter.

Research design. In this section, the student describes the specific design used in the study (i.e., ethnographic, historical, descriptive, correlational, causal-comparative, action research, mixed method). Variables and classifications are clearly spelled out and are consistent with the definitions in Chapter One. This section will often have several subsections or subheadings.

Selection of participants. In this section, there must be a complete description of the participants and where they came from, without identifying them personally (except in a case study and in some phenomenological studies). How the participants were selected for the sample, and what population they represent must also be presented.

Instrumentation. In this section, a complete description of the instruments, tests, surveys, questionnaires, interviews, and observational protocols, or measures used in the study is presented. This includes information on their reliability, validity, origin, and appropriateness or rationale for uses in the study. In addition, any permission granted for use in the research should be included. Any instruments created for this study should be included in an appendix, along with information on the testing of the instrument from a pilot study (if such a study was conducted).

Procedures. Because the work conducted for the Dissertation must be replicable, the procedures section of Chapter Three must be very detailed. Therefore, it must include all of the information necessary for others to implement this same research. This includes, but is not limited to: the securing of institutional permission to conduct the investigation; the first contact with participants; the instructions and materials used in the study; the setting; the development of special instruments, the conducting of pilot studies, and any other information that would allow the study to be replicated from start to finish. If data-gathering instruments such as a lesson plan, protocol, script, or set of interview questions, or training manual are used, copies of them should appear in the appendixes for the document.

Analysis. Chapter Three will present what was actually conducted, and any deviations from the original analysis plan including why these decisions were made. The analysis of the data will depend on the design of the study, type of data collected, and the research questions (i.e., use of SPSS, coding manuals, statistical treatments for quantitative data, logical treatments for qualitative data). This section of Chapter Three should be organized to include a listing of the research questions, in the same order in which they appeared in Chapter One. Any other plans for presenting the data, including figures, charts, and graphs should also be listed with each question addressed in the study. As with all chapters except the final one, this chapter ends with a sentence or paragraph which leads smoothly into the next chapter.

The Institutional Review Board

Because the first three chapters of the dissertation are submitted to the campus Institutional Review Board (IRB), it is appropriate to discuss the process of institutional review in this section. After the Proposal (Chapters One, Two, and Three) has been successfully defended, the document must be reviewed by the IRB. The IRB will review it for the ethical treatment of human participants, and the maintenance of confidentiality of records, test scores, and other materials. The Chair of the IRB will then sign a form that indicates the Board's evaluation of the project. A copy of the IRB Approval Form and Procedures is included in this guide in Appendix R. No substantial deviations of procedures may occur subsequent to IRB approval. If such deviations are determined as necessary, the revised document may need to be resubmitted to the IRB. Should there be a change in procedures or membership, the appropriate pages of the IRB form must be completed and submitted.

Chapter Four: Results

The results of the data collection and analysis of the data are presented in Chapter Four of the dissertation. There are several methods of presenting this information. The one thing in common for all data in Chapter Four is that they are factually presented and completely free of interpretation. Data may be presented in charts, graphs, tables, as individual statistics, or in any combination of these methods, according to the guidelines in the APA Publication Manual.

This chapter should begin with a brief restatement of the purpose of the study, and an introduction to the content of the chapter. Data should be presented in the order in which the research question(s) appeared in Chapter One. The research question(s)/hypothesis (hypotheses) provide the best guidance as to the number, level, and title of subheadings within this chapter. Each section should present the question, the analysis and/or graphic display, and the results, before moving on to the next question. The chapter should conclude with a summary of all the findings and provide a transition paragraph to the final chapter of the dissertation.

Chapter Five: Discussion, Conclusions, and Recommendations

This final chapter should include a discussion of the findings, overall conclusions, implications for professional practice and recommendations for implementation, if appropriate, and indications for further research. The chapter begins with a summary of information presented in Chapters One, Two, Three, and Four, followed by a discussion regarding what can be concluded, and how these conclusions interact with the research questions/hypotheses. Next follows a discussion of the implications of these results. Recommendations for future research and any specific applications of the findings are then presented.

Finalizing the Document

Before the dissertation document is ready for binding, or for submission on a compact diskette (CD ROM), according to campus-specific rules, there are several revisions and tasks to be completed. Typing requirements and the APA format must be particularly precise at this time, as the only difference between the final, bound copy and the defense copy of the document is the quality of the paper. The tasks at this stage include but are not limited to:

1. Revision of Chapter One to ensure it mirrors the content of subsequent chapters.
2. Review of Chapter Two, and the inclusion of any literature review material added subsequent to the completion of chapters and blocks of work (particular attention should be paid to ensure that the references are all correctly cited, and that their corresponding citations are in the reference list).
3. Review and completion of Chapter Three, including the addition of any conditions that affected the proposed implementation of the methodology after the defense of the proposal.

4. Review of Chapter Four, including all tables and figures.
5. Review of Chapter five, making sure that all research hypotheses are addressed.
6. Preparation of the signature page, cover pages, page numbering, reference list, table of contents, abstract, list of tables and figures, the preparation of all appendixes, and all other material must conform to the document requirements. Any reprints or copies that are included in the appendixes section must be accompanied by the appropriate written permission. A sheet that is page numbered corresponding to the table of contents, and contains the name (in all capital letters) and the title of each appendix (in upper and lower case letters), should precede each appendix. The name and title should be centered and placed eight spaces (four double spaces) from the top margin. Each page of each appendix should have a page number.
7. Carefully proofread and spell check the entire document.

Specific information relative to two important sections of the document, which are not part of the chapters, are shown below.

The abstract. An abstract cover sheet follows the title page of the dissertation, and this sheet is followed by the abstract. (Appendix K). The word “Abstract” should be centered at the top of the page, and the first letter of it capitalized. The abstract should not exceed 500 words and it should consist of an accurate and complete summary of the document. The abstract should be informative rather than descriptive, and as concise as possible. The abstract should be neither critical nor evaluative, but rather is a factual description of the study. The text of the abstract should include: (a) a statement of the problem and purpose of the research; (b) the research methodology employed and a summary of the procedures; (c) the results and conclusions of the study; and (d) recommendations for further study. The Abstract should not include: (a) discussion of or reference to the literature review; (b) detailed elaboration on the purpose, methodology, procedures, or implications of the study.

The table of contents. All APA level one, two and three headings, if used, must be included in the table of contents. A brief discussion of headings is included in the next section of this document. Further information about headings can be found in the APA Manual. A sample table of contents is included in Appendix J in this document.

Writing Style and the APA Manual

The fundamental guide for dissertation writing style is the *Publication Manual of the American Psychological Association* (5th ed.) or the most current edition. This publication will hereafter be referred to as the “APA Manual, or simply, “the Manual.” Where there are differences between the *Dissertation Guide* and the APA Manual, the committee will resolve the issues. Campus-specific exceptions to both may also be made. The student is responsible for familiarity with the most current edition of the APA Manual, and for ensuring that anyone assisting in the typing or editing of the document is following the rules of the Manual. The APA Manual also includes directions for the

reporting of numbers, construction of tables and figures, structure of headings, use of non-gender biased language, the expression of ideas, and writing style suggestions. The following section addresses some specific topics relating to the requirements of the APA Manual.

Pagination for Front Matter and Dissertation Pages

1. Front matter is to be paginated as shown in Appendix S. The title page and the Signature pages are not paginated but are counted. Front matter information and samples can be found in the appendixes of this document as follows:

Title page (Appendix F)
 Copyright page (Appendix L)
 Committee and Program Chair signatures page (Appendix C)
 Abstract Cover Sheet (Appendix K)
 Dedication (Appendix M)
 Acknowledgements (Appendix N)
 Table of Contents (Appendix E)
 Table of Tables (Appendix O)
 Table of Figures (Appendix P)
 Dissertation Title Page (Appendix F)

2. All Dissertation text pages and ending matter are paginated with lowercase Hindu-Arabic numerals, on the top right hand corner of the page. See the APA Manual for details. An outline of the order in which sections appear in the dissertation document can be found in Appendix S, along with pagination information.

Ending Matter

Following the dissertation text, appears the ending matter as shown below.

Reference List
 Appendixes Cover Sheet (Appendix T)
 Individual Appendixes Cover Sheets (Appendix U)

Other Formatting and Writing Issues

1. Block quotations (see Chapter 3, APA Manual, 5th ed), and each entry in the reference list (see Chapter 3, APA Manual, 5th ed).
2. Times Roman and Times New Roman, and are the only fonts acceptable for the document. All type for the dissertation will be 12 point in size. All text, tables, and figures will be printed in black and white. No color printing in any document of the dissertation process is acceptable, excluding appendixes.
3. For placement of tables and figures the student must refer to the Manual.

4. The final document must be printed with a laser printer. The paper used must be of a high-quality, white color, with a minimum standard similar in quality to 20 pound 25% rag content paper.
5. For chapter number and titles, headings, and levels, the student should consult the APA Manual.
6. Margin requirements are:
 - a. 1.5 inches left margin
 - b. 1 inch right margin
 - c. 1 inch at the top and bottom
7. All Dissertations must be reviewed by a professional copy editor prior to binding.
8. Careful attention must be paid to the levels of headings (see Manual). Heading placement is similar to outlining a document. Each level subsumes the level below it. If there are five levels of headings, they should be placed, as shown below, on the succeeding page (Level 5 is usually the Chapter Heading).

CENTERED ALL UPPERCASE (Level 5)

Centered Uppercase and Lowercase (Level 1)

Centered, Italicized Uppercase and Lowercase (Level 2)

Flush Left Italicized, Uppercase and Lowercase (Level 3)

Indented, italicized, all lowercase with period. (Level 4) Note: the text begins here.

(Note: if a proper noun is to appear in the level 4 heading, it is capitalized.)

If there are only four levels of headings, they should be placed as follows:

Centered, Uppercase and Lowercase (Level 1)

Centered, Italicized, Uppercase and Lowercase (Level 2)

Flush Left, Italicized, Uppercase and Lowercase (Level 3)

Indented, all lower case (Level 4). The text begins here.

If there are three levels of headings, they should be placed as follows:

Centered, Uppercase and Lowercase (Level 1)

Flush Left, Italicized, Uppercase and Lowercase (Level 3)

Indented, Italicized, all lowercase (Level 4). The text begins here.

A careful examination of the APA Manual for level placement needs to be made to ensure that all headings appear in the appropriate places in the document, so that the document is easy to read and understand.

Computer Software and Submission Requirements for the Dissertation

The University has adopted *Microsoft Word*® as the standard for its word processing operations. In addition to the printed forms for dissertation documents described in the following pages, students are also be required to submit a copy of the final dissertation on a compact disc (CD), in *Microsoft Word*®, along with a letter granting permission for the university to reprint copies as needed. Students may also be requested to submit electronic copies of their raw data. Students should always submit well-written copies to their committee members for feedback, but reserve the submission on high quality paper for the final approved dissertation copies after a successful defense. After the successful defense of the dissertation, students will make any necessary corrections and submit professionally edited final copies to the bindery. Further information about the binding process appears later in this document.

Planning and Budgeting for the Dissertation Process

The dissertation is a major undertaking. Students can expect to incur research-related expenses such as (a) postage; (b) printing and binding (c) purchase of specific software packages such as SPSS; (d) service of research assistants; and (e) professional copy editing service.

Students need to establish a timeline for the completion of their dissertation. Committee members are generally allowed two to three weeks from time of receipt of the document to the return of the document critique. Members of the committee will decide when the document is finished and the student is ready to defend, based on the work of the student and the quality of the research. No other deadlines or priorities will supersede this decision and responsibility.

The Oral Defense of the Dissertation

The oral defense of the dissertation is a formal proceeding and should be approached with the seriousness and dignity due the culminating event of the student's formal scholastic career. The dissertation chair notifies the Program Chair that the student is ready to defend the dissertation. The student and dissertation chair coordinate the scheduling of the oral defense providing two weeks notice. The student is responsible for setting the defense in collaboration with committee members and Program Chair, and provides a copy of the defense announcement to the Program Chair for posting. The defense is open to the public. The student is responsible for knowing every aspect of the research, and is answerable to the committee for the procedures, accuracy, interpretation, and integrity of the results. A student should not include anything in a dissertation that cannot be described, understood, and explained by the student to the dissertation

committee. The student must be able to convince the committee that the student has personally checked all work for accuracy.

The oral defense is the opportunity for the student to present the dissertation and to answer questions from the committee and the audience, at the discretion of the committee chair. Questions may relate directly to the research or evaluation conducted, may involve theoretical probing, or may be of a more general nature to test the qualifications of the student to receive the doctoral degree. The chair will moderate the presentation of the research and the questions, as well as set protocol at the beginning of the defense.

Following the defense, the committee will confer briefly before announcing the results of the defense. The committee can reach one of several conclusions, which include the following:

1. Pass: If needed, students make minor editing changes to the document before submitting the document to the professional editor for final editing and proofreading. Then the document may be submitted to the chair for permission to send it to the bindery (Appendix Q).
2. Pass With Revisions: Pending the submission of changes, review, and approval by the committee. If needed, the student will make minor changes before submitting the document to the professional editor for final editing and proofreading. Then the document may be submitted to the chair for permission to send it to the bindery. With a result of "Pass," the student will not be required defend it again (Appendix Q).
3. Major Revisions Needed: At the discretion of the committee, revisions are warranted beyond minor editing, so the student must meet with the chair (or committee) to develop a revision plan to be completed before the resubmission of the document and the rescheduling of a second oral defense.
4. Fail: the student fails to secure approval from the committee due to the following list of factors (but limited to them):
 - a. completion was not accomplished in the seven year time limit
 - b. plagiarism is found in the document
 - c. the review of literature is not deemed complete
 - d. research was not completed correctly
 - e. appropriate steps were not taken to follow the rules of doctoral research

Failure to successfully defend the dissertation means that the student may not be conferred the degree, may not assume the title of "doctor" and may not discuss, share, or publish the research study as written.

The successful dissertation defense marks the conclusion of the work of the committee, and committee members will sign the approval sheet (Appendix G) to indicate their work is completed. The work of the chair and the student, however, is not completed until the signed, bound copy, as well as the CD copy of the document with a permission to reproduce letter, are delivered to the appropriate office on campus.

References

- Abbott, J. E., Arismendi-Pardi, E. A., & Bošnjak, B. A. (2004). *The Dissertation process and research methods*. Ann Arbor, MI: XanEdu Original Works.
- Glatthorn, A. A. (1998). *Writing the winning dissertation: A step-by-step guide*. Thousand Oaks, CA: Corwin Press.
- Isaac, S., & Michael, W. B. (1997). *Handbook in research and evaluation: A collection of principles, methods, and strategies useful in planning, design, and evaluation of studies in education and the behavioral science* (3rd ed.). San Diego: EdITS.
- Newman, I., Benz, C. R., Weis, D., & McNeil, K. (1997). *Theses and Dissertations: A guide to writing in the social and physical sciences*. New York: University Press of America.
- Thomas, R. M., & Brubaker, D. L. (2000). *Theses and Dissertations: A guide to planning, research, and writing*. Westport, CN: Bergin & Garvey.

Note: The APA manual indicates it is necessary to double space lines within reference entries. In the interest of saving paper, the dissertation committee may elect to instruct the student to single space within entries, while continuing to double space between them. The reference list above reflects that practice.

APPENDIXES

APPENDIX A

Petition for Establishing a Dissertation Committee
Argosy University/SFBA

Student: Please complete the following section and return it to the Program Chair. Questions about this form and selection of committee members should be addressed to the Program Chair. Please print clearly.

Name: _____ ID#: _____

Address: _____

Home Phone: _____ Work Phone: _____

E-Mail: _____

I have consulted with my Program Chair AND/OR my proposed dissertation chair to discuss my tentative research topic. In addition, I have informed the faculty members whose names I have listed below, that I am nominating them to serve on my Dissertation committee. A copy of the Prospectus has been forwarded to each nominee and a copy is attached to this Petition. Each nominee will submit a CV to Dr. Lou Rappaport, Counseling Psychology Program Chair.

Student Signature _____ Date _____

	<u>Name of Nominee</u>	<u>Nominee Initials</u>	<u>Dean/Program Chair Initials</u>
1. Dissertation Chair	_____	_____	_____
Address	_____		Telephone _____
2. Committee Member	_____	_____	_____
Address	_____		Telephone _____
3. Committee Member	_____	_____	_____
Address	_____		Telephone _____
4. Topic Expertise – Committee Member Name:	_____		
5. Methods Expertise – Committee Member Name:	_____		
General Topic or Working Title of Proposed Study:			

This student has completed all of the requirements to begin work with the above-listed Dissertation committee and these Committee Members meet Argosy University San Francisco Bay Area criteria.

Signature of Program Chair
cc: Student, Program Chair

Date

APPENDIX B

Request for Non-Argosy Dissertation Committee Member Form

(Form A.1) Request for Non-Argosy Dissertation Committee Member

Instructions: This form should be submitted to Program Chair for Approval.

Date of Request:

Student Name:

Name of School:

Name and Specialization Area of Proposed Committee Chair:

Has this person submitted a CV? _____

Rationale for non Argosy University Chair: _____

____Approved ____Not Approved

Explanation (optional)

Program Chair Signature

Date

Dean Signature

Date

APPENDIX C

Argosy University Dissertation Committee Membership Form

APPENDIX D

Cover Sheet for Proposal

Cover Sheet for Proposal

Title of Your Proposal

A Dissertation Proposal

Submitted to the
Faculty of Argosy University/SFBA
in partial fulfillment of
the requirements for the degree of
Doctor of Education in Counseling Psychology

Your Full Name

Argosy University/SFBA

Month Year

Dissertation Committee Approval:

Committee Chair Date

Committee Member Date

Committee Member Date

Program Chair Date

APPENDIX E

Sample Proposal Table of Contents

PROPOSAL
TABLE OF CONTENTS

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APPENDIX F

Dissertation Title Page

TITLE OF DISSERTATION HERE
ALL CENTERED &
UPPERCASE

A Dissertation

Presented to the
Faculty of Argosy University/SFBA

In Partial Fulfillment of
The Requirements for the Degree of

Doctor of Education in Counseling Psychology

by

Your Full Name

Month, Year

APPENDIX G

Dissertation Approval Form

(Form D) Dissertation Approval Form

Argosy University/SFBA

Student Name: _____

Title of Dissertation: _____

Dissertation Committee (print name and terminal degree):

1. _____ Chair

2. _____ Member

3. _____ Member

A. Committee Approval

Program Chair Date

B. Proposal Approval

Committee Chair Date

Committee Member Date

Committee Member Date

Institutional Review Board Chair Date

C. Draft Approval

Chair Date

Committee Member Date

Committee Member Date

D. Editing Completed

Editor Date

E. Final Draft Approval

Chair Date

F. Bound Copy Accepted by School

Program Chair Date

APPENDIX H

Signature Sheet for the Dissertation

TITLE OF DISSERTATION HERE
ALL CENTERED &
UPPERCASE

A Dissertation

Submitted to the
Faculty of Argosy University/SFBA
in partial fulfillment of
the requirements for the degree of
Doctor of Education in Counseling Psychology

by

Your Full Name

Argosy University

Month, Year

Dissertation Committee Approval:

Type Name of Committee Chair

Date

Type Name of Committee Member

Type Name of Committee Member

Type Name of Program Chair

APPENDIX I

Sample Table of Contents for the Dissertation

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APPENDIX J

Sample Cover Sheet for the Abstract of the Dissertation

TITLE OF DISSERTATION HERE
All CENTERED & UPPERCASE

Abstract of Dissertation

Submitted to the
Faculty of Argosy University/SFBA
in partial fulfillment of
the requirements for the degree of
Doctor of Education in Counseling Psychology

by

Your Full Name

Argosy University

Month, Year

Chair: Dr. _____

Committee: Dr. _____

Dr. _____

Department: Counseling Psychology

APPENDIX K

Sample Copyright Page

NAME OF DISSERTATION GOES HERE

©200X

Your Name Goes Here, Uppercase and Lowercase

ALL RIGHTS RESERVED UPPER CASE

APPENDIX L

Sample Dedication Page

Dedication

To all the family members whose love and support
have helped turn this once lifelong dream into a shared reality.

APPENDIX M

Sample Acknowledgements Page

Acknowledgements

The author would like to express sincere gratitude to committee members, Dr.XXXXXXXXXXX, Dr.XXXXXXXXXXX, and Dr.XXXXXXXXXXX for their invaluable support and guidance in the planning and implementation of this research project. The deepest appreciation is further offered to the managers and employees of ABC, DEF, GHI, and XYZ corporations/leaders or faculty at XYZ school or college for their participation in the research study. Without their contributions of time and resources, this study would not have been possible.

APPENDIX N

Sample Table of Tables

TABLE OF TABLES

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Note: A Table of Tables is required only if there are four or more tables included in the text.

APPENDIX O

Sample Table of Figures

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Note: A Table of Figures is required only if there are four or more figures in the text.

APPENDIX P

Dissertation Binding Process

The Dissertation Binding Process

After permission is given to the student to have copies bound of the completed dissertation, the student may submit the dissertation document to the bindery to have it bound. The student is required to have at least two copies bound, which is then submitted to the library at AUSFBA accompanied by the Dissertation Submission Form (Appendix U). The student may choose to provide a bound copy for the School or Department as well. An optional third copy for the dissertation chair is a final consideration. Students may order as many bound copies as they wish for others they may want to present with one.

The student must provide to the bindery as many copies as is wished to have bound, delivered in person, or sent via delivery service to the bindery. The Program Chair or campus librarian will provide the name and contact information of the bindery,

The official color for the cover of bound copies for Business is maroon with gold imprint and text. The official color for the cover of bound copies for Education is blue with gold imprint and text. The preferred bound cover color for Counseling Psychology is black with gold imprint.

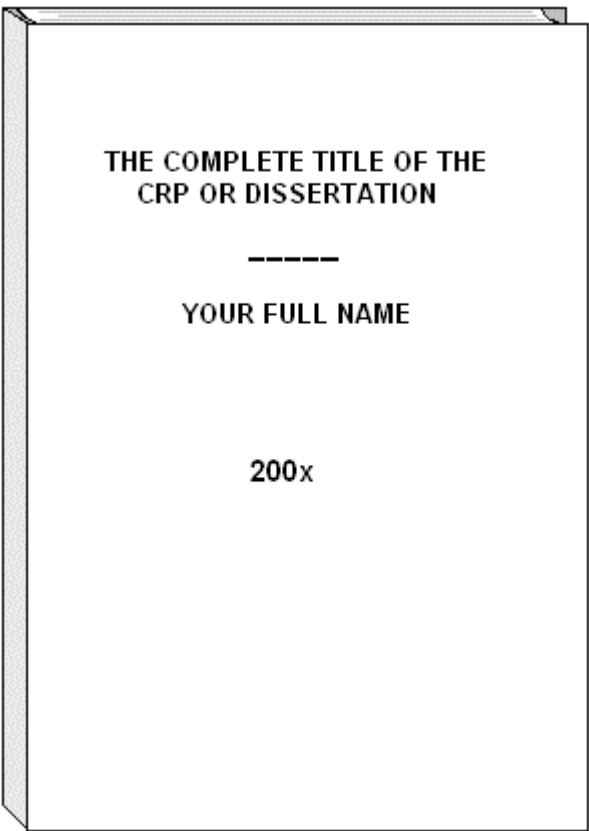
The information below refers to the following page that provides formatting for binding. **NOTE: Imprints could vary by campus. Students must check with their home campus for specifics on imprints on bound copies.**

On the spine of the bound copy there should appear an abbreviated title of the dissertation, the degree initials, the last name of the student, and the words “Argosy University,” as well as the year. In addition, students must obtain the volume number to be assigned to the copy from the librarian, and that volume number should appear at the

bottom of the spine. On the front cover of the bound volume there should appear the full title of the dissertation, the student's full name, the name Argosy University and the year. Campus-specific information about binderies, prices, and other particulars may be obtained at the appropriate office on each campus. On the next page are samples for the spine and cover of a bound dissertation.

BINDING FORMAT

(The following sample is specific to the Argosy University/Phoenix campus.)

Front Cover	Spine
 <p style="text-align: center;">THE COMPLETE TITLE OF THE CRP OR DISSERTATION</p> <p style="text-align: center;">-----</p> <p style="text-align: center;">YOUR FULL NAME</p> <p style="text-align: center;">200x</p>	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> <p style="text-align: center;">ARGOSY UNIVERSITY/ PHOENIX</p> <p style="text-align: center;">CRP/DISSERTATION TITLE (AS MUCH AS WILL FIT) -- YOUR LAST NAME</p> <p style="text-align: center;">200x</p> <p style="text-align: center;">VOL. NO.</p> </div> <p style="text-align: center; font-size: 2em; margin: 20px 0;">OR</p> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> <p style="text-align: center;">TITLE (AS MUCH -- YOUR LAST NAME</p> <p style="text-align: center;">200x VOL. NO.</p> </div>

APPENDIX Q

Institutional Review Board (IRB) Application Forms

(Form G) IRB Application Checklist

Please review the documents listed below that pertain to your research project, In the event that your project does require the use of any of the listed documents, the candidate must attach a copy of the original form to the application submitted for IRB approval. Your cooperation in this matter is appreciated and it will hasten the approval turn-around time significantly.

Please be advised that all research project applications must have an Informed Consent Form Attached.

If a minor or incapacitated individual of any age is involved, parent permission forms must be attached with signature line included.

If you are conducting a research project in another institution (e.g., a hospital or school), the candidate must attach a signed permission letter from a supervisor or administrator who is in a position to grant the candidate permission to conduct the research at that site.

If that institution also has an Institutional Review Board (IRB), then written permission from the participating institution's IRB must be attached to your IRB application.

If the candidate is conducting the research outside the geographical location of the United States (US), then a letter of assurance that the candidate will abide by the laws and regulations of the governing bodies that preside over the state or country local of the location where the research is being conducted must be attached.

_____ Letter of Informed Consent

_____ Institutional Permission Letter (where research is taking place)

_____ Assurance of Adherence to Governmental Regulations Concerning Human Subjects (if research project is conducted outside the US)

_____ Parental Permission Letter (must have provision for written signature)

_____ Oral Statement of Assurance (used with minors)

_____ Survey(s) or Questionnaire(s) (if included in research project)

_____ Observation Instrument

_____ Interview Questions (structured or semi-structured)

Also required on your applications:

Dissertation Chairperson's signature and Primary Investigator's signature

Timelines (To be followed prior to data collection)

Once the method/procedure section of the project is discussed with and approved by the dissertation chair, it is possible to complete and submit the IRB application form within Dissertation Block I or II, but it must be submitted and approved prior to the dissertation proposal defense. If any substantial changes are made concerning the design or procedures for collecting data, the IRB application must be reprocessed. Approved IRB applications are effective for one (1) year.

Routing:

Upon completion of the IRB application, forward the application and supporting documents to your committee chair for review and signature. Once it is reviewed for accuracy and all required attachments, it will be forwarded to the IRB for processing.

Informed Consent Letter:

All letters of informed consent should contain the following elements:

1. The purpose and brief description of the research.
2. Duration of the participant's involvement.
3. Procedures for protecting confidentiality and anonymity.
4. Potential risks and benefits or costs to the subject for participating.
5. Contact person and compensation for participation, if any.
6. Criteria and circumstances for participating.
7. Acknowledgment that participation is voluntary and the subject may withdraw at any time.

Instructions to Participants Completing Survey Research

Note: The following statement may be included on the first page of the survey.

“The purpose of this research is to (fill in the blank, e.g., ‘compare opinions, examine perceptions).By completing and turning in this survey you are giving your consent for the researcher to include your responses in the data analysis. Your participation in this research is strictly voluntary, and you may choose not to participate without fear of penalty or any negative consequences. Individual responses will be treated confidentially. No individually identifiable information will be disclosed or published, and all results will be presented as aggregate, summary data. If you wish, you may request a copy of the results of this research by writing to the researcher at: (fill in your name and address here).”

(Form G.1) Informed Consent

Model Statements of Informed Consent to Participate in Research

The purpose of this research is (briefly describe the purpose of your study). If you participate in this research, you will be asked to (describe what your participants will be asked to do, what information they will be asked to provide - demographic, attitudinal, test scores, physical measures, etc., and describe any potential risks or discomforts to the subject):

Your participation will take approximately (insert approximate length of time needed to participate and/or duration of the project itself:

Your participation in this research is strictly voluntary. You may refuse to participate at all, or choose to stop your participation at any point in the research, without fear of penalty or negative consequences of any kind.

The information/data you provide for this research will be treated confidentially, and all raw data will be kept in a secured file by the researcher. Results of the research will be reported as aggregate summary data only, and no individually identifiable information will be presented. (Note - These statements must be true. If you cannot abide by these procedures for assuring confidentiality, you must describe the procedures you will follow).

You also have the right to review the results of the research if you wish to do so. A copy of the results may be obtained by contacting the researcher at the address below:

(Insert your name and mailing address here.)

*There will be personal benefits from your participation in this research. Describe any benefits to the subject personally, if any exist. Otherwise, insert "No direct or immediate" in the space indicated with *. However, the results of the research may contribute... Describe any potential benefits (practical or theoretical) to the field, the profession, or to society as a whole).

Written signature is not required for minimal risk participation, such as interviews or survey questionnaire completion-unless the subject is a minor, thus requiring parental permission.

I, _____, have read and understand the foregoing information explaining the purpose of this research and my rights and responsibilities as a participant. My signature below designates my consent to participate in this research, according to the terms and conditions outlined above.

Signature _____ Date _____

Print Name: _____
If signing for a Minor Child, Print Child's Name: _____

Relationship to Child (circle) Male Parent Female Parent Male Grandparent
Female Grandparent

Other Male Relative

Other Female Relative

(specify)_____

(specify)_____

Legal Guardian (appointed by)_____

Note: All informed consent statements should be designed to meet the need of each individual research project and/or sample group and are therefore, subject to change as needed.

Argosy University/campus

IRB# _____ Date Received ____/____/____

(Form G.2) Application for IRB Review of Research Involving the Use of Human Subjects

* Application Status Exempt _____ (Minimal Risk – IRB Chair)
 Expedited _____ (Moderate Risk-1 IRB Member)
 Regular _____ (High Risk - Full IRB Member Review)

Investigator's Name: _____

Social Security Number (optional): _____

Address: _____

Title of Research Project: _____

Name of Dissertation Chair: _____

College and Department: Counseling Psychology, School of Psychology and Behavioral Sciences

Program and Degree of Study: _____

Project Proposed Start Date: _____ Project Proposed Completion Date: _____

Approval Signatures: _____

Dissertation Committee Chair/Date _____ / _____

Principal Investigator/Date _____ / _____

DO NOT PROCEED TO COLLECT DATA PRIOR TO RECEIVING IRB APPROVAL**Important Notice:**

- Please complete this form in detail, acquire signatures of the principal investigator and the dissertation chair, then submit the form to the IRB Chair with attachments relevant to this project (letter of informed consent, questionnaires, test protocol, interview questions, observational charts, institutional permission from site where research is to be conducted, parental permission if subject is under 18, completed IRB form, designated IRB category).
- Do not proceed with any research work with subjects until IRB approval is obtained.
- If any change occurs in the procedure, sample size, research subject, or other element of the project

 * Category of research must be checked by principal investigator.

impacts subjects, the IRB must be notified in writing with the appropriate form (see ancillary forms).

- Please allow 30 days for processing Exempt and Expedited Forms, and 60 days processing for Regular.

IRB contact: _____ Date Logged In: _____ Date Approved: _____ Date Expires: _____

7. Signatures and date of review:

Principal Investigator / Date _____ / _____

Dissertation Committee Chair/Date _____ / _____

Attach any other forms, tests, institutional permission slips, etc, relative to this study.
Failure to do so will result in delayed processing of the approval form.

Section B, Expedited or Regular Review Status

Research with minors, prisoners, mentally/emotionally/physically challenged persons, pregnant women, fetuses, in vitro fertilization, and/or individual or group studies where the investigator manipulates the subjects/ behavior or the subject is exposed to stressful or invasive experiences do(es) not qualify for expedited status.

1. Requested Review (see instructions) Expedited_____Regular_____
2. Purpose of the Study:
3. Summary of the Study. Methodology (Be Specific-attach extra page if needed).
4. Participant Demographics:
 - a. Anticipated Sample Size:_____
 - b. Special Ethnic Groups (describe):_____
 - c. Institutionalized Y N Protected Group (describe):_____
 - _____
 - d. Age group:_____
 - e. General State of Health:_____
 - f. Other details to describe sample group._____
5. Will deception be used in the study? Y N (please describe)
6. Will audio or videotapes be used in the study? Y N (please explain)
7. Confidentiality protection issues (pertains to audio and video as well as written documents.)
 - a. What precautions will be taken to insure the privacy and anonymity of the

participants? (i.e. closed doors, private rooms, handling of materials where participants' identity could be discovered, etc).

- b. What specific precautions will be taken to safeguard and protect participant's confidentiality while handling the data (audio/video/paper) both in researcher's possession and in reporting the findings? (i.e., coding, removal of identifying data).
 - c. Describe procedures where confidentiality may be broken by law (e.g., child abuse, suicidal intent).

8. Review by institutions outside of Argosy University/SFBA Y N (Attach copies of permission letters, IRB approvals, and any other relevant documents).

9. Informed Consent and Assent (Attach copies of all relevant forms). If consent is not necessary (e.g. an anonymous interview), describe how the candidate will inform all subjects of the elements of consent (see instructions).

10. If informed consent, written consent is required, describe the manner in which consent and/or assent was obtained for each category).
 - a. Adult Participants (18 years and older – written consent required).
 - b. Child Participants (under 18 – parent/guardian consent required).
 - c. Child Participants (under 7 years old- child assent required).
 - d. Institutionalized Participants (parent/guardian/conservator).

11. Describe any possible physical, psychological, social, legal, economic or other risks to participants (Attach another page if needed).
 - a. If there are any potential risks, describe the precautions taken to minimize risk to participants.

- b. Describe procedures implemented for correcting harm caused by participating in the study (e.g., follow up calls, referral to appropriate agencies).

12. Potential benefit of the study:

- a. Assess the potential benefit(s) of the study for the participants:
- b. Assess the potential benefits(s) to the professional audience in the study:

As the primary investigator, I attest that all of the information on this form is accurate, and that every effort has been made to provide the reviewers with complete information related to the nature and procedures to be followed in the research project. Additional forms will be immediately filed with the IRB to report any: change in subject(s), selection process, change of primary investigator, change in faculty Dissertation chair, adverse incidents, and final completion date of project. I also attest to abide by any other governmental regulations that apply to this study, particularly as applies to research work conducted in countries other than the United States.

Signature Primary Investigator

Date

Signature Advisor/Committee Chair

Date

Attach any other forms, tests, institutional permission slips, etc., relative to this study. Failure to do so will result in delayed processing of the approval form.

Argosy University/SFBA

IRB# _____ Date Rcvd_____

Institutional Review Board

(Form G.3) Research Progress Report

Type all answers.

NOT TO BE USED TO CHANGE PROCEDURES.

IRB File No. _____

Continuing Review:_____

Final Report:_____

1. General Information

Principal Investigator:_____

Address:_____

Telephone:_____ FAX:_____

Department: Counseling Psychology

Committee Members _____

2. Project Information

Title of Project:_____

3. Continuing/Final Report Information

Does this research involve primary data collection? Y_____ N_____

If yes, answer the following:

Number of participants participating since last review, if any:_____

Total number of subjects invited to participate in this project:_____

Are you continuing to recruit new participants? Y_____ N_____

If yes, attach most current informed consent(s).

How many recruited subjects have withdrawn/dropped out? _____

Explain why:

4. Summarize the research hypothesis or purpose of this project and procedures:
5. Summarize the progress/steps completed from inception to date and/or attach any data summaries, progress reports, etc. pertinent to this study.

6. Were benefits of this research expected? Were they realized? Explain:

7. At this time, are you revising the Informed Consent to include any significant new information which may relate to the participants' willingness to continue participating? Y_____ N_____. If yes, please attach a copy of the revised consent form and highlight all revisions.

8. Have there been any changes in Dissertation Committee Membership?

Your acknowledgment is requested to assure the University's Institutional Review Board that you are aware of the existence and status of this research activity and that you agree to the statements made in the original IRB application including the "Statement of Assurance."

Committee Chair (Print Name)	Committee Chair Signature	Date
Committee Member (Print Name)	Committee Member Signature	Date
Committee Member (Print Name)	Committee Member Signature	Date
Committee Member (Print Name)	Committee Member Signature	Date

9. Principal Investigator Statement of Assurance

"I understand that additions to or changes in procedures involving human subjects, as well as any problems connected with the use of human subjects once the study has been approved for continuation by the Institutional Review Board, must be brought to the attention of the IRB."

"I agree to provide whatever surveillance is necessary to ensure that the rights and welfare of the human subjects are properly protected."

“I understand that I cannot initiate any contact with human subjects before I have received approval and/or complied with all contingencies made in connection with the approval.”

Signature of Principal Investigator

Date

Please return this application and any attachments to:

Attn: Program Chair, Counseling Psychology
Argosy University/SFBA Campus
999A Canal Boulevard
Point Richmond, California 94804

3. Amendment Information - Please Complete Entire Section

a. Describe the proposed additions/revisions in appropriate detail:

b. Describe any significant change in the risk/benefits for the participants from these additions/revisions:

c. Have you revised the Informed Consent to include any of the additions/revisions?

Y_____ N_____ If yes, please attach a copy of the revised consent form and highlight all revisions.

4. Change in Dissertation Committee Membership

Your acknowledgment is requested to assure the University's Institutional Review Board that the candidate is aware of the existence and status of this research activity and that the candidates agree to the statements made in the original IRB application including the "Statement of Assurance."

Committee Chair (Print Name)	Committee Chair Signature	Date
------------------------------	---------------------------	------

Committee Member (Print Name)	Committee Member Signature	Date
-------------------------------	----------------------------	------

Committee Member (Print Name)	Committee Member Signature	Date
-------------------------------	----------------------------	------

5. Principal Investigator Statement of Assurance

“I understand that I cannot initiate any changes in my approved protocol before I have received approval and/or complied with all contingencies made in connection with that approval.”

Signature of Principal Investigator

Date

Please return this application and any attachments to:

Attn: Program Chair, Counseling Psychology
Argosy University/SFBA Campus
999A Canal Boulevard
Point Richmond, California 94804

Argosy University/SFBA IRB# _____ Date _____

Institutional Review Board

(Form G.5) Off-Site Adverse Report

Type all answers.

“Adverse event” refers to any event, circumstance, or occurrence that was not anticipated, or accounted for, in the original IRB application and may have a negative impact on the research project as a whole.

1. General Information

Principal Investigator: _____

Address: _____

College: _____ Telephone/Fax: _____

Chairperson: _____

2. Information

Title of Project _____

- a. In the space below, please list all attached report numbers applicable to the report of the AE, i.e., Sponsor's Letter, etc.
- b. Does this AE significantly change the risk/benefit? ___ Yes ___ No
Explain
- c. Does this AE require change in the Informed Consent? ___ Yes ___ No
If yes, attach a copy of the revised consent form and highlight all revisions.

3. Principal Investigator Statement of Assurance

"I understand that I cannot initiate this project before I have received approval and/or complied with all contingencies made in connection with that approval."

Signature of Principal Investigator

Date

Please return this application and any attachments to:

Attn: Program Chair, Counseling Psychology
Argosy University/SFBA Campus
999A Canal Boulevard
Point Richmond, California 94804

Argosy University/SFBA Campus

IRB# _____ Date _____

Institutional Review Board

(Form G.6) On-Site Adverse Report

Type all answers.

Adverse event refers to any event, circumstance, or occurrence that was not anticipated or accounted for in the original IRB application and may have a negative impact on the research project as a whole.

1. General Information

Principal Investigator: _____

Address: _____

College: _____ Telephone/Fax: _____

Chairperson: _____

2. Information

Title of Project: _____

3. Adverse Event Information

Describe the Adverse Event (AE). Please provide details if the AE occurred in your participants. Submit all written materials applicable to the report of the AE.

Is the AE related to the study? Explain why or why not.

Does this AE significantly alter the risk/benefits ration to participants?

Does this AE Require change in the Informed Consent? Y__ N:___

If yes, please attach a copy of the revised consent form and highlight all revisions.

Additional comments:

4. Principal Investigator Statement of Assurance

"I understand that I cannot initiate this project before I have received approval and/or complied with all contingencies made in connection with that approval."

Signature of Principal Investigator _____ Date _____

Please return this application and any attachments to:

Attn: Program Chair, Counseling Psychology
Argosy University/SFBA Campus
999A Canal Boulevard
Point Richmond, California 94804

Argosy University/Campus

IRB# _____ Date _____

Institutional Review Board

(Form G.7) Project Completion Report

Type all answers.

1. General Information

Principal Investigator: _____

Address: _____

College: _____ Telephone/Fax: _____

Chairperson: _____

2. Information

Title of Project: _____

3. Date of Completion _____

4. Summary of Outcome:

APPENDIX R

Outline for the Dissertation Sections

The Dissertation: An Outline with Additional Information

Note: Some items in this list may not be required for all kinds of research studies. Those that are required of all studies, are marked with an asterisk (*).

- *Blank Page (completely blank – no page number)
- *Abstract Title Sheet (page i)
- *Abstract (page ii)
- *Approval Sheets (no page numbers)
- *Table of Contents (page iii - ?)
- *Table of Tables, if there are more than four tables (page iv)
- *Table of Figures, if there are more than four figures (page v)
- *Table of Appendixes, if there are appendixes (page vi)
- Acknowledgement Page (page vii)
- Dedication Page (page viii)

Chapter 1.

- *Introduction (page 1. etc.)
 - *Background of the Study: general introduction to the topic
 - *Research Problem: statement or question; directs the study
 - Hypothesis(es): statement(s), direct the study
 - Limitations: threats to validity beyond researcher control
 - Delimitations: threats to validity within researcher control
 - Definitions of Terms
 - *Anticipated Significance of the Study: who will benefit
 - *Overview of the Study: what is in each chapter

Chapter 2.

- *Review of Literature: review and critique, comparisons
- *Recapitulation: summary and lead-in to next chapter

Chapter 3.

- *Methodology
 - *Introduction: to the method of the study
 - *Research Design: type of study, design plan
 - *Data Collection Methods: type and discussion
 - *Population: description (except for historical)
 - Sample: description and methods for sampling
 - Instrumentation: description of instrument
 - *Procedures of the Study: steps
 - *Analysis of the Data: discussion of method for analysis
 - Validity: discussion, relating to limitations/delimitations
 - Reliability: discussion, relating to limitations/delimitations
 - Generalizability: expansion of external validity
 - Generalizability: expansion of external validity

Additional Concerns (researcher bias, explanation of procedures and circumstances which vary from the norm, etc.)

*Protection of Human Subjects: explanation of process for approval, and for anonymity preservation of participants, field notes, etc. (if human subjects are used)

*Lead-in to next chapter

Chapter 4.

*Results/Findings

*Presentation of Data: raw or ordered, tables, charts, narrative, etc.

Statistical Applications: description, outcomes

Discussion of findings if appropriate (not interpretation in relationship to hypothesis(es))

*Lead-in to next chapter

Chapter 5.

*Conclusion

*Interpretation of Data

*Conclusions Relative to Hypothesis(es)

*Implications and Recommendations, relating to Anticipated ` Significance of the Study

*References

Appendixes Cover Sheet

Appendixes: Each with a cover sheet

Blank Page

APPENDIX S

Appendix Cover Sheet

APPENDIX T

Individual Appendix Cover Sheet

APPENDIX U

Argosy University / SFBA
Counseling Psychology Department
Dissertation Submission Form

Student Name: _____ Date: _____

Program: _____

List the Term/Year registered for Dissertation in sequence (this is important to change your grade from IP to CR):

1. _____
2. _____
3. _____
4. _____
5. _____

STEP 1: FINAL QUALITY CHECKS BY CHAIR OF RESEARCH COMMITTEE

The Degree Completion Coordinator will need to do a final quality check to make sure bound Dissertations are complete and ready for submission to the library. Please bring this form and two copies of the Dissertation to the Degree Completion Coordinator.

The Dissertation is ready for submission to the library.

Chair of Research Committee _____ Date: _____

STEP 2: TURN IN DISSERTATION TO THE LIBRARIAN

Library materials need to be returned and/or account reconciled before the 2 bound copies of the Dissertation are accepted by the Librarian. Please call the Librarian at least 1 week in advance to check for outstanding materials. The Librarian will not accept copies and sign below unless signed above by the Chair of the Research Committee.

The Dissertation has been accepted to the library.

Librarian signature: _____ Date: _____

STEP 3: RETURNED SIGNED FORM TO STUDENT SERVICES OFFICE

____ Changed Grades from IP to CR? ____ Copy Student ____ Copy File

APPENDIX V

<p><i>Argosy University</i> <i>San Francisco Bay Area Campus</i> 999 A Canal Blvd., Point Richmond, CA 94804 Phone: 510-215-0277 Fax: 510-215-0299</p>

Ed.D. in Counseling Psychology

DOCTORAL ORAL DEFENSE COMPLETION

Candidate Name (type or print)

Date

Title of Dissertation

Names of those attending the candidate's Oral Defense presentation and their affiliations with the candidate's Dissertation (if applicable):

	Committee Chair
	Reader
(affiliation)	
(affiliation)	

Outcome of Oral Defense (check one):

- Dissertation approved without revisions
- Dissertation approved contingent upon the following modifications:
Attach list of modifications.

All modifications are to be completed no later than two weeks from the date of the Oral Defense presentation.

Student will complete the above modifications and submit a final draft of the Dissertation to the Dissertation committee chair for approval on the following date:

_____ .

Please submit the completed form to Dr. Lou Rappaport
Copies of completed form to: Student, Dissertation Committee Chair, Human Subject Committee Chair

