

**Ph.D. Program Handbook**

**School of Education**

**Notre Dame of Maryland University**

## Table of Contents

<b>INTRODUCTION .....</b>	<b>5</b>
<b>PART 1: DOCTORAL PROGRAM REQUIREMENTS .....</b>	<b>7</b>
ON-CAMPUS PH.D. PROGRAM IN INSTRUCTIONAL LEADERSHIP FOR .....	7
CHANGING POPULATIONS .....	7
Core Courses .....	7
Comprehensive Exams.....	7
Research Core Courses (9 credits).....	8
Dissertation Seminars .....	8
ONLINE PH.D. IN LEADERSHIP IN HIGHER EDUCATION FOR CHANGING POPULATIONS..	10
Coursework .....	10
Comprehensive Exams.....	10
Eligibility to Begin Dissertation Process .....	11
Dissertation Seminars .....	11
Timeline for Forming Committee, Completing Proposal, and Completing a Quantitative or Mixed Methods Dissertation.....	12
Timeline for Forming Committee, Completing Proposal, and Completing an Historical Dissertation .....	13
<b>PART 2: PROPOSAL DEVELOPMENT STAGE.....</b>	<b>15</b>
FOR QUANTITATIVE AND MIXED METHODS DISSERTATIONS.....	15
Timeline to Develop the Proposal.....	15
Purpose and Format .....	16
FOR HISTORICAL DISSERTATIONS.....	16
Timeline .....	16
Purpose and Format .....	16
DIFFERENT TYPES OF EDUCATION DISSERTATION PROPOSALS .....	17
Proposal for Quantitative Dissertations .....	17
Proposal for Qualitative Dissertations .....	18
Proposal for Historical Dissertations .....	19
Style .....	20
PROPOSAL APPROVAL PROCESS.....	21
Submission of the Dissertation Proposal to the Writing Editor.....	21
Submission of the Proposal to the University Ph.D. Committee.....	21
Meetings of the University Ph.D. Committee.....	22
<b>PART 3: DISSERTATION DEVELOPMENT STAGE.....</b>	<b>22</b>
QUALITIES OF A SUCCESSFUL DISSERTATION .....	22
BUILDING ON THE PROPOSAL.....	22
Quantitative and Mixed Methods.....	23
Historical/Philosophical Dissertations .....	23
DISSERTATION FORMAT.....	25
Dissertation Format for Opening Pages.....	25
Approval Page.....	26
Copyright Page.....	26

Title Page .....	26
Abstract .....	26
Dedication .....	26
Acknowledgments.....	26
Table of Contents.....	27
Tables and List of Figures.....	27
Formatting Overview .....	27
Elements within the text: Citations .....	27
Elements within the text: Quotations.....	27
Elements within the text: Permission to quote copyright material .....	28
Elements within the text: Tables, figures, charts, illustrations and photographs.....	28
References.....	28
Appendices.....	28
Formatting the Manuscript.....	28
Style .....	28
Process and Timeline for Submitting Dissertations.....	29
Submission of the Dissertation to the University Ph.D. Committee.....	29
Deadlines for University Ph.D. Committee .....	30
DISSERTATION DEFENSE .....	31
Scheduling.....	31
Before the Defense: Approval Page.....	31
<b>PART 4: TASKS TO COMPLETE AFTER A SUCCESSFUL DEFENSE.....</b>	<b>32</b>
FOLLOWING A SUCCESSFUL DEFENSE, CANDIDATES:.....	32
Survey of Earned Doctorates (SED).....	32
SUBMITTING DISSERTATIONS TO PROQUEST AND OBTAINING COPYRIGHT .....	32
Directions.....	32
Sending PDF to Alpha Graphics for Bound Book.....	33
Submitting PDF File and Permission to Digitalize for Loyola-Notre Dame Library	34
<b>APPENDIX A .....</b>	<b>35</b>
DISSERTATION PROPOSAL TITLE PAGE .....	35
<b>APPENDIX B .....</b>	<b>36</b>
FORMS FOR PROPOSAL APPROVAL.....	36
APPROVAL OF CHAIR AND READERS:.....	37
(FORM 1).....	37
COMMITTEE APPROVAL FORM:.....	38
PROPOSAL SUBMISSION TO WRITING EDITOR (FORM 2).....	38
WRITING EDITOR FORM (FORM 3) .....	39
COMMITTEE APPROVAL FORM: PROPOSAL SUBMISSION TO UNIVERSITY PH.D.	
COMMITTEE .....	40
(FORM 4).....	40
<b>APPENDIX C .....</b>	<b>41</b>
DISSERTATION APPROVAL FORM FOR ALPHA GRAPHICS.....	41
<b>APPENDIX D .....</b>	<b>42</b>

DISSERTATION TITLE PAGE..... 42

**APPENDIX E ..... 43**

    SAMPLE COPYRIGHT PAGE..... 43

**APPENDIX F ..... 44**

    DISSERTATION COMMITTEE APPROVAL FOR EDITOR (FORM 1)..... 44

    DISSERTATION EDITOR FORM (FORM 2) ..... 45

    COMMITTEE APPROVAL FORM: SUBMISSION OF DISSERTATION TO..... 46

    UNIVERSITY PH.D. COMMITTEE (FORM 3)..... 46

    REQUEST TO SCHEDULE DEFENSE..... 47

    UNIVERSITY PH.D. COMMITTEE (FORM 4)..... 47

**APPENDIX G..... 48**

    TITLE PAGE FOR HISTORICAL/PHILOSOPHICAL DISSERTATIONS ..... 48

## INTRODUCTION

Dear Doctoral Students:

Congratulations on beginning your doctoral program journey! You have reached the pinnacle of higher education success to have arrived at this point, so take a moment to appreciate that fact before embarking on what is sure to be one of the most rewarding—but also challenging—journeys in your life!

The doctoral programs at Notre Dame of Maryland University School of Education are designed to prepare you as scholars and academicians, to prepare you to advance in your profession, and to prepare you for the responsibilities that come with this level of achievement. This preparation includes developing your critical thinking, research, and writing skills to the level demanded of the doctoral candidate; and providing you with the tools to think as a researcher and a scholar who questions what is and identifies what is missing and how to get there. You enter the program at a high level of academic achievement, and you will leave the program more fully prepared through your scholarship to bring positive change to your profession, your communities, and your world.

This level of achievement does not come without challenge and demand, and the doctoral programs are by design both challenging and demanding. You must successfully complete your coursework, prepare for and pass the comprehensive exams, successfully develop and present a proposal for doctoral level research, and fulfill the requirements of the dissertation.

Your faculty and SOE staff are eager to support your journey, but ultimately success rests on your shoulders, is driven by your motivation, and is defined by the criteria and expectations for performance at the highest level of education. Nothing is a given at this level, and a doctoral program is not a list of tasks that you check off to move forward. As you embark on this journey, you must prepare yourself for success and failure, for high points and low points, and to be strong in the face of academic and professional challenges. However, you are not alone on this journey, and your advisor and your faculty will work to ensure your experience at NDMU is conducive to and supportive of your success. That success begins with this Handbook. This Handbook will explain program requirements as well as provide an overview of the full doctoral process. We have also included an explanation of the individual components for both the proposal and the dissertation so you will understand that process as you move forward.

I am excited to welcome you here today, and I am excited about your doctoral journey, as I know you are. Today, as you begin, I wish you much success!

*Kathryn Doherty*

Kathryn Doherty, Ed.D.  
Dean, School of Education

Notre Dame of Maryland University

## PART 1: DOCTORAL PROGRAM REQUIREMENTS

### *On-campus Ph.D. Program in Instructional Leadership for Changing Populations*

#### **Core Courses**

*Introductory Research Course (3 Credits)*

EDU 543 - Reading, Analyzing and Interpreting Educational Research (3)

*Language and Learning Courses (12 credits)*

EDU 747 – Learning and the Brain (3)

EDU 697 - Language and Intercultural Communication for Changing Populations (3)

EDU 698 - Linguistic and Cultural Diversity (3)

*Philosophical Perspectives Courses (12 credits)*

IDS 500 - The Human Spirit and the Liberal Arts (3) with Writing Studio\*

EDU 772 - Changing School Populations in Historical Perspectives (3)

EDU 674 - Global and International Perspectives in Education (3)

EDU 775 - Democracy and Education: Philosophical Perspectives (3)

*\*To be taken in the first or second semester of the student's program.*

*Changing Populations Courses (9 credits)*

EDU 715 - Educator as a Change Leader (3)

EDU 722 - Education and Policy Analysis for Changing Schools (3)

EDU 660 - Legislative and Legal Decisions Affecting Changing School Populations (3)

*Three Electives Courses (9 credits)*

Candidates may choose courses in consultation with the advisor.

#### **Comprehensive Exams**

These exams on six areas of the curriculum are taken over a two-day period. Each day candidates address three course topics over a four-hour writing period. Comprehensives are administered in August/September and January of each academic year and are designed for students to demonstrate knowledge of core program concepts as well as the ability to analyze and apply that knowledge to complex problems. These exams are typically taken prior to the start of the three-course research sequence (695, 701, and 703).

The six areas addressed in comprehensive exams include:

1. Democracy and Education: Philosophical Perspectives
2. Changing School Populations in Historical Perspectives
3. Learning and the Brain
4. Educator as a Change Leader
5. Intercultural Communication
6. Linguistic and Culture Diversity

All exams are read and evaluated by two readers and student names are not visible on the exams during the evaluation. In the event of a difference in scoring between the two readers, a third reader will make the final determination. Candidates may receive a high pass, pass, or failure for each exam, and may retake a failed exam once at the next exam session. A follow up oral clarification may be offered to a student retaking an exam when the readers request additional clarification of the response before finalizing the score. Students who do not pass all six exams by the second attempt may choose to graduate with the Education Specialist (Ed.S.) degree. The Ed.S. is a terminal professional degree in the U.S. that is designed to demonstrate knowledge and theory in the field of education beyond the master's degree level.

Following the successful completion of the comprehensive exams, doctoral students move on to complete their research core courses and then into their dissertation seminars. At this point, students will work with their faculty advisor to determine the research pathway for their dissertation work (quantitative, qualitative, mixed methods, or historical).

### **Research Core Courses (9 credits)**

EDU 695 - Research Design (3) \*\*\*

EDU 695H Historical Research Design (3) \*\*\*

EDU 701 - Methods of Quantitative Research (3)

EDU 703 - Methods of Qualitative Research (3)

\*\*\* Students take either EDU 695 OR EDU 695 H, but not both

### **Dissertation Seminars**

EDU 705 The Dissertation Seminar (3 credits)

In this course, candidates will begin to develop their topic in more detail. Candidates can choose either quantitative or mixed methods. The goal of this course is to draft Chapter 1, the statement of the problem and rationale for the study, and Chapter 2, the literature review. This is a pass/fail class that typically meets (in person or online) on several Saturdays throughout the semester.

EDU 705H The Dissertation Seminar (3 credits)



In this course, candidates pursuing a dissertation in history will begin to consider secondary sources for their research. The goal of this course is to have students focus on reviewing secondary sources, complete an extensive annotated bibliography and begin the process of writing the historiography. Additionally, students will begin exploring philosophy and methodologies of historical study including: intellectual history, social history, Marxist history and Whig history. This is a pass/fail class that typically meets (in person or online) on several Mondays throughout the semester.

**EDU 706 Dissertation Seminar: Methodology (3 credits)**

Candidates who are completing quantitative or mixed methods studies take this course after EDU 705. The focus of the course is to design the study, data collection, evaluation of data, etc. and complete a draft of Chapter 3, Methodology. This is a pass/fail class that typically meets (in person or online) on several Saturdays throughout the semester.

**EDU 707 Historical Perspectives (3 credits)**

Candidates completing an historical/philosophical dissertation take this course in lieu of Edu 706. Students prepare the historiography for their proposal and assess the availability of primary sources. Additionally, students continue a study of philosophy and methodologies of historical study including Post-modern approaches and Critical Race Theory. Students complete their proposal in this course. This is a pass/fail class and typically meets (in person or online) on several Mondays throughout the semester.

**EDU 800 Dissertation Continuation (1 credit per semester)**

Candidates are required to maintain continuous registration for EDU 800 for fall, spring, and summer semesters until the dissertation is completed.

**EDU 801 Dissertation (1 credit per semester)**

Final continuous registration course, taken during the semester the candidates defend their dissertation.

## ***Online Ph.D. in Leadership in Higher Education for Changing Populations***

### **Coursework**

Courses in this program are fully online 8-week classes. Students may take between two and four courses each semester.

#### *Foundational Courses (12 credits)*

EDU 697 - Linguistic and Cultural Diversity with Writing Studio (3)\*

EDU 715 - Educator as a Change Leader (3)

EDU 772 - Changing Populations in Historical Perspective (3)

EDU 775 - Democracy and Education: Three Philosophical Perspectives (3)

*\*To be taken during the student's first or second semester in the program.*

#### *Higher Education Courses (18 credits)*

EDU 622 - Education and Policy Analysis (3)

EDU 802 - Organization and Governance in Higher Education (3)

EDU 803 - Assessment, Evaluation, and Accreditation (3)

EDU 804 - Finance, Philanthropy, Budget, and the Strategic Planning Process in Higher Education (3)

EDU 805 - Curriculum Development for Changing Populations (3)

EDU 806 – Student Affairs (3)

### **Comprehensive Exams**

These exams on six areas of the curriculum are taken over a two-day period. Each day candidates address three course topics over a four-hour writing period. Comprehensives are administered in August and January of each academic year and are designed for students to demonstrate knowledge of core program concepts as well as the ability to analyze and apply that knowledge to complex problems. These exams are typically taken prior to the start of the three-course research sequence (695, 701, and 703).

The six areas addressed in the comprehensive exams include:

1. Democracy and Education: Three Philosophical Perspectives
2. Changing Populations in Historical Perspective
3. Organization and Governance in Higher Education
4. Curriculum Development for Changing Populations
5. Linguistic and Cultural Diversity
6. Educator as Change Leader

All exams are read by two readers and student names are not visible on the exams during the evaluation. In the event of a difference in scoring between the two readers, a third reader will make the final determination. Candidates may receive a high pass, pass, or failure for each exam, and may retake a failed exam once at the next exam session. A follow up oral clarification may be offered to a student retaking an exam when the readers request additional clarification of the response before finalizing the score. Students who do not pass all six exams by the second attempt may choose to graduate with the Education Specialist (Ed.S.) degree. The Ed.S. is a terminal professional degree in the U.S. that is designed to demonstrate knowledge and theory in the field of education beyond the master's degree level.

Following the successful completion of the comprehensive exams, doctoral students move on to complete their research core courses and then into their dissertation seminars. At this point, students will work with their faculty advisor to determine the research pathway for their dissertation work (quantitative, qualitative, mixed methods, or historical).

### **Research Core Courses (9 credits)**

EDU 695 - Research Design (3) \*\*\*

EDU 695H Historical Research Design (3) \*\*\*

EDU 701 - Methods of Quantitative Research (3)

EDU 703 - Methods of Qualitative Research (3)

\*\*\* Students take either EDU 695 OR EDU 695 H, but not both

### **Eligibility to Begin Dissertation Process**

Before beginning work on the Ph.D. dissertation, the candidate must:

- Successfully complete all course requirements with a grade of B or better in each course
- Pass all sections of the Comprehensive Examinations
- Complete the three course research sequence (695, 701 and 703)

### **Dissertation Seminars**

EDU 705 The Dissertation Seminar (3 credits)

In this course, candidates will begin to develop their topic in more detail. Candidates can choose either quantitative or mixed methods. The goal of this course is to draft Chapter 1, the statement of the problem and rationale for the study, and Chapter 2, the literature review. This is a pass/fail class that typically meets (in person or online) on several Saturdays throughout the semester.

EDU 705H The Dissertation Seminar (3 credits)

In this course, candidates pursuing a dissertation in history will begin to consider secondary sources for their research. The goal of this course is to have students focus on reviewing secondary sources, complete an extensive annotated bibliography and begin

the process of writing the historiography. Additionally, students will begin exploring philosophy and methodologies of historical study including: intellectual history, social history, Marxist history and Whig history. This is a pass fail class that typically meets (in person or online) on several Mondays (in person or online) throughout the semester.

**EDU 706 Dissertation Seminar: Methodology (3 credits)\*\*\***

Candidates who are completing quantitative or mixed methods studies take this course after EDU 705. The focus of the course is to design the study, data collection, evaluation of data, etc. and complete a draft of Chapter 3, Methodology. This is a pass/fail class that typically meets on several Saturdays (in person or online) throughout the semester.

**EDU 707 Historical Perspectives (3 credits)\*\*\***

Candidates completing an historical/philosophical dissertation take this course in lieu of Edu 706. Students prepare the historiography for their proposal and assess the availability of primary sources. Additionally, students continue a study of philosophy and methodologies of historical study including Post-modern approaches and Critical Race Theory. Students complete their proposal in this course. This is a pass/fail class and typically meets (in person or online) on several Mondays (in person or online) throughout the semester.

*\*\*\*Students take EDU 706 OR EDU 707, but not both.*

**EDU 800 Dissertation Continuation (1 credit per semester)**

Candidates are required to maintain continuous registration for EDU 800 for fall, spring, and summer semesters until the dissertation is completed.

**EDU 801 Dissertation (1 credit per semester)**

Final continuous registration course, taken during the semester the candidates defend their dissertation.

**Timeline for Forming Committee, Completing Proposal, and Completing a Quantitative or Mixed Methods Dissertation**

During the three course research sequence (695, 701, and 703) each candidate will meet with the Dean and faculty in the student's area of research to discuss selection of a dissertation advisor who will serve as chair of the student's dissertation committee. After appointment, the advisor/chair and the candidate will discuss the candidate's proposed dissertation topic, and the advisor/chair will support the student in the research course sequence to explore design and methodology for that topic.

Prior to beginning 705, the advisor/chair and the candidate will meet to discuss the selection of dissertation committee members (readers). Two readers will be selected. The first reader will be a research advisor from within the School of Education. The second reader should be external to the School of Education or external to the University

and must hold a doctoral or terminal degree in an area of expertise that will support the candidate's dissertation topic.

Once the candidate and chair agree on committee members, the student obtains signatures of the chair and two readers on Form 1 (Approval of Committee Members) and submits the form to the Dean for approval, along with a timeline developed with the chair that outlines the student's estimated time frame for completing the dissertation. The formal work of the candidate's entire committee begins after the student completes 706 or 707, but the chair will continue to work with the candidate on developing the topic and draft proposal during 705 and 706/707.

After the candidate has completed EDU 705 , and 706 or 707, the candidate has up to two years to submit the proposal for approval to the dissertation committee and the University Ph.D. Committee. When the proposal has been approved by the University Ph.D. Committee, the candidate has three years to successfully write and defend the dissertations.

Candidates who are not able to adhere to the five year timeline may petition the University Ph.D. Committee for a one-year extension. If candidates are unable to follow this timeline, they may apply to graduate with the Certificate of Advanced Studies in Education (CASE).

### **Timeline for Forming Committee, Completing Proposal, and Completing an Historical Dissertation**

During the three course research sequence (695, 701, and 703) each candidate will meet with the Dean to discuss selection of a dissertation advisor who will serve as chair of the student's dissertation committee. After appointment, the advisor and the candidate will discuss the candidate's proposed dissertation topic, and the advisor will support the student in the research course sequence to explore the topic and historical methodological approach to the study.

Prior to beginning 705, the advisor and the candidate will meet to discuss the selection of dissertation committee members (readers). Two readers will be selected. The first reader is a research advisor from within the School of Education. The second reader should be external to the School of Education or external to the University and must hold a doctoral or terminal degree in an area of expertise that will support the candidate's dissertation topic.

Once the candidate and chair agree on committee members, the student obtains signatures of the chair and two readers on Form 1 (Approval of Committee Members) and submits the form to the Dean for approval, along with a timeline developed with the chair that outlines the student's estimated time frame for completing the dissertation. The formal work of the candidate's entire committee begins after the student completes 707, but the

advisor will continue to work with the candidate on developing the topic and draft proposal during 705 and 707.

After the candidates have completed EDU 705 , and 707, they have up to two years to submit their proposals for approval to their dissertation committee and the University Ph.D. Committee. When the proposal has been approved by the University Ph.D. Committee, candidates have three years to successfully write and defend their dissertations.

Candidates who are not able to adhere to the five year timeline may petition the University Ph.D. Committee for a one-year extension. If candidates are unable to follow this timeline, they may apply to graduate with the Certificate of Advanced Studies in Education (CASE).

## **PART 2: PROPOSAL DEVELOPMENT STAGE**

### ***For Quantitative and Mixed Methods Dissertations***

#### **Timeline to Develop the Proposal**

Following successful completion of course work and comprehensive exams, candidates enroll in EDU 705, Dissertation Seminar. Here they expand on the topic developed in their research course sequence (695, 701, and 703) and finalize their research questions and literature review in the area they have chosen for their dissertation. By the end of this course, candidates will have developed solid drafts of Chapters 1 and 2 of their dissertation proposals.

Next, courses in methodology give candidates the tools to design a sound research plan to test the hypotheses developed in their research questions. Approaches to research will depend on the type of study the candidate proposes: quantitative, qualitative, or mixed methods. EDU 706 helps students complete Chapter 3, Methodology, supported by their advisor. The entire proposal for a quantitative, qualitative, or mixed methods study consists of the statement of the problem being addressed (Chapter 1), a literature review (Chapter 2), and methodology for conducting the research (Chapter 3).

The candidate's dissertation committee reads and approves the candidate's completed dissertation proposal. The proposal is then submitted to a School of Education-approved editor to ensure writing is clear, accurate and logical. The editor will return the proposal to the candidate with suggestions for review. Following these approvals, the proposal is reviewed by the University Ph.D. Committee. This group represents faculty scholars from across the University. At any stage of the process, the proposal could be returned to the candidate with suggestions for revision. Once the proposal has successfully passed through this approval process, the candidate applies to NDMU's Institutional Review Board (IRB) for any permissions necessary to conduct the study's research or contacts the IRB Committee chair to determine if the research falls under the purview of IRB. More on this will be explained later in the Handbook (See Table of Contents).

An online course, Collaborative Institutional Training Initiative (CITI), is typically taken during EDU 701 or EDU 703. The course reviews the rules, regulations and ethical practices required for conducting research. A certificate, good for five years (as of February 2020), is provided upon completion of the online course, which is then submitted to the University's IRB with the candidate's application. Forms for these applications can be found at <https://www.ndm.edu/academic-affairs/research-development/institutional-review-board>

### **Purpose and Format**

A dissertation proposal describes a plan for intense, focused research in an area of interest that will contribute to knowledge in the field. The dissertation proposal will assist the chair and members of the candidate's dissertation committee in understanding the problem to be addressed, the research the candidate plans to conduct, the study's interface with research already published on the issue, the planned design and methodology to collect data, potential consequences of the study, and the significance of the results. The proposal displays the candidate's ability to focus on a research topic and assemble relevant materials into a consistent, logical, and well written presentation.

### ***For Historical Dissertations***

#### **Timeline**

Following successful completion of course work and comprehensive exams, candidates enroll in EDU 705H, Dissertation Seminar. Here they begin to analyze the scholarship surrounding their topic. They create an extensive annotated bibliography and craft reviews of the seminal works. They will also begin to consider various methodologies and philosophies to studying history. By the end of this course, candidates will have developed solid foundation for their historiography, Chapter 2 of their proposal.

Next, in 707, candidates continue to consider various methodologies and philosophies to studying history. Candidates will complete the historiography for their study and will also assess primary sources and determine accessibility, quantity and viability of the sources to design a noteworthy study. By the end of the class, candidates will have a working draft of a proposal for their study.

The candidate's dissertation committee reads and approves the candidate's completed dissertation proposal. The proposal is then submitted to a School of Education-approved editor to ensure writing is clear, accurate and logical. The editor will return the proposal to the candidate with suggestions for review. Following these approvals, the proposal is reviewed by the University Ph.D. Committee. This group represents faculty scholars from across the University. At any stage of the process, the proposal could be returned to the candidate with suggestions for revision.

### **Purpose and Format**

A dissertation proposal describes a plan for intense, focused research in an area of interest that will contribute to knowledge in the field. The dissertation proposal will assist the chair and members of the candidate's dissertation committee in understanding the topic to be addressed, the research the candidate plans to conduct, the study's interface with research already published on the issue, the methodology and philosophical underpinnings and how this study will enhance the existing scholarship. The proposal



displays the candidate's ability to focus on a research topic and assemble relevant materials into a consistent, logical, and well written presentation.

### ***Different Types of Education Dissertation Proposals***

An education dissertation proposal is organized differently depending on the type of study the student selects: quantitative (using statistics to interpret data); qualitative (interpreting data from case studies, interviews, surveys, etc.); mixed methods (a combination of quantitative and qualitative research, e.g. statistical analysis and surveys, interviews, focus groups); and historical (placing educational theory or movements within an historical context). The following represents typical organizing principles for each dissertation type.

#### *Proposal for Quantitative Dissertations*

- Chapter I
  - Introduction/Statement of problem
  - Rationale for the study
  - Significance of the study
  - Introduction of research questions study will explore
  
- Chapter II: Review of Literature
  - Concise introduction (one or two paragraphs at opening of literature review) that presents major themes/topics to be explored in the chapter\*
  - Relevant research organized by themes/topics that support the proposed dissertation topic
  - The proposed study's unique contribution to the topic
  - Explanation of the theoretical framework for the proposed study.
  
- Chapter III: Methodology
  - Purpose of the study (summarized briefly)
  - Research design
    - Research questions/hypotheses (where appropriate)
    - Population or sample
    - Treatment (where appropriate)
    - Instrumentation (observations and measures)
  - Data collection (detailed plan)
  - Data analysis (description of the statistical methods planned)
  - Reliability and Validity
    - Initial consideration of questions of trustworthiness of data and methods to ensure credibility.
  - Preliminary bibliography

*Proposal for Qualitative Dissertations*

- Chapter I
  - Focus question that provides boundaries for the inquiry
  - Rationale for the study
  - Significance of the study
  - Context in theory and previous literature
  - Reasons a qualitative approach seems most appropriate
  - Concepts or questions that orient the study
  
- Chapter II
  - Concise introduction (one or two paragraphs at opening of literature review) that presents major themes/topics to be explored in the chapter\*
  - Logical framework for the research that sets it within a tradition of inquiry and a context of related studies
    - Presents the underlying assumptions behind the general research questions and describes the research paradigm that undergirds the study
    - Demonstrates that the researcher is knowledgeable about related research and the intellectual traditions that surround and support the study
    - Shows that the researcher has identified some gaps in previous research and that the proposed study will fill a demonstrated need
  - Explanation of the theoretical framework for the proposed study.
  
- Chapter III: Sample of Persons, Sites and Situations
  - Qualitative orientation (case study, ethnology, symbolic interactionism)
  - Site selection, population selection
  - The Researcher's Role
  - Pilot studies
  - Methods of data collection (describe methods and anticipated problems)
  - Instrumentation, as appropriate
  - Data analysis
  - Initial consideration of questions of trustworthiness of data (triangulation)
  - Ethical concerns
  - Preliminary References

*Proposal for Mixed-Methods Dissertations*

- Chapter I
  - Introduction of the problem
  - Rationale (including why both quantitative and qualitative methods are necessary to address research questions)
  - Significance of the study
  - Introduction of research questions the study will explore

- Chapter II: Preliminary literature review
  - Concise introduction (one or two paragraphs at opening of literature review) of major themes/topics to be explored in the chapter\*
  - Organization of relevant research into a set of ideas that support the proposed dissertation topic
  - The proposed study's unique contribution to the topic
  - Explanation of the theoretical framework for the proposed study
  
- Chapter III: Methodology
  - Purpose of the study (summarized briefly)
  - Research questions
    - Overarching research question: the central question to be addressed through a mixed-methods design
    - Sub-question(s) for each method
  - Research design
    - State quantitative design planned and the qualitative orientation and why mixed method is necessary to answer the research question(s)
  - Data collection (detailed plan)
    - Quantitative: methods to be utilized to collect data from participants
    - Qualitative: procedures for interview/focus group data collection.
  - Data analysis
    - Quantitative: description of statistical methods planned
    - Qualitative: complete description of methods used to analyze narrative and/or data.
  - Reliability and Validity
    - Initial consideration of questions of trustworthiness of data and methods to ensure credibility.
  - Ethical concerns

*Proposal for Historical Dissertations*

- Chapter I
  - General introduction of topic
  - Significance
  - Concepts that orient the study – what kinds of questions/issues will the study address
  - Thesis statement

This section should be one fluid discussion, not separated by subheadings. The candidate, through careful articulation, should communicate to the reader the necessity of the study being proposed.

- Chapter II: Historiography
  - Scholarship that has focused on the major themes of study
  - Analyses of resource changes over time

- Demonstration that the researcher is knowledgeable about related research and the intellectual traditions of this topic
  - Identification of the gaps in the scholarship and ways the proposed study will contribute to the scholarship
- Chapter III: Methodology

#### Choice 1

- Narrative History
  - Tells one fluid story of the topic
  - Assess primary sources and uses secondary sources to place in a context and draw new conclusions about the topic
- Assessment of Primary Sources
  - Communicate to the reader the availability and extent of primary sources
  - Provide a sense of the breadth and depth of the sources
  - Discuss how these sources will allow for an augmentation of the scholarship

#### Choice 2

- Theoretical Framework
  - Identifies one theory to implement to assess primary sources and draw conclusions.
- Assessment of Primary Sources
  - Communicate to the reader the availability and extent of primary sources
  - Provide a sense of the breadth and depth of the sources
  - Discuss how these sources will allow for an augmentation of the scholarship

## Style

Generally, quantitative, qualitative, and mixed methods dissertation proposals follow the style manual of the American Psychological Association, APA, for formatting, citations, and references. Candidates who began their dissertations with the 6<sup>th</sup> edition, may continue with that format. Candidates entering the program in or after fall, 2020, will follow the 7<sup>th</sup> edition of APA.

American Psychological Association. *Publication Manual of the American Psychological Association*. 6<sup>th</sup> ed. Washington, D.C.: American Psychological Association, Eleventh printing, 2018.

Historical and philosophical dissertations use the most recent version of the Chicago style manual for citations and references. The format is given in the following reference:

University of Chicago Editorial Staff. *The Chicago Manual of Style*. 17<sup>th</sup> ed. Chicago, IL: University of Chicago Press, 2017.

## *Proposal Approval Process*

### **Submission of the Dissertation Proposal to the Writing Editor**

Candidates work with their chair and readers to submit the dissertation proposal to the University Ph.D. Committee in accordance with the Committee's published timeline, and to the NDMU the IRB (if needed). The student may also be required to submit for approval from an external research approval entity, such as a school system research office. The candidate maintains on-going regular contact with the advisor and readers throughout the process of completing and submitting the proposal.

When the candidate's committee (chair and readers) agree that the proposal is ready to be submitted to the School of Education writing editor, the following should occur:

The candidate:

- collects signatures from committee members on the Committee Proposal Approval Form for submission to the writing editor (See Appendix B, Form 2)
- delivers a copy of the proposal to the chair with the following
  - signed copies of the Committee Proposal Approval Form (Form 2)
  - a check made out to Notre Dame of Maryland University to cover editorial costs (check with your dissertation advisor for the current fee.)
  - a copy of the Writing Editor Form (See Appendix B, Form 3) with the top portion completed.

The chair of the dissertation committee (advisor) gives to the University Ph.D.

Committee designee:

- the dissertation proposal with Committee Form 2
- the check made out to Notre Dame of Maryland University
- the Writing Editor Form 3

The candidate's materials are then forwarded to the writing editor. Once the writing editor has completed the editing process, the candidate meets with the chair of the committee and reviews comments/editorial revisions. The chair then communicates with the candidate about changes that need to be made.

### **Submission of the Proposal to the University Ph.D. Committee**

The candidate:

- meets with advisor to discuss comments made by the writing editor.
- makes changes recommended by the writing editor. Advisor confirms that changes have been made accordingly.
- obtains approval to send the proposal to the University Ph.D. Committee (Appendix B, Form 4)
- delivers electronic copy of the revised proposal to the committee chair with paper copies, if requested.

After reviewing the proposal, the University Ph.D. Committee may return the proposal to the candidate's chair for the candidate to make revisions. If this is the case, the candidate should make sure changes are clearly distinguishable on the revised document that will be reviewed again by the Ph.D. Committee. Highlighting, italicizing, or shading the revisions is required.

After revisions are made, the chair of the dissertation committee resubmits to the University Ph.D. Committee designee for Ph.D. Committee review.

#### **Meetings of the University Ph.D. Committee**

The University Ph.D. Committee meets monthly from August through May to review proposals. One copy of the approved proposal is kept on file in the School of Education. Following approval by the University Ph.D. Committee, the candidate submits an application, if required, to NDMU's IRB Committee. Information about IRB meeting schedule can be found at: <https://www.ndm.edu/academic-affairs/research-development/institutional-review-board>

## **PART 3: DISSERTATION DEVELOPMENT STAGE**

### *Qualities of a Successful Dissertation*

The culminating requirement for the Ph.D. degree is the preparation of a work of original scholarship. A doctoral dissertation contributes to the advancement of knowledge in a scholarly or professional field, demonstrates a candidate's competence in his or her specialty, and shows an ability to organize and write a document of scholarly quality.

Scholarly quality is evidenced by strong writing skills. A dissertation is a major study that exhibits unity, coherence, and emphasis. Unity is achieved by establishing a clear sense of direction, minimizing repetition, building a lucid and well substantiated argument, and bringing ideas to a sound conclusion. Effective use of sentence structure can emphasize important facts, ideas, and subordinate supporting material.

The instructions given in this Handbook pertain to all aspects of the preparation of dissertations presented in partial fulfillment of the requirements for the Ph.D. in Instructional Leadership for Changing Populations and the Ph.D. in Higher Education Leadership for Changing Populations at Notre Dame of Maryland University. This Handbook is not meant to replace the American Psychological Association or Chicago format manuals. Use the manuals as a guide for all format issues unless notified.

### *Building on the Proposal*

## Quantitative and Mixed Methods

A successful proposal includes three chapters: Introduction, Review of Literature/Historiography, and Methodology. Candidates expand on this foundation to complete the study proposed in Chapters 1-3. Additionally, dissertators work iteratively to revise chapters 1, 2 and 3, especially if the research method changed between the proposal and the actual execution of the research. Chapter 4, analysis of the results, and Chapter 5, reflection on the study's outcomes and future related research opportunities, complete the dissertation.

Based on the research questions and design presented in the proposal, the candidate begins collecting data to test the proposed hypothesis. Depending on the topic and type of dissertation, candidates will access data through a variety of sources, including but not limited to, public K-12 school databases, federally funded longitudinal studies, and survey, focus group data, primary documents, archives and collections, and interviews. Candidates will be guided in their choices by the dissertation committee chair and the instructors in methodology and statistics courses.

*During the dissertation writing process, it is critical that candidates stay in touch with the dissertation chair. Chair and candidate should set up a regular meeting schedule (face to face or virtual) as part of the timeline submitted to the Dean at the formation of the committee. Periodic meetings with the full committee should also be scheduled. During this time, candidates are enrolled in EDU 801 for at least three semesters or through completion of the dissertation. This one-credit course is required to keep the candidates matriculated during the dissertation writing process. No formal class meetings are held outside of the candidate's meetings with the dissertation chair and committee.*

### *Components of Chapters 4 and 5 (Quantitative and Mixed Methods)*

#### Chapter 4: Research Findings

- Introduction
- Findings (organized by Research Questions or Hypotheses)
- Conclusion

#### Chapter 5: Conclusions, Discussion, and Suggestions for Future Research

- Introduction
- Summary of Findings
- Conclusions (organized by Research Questions or Hypotheses)
- Discussion
- Suggestions for Future Research
- Conclusion

Source: <http://wex.antioch.edu/2016/04/12/the-dissertation-chapter-breakdown/>

## Historical/Philosophical Dissertations

In historical/philosophical dissertations, chapter topics are based on the dissertation's organizational structure (themes, chronological development, important historical

contributors). The candidate's advisor will make recommendations relevant to chapter development.

Upon completion of the dissertation, the process follows the same format as that of the proposal writing. The candidate's committee must first approve the dissertation; this is followed by submission to an editor from a selection approved by the University (See Appendix C) Once the editor's work is completed, the dissertation is reviewed by the University Ph.D. Committee, and may be returned for suggested revisions.

After approval of the dissertation, the Ph.D. Committee chair schedules a dissertation defense, in which the candidate's committee and members of the University Ph.D. Committee participate in the candidate's presentation on the dissertation topic with the opportunity for questions from any member of this group. The candidate may also invite a small number of colleagues, friends, or family to view the defense.

Following the defense, the candidate completes final paperwork, including submitting the dissertation to *ProQuest*, completing the Survey of Earned Doctorates, and sending the dissertation to Alpha Graphics for binding. More details on these steps are discussed later in the Handbook (Part 4).

A successful historical proposal includes three chapters: Introduction, Historiography, and Methodology/Primary Sources. As candidates begin to craft their study, they will discuss with the chair the following:

- The nature of the primary sources and how they will shape the outline of the study
- An outline of chapters 3-5
- The nature of chapter 2

Candidates usually begin with examining primary resource for chapters 3-5.

Typically the study will follow a chronological framework. There are cases where the study might be topical. The candidate and chair will discuss the best format for the topic. Students will begin research into the primary sources and craft chapter 3. In crafting the draft, students will examine the primary sources and consider the historical context and begin to draw conclusions about the topic. It is the job of the candidate to communicate these conclusions to the reader. Once a draft is ready, it is sent to the chair of the committee for review. Every draft that is sent to the chair and/or committee should be edited carefully by the candidate. The chair will review the draft and send back with comments. This process will continue until the chair determines that the chapter is ready to be shared with the dissertation committee. Once the review process is complete with the dissertation committee, the chair will indicate to the candidate to proceed to the next chapter. Chapters should not exceed more than 60-70 pages. Drafts longer than this page limit will be returned without comments to the candidate. Candidates should not proceed to next chapters until there is approval from the committee.

Once chapters 3-5 are complete, candidates will be asked to review/revise Chapter 2 (completed in EDU 695). At this point, candidates will then begin work on Chapter 1 and the conclusion of the dissertation.



*During the dissertation writing process, it is critical that candidates stay in touch with the dissertation chair.* Chair and candidate should set up a regular meeting schedule (face to face or virtual) as part of the timeline submitted to the Dean at the formation of the committee. Periodic meetings with the full committee should also be scheduled. During this time, candidates are enrolled in EDU 801 for at least three semesters or through completion of the dissertation. This one-credit course is required to keep the candidates matriculated during the dissertation writing process. No formal class meetings are held outside of the candidate's meetings with the dissertation chair and committee.

Upon completion of the dissertation, the process follows the same format as that of the proposal writing. The candidate's committee must first approve the dissertation; this is followed by submission to an editor from a selection approved by the University (See Appendix C) Once the editor's work is completed, the dissertation is reviewed by the University Ph.D. Committee, and may be returned for suggested revisions.

After approval of the dissertation, the Ph.D. Committee chair schedules a dissertation defense, in which the candidate's committee and members of the University Ph.D. Committee participate in the candidate's presentation on the dissertation topic with the opportunity for questions from any member of this group. The candidate may also invite a small number of colleagues, friends, or family to view the defense.

Following the defense, the candidate completes final paperwork, including submitting the dissertation to *ProQuest*, completing the Survey of Earned Doctorates, and sending the dissertation to Alpha Graphics for binding. More details on these steps are discussed later in the Handbook (Part 4).

## ***Dissertation Format***

### **Dissertation Format for Opening Pages**

The first pages of the completed dissertation follow very specific guidelines. The order of the formal elements and the appropriate numbering are listed below.

- Approval page (**must be first, required, non-numbered**, but counted)
- Copyright page (**required**, non-numbered, but counted)
- Title Page (**required, non-numbered**, but counted)
- Abstract (**required, non-numbered, follows Title page**, but counted)
- Dedication (if present, lower-case Roman number, e.g., p. v)
- Acknowledgements (if present, lower-case Roman number)
- Table of Contents (**required, lower-case Roman number**)
- List of Tables (if present, lower-case Roman)
- List of Figures (if present, lower-case Roman)
- List of Abbreviations (if present, lower-case Roman)
- Body of Text (**required, start at Arabic numeral 1**)
- References (**required, Arabic**)

- Appendices (if any, Arabic)
- Index (if any, Arabic)

A brief description of the requirements and format for the approval page, copyright statement, title page, abstract and table of contents follows.

### **Approval Page**

A sample of this page is presented in APPENDIX D. Signed copies of the Approval Page are included in the bound copies of the dissertation (sent to Alpha Graphics who provide the bound books). One bound copy is required for the School of Education library. Students may order other copies if they so wish.

### **Copyright Page**

Copyright for your dissertation is acquired once you have defended and uploaded your dissertation to ProQuest. Copyright notice is flush left in the lower third on the copyright page. This page is placed immediately following the approval page and is not numbered. See APPENDIX F for a sample.

### **Title Page**

The forms for the title pages of the Ph.D. dissertations at the Notre Dame of Maryland University can be found in APPENDIX D for quantitative, qualitative, and mixed-methods dissertations. For historical dissertations, see APPENDIX G for title page format. The candidate gives his or her full legal name as recorded on the records of the registrar at the University.

### **Abstract**

Abstracts for doctoral dissertations must not exceed 350 words (2450 characters). If the abstract is longer, it will be cut arbitrarily at the word limit, and so published in *Dissertation Abstracts International / Digital Dissertations*.

The dissertation abstract includes:

- A concise statement of the main point of the dissertation, including the problem or other background
- A shortened review of the methodology including the key findings of the research
- The major conclusions of the study

### **Dedication**

A page of dedication is not required but may be included.

### **Acknowledgments**

A page of acknowledgments is not required but offers an opportunity for the candidate to express thanks to persons who have been supportive along the way.

## **Table of Contents**

The table of contents lists the chapter titles and every subheading, each stated in exactly the words which appear in the body of the document. It is double spaced except when a heading is too long to be typed on one line, then it is single spaced. Subordinate headings are given graduated indentions. The number of the pages on which the titles and headings appear are given in a column at the right. (MS Word may be used to format the Table of Contents.)

## **Tables and List of Figures**

Follow APA format for qualitative or quantitative dissertations.

## **Formatting Overview**

The following represents general information about formatting. However, this Handbook should not be used as a replacement for a published and approved manual. Check carefully as styles differ between APA and Chicago format.

### **Elements within the text: Citations**

Reference citations lead the reader to the sources of scholarly material mentioned or quoted in a document so that the reader can verify the author's statement or learn more about the topic. The only useful reference is an absolutely correct one. For this reason, it is important to double check the citation with the original source and with the bibliographical listing to ensure that it is accurate in every detail.

In a meta-analysis, the researcher reviews previously published studies on a topic, then analyzes the various results to find general trends across the studies. See APA manual for citation format.

Use the APA or Chicago for the appropriate manner of citing references both in the text and in the reference list at the end of the dissertation.

### **Elements within the text: Quotations**

Quotations, like references, must be absolutely accurate and must reproduce the exact words, spelling, and punctuation of the original even if they are faulty. A short quotation of fewer than four typewritten lines is incorporated in the text and set off by quotation marks. Longer quotations are typed with single spacing. Format for incorporating and citing longer quotations varies according to the style required for the dissertation: APA or Chicago. Check manuals carefully for correct formatting.

In standard American practice the rules for placing punctuation marks are the following: a comma or period precedes the closing quotation mark; a colon or semicolon always

follows the quotation mark; a question mark follows the quotation mark unless the question is itself part of the material quoted.

### **Elements within the text: Permission to quote copyright material**

Depositing a dissertation in a library and sending it to *ProQuest/UMI* is legally equivalent to publication. If there is a quotation at length from a copyrighted work, written permission from the owner of the copyright is required. See APA Manual or Chicago for additional information.

### **Elements within the text: Tables, figures, charts, illustrations and photographs**

Follow the recommendations given in the APA Manual under “Displaying Results”; in Chicago manual, this can be found under “Presenting Evidence in Tables and Figures.”

### **References**

All references cited must be repeated in the references list which follows the last chapter and precedes the appendices. Follow the APA Manual or Chicago for the style of references.

### **Appendices**

Not every dissertation requires appendices, but they often provide an appropriate means for making various auxiliary materials available. Follow the APA Manual or Chicago for preparing appendices.

The pages of the appendices are numbered as a consecutive part of the pagination of the dissertation as a whole. The letter designation of each appendix, full title and page number appear in the table of contents.

### **Formatting the Manuscript**

The candidate is responsible for the correct presentation of content, for editing, and for the correct form of references, tables, and charts.

### **Style**

Generally, quantitative and qualitative dissertation proposals follow the style manual of the American Psychological Association, APA, for formatting, citations, and references. The 7<sup>th</sup> edition of the APA Manual is:

*Publication Manual of the American Psychological Association*. 7<sup>th</sup> ed.  
Washington, D.C.: American Psychological Association, 2020.

Historical dissertations use the Chicago style for citations and references. The format is given in the following reference:

*The Chicago Manual of Style. 17th ed.* University of Chicago Press.  
Editorial Staff. Chicago, University of Chicago Press, 2017.

Although APA or Chicago style are the overarching style guides, there are a few exceptions to these rules for dissertations prepared for Notre Dame of Maryland University. One reason for the divergences from APA or Chicago style is that dissertations represent final, finished documents, rather than manuscripts that are being submitted to journals for publication.

Notre Dame of Maryland University's specific exceptions to APA or Chicago style are the following:

- Running heads are **not** used in Notre Dame of Maryland University dissertations.
- Each chapter begins on a new page. The first page of each chapter begins 2-inches from the top.
- All margins in the final copy of the dissertation must be 1-inch from the top, bottom and right hand side and 1.5 inches on the left side to allow for binding.
- The term "this researcher" is preferred rather than first person pronoun "I."

### **Process and Timeline for Submitting Dissertations**

Once the candidate's committee (advisor and two readers) agree that the dissertation is ready to be submitted to the School of Education editor:

#### *The candidate*

- collects signatures from dissertation committee members on the Committee Approval Form for submission to the writing editor. (See APPENDIX F, Form 1)
- communicates with the dissertation chair for information on contacting the School of Education editor. (Ph.D. advisor has contact information for the School of Education editors.)
- arranges with one of the School of Education's approved editors to edit her/his dissertation. The candidate is responsible for the cost of the editor.
- meets with the dissertation chair to discuss recommendations made by the editor, if necessary.
- makes changes recommended by the editor, and the advisor confirms that all changes have been made before distribution of document.
- submits to the editor a copy of the form to be signed once the editor has completed editing the dissertation. (See APPENDIX F, Form 2).

### **Submission of the Dissertation to the University Ph.D. Committee**

#### *The candidate*

- submits final copy of dissertation to his/her committee (chair and reader). The candidate's committee agrees that the dissertation is ready to be submitted to the editor. (See APPENDIX F, Form 1)
- submits a copy (including preliminary pages and following the NDMU Handbook and APA or Chicago Style guidelines) to editor. The candidate's chair has contact information for a list of approved editors. The candidate is responsible for the costs of the editor.
- makes changes recommended by the editor (advisor confirms that changes have been made before copies are made).
- obtains signature of the editor. (See APPENDIX F, Form 2)
- gives revised, edited copy of dissertation to candidate's committee and obtains their approval to submit dissertation to the University Ph.D. Committee. (See APPENDIX F, Form 3)
- sends an electronic copy and any requested paper copies of the edited dissertation to the chair.
- submits Forms 1, 2 and 3 to the chair.

*The chair of the committee*

- confirms that all changes suggested by readers and editor have been made.
- delivers Form 2 signed by the editor, Form 3 signed by the candidate's committee, and an electronic copy of edited dissertation with any requested paper copies to the University Ph.D. Committee designee.

Copies are then forwarded to the University Ph.D. committee for review.

### **Deadlines for University Ph.D. Committee**

At the beginning of each academic year, the Ph.D. Committee establishes a calendar for monthly meetings. Dates are then identified for submission of proposals or dissertations. For proposals, *three weeks* before the Ph.D. meeting is required; for dissertations, the submission deadline is *four weeks* ahead.

The University Ph.D. Committee reads the final dissertation and either approves or requests revisions. If the Ph.D. Committee agrees that the dissertation is ready for a defense, a date is set. The candidate's chair communicates information to the candidate and invites the readers to the defense.

Candidates who successfully defend dissertations by December are eligible for December graduate notation. All other completers are considered May graduates. There is only one formal commencement ceremony at the end of the spring semester. All Ph.D. graduates are encouraged to participate. Participants must purchase and wear appropriate regalia and will be hooded on stage during the ceremony.

## *Dissertation Defense*

### **Scheduling**

The chair of the University Ph.D. Committee schedules a date for the final presentation and defense.

### **Before the Defense: Approval Page**

Prior to the final defense, the candidate prepares the approval page that will be sent to Alpha Graphics (see Appendix C) and submits a copy to the School of Education administrator. The School of Education administrator will duplicate copies of the approval page and emboss the University seal on the same paper used for the final bound copies of the dissertation. When the candidate passes the defense, the members of the committee sign the copies of the approval page. These signed and sealed copies are returned to the candidate to be included in the bound copies of the dissertation.

### **Format**

The chair notifies the candidate's committee of the defense date, and the candidate's entire committee is invited to attend the defense. The candidate works with the chair to prepare a 30-minute presentation, 20 minutes for the presentation and 10 minutes for questions and answers. The defense audience includes members of the candidate's dissertation committee and the University Ph.D. Committee. The candidate may also invite a small group of family, friends, and/or colleagues to attend. School of Education faculty are also invited. The candidate responds to questions about the purpose, methods of research, key findings, and the significance of the dissertation study.

Following this session, the dissertation committee and the University Ph.D. Committee decide to approve the dissertation or to recommend changes.

## **PART 4: TASKS TO COMPLETE AFTER A SUCCESSFUL DEFENSE**

### *Following a successful defense, candidates:*

- complete the Survey of Earned Doctorates for National Opinion Research Center.
- submit a pdf file to ProQuest for copyrighting, publishing, archiving and disseminating graduate research. Student and University receive confirmation that materials have been received, approved and deposited with the UMI dissertation publishing. This is also when candidates receive copyright information.
- submit pdf and Word files to Alpha Graphics for copying and binding.
- submit a flash drive with a pdf file of the dissertation and permission to digitize to the Ph.D. advisor for delivery to Loyola-Notre Dame Library.
- submit a bound copy of the dissertation to be housed in the SOE library.

### **Survey of Earned Doctorates (SED)**

This survey gathers data from all research doctorate graduates each year on their educational history, sources of support, and postgraduate plans. The profiles of doctorate recipients that emerge from these data serve policy makers at the federal, state, local and university levels. The information provided remains confidential and data are reported only in aggregate form or in a manner that does not identify information about any individual.

To register, go to <https://sed-ncses.org>. The website gives access to the Academic year's survey and gives you a PIN/Password for the survey. Select Notre Dame of Maryland University from the list of schools. The school is Graduate School. Use NDMU's date for graduation to respond to the question about expected graduation date. SED will email notification that the survey has been completed to the student and NDMU. If you experience difficulties with the survey, email [sed@rti.org](mailto:sed@rti.org) or call 877-256-8167.

### **Submitting Dissertations to ProQuest and Obtaining Copyright**

A special Approval Form with typed (not signed) names of the Dissertation Committee, is required by ProQuest. See Appendix D for the correct format.

It is important to follow the requirements for format and appearance of the dissertation because 1) the dissertation must be in the correct format before a candidate can be cleared to graduate and 2) it will be submitted and published electronically by *ProQuest Learning Services International* and become permanently housed in University Microfilm International (UMI's) *Digital Dissertations*.

### **Directions**

- Connect to ProQuest ETD Administration (<http://www.etsadmin.com/>)



- Select – students – “Submit my Dissertation”
- Select country -- USA and institution -- Notre Dame of Maryland University
- Create an account. The candidate is asked for his/her email and name and to create a username and password for the account at *ProQuest*. This information will allow a candidate to access her or his dissertation, if the candidate stops in the middle of the process. Once the candidate signs up for an account, he/she receives an automatic **email confirming the account**. In some cases, this email may be blocked and sent to spam. The email should come relatively quickly.

On the blue ribbon across the top of the ProQuest ETD Administration page there are a number of sections. One, **Support & Training**, gives email or phone contacts if the candidate needs assistance with ProQuest. The School of Education strongly encourages making dissertations available to scholars as full text (Open Access publishing option). Dissertations must be submitted as pdf files.

Services offered by *ProQuest* include applying for copyright and ordering hard copies of the dissertation. Candidates request that *ProQuest* apply for copyright. There is a fee for this service. **Candidates do not order hard copies from *ProQuest*. See information for bound books through Alpha Graphics below.**

Once the submission and order processes are complete, the candidates are asked to pay using a credit card. Candidates receive an email letting them know when these transactions are completed.

Once submitted, the ProQuest submission is sent to the School of Education administrator for approval. Candidates will receive an email letting them know whether their dissertation is accepted or if changes are needed. If revisions are requested, candidates make the changes and upload the document to ProQuest again. The administrator will review again and send word to the candidate of approval.

### **Sending PDF to Alpha Graphics for Bound Book**

Final, completed, approved copies of the dissertation are sent to Alpha Graphics for copying, and binding.

#### Procedures

- Email a pdf and Word version of the final dissertation to Alpha Graphics ([production@alphagrap.com](mailto:production@alphagrap.com)). In the email include all contact information (phone number, cell, email, address) and let them know if the document is APA or Chicago style. All materials given to Alpha Graphics should be complete and correctly formatted according to NDMU guidelines.
- Send copies of **signed approval pages (Cover pages that were signed by the committee at defense)** to Alpha Graphics for inclusion in the bound copies the candidate intends to order. **One bound copy is required for the School of Education library; the candidate can order additional copies as desired.**  
**Alpha Graphics address: 1750 Union Ave Baltimore, MD 21211**

- Alpha Graphics will deliver copies of the printed dissertation to the binder (Long's-Roullet). The binder will use the contact information the candidate provided Alpha Graphics to contact him/her for services related to binding and shipping of the final bound copies.

### **Submitting PDF File and Permission to Digitalize for Loyola-Notre Dame Library**

Candidates will receive a **Permission to Digitize** form the Ph.D. administrator in the School of Education. Each candidate submits a flash drive with a pdf file of the dissertation along with the signed Permission to Digitalize form. The digital file becomes part of the Loyola-Notre Dame Library collection.

**APPENDIX A**

***Dissertation Proposal Title Page***

DISSERTATION PROPOSAL

The Nontraditional Adult Learner: An Analysis of  
Enrollment, Persistence, and Degree Attainment

Submitted by:

Jeanette M. Quinn

School of Education

In partial fulfillment of the requirements  
for the Degree of Doctor of Philosophy in  
Instructional Leadership for Changing Populations

Notre Dame of Maryland University

Baltimore, Maryland

Fall 2016

## **APPENDIX B**

### ***Forms for Proposal Approval***

Form 1: Approval of chair and readers

Form 2: Committee approval to send proposal to writing editor

Form 3: Writing editor edited proposal and returned it to committee chair

Form 4: Committee approval to send proposal to the University Ph.D. Committee

***Approval of Chair and Readers:***  
***(Form 1)***

Candidate \_\_\_\_\_

Please provide name, title, and NDMU affiliation of proposed Chair:

\_\_\_\_\_

\_\_\_\_\_

Please provide name, title and affiliation of proposed Readers

Reader 1 \_\_\_\_\_

Reader 2 \_\_\_\_\_

Attach copies of c.v. for Chair and Readers

\_\_\_ Approved                      \_\_\_ Denied                      \_\_\_ Requires Changes

Required Changes \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature (*Chair of the University Ph.D. Committee*) \_\_\_\_\_

Date \_\_\_\_\_

***Committee Approval Form:***  
***Proposal Submission to Writing Editor (Form 2)***

Candidate \_\_\_\_\_

Proposal Title

\_\_\_\_\_  
\_\_\_\_\_

We have read the proposal and agree that it is ready to be submitted to the School of Education writing editor:

Signatures of members of the dissertation committee:

Chair \_\_\_\_\_

Reader \_\_\_\_\_

Reader \_\_\_\_\_

Date \_\_\_\_\_

*Candidate completes the top of this form, collects signatures from committee members and delivers this form to her/his committee chair with a copy of the proposal.*

***Writing Editor Form (Form 3)***

Candidate

---

Proposal Title

---

---

I have edited the attached proposal and discussed the needed changes with the chair of the committee:

Writing editor signature

---

Date: \_\_\_\_\_

Candidate completes the first lines of this form and delivers it to the chair along with the proposal and Form 1

Writing editor returns this signed form to the chair when they meet.

Chair maintains a copy of this form along with the revised proposal.

***Committee Approval Form: Proposal Submission to University Ph.D.  
Committee***

***(Form 4)***

DISSERTATION PROPOSAL APPROVAL

Jeanette M. Quinn's "The Nontraditional Adult Learner: An Analysis of Enrollment, Persistence, and Degree Attainment," a proposal submitted in partial fulfillment of the requirements for the Degree of Doctor of Philosophy in Instructional Leadership for Changing Populations at Notre Dame of Maryland University, has been approved by all committee members, verified in signatures below.

**(SIGNATURES)**

Dissertation Committee:

Chair: \_\_\_\_\_

Reader: \_\_\_\_\_

Reader: \_\_\_\_\_

*Candidate obtains signatures of committee members and gives the completed form to her/his chair along with the six copies of the proposal.*



**APPENDIX C*****Dissertation Approval Form for Alpha Graphics*****DISSERTATION APPROVAL**

Jeanette M. Quinn's "The Nontraditional Adult Learner: An Analysis of Enrollment, Persistence, and Degree Attainment," a dissertation submitted in partial fulfillment of the requirements for the Degree of Doctor of Philosophy in Educational Leadership for Changing Populations at Notre Dame of Maryland University, has been approved by all committee members, verified in signatures below.

**(SIGNATURES)**

Dissertation Committee:

Chair: \_\_\_\_\_

Reader: \_\_\_\_\_

Reader: \_\_\_\_\_

**APPENDIX D*****Dissertation Title Page***

## DISSERTATION

The Nontraditional Adult Learner: An Analysis of  
Enrollment, Persistence, and Degree Attainment

Submitted by:

Jeanette M. Quinn

School of Education

In partial fulfillment of the requirements  
for the Degree of Doctor of Philosophy in  
Instructional Leadership for Changing Populations

Notre Dame of Maryland University

Baltimore, Maryland

Fall 2016

Dissertation Committee:

Chair: Dr. Kathryn Doherty

Reader: Dr. Mark J. Fenster

Reader: Dr. Patricia M. Dwyer

**APPENDIX E*****Sample Copyright Page***

Copyright © full legal name 2012  
All Rights Reserved

**APPENDIX F*****Dissertation Committee Approval for Editor (Form 1)***

Candidate \_\_\_\_\_

Dissertation Title  
\_\_\_\_\_  
\_\_\_\_\_

We have read the dissertation and agree that it is ready to be submitted to the editor:

Signatures of members of the dissertation committee:

Chair \_\_\_\_\_

Reader \_\_\_\_\_

Reader \_\_\_\_\_

Date \_\_\_\_\_

*Candidate delivers this form to her/his committee chair with a copy of the dissertation.**Chair maintains a copy of this form.*

***Dissertation Editor Form (Form 2)***

Candidate \_\_\_\_\_

Dissertation Title

\_\_\_\_\_  
\_\_\_\_\_

I have edited the attached dissertation and recommended the following changes:

Editor check one: \_\_\_\_\_ See candidate's paper.  
\_\_\_\_\_ See above, other side and/or additional sheets, as necessary.

Editor's signature \_\_\_\_\_

Date: \_\_\_\_\_

Candidate completes the first lines of this form and delivers it to the School of Education editor.

Editor signs this form and returns it to the student.

Candidate gives this signed form along with five copies of the dissertation to the chair of her/his dissertation committee.

The chair delivers this form and the copies of the dissertation to the University Ph.D. Committee designee.

***Committee Approval Form: Submission of Dissertation to  
University Ph.D. Committee (Form 3)***

Candidate

\_\_\_\_\_

Dissertation Title

\_\_\_\_\_

\_\_\_\_\_

We have read the dissertation and agree that it is ready to be submitted to the University Ph.D. Committee:

Signatures of members of the committee:

Chair \_\_\_\_\_

Reader \_\_\_\_\_

Reader \_\_\_\_\_

Date \_\_\_\_\_

*Candidate obtains signatures of committee members and gives the completed form to her/his chair.*

*Chair delivers Form 3 along with Form 2 and the dissertation to the Chair of the Ph.D. Committee.*

***Request to Schedule Defense***  
***University Ph.D. Committee (Form 4)***

Candidate

---

Dissertation Title

---

---

Anticipated Attendees (*please list*)

---

---

---

---

---

---

Scheduled date for defense \_\_\_\_\_

Signature (*Chair of the Ph.D. Committee*) \_\_\_\_\_

## APPENDIX G

### *Title Page for Historical/Philosophical Dissertations*

Notre Dame of Maryland University

**“Diplomacy, American Style:”  
Discrimination Against Non-White Diplomats During the  
1950s and 1960s and the Effects on the Cold War**

A Dissertation Submitted to the University Ph.D. Committee  
in Candidacy for the Degree of Doctor of Philosophy  
in the School of Education

In partial fulfillment of the requirement  
For the Degree of Doctor of Philosophy in  
Instructional Leadership for Changing Populations  
Notre Dame of Maryland University

By  
**Jennifer Erdman**

Baltimore, Maryland  
June 2019