Ph.D. DISSERTATION MANUAL

CURRY SCHOOL OF EDUCATION AND HUMAN DEVELOPMENT
UNIVERSITY OF VIRGINIA

APPROVED 3/22/2019

Table of Contents

Preface iii

Part I: Procedures 1
- Important Deadlines 1
- Schedule of Dissertation Tasks and Accomplishments 1
- Dissertation Committee 3
- Types of Dissertations 4
- Dissertation Content 5
- Distributing Documents to Committee Members 7
- Dissertation Proposal Defense 8
- Institutional Review Board Approval 11
- Data Collection and Analysis 12
- Dissertation Defense 12
- Post-Dissertation Defense Checklist 15
- Authorship Guidelines for Publishing Dissertation Research 16
- Copyright Issues and Publishing Dissertation Research 16
- Document Archiving with LIBRA 17
- Exceptions to Dissertation Guidelines and Regulations 18

Part II: Assessment of Proposal and Dissertation Quality 19

PART III: Frequently Asked Questions 26
- 1. When should I start thinking about my dissertation? 26
- 2. What should I do to prepare for my dissertation? 26
- 3. Who should be my dissertation chair? 26
- 4. How can I find good examples to follow for my proposal and dissertation? 27
- 5. What is expected of me before, during, and after data collection? 27
- 6. What if I must modify my research? 27
- 7. What are my responsibilities in writing the dissertation? 27
- 8. What should my dissertation chair and committee do as I write my dissertation? 28
- 9. What should I expect of my dissertation chair and committee? 28
- 10. What should my dissertation chair and committee expect of me? 28
- 11. When may I participate in hooding and diploma ceremonies? 28

Part IV: Guidelines for Manuscript Preparation 30
- Writing Style 30
- Reference Style 31
- Additional Resources 31
- Formatting 31
- Pagination 32
- Footnotes/Endnotes 32
- References 32
- Dissertation Pages – Order and Numbering Sequence 32

Preface

These guidelines are intended to provide both Ph.D. students and faculty members at the Curry School of Education and Human Development a description of procedures and expectations that will make the Ph.D. dissertation process more transparent, predictable, and successful. Departments or programs in the Curry School may have additional requirements. However, those requirements are required to be as or more demanding than the ones set forth in this document. Nothing in these guidelines is intended to conflict with statements in the *University Record.*

Part I: Procedures

Important Deadlines

Ph.D. students must meet strict deadlines in order to graduate at a specific time of year. These deadlines concern the date of announcing a dissertation defense, the date of a successful dissertation defense, and the date when the final manuscript must be uploaded to LIBRA, the University of Virginia (UVA) open-access repository.

For **spring graduation** the defense must be successfully completed by **April 1st**. Students must submit the title and signature pages to the Curry Office of Admissions and Student Affairs by **April 28** and submit the final document to LIBRA by **May 1st**.

For **summer graduation** the defense must be successfully completed by **July 1st**. Students must submit the title and signature pages to the Curry Office of Admissions and Student Affairs by **July 29th** and submit the final document to LIBRA by **August 1st**.

For **fall graduation** the defense must be successfully completed by **November 15th**. Students must submit the title and signature pages to the Curry Office of Admissions and Student Affairs by **December 1st** and submit the final document to LIBRA by **Dec. 3rd**.

A dissertation proposal defense must be publically announced by the Curry Office of Admissions and Student Affairs **two weeks in advance**. Likewise, a dissertation defense must be publicly announced by the Curry Office of Admissions and Student Affairs **two weeks in advance. See:** http://curry.virginia.edu/uploads/resourceLibrary/Announcement_of_Dissertation_or_Capstone_proposal_or_final_defense.pdf.

Schedule of Dissertation Tasks and Accomplishments

In most cases, the Ph.D. student's advisor will serve as dissertation chair. As soon as the student has obtained the agreement of a faculty member to be the dissertation chair (or two faculty members have agreed to be co-chairs), the student needs to agree on a tentative schedule for completing the various tasks leading to the dissertation defense. This will include anticipated dates for the following:

- submission of drafts of the proposal to the dissertation chair;
- feedback from the dissertation chair regarding the drafts;
- with the dissertation chair's consent, submission of the proposal to committee members;
- proposal defense;
- completing any needed changes;
- submitting IRB application and making changes needed for approval;
- planning and implementing data collection;

- planning and implementing data analysis;
- submission of drafts of dissertation chapters to the dissertation chair;
- feedback from the dissertation chair regarding the drafts;
- scheduling the final defense when advised to do so;
- submission of the dissertation to committee members; and
- defense of the dissertation.

Anticipated dates may need to be revised along the way. The Ph.D. student must maintain a realistic schedule that allows sufficient time for each step in the process. For instance, students need to allow time for the dissertation chair to provide feedback on drafts of the proposal, analyses for the dissertation, or various versions of the proposal and dissertation. The student will also need to allow time for committee members to read the proposal and final dissertation documents.

When developing a timeline, Ph.D. students need to recognize that many Curry faculty members are on nine-month contracts and may not be available during the summer months. The time allowed for reading and feedback on drafts submitted by the student to the chair is a matter of negotiation between them. Students and chairs should recognize that committee members need at least two weeks to read the proposal and final dissertation. Therefore, students are required to submit their proposal and dissertations at least two weeks prior to their defense date.

Sample Timeline. The following series of steps is an example of what a Ph.D. student may follow in the process of completing a dissertation.

1. Delimit area of interest.
2. Find a dissertation chair appropriate to the area of interest. In most cases, the student's advisor will serve as dissertation chair.
3. With the chair, form a dissertation committee.
4. Confer with the chair and committee to develop a proposal.
5. With the chair's consent, determine a date and time when all committee members can attend the dissertation proposal defense.
6. Submit an announcement to the Curry Office of Admissions and Student Affairs two weeks prior to the date of the proposal defense.
7. Two weeks prior to the date of the defense, distribute the dissertation proposal to the all committee members.
8. Defend the dissertation proposal.
9. After a successful defense, submit Institutional Review Board (IRB) forms for approval, as appropriate.
10. After receiving IRB approval, conduct the study by collecting and analyzing data according to the research design.
11. Work closely with the chair and relevant committee members while revising chapters 1 – 3 and writing chapters 4 and 5 (for traditional dissertations).
12. With the chair's consent, determine a date and time when all committee members can attend the dissertation defense.

13. Submit an announcement to the Curry Office of Admissions and Student Affairs two weeks prior to the date of the dissertation defense.
14. Two weeks prior to the date of the defense, distribute the dissertation to all committee members.
15. Defend the dissertation.
16. Incorporate edits pursuant to the committee's recommendations.
17. Submit title page, signature page, and other required documents to the Curry Office of Admissions and Student Affairs before the specified deadlines for doctoral dissertations.
18. Upload dissertation to LIBRA.

Dissertation Committee

The Ph.D. student and the committee chair jointly select the individuals they would like to invite to be part of the dissertation committee. Subsequently, the student invites the members to serve. At least three committee members must be Curry faculty, and one from the student's home program must serve as the chair or co-chair. At least four members of this committee must be UVA faculty members. Consistent with University's policy, eligible faculty are those who are at the assistant professor rank or higher. A fifth committee member may be added, as described below.

Committee members are described below.

1. The **dissertation chair** (or two co-chairs) is the first line of communication between the student and the other committee members. This person must be a member of the Curry faculty. Curry has an approval process for faculty to become a Ph.D. mentor. Only approved Ph.D. mentors are allowed to be dissertation chairs. Co-mentors cannot chair a dissertation alone. They must work in collaboration as a co-chair with a full Ph.D. mentor.
2. A **content expert** most likely from the home program possesses the necessary content expertise for the student's area of inquiry. Any member of the committee, including the chair, may be designated as the committee member with the relevant content expertise.
3. A **methods expert** with expertise consistent with the student's research question(s). Any member of the committee, including the chair, may be designated as the committee member with the relevant methodological expertise.
4. An **outside member** or faculty representative who must be housed outside the student's home program and preferably outside of the student's department. Any faculty member eligible to serve on dissertation committees may serve in this role. The representative's role is to provide outside insights into the student's conceptual, theoretical, methodological, and/or content area assumptions. Recently retired faculty or faculty who have recently transitioned out of Curry can serve as a fourth member within 24 months of their separation; after this time, they would default to the 5th member.
5. An optional **fifth member** may serve on the committee if it is deemed appropriate by the student and the chair. Faculty members from outside the University can

only serve as the committee's fifth member. Visiting faculty, retired faculty, and professional research staff may serve as the fifth member of the committee.

The Dissertation Committee card should be downloaded from the Curry website: https://curry.virginia.edu/uploads/resourceLibrary/phd.dissertationcommitteecard_.pdf Students should obtain signatures of all committee members and the signature of their department chairperson.

Ph.D. students are responsible for choosing a topic, submitting proofread drafts of materials to the dissertation chair, and scheduling meetings for the defense of the proposal and final dissertation defense. Students are expected to maintain contact with the dissertation chair throughout the process to confirm that the research and writing is following the agreed-upon plan. The project is the student's responsibility and not that of the dissertation chair, but the student should keep the dissertation chair informed of problems and progress.

All members of the student's dissertation committee have a shared responsibility for ensuring high-quality scholarship. Dissertation chairs are responsible for reading drafts of manuscripts according to the agreed-upon schedule, providing editorial and substantive feedback, and working with their advisees until the work is completed.

Dissertation committee members are responsible for reading manuscripts within the agreed-upon time frame, suggesting substantive or editorial changes, and explaining why they do or do not believe the document is acceptable.

Types of Dissertations

A dissertation is a culminating activity for students pursuing a Ph.D. degree. The Ph.D. student proposes, conducts, writes about, and orally defends important, independent research in the field, thereby demonstrating his or her competence to conduct such research in his/her future career. A student in consultation with his or her dissertation chair may elect to write a traditional book-length dissertation or a three-paper manuscript-style dissertation. This section describes the features and requirements for each type of document.

Traditional book-length dissertation. A traditional book-length dissertation typically involves five parts, each of which may constitute a separate chapter in the document: (a) an introduction and problem statement, (b) a literature review, (c) a methods section, (d) a results section (consisting of one more chapters), and (e) a discussion section. The student should also include an abstract at the beginning. A student may deviate from this structure if approved by the student's dissertation committee. The *Publication Manual of the American Psychological Association, 6th Edition* (2009) describes the type of information that should be included in each of these sections.

Three-paper manuscript-style dissertation. Some Ph.D. programs in the Curry School offer an alternative to the traditional book-length dissertation called the

“manuscript-style” dissertation or “three-manuscript” dissertation option. The manuscript-style dissertation is a useful alternative for Ph.D. students who intend to pursue academic careers and want to build a publication record. This option is intended to be *as or more rigorous* than the traditional book-length dissertation. The three manuscripts must be prepared for submission to peer-reviewed journals although submission and acceptance for publication are not required.

Ph.D. students need to discuss this option with their chair/advisor if they are interested in this approach. However, it is important to realize that the manuscript style dissertation is not necessarily a suitable option in all program areas or for every student. As with any doctoral dissertation, the dissertation chair and committee exercise their judgment in applying these guidelines to individual student projects.

Students should discuss the three-paper manuscript-style dissertation option with their chair/advisor in the first or second year of doctoral study. Engaging in this conversation early in a program of study allows the student to initiate work on the required manuscripts early in their program. By their third year, students select this option with the advice and consent of their dissertation chair. The student’s dissertation committee must approve the student’s decision to produce a manuscript style dissertation as part of the proposal review process. Occasionally, faculty members recommend that students complete a traditional book-length dissertation at this point.

Each manuscript included in the manuscript-style dissertation must represent an original contribution to the field. Moreover, students must be the principal author (i.e., first author) of all three manuscripts, regardless of number of other contributors. In other words, for any co-authored manuscripts, the student and their advisor need to confirm that the student had the lead role in conducting the study and writing the manuscript. In the disciplines in which authors are not listed in order of principal contributions, a letter from the first author, if not the student, should document the student’s role as principal author. This requirement assures that the student is the principal author for the complete dissertation, consistent with the expectation that the dissertation demonstrates the candidate’s competence to produce original research and scholarship. For more information about principal authorship, refer to section 15 of the AERA code of ethics (2011): http://www.aera.net/Portals/38/docs/About_AERA/CodeOfEthics(1).pdf and section 8.12 of the APA Code of Conduct (2010), http://www.apa.org/ethics/code/principles.pdf

A three-paper manuscript style dissertation has the following requirements: A five to 15-page introduction (linking document) describing the conceptual and theoretical linkages among all three manuscripts and three manuscripts that are ready for submission to peer-reviewed outlets at the time of dissertation defense. One of the manuscripts may be a literature review, a manuscript translating from research to practice, meta-analysis, or meta-synthesis. If a manuscript has multiple student authors, the manuscript cannot be included in more than one student’s dissertation.

Dissertation Content

The following components are included in each traditional book-length dissertation or are included in each paper that comprises a manuscript-style dissertation.

Introduction/Problem Statement. The dissertation typically begins with a description of the context or background for the research question(s). It also defines key terms, variables, and any hypothesis(es). Use this section to introduce the problem being studied and explain the significance of the research question(s).

The purpose of the dissertation drives the research questions. A research question is one for which:

- an answer is important (i.e., knowing the answer makes a significant contribution to the field),
- the answer is not known or needs further verification (i.e., your study is a next logical step in the research on this topic),
- the student can find an answer through research (i.e., the answer is a matter of evidence, not of opinion or values), and that
- the student has the resources of energy, time, and money to address.

Literature review. A good review of the literature:

- present a clear, coherent, and integrated argument that builds justification for one's research questions
- synthesizes and cites <u>multiple</u> sources in support of one's main points (when appropriate)
- cites <u>current</u> or <u>recent</u> research (when appropriate)
- addresses the strengths and weaknesses of key studies in your literature review
- notes gaps/shortcomings in the existing literature

A complete review of the important literature requires electronic searches through databases, as well as hand searches through journals, books, and other materials. It sometimes requires contacting researchers who are working on the same or similar topics. Researchers must not work in isolation or assume that whatever has been published is the most current available information.

A good literature review separates sound from unsound research. It may ignore or mention studies of little or no merit, while giving disproportionate attention to those studies with the best designs and the most defensible conclusions. It also explains legitimate differences in the findings and/or opinions of researchers. Studies that have undergone rigorous peer review are typically, but not always, more trustworthy than studies that have not. Peer review is imperfect, as reviewers sometimes recommend for publication studies that contain serious methodological flaws or misinterpretations.

Good literature reviews may be organized in a variety of ways. Some are chronological, following the development of an idea over time. Others are topical, bringing together disparate ideas in meaningful ways. All lead the reader through the background

information and arrive at conclusions that are logical and supported by reliable evidence. A good review is coherent, evaluative, and forward-looking.

Conceptual framework/Hypotheses: The conceptual framework is the lens through which the various aspects of the inquiry are brought into focus and relationship. Students may draw their conceptual frameworks from other disciplines or apply models that have been developed within their fields. Hypotheses draw on relevant conceptual/empirical research, are aligned with your problem statement and research questions, and articulate potential relationships between and among variables that you plan to study.

Research design and data analyses. The reader of a dissertation should be able to see that the student chose a research design that follows logically from their literature review and research question(s).

Both quantitative and qualitative studies can produce findings that are reliable and that matter. Quantitative research questions usually test a theory or model (or some part of it) using measurable independent and dependent variables, whereas qualitative ones are typically exploratory (i.e., non-predictive) and seek to understand a phenomenon.

Research courses and mentoring experiences enable students to know the difference between strong and weak designs, between data analyses that are appropriate and those that are not, and between justifiable and unjustifiable conclusions.

An adequate research design for a dissertation does the following: It

- describes the question(s) being asked;
- explains why answering it/them is important;
- explains why this research strategy—informed by the literature view and the conceptual framework/hypotheses—is the best way to answer the question(s);
- describes how data will be collected and analyzed;
- describes the sample with which the researcher will work, including the approximate number of participants or sources of information, their characteristics and location, and the plan for obtaining access to them;
- identifies any ethical concerns in applying the methodology; and
- offers a defensible way of analyzing and interpreting the data.

Dissertation work, like other research worthy of the name, requires a dispassionate commitment to the results, even if they are not the desired outcome.

Plagiarism

Students are responsible for taking steps to avoid plagiarism in their dissertations. Plagiarism is defined here as intentionally using original material (i.e., ideas, language, statistics, etc.) that is not common knowledge without properly acknowledging the source of this material. When necessary, the Curry Ph.D. Studies Committee and individual Curry Ph.D. programs have the right to use plagiarism software to screen

dissertations for the presence of plagiarized material. A student found to have plagiarized material in their dissertation may receive a failing grade for their dissertation defense.

Distributing Documents to Committee Members

Any dissertation proposal or final dissertation document distributed to committee members (meaning that the chair has determined that the document is ready for distribution) should be in final draft form. Students are expected to distribute their dissertation proposal or final dissertation two weeks prior to the defense date. Moreover, the documents should be in a committee member's preferred format. Some committee members prefer paper copies and others prefer electronic documents. Students should ask committee members about their preferred format and provide documents in that format.

Paper documents must be bound or securely fastened with a paper clip.

Electronic copies should be in a file format that is compatible with a committee member's computer. Microsoft Word or Adobe PDF formats are the most common. A student should ensure that document formatting is preserved and not distorted when opened by a committee member.

A committee member is not obliged to read a proposal or dissertation document that is not in final draft form or is encumbered by technological issues.

It is highly recommended that the chair contact all committee members and ask if they foresee a major problem with the proposal or final dissertation prior to convening the proposal defense and dissertation defense. Committee members should share such concerns with the chair and/or student, as appropriate, prior to the defense. Committee members who perceive major flaws that are likely to result in a student's unsuccessful defense should inform the chair or student immediately.

Dissertation Proposal Defense

The dissertation proposal defense is a public meeting, meaning that anyone is allowed to attend a dissertation proposal defense including students, faculty, and family members. All committee members must be present physically or electronically. Persons who are not members of the committee are there as observers and may not interject questions or comments unless they are explicitly invited to participate by the chair. The chair leads this meeting and may ask individuals to leave during particular lines of questioning.

At a proposal defense, all individuals who are not members of the committee must leave the room during the committee's deliberation. Only the defending student is allowed to be present for feedback from the chair and committee.

Students are not expected to provide food or drink for anyone attending a proposal defense. Some candidates choose to bring refreshments, but these should be kept to a minimum to avoid the appearance of attempting to influence the committee's decision.

Student often invite spouses, other family members, and/or friends to the proposal defense. These people are allowed to attend, but their presence does not diminish the academic rigor or intensity of questioning that may take place during the proposal defense. A proposal defense is an intensive, academically-demanding activity and not simply a rite of passage.

Traditional Dissertation. A dissertation proposal document involves (a) an introduction/
problem statement, (b) a literature review, (c) a conceptual framework/hypotheses, (d) research questions, (e) a research design, and (f) a plan for data collection (if any is needed), and (g) a plan for data analysis. The committee will advise the student on any changes that are needed for the document or plans for executing the study. A student may commence with the research once the proposal and any required revisions are approved by the committee.

Three-paper manuscript-style dissertation proposal requirements. The dissertation proposal for a manuscript-style dissertation involves additional considerations and requirements. The written proposal should include a completed manuscript, another manuscript that is mostly or entirely complete, and a description of plans for the remaining manuscript(s). The proposal should be introduced by a five- to 15-page introduction (i.e., a linking document) describing the conceptual and theoretical linkages among all three manuscripts. Further, a timeline should be included that details the completion and planned submission of each manuscript to a peer-reviewed journal.

The proposal meeting typically presents the rationale and logic for each of the three manuscripts. The dissertation advisor and the dissertation committee will ultimately determine the details of the proposal defense. A successful proposal defense entails:

- approval to conduct a manuscript-style dissertation instead of a traditional one,
- approval of the existing manuscripts that will constitute part of the dissertation or approval of revisions to the existing manuscripts,
- approval of the proposed work for the final manuscript(s),
- review and approval of the student's principal authorship role on each of the manuscripts that comprise the dissertation.

Dissertation proposal defense procedures. First, the student and the dissertation chair must agree on a date and time that allows every committee member to attend. Check with each of your committee members to identify a time that works for all of them. The student needs to reserve a room for the defense (using the Source Reservation System at www.virginia.edu/source); allowing two hours for the event. If the room where you would like to hold your defense is in Bavaro Hall or Ruffner Hall, but the room not listed in the Source Reservation System, see your department staff for help making a reservation. Be sure to reserve any audio-visual equipment with the

Curry School's Educational Technologies Office (ETO) through its online equipment-reservation system. Test the equipment prior to the defense.

Submit an announcement to the Curry Office of Admissions and Student Affairs at least two weeks prior to the date of your proposal defense. Send an email to Sheilah Sprouse, sgs9w@virginia.edu. Include the name, the title of the work, committee members' names, and the date, place, and time of the proposal. See: http://curry.virginia.edu/uploads/resourceLibrary/Announcement_of_Dissertation_or_Capstone_proposal_or_final_defense.pdf

The dissertation chair will lead the meeting and will ask the student to make a brief presentation (approximately 15 minutes) in which the student summarizes major points:

- why the proposed research is important,
- the key points that the student has extracted from the literature on the topic,
- the conceptual framework/hypotheses,
- exactly how the student intends to measure or assess the problem, and
- how the student proposes to analyze and interpret the data or evidence.

It is important that the student rehearse this presentation to ensure that it is coherent and complete but succinct.

After the presentation, each member of the committee will be given the opportunity to ask the students questions intended to probe the level of understanding of the proposal and obtain clarification of points made. Committee members may also suggest changes in any aspect of proposal. Remember that opinions may differ; the chair will provide guidance in this event. The student must weigh carefully the advisability of arguing for a personal point of view versus accepting the suggestions of the committee.

The proposal defense requires that the student demonstrates two things:

- that the student and chair have thought deeply and carefully about the plans within the proposal, so that the big picture of the proposal is defensible, and
- that the student is able to weigh the suggestions of the committee and accept those that will strengthen the study.

After all committee members have had opportunities to ask questions and make suggestions or comments, the chair will ask the student and any observers to leave the room while the committee deliberates. Next, the chair will invite the student to return to the room and will explain the committee's decision (whether the proposal has been successfully defended or not) and next steps.

The committee will likely request some revisions to the proposal. Dissertation proposal revisions require careful attention by the student as most parts of the proposal

document will comprise the final dissertation manuscript and be subjected to further review by the committee at the dissertation defense.

Students should bring the Record of Progress to the defense so that if the proposal is approved, the chair and the committee members can sign it. An approved dissertation proposal is, in essence, a contract between the student and the committee outlining what will occur in the next stage of the dissertation process.
Successful proposal defense. For all successfully defended dissertation proposals, the advisor will prepare a revision request that will describe all changes to the proposal that the committee requests. Once the student has made all of the required changes, the student shall submit (a) the revised proposal to the committee with a cover letter detailing the revisions or (b) a memo outlining the changes made; this must be completed within a time frame agreed upon by the dissertation committee and established at the time of the proposal defense. Once all committee members agree that the revisions or the memo are acceptable, the dissertation chair will sign and date the Record of Progress.

From the time the student is officially admitted to a Ph.D. program until successful completion of the dissertation proposal the students are called *doctoral student.* After successful defense of the proposal, students are then referred to as a *candidate* for the degree (Ph.D.). At this point a student may refer to their status as a *doctoral candidate*.

Unsuccessful proposal defense. If a dissertation proposal is not defended successfully, the dissertation advisor will summarize the specific reasons for the outcome reflecting all committee members' input immediately following the meeting and share this information with the student and other committee members. It is expected that the student will prepare a revised dissertation proposal based on the committee's feedback and convene another defense meeting within a time frame agreed upon by the dissertation committee and established at the time of the proposal defense. Data collection and analysis may not begin until the dissertation proposal has been successfully defended. Note that students are expected to rethink and revise the proposal to address the concerns of the committee. Resubmitting the same proposal with minor changes or changing the composition of the doctoral committee is not acceptable.

Institutional Review Board Approval

The University of Virginia's Institutional Review Board for Social and Behavioral Sciences (IRB-SBS) or Institutional Review Board for Health Sciences (IRB-HRS) must give written approval for any research involving human subjects done under the auspices of UVA (http://www.virginia.edu/vpr/irb/). Students may not begin collecting data for their dissertations without the written approval of the appropriate IRB if human participants are involved. Designated Curry School faculty members can advise students about submitting proposed research to the IRB. More information about the IRB submission process can be found on the IRB website.

The dissertation proposal should specify the IRB approval process. The student's schedule for dissertation activities should include the time needed to obtain IRB approval.

Any changes in the research design and methods require the approval of the student's advisor. Some changes may also require resubmission to the IRB. If the dissertation is not defended during the timeframe approved by the IRB, the student must file and receive approval for an IRB extension.

Data Collection and Analysis

A student may not begin data collection and analysis until after the proposal has been approved by the committee. If a student plans to use extant data, no data analysis may occur until after a successful proposal.

Data collection often involves the cooperation of third parties such as schools or other agencies. Students must work with these parties in a professional and respectful manner. Obtaining the cooperation of schools and other agencies in research projects may be difficult if these organizations feel they have been taken advantage of in prior experiences with UVA researchers. Researchers need to treat all personnel in a school or other participating office or institution with respect, cordiality, and openness. Too often, organizations have experienced one or more of the following:

- being asked to do more than they had agreed to do;
- being asked to give the project an inordinate amount of time;
- contributing to research but not receiving any useful information from it;
- being identified in research reports in unflattering ways; and
- being treated in ways that they consider disrespectful of their institution or their personnel.

Some institutions have their own research-review procedures that the student must follow in addition to those of the university. Study participants must know exactly what will and will not be expected of them and that they will receive all the information they want from the study in a timely manner.

Like the rule for respecting the natural environment, the rule for every research environment is this — leave it as you found it, if not better. Think not only of the participants in the proposed research but also of researchers who hope to work later in the same location. Students represent not only themselves but also Curry and UVA when dealing with other institutions and organizations.

Dissertation Defense

A dissertation defense must be announced publicly two weeks in advance. Anyone is allowed to attend a dissertation defense including students, faculty members, and family members. All committee members must be present physically or electronically. Persons who are not members of the committee are there as observers and may not interject questions or comments unless they are explicitly invited to participate by the chair, who

leads this meeting and may ask individuals to leave during particular lines of questioning.

At a defense, all individuals who are not members of the committee must leave the room during the committee's deliberation. Only the defending student is allowed to be present for feedback from the chair and committee.

Students are not expected to provide food or drink for anyone attending a defense. Some candidates choose to bring refreshments, but these should be kept to a minimum to avoid the appearance of attempting to influence the committee's decision.

Student often invite spouses, other family members, and/or friends to the defense. These people are allowed to attend, but their presence does not diminish the academic rigor or intensity of questioning that may take place during the defense. A dissertation defense is an intensive, academically-demanding activity and not simply a rite of passage.

Three-paper manuscript-style dissertation defense requirements. The dissertation defense presentation typically includes a conceptual overview of all three manuscripts, with greater attention on work completed since the proposal defense. Discussion about the dissertation typically includes all three manuscripts. Note that faculty may request revisions on work that has already been published. Approval of the dissertation involves the committee's judgment of the high quality of the work, as with a traditional dissertation.

Dissertation defense procedures. As was the case for the proposal defense, students must schedule the final defense with the chair at a time acceptable to each member of the committee. It is the responsibility of the student to reserve a room using the Source Reservation system (www.virginia.edu/source), allowing a minimum of two hours plus any needed time for set-up of technology supports. If the scheduled room is in Bavaro Hall or Ruffner Hall, but the room is not listed in the Source Reservation System, see department staff for assistance making a reservation. It is the responsibility of the student to ensure that any audio-visual equipment is available in the scheduled room or to reserve it with the Curry School's Educational Technologies Office (ETO) through its online equipment-reservation system. It is strongly advised to test the equipment prior to the defense.

During the completion of the dissertation study and during the process of drafting the final dissertation document, the student should work closely and communicate regularly with the dissertation chair. Only after the chair has determined the readiness of the final document may the student disperse the final dissertation manuscript to the remainder of the committee members. Typically committee members receive the dissertation a minimum of two weeks prior to the scheduled dissertation defense in order to have sufficient time to read and consider the work. This schedule may be adjusted depending upon the time of year to extend (e.g., over holiday breaks or summer session). Any decision to shorten the time between receipt of the dissertation and the final defense must be agreed upon by the chair and all members of the committee. During this two-

week window, committee members may approach the chair to make them aware of significant issues that will likely result in an unsuccessful final dissertation defense. In these instances, the chair will meet with the student to establish a plan to address any issues that were raised during this time of reading and deliberation. In most cases, this will result in the rescheduling of the final defense to allow the student sufficient time to make these needed changes. The intent of the pre-defense revision and rescheduling is to increase the likelihood that the student is well-positioned for success in the final defense.
At least two weeks prior to the defense date, file the announcement for the defense with the Curry Office of Admissions and Student Affairs. Use the announcement form found at http://curry.virginia.edu/uploads/resourceLibrary/Announcement_of_Dissertation_or_Capstone_proposal_or_final_defense.pdf. If the defense is rescheduled prior to or as a result of an unsuccessful initial defense, the student must ensure that the chair and committee members have an additional two-week window to read the revised dissertation manuscript(s).

During the dissertation defense, students are expected to present a short (15- to 25-minute) synopsis of the study/set of 3 papers. During the presentation, they briefly describe the need for the study, the research question(s), the methodology, findings, interpretations of those findings, and how those situate within the larger body of literature to which this study will contribute. The bulk of the presentation should focus on presenting findings, interpreting them and situating them within relevant literature. The dissertation defense should not focus on the acceptability of the student's proposal – what the student did and why it was done that way; those decisions should have been addressed in the proposal defense. The final dissertation defense provides the student with an opportunity to present and orally defend the findings and the interpretation of those findings for the relevant contexts. The committee will be most interested in why the student reached the conclusions that they did, alternative interpretations of those findings, limitations of the study, and suggestions for further research.

After the presentation, each committee member will be given the opportunity to ask questions or make comments. The chair, as moderator of the meeting, may intervene if he or she considers any questions out of order.

After all committee members have had the opportunity to ask questions or make comments, the chair will ask the student (and anyone present other than committee members) to leave the room while the committee deliberates. This can be as brief as 5 or 10 minutes or it can take as long as 30 minutes. After the committee's deliberation, the chair will ask the student alone to return to the room and will convey the committee's decision.

The committee will arrive at one of the following decisions:

- The dissertation defense was not acceptable.

- The defense was acceptable, with specified changes in the document that must be seen by each committee member before they are willing to sign the Record of Progress and the signature page.
- The defense was acceptable, with specified changes in the final document to be made as noted by the chair.
- The defense was accepted, and no changes need to be made in the final document.

The student should bring the Record of Progress, title page, and approval form (i.e. the signature page) to the defense so that if the project is approved, the chair and the committee members can sign all the necessary documents at that time.
Successful dissertation defense. Following the dissertation defense, students should rapidly make all of the edits requested by the committee. Students must submit the final document to LIBRA by the specified deadline in order to ensure eligibility to graduate. There is no expectation to reward the dissertation chair or committee for their service, other than offering thanks. In the event that a student wishes to present the chair or committee members with a small token of appreciation, it is advised to do so only after the student has defended the dissertation successfully.

Unsuccessful dissertation defense. If the judgment of the committee is that the student has not defended the dissertation successfully, the chair will summarize the specific reasons for the outcome, reflecting all committee members' input, immediately after the meeting. If the student completed all actions outlined in the proposal document and the proposal was judged acceptable, then the decision may be based on insufficiencies evident in the presentation, writing, and/or responses to questions. Given careful analysis of the reasons for the unsuccessful dissertation defense, the student should modify whatever the chair and committee identify as issues (e.g., analyses, quality of the writing in the manuscript, the planning and execution of the oral presentation) and prepare for questions at the rescheduled defense. Students will receive only one additional opportunity to successfully defend the dissertation after an unsuccessful defense.

Post-Dissertation Defense Checklist

After the student has defended the dissertation successfully, made edits required by committee members, and acquired committee members' signatures on the Record of Progress, it is the responsibility of the student to submit the signed title page of the dissertation to the Curry Office of Admissions and Student Affairs by **the deadline for your desired semester of graduation (see the section on important deadlines)**.

Upload the dissertation to LIBRA, but do NOT include the signature page. Curry will maintain that document on the student's behalf.

Submit the following to the Curry Office of Admissions and Student Affairs:
- Survey of Earned Doctorate: https://sed.norc.org/showRegister.do
- Record of Progress

- IRB approval letter (if applicable)

If the student decides to register the dissertation for copyright, there must be a page at the beginning of the dissertation stating that it is copyrighted. See the ProQuest Website (http://www.proquest.com) for pros and cons of doing so.

Authorship Guidelines for Publishing Dissertation Research

A student may elect to publish a dissertation or a part of it in a book or peer-reviewed journal. Any chair or a committee member who works with the student in condensing and revising elements of the dissertation for publication may be considered a co-author, but the student whose work is featured should be the first author listed on the manuscript. Appropriate credit should be given to any individual who provided significant assistance but is not included as a co-author.

According to ProQuest, most journals do not consider submissions to ProQuest or institutional repositories to constitute "prior publication that disqualifies the author from submitting a journal article or monograph on the same subject matter for publication" (http://www.proquest.com/assets/downloads/services/disspub_prior_pubstate.pdf).

Copyright Issues and Publishing Dissertation Research

After the successful defense of a dissertation, a Ph.D. candidate will be required to submit their dissertation to LIBRA, the University of Virginia's open access repository. Decisions regarding dissertation submissions to UMI's ProQuest are optional and made in consultation with the chair of the dissertation committee.

Students may aim to publish dissertation research in a peer-reviewed journal. In the case of a three-paper manuscript-style dissertation, all three manuscripts must be ready to submit to a peer-reviewed journal by the dissertation defense. In preparing manuscripts for publication, students should learn about any copyright restrictions imposed by their target journals. A publisher's website is an excellent place to begin learning about those restrictions. Many journals require an exclusive assignment of all copyrights, making preservation and distribution of the dissertation as a whole through UMI/ProQuest or a university repository difficult. Students should try to retain all author rights possible so that they can use the manuscripts in their dissertations. Many journals will accommodate these needs. Students can consult: http://www.library.virginia.edu/libra/ and for more information about copyright issues and to learn about specific publisher policies.

When students submit a manuscript to a journal with an unclear authors' rights policy, they typically include a written request to retain the rights to publish the work in their dissertation. They might write, for example: *"This manuscript is part of a planned dissertation project for my Ph.D. at the University of Virginia ("UVa"). Under UVa policy, I must retain the ability to include this work in the compiled dissertation, which will be made available via UMI/ProQuest and/or the University of Virginia digital repository.*

Please confirm that I will retain copyrights sufficient to comply with UVa dissertation requirements."

Copyright requirements are easier to navigate when thought is given to them in advance of publication. Students should be aware of copyright issues before agreeing to any limits on their copyright.

Any relevant funding, either to the student directly or to support the project or relevant data collection, should be acknowledged both in the dissertation and as relevant on the publication.The dissertation chair and/or lead investigator on the project from which the data were sourced (i.e., Primary Investigator) is expected to provide guidance on the details and language for the acknowledgement, including specific information regarding the source of the funding or sponsorship for the research reported.

Document Archiving with LIBRA

As stated above, Ph.D. students must upload the final, approved version of the dissertation project to the University Library's digital repository, also known as LIBRA, by deadlines described at the beginning of this document.

Information regarding the repository, the submission process and copyright law is available through the LIBRA web site, http://www.library.virginia.edu/libra/. The remaining paragraphs in this section discuss important aspects of submitting a manuscript to LIBRA. Read them all before attempting the submission process.

The title page and signatory pages of the dissertation should be formatted according to the templates approved by the Curry School. A hard copy of the signatory page containing all committee member signatures must be submitted to the Curry School Dean's Office prior to electronic submission of the document to LIBRA as well as the title page. In the electronically submitted PDF document, the signatory page should not include committee member signatures. Students are responsible for ensuring that they upload the final, approved version of their dissertation project. Documents submitted to LIBRA cannot be deleted or corrected.

An embargo is a period of time during which your thesis or dissertation is saved in LIBRA but not available for worldwide distribution. While under embargo, the metadata (such as title and abstract) for your work is available to the world, but the full text of your work is not. During the uploading process, students set the embargo period, which may be 6 months, 1 year, 2 years, or 5 years, or they may choose to set no embargo period.

The dissertation title submitted to the Curry School when scheduling the defense will appear in the LIBRA upload interface. If the title listed in LIBRA does not match the final title of the dissertation, the student must stop the upload process and inform the Curry Office of Admissions and Student Affairs of the correct title. The dissertation title listed in SIS, LIBRA, and the student's transcript should be identical.

LIBRA will accept the dissertation as a single PDF document up to 100MB. Students also have the option to upload supplemental files. There are no formatting requirements

or restrictions; however, students should adhere to traditional physical standards if they wish to purchase bound copies from Printing and Copying Services. Students may choose to additionally submit their dissertation to ProQuest, but this is not required. All fees associated with submission to ProQuest are the student's responsibility.

Exceptions to Dissertation Guidelines and Regulations

Exceptions to the procedures outlined in this document can be made with written approval from the Associate Dean for Academic Programs and Student Affairs, to be applied for only with the consent of the dissertation chair, the program head, and the department chair.

Part II: Assessment of Proposal and Dissertation Quality

All committee members complete the *Rubric for Ph.D. Research Documents* to evaluate both the dissertation proposal and the completed dissertation. Each member should complete the rubric by the end of the proposal or defense meeting and give it to the chair. The focus at the proposal defense is on the study description. At the final defense, the committee considers the study description as well as the findings and summary. This rubric should be used as a guide for students as they develop and write their dissertation projects, as a feedback mechanism for faculty as they work with students, and as a means of structuring questions and discussion at the proposal and final dissertation defenses.

Any dissertation manuscript will go through revisions. The rubric also provides a way for a chair to provide formative feedback to a student during the development of the proposal and final dissertation. As the student drafts a proposal and a final dissertation, the chair may use the rubric to provide concrete feedback on the documents' strengths and weaknesses. When the chair thinks that the proposal (or final dissertation) is of acceptable quality, the student may distribute it to the entire committee.

Doctoral students should read and understand the quality indicators used to evaluate a dissertation before they begin drafting their proposals. If any indicators are unclear, they should consult with the committee chair. The indicators are presented in an order that reflects the general format of most dissertations; thus students should attend particularly to the initial quality indicators when developing a proposal. Obviously, all the indicators are important as the full dissertation is drafted.

Rubric for Research Documents (updated 6/2015)

Levels Domains	Exemplary 3	Proficient 2	Developing 1	Unacceptable 0
Abstract **RATING: _____** Check here if the category is not applicable: ___	Abstract includes research questions, description of sample, major findings, and implications of the results. Limitations of the study are clearly identified. All information is stated concisely within the word limit.	Abstract includes all essential elements (research questions, sample description, major findings, implications, and limitations) but may be misleading due to lack of precision in language. Information is within the word limit.	Abstract is missing one or more essential elements and the language used lacks a strong scholarly voice. Information is may be over the word limit.	Abstract has incorrect, irrelevant information and does not accurately portray the study or is completely missing. Information may not fit within the word limit.
Intro: Problem Statement, Significance, Purpose of Study **RATING:_____** Check here if the category is not applicable: ___	Articulates a specific and significant, issue by connecting to the larger theoretical and/or empirical literature. Problem statement logically flows from the introduction and clearly and succinctly establishes relevance of the proposed study to the larger body of literature.	Identifies a relevant research issue and establishes connections with the larger body of theoretical and/or empirical literature. Problem statement is present but a stronger or clearer connection could be made.	Although a research issue is identified, the statement is too broad or the description fails to establish the importance of the topic. Connections to the larger empirical and/or theoretical literature are insignificant, irrelevant or unclear. The topic may be too simplistic to make a contribution to the larger field.	The statement makes no connections larger body of empirical and/or theoretical literature that is related to the topic. Statement of the problem, the significance of the study, and/or the purpose of the study is inappropriate, disconnected, or missing. Topic is too simplistic to make a contribution to the larger field.
Intro: Research Questions, Definitions, Assumptions **RATING:_____** Check here if the category is not applicable: ___	Articulates clear, feasible, and succinct research questions and definitions (i.e., constructs, variables) given the purpose of the proposed study. A thorough and reasonable discussion of assumptions is provided. All elements are mutually supportive and aligned to one another.	Research questions are stated, connected to the identified issue and supported by the literature. Definitions (i.e., constructs, variables) have been operationalized. Assumptions are present.	Research questions are poorly formed, ambiguous, or not logically connected to the description of the issue or the study's purpose. Definitions are not well operationalized and there is no discussion of assumptions.	Research questions, definitions and assumptions are omitted, misaligned, or inappropriate given the problem statement and purpose of the study.
Literature Review: Structure **RATING:_____** Check here if the category is not applicable: ___	The structure of the review is intuitive and grounded through literature to each of the key constructs of the proposed study. There is a logical flow that develops a well-supported argument leading directly to the research question(s). The narrative provides synthesis of themes, describes differences	The structure of the review is workable in that there exist relevant literature related to the constructs. The argument can be followed that leads to the research questions. The narrative provides a synthesis but there are	The structure of the literature is weak—it does not identify important ideas, constructs, variables that are related to the research purpose, questions, or context and/or it is difficult to see the connection to the research questions The narrative provides little synthesis of the literature.	The structure of the review is incomprehensible, irrelevant, or confusing and does not have logical flow that leads to the research question(s). There is very little synthesis of ideas with the writing presented as a list of existing work. There is almost no

	among different lines of research, or otherwise compares and contrasts work. For example, the narrative may point out areas with rich research versus areas in need of research or point out contradictory findings. The narrative offers a framework or advanced organizer establishing the scope of the content.	areas of weakness and/or inconsistency. Content may be grouped into paragraphs but the paragraphs may be only weakly linked to each other.	What synthesis exists, is organized around superficial commonalities lack coherence, and/or organization.	reflection upon the content of the literature.
Literature Review: Substantive Review **RATING:_____** Check here if the category is not applicable: ___	The narrative integrates both critical and logical details from scholarly (i.e., peer-reviewed--theoretical and empirical) literature. Attention is given to different perspectives, conditions, threats to validity, and evidence of prior research as identified in the literature. The review clearly establishes the need for the study in terms of adding to the substantive knowledge and/or the need for a different methodological approach. The narrative is in the author's own words, with a balanced presentation of direct quotes only when necessary.	The narrative presents key constructs and variables that are connected to relevant scholarly (i.e., peer-reviewed-- theoretical and empirical) literature. Studies cited are generally described with sufficient detail so that the relevance to the theoretical and/or methodological issues can be understood. The review may include some unnecessary content or may have instances of poor paraphrasing. An explanation of how the proposed research adds substantive knowledge to the field could be made clearer. The narrative is generally in the author's own words; however, some further paraphrasing (less reliance on quotes) would enhance the argument.	The narrative presents key constructs and/or variables in the review that are not connected to the scholarly (i.e., peer-reviewed-- theoretical and empirical) literature. The literature used from inappropriate sources (i.e., unreliable, not peer reviewed, secondary). The review of the literature is insufficient in that the reader does not see the direct connection to other studies or to the relevant theoretical or methodological issues. There may be a lack of differing viewpoints presented and/or an over-reliance on quotes. Inconsistent acknowledgement of other's work.	The narrative does not present key constructs or variables or is predominantly based on non-scholarly literature. Much of the detail of reviewed literature is missing so that the reader cannot see the relevance to the theoretical or methodological issues. There is a lack of acknowledge of other's work with too much reliance on direct quotes. .
Methods: Research Design **RATING:_____**	The purpose statement, research questions, and proposed design are mutually supportive, coherent, and aligned and follow directly from the argument made in the literature review with sufficient amount of detail Attention is given to eliminating alternative explanations	The purpose statement, research questions, and proposed design are aligned and are described in sufficient detail. Additional considerations are warranted for potential rival explanations or the	There is a degree of misalignment among the purpose statement, research questions, and/or proposed design. . There is limited given to considerations of rival hypotheses and extraneous variables, if appropriate While some	The purpose statement, research questions, and proposed design are not aligned and mutually supportive. Rival hypotheses, extraneous variables (where appropriate), limitations and assumptions are missing.

Check here if the category is not applicable: ___	and controlling extraneous variables, when appropriate. Appropriate and important limitations of design are clearly stated as well as assumptions. Role of researcher is identified and outlined with relevant information, if appropriate.	controlling of extraneous variables, if appropriate. Some limitations and assumptions are identified but additional consideration is warranted. Some irrelevant information is presented regarding the role of the researcher, if appropriate.	limitations and/or assumptions are identified, important imitations and assumptions are not. Role of the researcher is present but based entirely on irrelevant information, if appropriate.	Role of the researcher is not identified.
Methods: Context, Participants, Instrumentation, Procedures **RATING:_____** Check here if the category is not applicable: ___	Description of the context, sample, instrumentation, and procedures, including analyses, are meaningful (i.e.., appropriate given hypotheses or study intent). Description of participants, instrumentation (e.g., psychometrics; interview and observational), procedures, and analyses are provided with enough detail that a reader could replicate the study. There is alignment between each analytic step and the appropriate research question. Pilot testing procedures are detailed for researcher-developed instrumentation.	Description of the context, sample, instrumentation, and procedures, including analyses, are identified and relevant (i.e., appropriate given hypotheses or study intent). There may be some missing relevant detail on participants, instrumentation, procedures, or analyses. Limited information regarding pilot testing of researcher-developed instruments, if applicable.	Descriptions of the context, sample, instrumentation, or procedures, including analyses, are misaligned or lack relevance to the research questions. Contains some information on participants, instrumentation, and procedures but is insufficient for replication. No description of pilot testing of researcher-developed instrumentation.	Descriptions of the context, sample, instrumentation, and/or procedures, including analyses, are missing Would not be possible for replication. No description of pilot testing of researcher-developed instrumentation.
Results: Quantitative Descriptive Statistics **RATING:_____** Check here if the category is not applicable: ___	The section contains an introductory statement to remind readers of the scope of the investigation. Descriptive analyses are appropriate, accurate, cited in APA format within the text, and are aligned to the research question(s). Appropriate reporting of relevant information is present (e.g., mean, standard deviations, correlations, sample size)). Tables and figures are correct, display relevant variables, and are identified and explained within the text. Proper credit is given where appropriate to tables or figures. There is no interpretation of the results.	Introduction of the scope of the investigation does not fully capture the study's purpose. Descriptive analyses are appropriate, accurate, and aligned with the research question(s). There is some missing relevant information (e.g., means without standard deviations, sample size) within the text. Tables and/or figures may have minor errors or confusing aspects but appropriate credit is given where warranted.	No introduction of the scope of the investigation is provided. Descriptive statistics are appropriate but may consistently be missing relevant information (e.g*.,* means without standard deviations sample size). Confusion between tables and figures and/or redundant information is presented across the two. Inconsistent inclusion of statistics within the text. Credit is missing from tables and/or figures, where warranted. Some interpretation of the results is present.	No introduction of the scope of the investigation is provided. Descriptive statistics are inappropriate (e.g., means computed on rank data) or are inaccurate (e.g., inclusion of outliers). Tables and/or figures are omitted or a description of the statistics within the text is omitted. Credit is missing from tables or figures, where warranted. Interpretation of the results is present.

Results: Quantitative Inferential Statistics **RATING:_____** Check here if the category is not applicable: ___	Inferential analysis is appropriate for addressing each research question and a brief discussion of the assumptions of a test is presented (if necessary). Appropriate reporting of relevant information is present (e.g., alpha level, significance or not, test value, degrees of freedom, confidence interval, effect size, post hoc analyses). Tables and figures are correct, display relevant information, and are identified and explained within the text. Proper credit is given where appropriate to tables or figures. There is no interpretation of the results.	Inferential analysis and relevant statistical information are given but may be incomplete (e.g., lacking appropriate post hoc tests, missing effect size estimates). Tables and figures may have minor errors or confusing aspects but appropriate credit is given where warranted. There is no interpretation of the results.	Inferential analyses may be incomplete or incorrect. Results do not seem to be linked to the research questions. Confusion between tables and figures and/or redundant information is presented across the two. Inconsistent inclusion of statistics within the text. Credit is missing from tables and/or figures, where warranted. Some interpretation of the results is present.	Inferential analyses are inappropriate (e.g., means computed on categorical data) or computed inaccurately. Tables and/or figures are omitted or a description of the statistics within the text is omitted. Credit is missing from tables or figures, where warranted. Interpretation of the results is present.
Results: Qualitative **RATING:_____** Check here if the category is not applicable: ___	Indicates how results will be organized and how the results derived from the analysis. The presentation of results is consistent with the methodology indicated. Exemplary evidence is presented within the text to support findings with an explanation of how the excerpt(s)s support each finding or assertion. Each exemplar illustrates a unique finding rather than multiple findings tied to one exemplar.	Greater clarity in the organization of the results and how the results were derived from analyses could be provided. There is alignment between the presentation of results and the methodology used. Evidence to support assertion/finding is present but somewhat tangential.	No discussion of how the results will be presented or how the results were derived from the analyses. There could be a tighter connection between the presentation of findings and the methodology employed. Insufficient evidence is provided to support findings.	Completely omitted are how the results will be presented and how the results were derived from the analyses. There is a lack of connection between the presentation of results and the methodology implemented. No evidence or irrelevant evidence is provided to support findings.
Discussion: Interpretation of Findings **RATING:_____** Check here if the category is not applicable: ___	Discussion includes a brief restatement of the study's findings. Patterns and relationships in the data are explained but conclusions do not go beyond the data. The interpretation of the findings is well connected to the research question(s) and is situated back into the literature clearly showing the unique contribution of the study. Discrepancies between the anticipated findings (i.e., hypotheses) and the actual findings are explained. Discussion of	Discussion includes an overly extended statement of the study's findings. There are some conclusions drawn that go beyond the data and/or does not situate the findings back into the literature. No explanation of discrepancies in findings is presented. Some discussion of implications is present but may contain some irrelevancy or could be improved.	Limited overview of some findings is present but conclusions go beyond data. Study's findings are not situated back into the literature. No explanation of discrepancies in findings is presented. Discussion of implications is limited.	There is no overview of findings; conclusions go beyond the data and are not situated back into the current literature. No explanation of discrepancies in findings is presented. Discussion of implications is missing.

	implications is present, if appropriate.			
Limitations **RATING:_____** Check here if the category is not applicable: ___	Consideration to what extent the results are conclusive and can be generalized or transferable is presented, if appropriate. Potential confounds or methodological limits are fully discussed. Future research is suggested.	Consideration to extent the results are conclusive or can be generalized or transferable is present but additional consideration could be given. Only a brief presentation of methodological limits is presented. Future research is suggested.	Insufficient consideration given to the extent results are conclusive and can be generalized. Missing indication of methodological limits. Some future research is suggested but is irrelevant to findings or is incomplete.	No consideration is given to the extent to which results are conclusive and can be generalized or transferred. No indication of methodological limits or future research.
References **RATING:_____**	Reference list includes all and only cited current and relevant works. Seminal studies are included if applicable. Original literature served as the predominant source of information. Works cited with the narrative are listed in the reference list.	Reference list may omit some cited articles or include ones that were not cited. Sources included seminal work if appropriate. Some use of secondary sources rather than primary sources is evident as well as the use of some dated work.	Reference list may contain some inappropriate sources (non-scholarly). Relevant seminal works are missing. Sources tend to be dated. Some works cited with text are not listed in reference list or vice versa.	Reference list consists of mainly secondary sources or non-scholarly sources. Relevant seminal works are missing. Sources tend to be dated. There is not a one-to-one correspondence between the reference list and the works cited within the narrative.
Writing Style: Organization, APA Style **RATING:_____**	The document is written with logic, clarity, and precision using scholarly language. The text is logical and coherent. Appropriate transitions and subheadings allow for comprehension from one idea to the other. There is consistent application of the latest APA scholarly writing and publication guidelines.	The document is generally written with logic, clarity, and precision using scholarly language although there may be instances of redundancy or lack of transitions or subheadings. Mostly follows latest APA scholarly writing and publication guidelines.	The document tends to be logically organized but there is a lack of precision and clarity. The use of scholarly language is sporadic throughout the document with missing transitions and/or subheadings. Inconsistent or inappropriate application of latest APA scholarly writing and publication guidelines.	The document is not written in a scholarly fashion or lack precision and clarity. Failure to follow latest APA for scholarly writing and publication guidelines
Documentation: IRB **RATING:_____** Check here if the category is not applicable: ___	Appropriate IRB forms are completed and reflect the study's purpose with sufficient detail (as highlighted in the IRB templates). There is an acknowledgment in the Methods section of IRB approval.	Appropriate IRB forms are completed and reflect the study's purpose but greater detail could be added regarding study details (e.g., recruitment, confidentiality). There is an acknowledgment in the Methods section of IRB approval.	IRB forms are completed but do not provide sufficient information or includes irrelevant forms. No indication of IRB approval in Methods section.	IRB forms are missing or incomplete. No indication of IRB approval in Methods section.

Additional Comments:

Committee Member Signature:

Date:

PART III: Frequently Asked Questions

1. When should I start thinking about my dissertation?
Begin thinking about your dissertation as soon as you begin your doctoral studies. You are likely to consider a variety of ideas during your studies. If you choose a three-manuscript dissertation, you must choose a topic early in your studies. A traditional book-length dissertation allows you to choose a topic later in your program. At the latest, you should select a topic after you complete course work and comprehensive exams.

Give careful thought to your dissertation topic. You will be working on the topic intensively for a prolonged period, and the dissertation topic may drive your subsequent research and teaching if you get an academic job, so it must not be something in which you have only a passing interest.

2. What should I do to prepare for my dissertation?
First, complete all of the other program requirements, including accumulating the required credits. The required sequence of courses in research methodology will equip you with the knowledge of research questions, research methods, and data analysis that will allow you to conduct a study independently. Second, choose a topic and have a plan of research for your dissertation. Third, choose a chair or co-chair and a committee, following the requirements for the number of members and program/school representation. In most cases, students have their advisor from the early years of their program serve as their chair and advisor through their dissertation as well. Your dissertation committee may be different from your program committee.

Understanding what is already known about your topic requires reading the existing research literature on the topic; such reading should begin as soon as possible, and you should keep track of it by means of an annotated bibliography.

3. Who should be my dissertation chair?
Only approved Ph.D. mentors are allowed to be dissertation chairs. Co-mentors cannot chair a dissertation alone. They must collaborate as a co-chair with a full mentor. Thus, while your academic advisor or mentor is often the best person to have as a dissertation chair, they may need to co-chair your dissertation committee. You may also want to have a co-chair if your topic is such that no single faculty member has the expertise to advise you. Sometimes a junior faculty member and a senior faculty member will make a good team. If you consider having co-chairs, be certain that they know they will be working together and that they have no major conflicts of opinion about the topic or the methodology. Also, one co-chair must agree to take the lead and be the primary person with whom you will work. The secondary chair must agree to play a supporting role.

Finally, communicate clearly with your chair(s):

- Explain to your program advisor that you want him or her to be your dissertation advisor/committee chair or, alternatively, that you want to choose someone else.

Explain the reasons for your choice. No one should be left with questions about why you chose the person you did.

- If you are going to ask someone other than your program advisor to direct your dissertation and serve as your dissertation chair, discuss this decision with your program advisor first. Next, make an appointment with the person whom you would like to have as your chair to make your request. Do not expect or demand an immediate reply. Discuss a timeline for receiving an answer if you do not get one immediately. Accept the faculty member's decision graciously.

4. How can I find good examples to follow for my proposal and dissertation?
Ask your dissertation chair for examples of well-prepared proposals and well-written dissertations. They may provide examples of the work of previous students or refer you to exemplars identified by program, department, or school committees.

5. What is expected of me before, during, and after data collection?
Before you begin collecting data, you must have the approval of the IRB, as mentioned earlier. You must also have laid the groundwork for collecting your data from schools or other participating institutions. During data collection, you must maintain good relationships with your participants and manage data collection in ways that minimize intrusion into people's lives and maximize protections against possible harm to the participants. You alone are responsible for the security and safety of your data. You need to keep your chair informed of your progress in collecting data. You also must make sure that you have all of your data in a back-up file. Back up your data frequently as you obtain them. After you have all of your data, analyze them. Depending on the nature of your project and the expectations you and your chair have set for feedback to your participants, you may present your findings to specified individuals immediately or wait until your dissertation has been written and approved.

6. What if I must modify my research?
You and your dissertation chair must document and alert all committee members to any minor changes (e.g., modifying study measures) that were made in the dissertation research in the course of conducting the study or analyzing data. More substantial changes (e.g., changing the study design, study hypotheses, the source of the sample, a change from a manuscript-style dissertation to a traditional book-length dissertation) require the approval of the entire committee.

7. What are my responsibilities in writing the dissertation?
You are responsible for submitting proofread drafts of your chapters to your chair and preparing the final draft with editorial feedback from the chair. You are also responsible for constructing any tables and figures that may be required, for writing as clearly and succinctly as you can, for maintaining the integrity of the reference form you and your chair have agreed is most appropriate, for integrating any new literature on your topic that has appeared or you have found since your proposal defense, and for doing all of these things in a timely fashion. You should give a copy of the final draft to each member of your committee at least two weeks before your dissertation defense.

8. What should my dissertation chair and committee do as I write my dissertation?
Your chair is responsible for reading your draft(s), giving you editorial suggestions, and approving the error-free draft you give to your committee members. Remember that the draft you give your committee members is “final” only in the sense that it contains no flaws that you or your dissertation chair have found. Committee members will typically have suggestions and changes that you will need to incorporate before you file the truly final dissertation. Then they must read your dissertation before your defense, and you must make sure that you give them adequate time to do so (at least two weeks).

9. What should I expect of my dissertation chair and committee?
Your dissertation chair should be available at reasonable times for consultation and should give you explicit feedback on drafts of materials you give to him or her within a reasonable time. “Reasonable” is difficult to define, but if you find it impossible to schedule time with your chair, receive only vague feedback on your drafts, and/or must wait much longer than the time agreed to by your chair for feedback—or if you experience other difficulties with your chair—your first course of action should be to talk directly to the chair about the issue. If you want to consider changing chairs, you should feel free to seek the advice of the program coordinator to whom your chair reports, the chairperson of your chair’s department, the Associate Dean for Academic Programs and Student Affairs, and/or the Chair of the Curry Ph.D. Studies Committee. Your committee members should be reasonably available for meetings with you and with other committee members and should have read the documents you have given them within the agreed-upon time frame. If a member of your committee is unwilling or unable to fulfill these expectations, then you may want to discuss a replacement with your chair. Keep in mind that faculty members may be even busier than you are and that neither your chair nor your committee members can be expected to give your work top priority. Remember also that your chair and committee members may experience unexpected or emergency events in their lives that prevent them from accomplishing on schedule particular tasks related to your dissertation. The dissertation process demands accommodation on your part and the part of faculty. You should expect faculty to demand high-quality work. The presence of high expectations from a faculty member is not a reason to change chairs or committee members.

10. What should my dissertation chair and committee expect of me?
Your dissertation chair and committee members should expect high-quality work, meticulous attention to detail, and timely presentation of documents. They will expect you to proofread your work carefully before submitting it to them and to carry out the research as described in your proposal unless they explicitly approve any substantive changes. They also should expect you to communicate with them about your progress. Regular communication with your chair at all stages of the process, including the interval between approval of your proposal and your dissertation defense, is critically important.

11. When may I participate in hooding and diploma ceremonies?

These celebratory events occur in May of each academic year. If you defend your dissertation successfully after the deadline for spring graduation, you may participate in graduation events in May of the next academic year.

Part IV: Guidelines for Manuscript Preparation

The purpose of these guidelines is to assist you with the formatting, preparation, and submission of your dissertation. They are based on the APA style but modified for dissertations and theses in the Curry School. Please note that other formats may be used with your committee's approval. It is important to be consistent in style, notation, form, etc.

Writing Style

All good writing has three characteristics:

- It is grammatically correct
- It is clear
- It is as simple and succinct as the meaning allows

Good writers do several things:

- They reread what they have written, questioning themselves about grammar and clarity and editing their own work
- They are keen observers of others' writing styles
- They consult manuals on grammar and style and lexicons, and they correct their work accordingly
- They use technical terms only when needed and make their language accessible to readers from multiple disciplines
- They use headings, summaries, and organization to help readers follow their line of argument
- They weigh editorial feedback carefully, making all suggested changes that increase clarity or improve grammar and rejecting only those that obscure meaning or introduce grammatical errors

The dissertation chair and committee members serve as editors of the dissertation. But many other resources are also available to help writers hone their style. Searching any bookseller's shelves or online listings will turn up many valuable volumes on punctuation, grammar, and style. None covers every topic of interest, so several may be needed. Frequently recommended books include the following:

American Psychological Association. (2010). *Publication manual of the American Psychological Association* (6th ed.). Washington, DC: Author.

Cochrane, J. (2004). *Between you and I: A little book of bad English*. Naperville, IL: Sourcebooks.

Gordon, K. E. (1993). *The new well-tempered sentence: A punctuation handbook for the innocent, the eager, and the doomed* (expanded and revised). Boston: Houghton Mifflin.

Hacker, D. (2011) *Rules for writers* (7th edition). Boston: St. Martin's.

Stilman, A. (2004). *Grammatically correct: An essential guide to punctuation, style, usage & more*. Cincinnati, OH: Writer's Digest.

Strunk, W., & White, E. B. (2000). *The elements of style* (4th ed.). Boston: Longman.

Truss, L. (2003). *Eats, shoots & leaves: The zero tolerance approach to punctuation*. New York: Gotham.

Two particularly helpful guides for writing dissertations (of many) are:

Creswell, J.W., & Creswell, J.D. (2018). *Research design: Qualitative, quantitative, and mixed methods approaches* (5th ed.). Thousand Oaks, CA: SAGE.
Glatthorn, A. A., & Joyner, R. L. (2005). *Writing the winning thesis or dissertation project: A step-by-step guide* (2nd ed.). Thousand Oaks CA: Sage.

Reference Style

The student and the chair together decide on the reference style. Most students use the American Psychological Association (APA) publication manual; see www.apastyle.org for the latest information. It not only gives writers guidance on style but also specifies how to cite references within the text and how to present them in a reference list. Some students (for example, those in the history of education) may use an alternative style manual (such as the *Chicago Manual of Style*); those in athletic training and sports medicine often use the *American Medical Association Style Guide*. The most important consideration in reference style is consistency.

Additional Resources

Some students hire editors for their dissertations. This is acceptable, as long as the editor does not draft the document. Some students receive help from the University's Writing Center (which requests advance notice for working with larger documents). In all cases, the student has the final responsibility for the document, including its clarity, style, and reference format.

Formatting

A standard font of 10 or 12 points is acceptable. Standard fonts include Arial, Courier, Times New Roman, etc. – the requirement is "good, clear copy." The same typeface should be used throughout, with the exception of tables. You may neatly letter by hand with black drawing ink any symbols that are not available on the computer. There is also special software for certain symbols available for purchase.

Your dissertation must have the following uniform margins, which apply to all charts, graphs, tables, and figures. You may need to reduce the size of graphs, table, charts, etc. to meet this requirement.

Top:	2" for the first page of each chapter; 1" for all other pages
Bottom:	1"
Left:	1 ½"
Right:	1"

Double-space the text. Single-space the footnotes or endnotes and extended direct quotations (of more than 40 words); the latter should also be indented a minimum of five spaces.

Pagination

Number preliminary pages with lower-case Roman numerals (i, ii, iii, etc.) at the bottom and center of each page, 1” from the bottom edge. Count the title page, copyright page, or signature page; however, the number should not appear on that page. If you have a copyright page, put lower-case Roman numeral *iv* on the dedication page. See below for a complete list of how each page should be numbered.

Begin numbering the text with Arabic numerals (1, 2, 3, etc.) at the start of the first page of the text, 1” from the top right of the page. Some prefer to number the first page of each chapter by placing the number, centered, 1” from the bottom of the page.

Footnotes/Endnotes

See the APA manual for guidance.

References

See the APA manual for guidance.

Dissertation Pages – Order and Numbering Sequence

Title page	Number assigned but **NOT** typed
Copyright page	Number assigned but **NOT** typed
Abstract	Number **NOT** assigned or typed
Signature page	Number assigned but **NOT** typed
Dedication page	Roman numeral, numbered consecutively Beginning with “iv”
Acknowledgement page	Small Roman numeral, numbered consecutively
Table of Contents	Small Roman numeral, numbered consecutively
List of Tables	Small Roman numeral, numbered consecutively
List of Figures	Small Roman numeral, numbered consecutively

Text (Chapter I)	Arabic numeral, numbered consecutively Beginning with “1”
Body of dissertation	Arabic numeral, numbered consecutively
Bibliography/References	Arabic numeral, numbered consecutively
Appendix/Appendices	Arabic numeral, numbered consecutively

2”

[Example of title page]

TITLE

A Dissertation

Presented to

The Faculty of the Curry School of Education and Human Development

University of Virginia

1 ½“

1”

In Partial Fulfillment

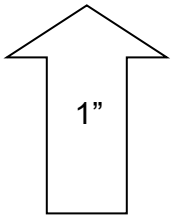
of the Requirements for the Degree

Doctor of Philosophy

by

Name, degrees

Month and year degree will be conferred


1”

[Example of copyright page]

1”

© Copyright by
Your Name
All Rights Reserved
Month & Year of Graduation

2”

[Example of signature page]

Name of Department
Curry School of Education and Human Development
University of Virginia
Charlottesville, Virginia

APPROVAL OF THE DISSERTATION

This dissertation, (“title”), has been approved by the Graduate Faculty of the Curry School of Education and Human Development in partial fulfillment of the requirements for the degree of Doctor of Philosophy.

1 ½“

1”

_____
Name of Chair (insert name)

_____
Committee Member Name (insert name)

_____
Committee Member Name (insert name)

_____
Committee Member Name (insert name)

_____Date

1”

2”

[Example of table of contents]

TABLE OF CONTENTS

Page

DEDICATION iv
ACKNOWLEDGEMENTS v
LIST OF TABLES vi
LIST OF FIGURES vii

ELEMENTS

I. EXECUTIVE SUMMARY 1

II. STUDY DESCRIPTION 4

III. POSITION PAPER 25

IV. ACTION COMMUNICATIONS 65

REFERENCES 90

APPENDICES 100

1 ½“

1”

1”

2”

[Example of list of tables]

LIST OF TABLES

TABLE Page

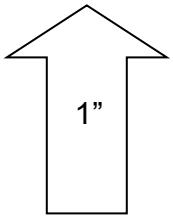
1. Periodic Table of Elements 12

2. Descriptive and Exercise Training Characteristics..... 25

3. Maximum Ventilation During Maximal Exercise..... 78

1 ½“

1”


1”

1”

[Example of executive summary pages]

Executive Summary

Name of Advisor

1 ½“

Double space the executive summary, which must be 700 words or less (approximately 2-3 pages). Do not type page numbers on the abstract.

1”

1”

2”

[Example of margins, headings, etc.]

STUDY DESCRIPTION

Methods Used (level 1)

The purpose of this chapter was to present a review of the literature and to outline the need for a study on the status of the recertification of school district superintendents. Many sources were used to develop a comprehensive review of the literature.

Recommendations Included in the Reform Reports (level 2)

It has been said that a school administrator can be compared to the leader of a symphony orchestra. The person who holds the title of conductor is responsible for the effective operation of the orchestra and is looked to for direction and leadership.

1 ½“

1”

Overview of needs identified for recertification programs for superintendents *(level 3).* The superintendent of schools occupies one of the most important positions in the community and more than any other individual influences the direction of public education. The responsibilities inherent in the job of a public school superintendent demand and require a basic knowledge of all areas of school administration (Educational Policies Commission, 1965).

.

1”

1”

(page number)

Definitions of key terms*.* (level 4). Within the context of this study, the following definitions were used:

AASA. (level 5) The American Association of School Administrators, commonly abbreviated as AASA, refers to the national organization of professionals from the field of educational administration.

Certification. The term *certification* means that the profession pronounces the certificate holder fully competent to perform at a high professional standard.

Educational administrator. The term *educational administrator* refers to a person employed in an official administrative leadership position such as superintendency.

1”

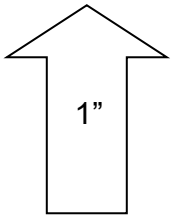
[Example of a vertical table]

Table 1
Descriptive and Exercise Training Characteristics of Nonrunning Control (CONTL) Group and Eumenorrheic (EUMNE), Oligomenorrheic (OLIGO), and Amenorrheic (AMENO) Runner Groups

Variable	CONTL (n=10-11)	EUMEN (n=21)	OLIGO (n=6-8)	AMENO (n=9=10)
Age	29.3±6.3	30.7±6.8	23.5±4.5	23.1±4.4
Height	163.3±8.0	164.6±5.3	166.0±2.8	171.5±7.7
Weight	61.0±7.9	57.2±5.2	57.6±5.0	59.2±8.2
% Body Fat	28.4±5.5	20.4±3.9	23.0±3.7	21.4±3.9

1 ½“

1”


1”

1 ½”

[Example of a horizontal table]

Table 1

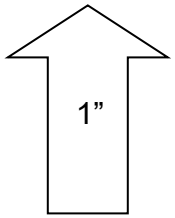
Descriptive and Exercise Training Characteristics of Nonrunning Control (CONTL) Group and Eumenorrheic (EUMNE), Oligomenorrheic (OLIGO), and Amenorrheic (AMENO) Runner Groups

Variable	CONTL (n=10-11)	EUMEN (n=21)	OLIGO (n=6-8)	AMENO (n=9=10)	OLIGO (n=6-8)	AMENO (n=9=10)
Age	29.3±6.3	30.7±6.8	23.5±4.5	23.1±4.4	23.5±4.5	23.1±4.4
Height	163.3±8.0	164.6±5.3	166.0±2.8	171.5±7.7	166.0±2.8	171.5±7.7
Weight	61.0±7.9	57.2±5.2	57.6±5.0	59.2±8.2	57.6±5.0	59.2±8.2
% Body Fat	28.4±5.5	20.4±3.9	23.0±3.7	21.4±3.9	23.0±3.7	21.4±3.9

1”

1”

Page Number


1”

2”

[Example of a references page]

REFERENCES

Allison, L., Bryant, L., & Hourigan, M. (Eds.). (1997). *Grading in the post-process classroom: From theory to practice*. Portsmouth, NH: Boynton/Cook.

American Psychological Association. (1992). Ethical principles of psychologists and code of conduct. *American Psychologist*, 47, 1597-1611.

American Psychological Association, American Educational Research Association, and National Council on Measurement in Education. (1995). *Standards for educational and psychological testing*. Washington, DC: American Psychological Association.

Ball, A. (1997). Expanding the dialogue on culture as a critical component when assessing writing. *Assessing Writing,* 4(2), 169-202.

1 ½“

1”

1”