College of Education and Health Services
School of Education

Center for Higher Education and Organizational Change
Dissertation Guide

Benedictine University
5700 College Road
Lisle, IL 60532-0900

Benedictine University educators are effective practitioners, committed to scholarship, lifelong inquiry, leadership and social responsibility.

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CONCEPTUAL FRAMEWORK
School of Education
Benedictine University

Benedictine University educators are effective practitioners, committed to scholarship, lifelong inquiry, leadership and social responsibility.

These four strands are woven into the education curriculum and are reflected in the expectations we have for our graduates:

Scholarship

Benedictine University’s education program requires that students have a firm understanding of the subject matter and a well-rounded background in sound pedagogical principles that promote understanding of the content. They stay abreast of research and technological advances and apply innovative strategies that enhance teaching and learning.

Lifelong Inquiry

Students readily approach issues and challenges in a proactive way by questioning and critically reflecting upon their current understandings. They seek out information, both individually and collectively, and formulate an in-depth knowledge base, grounded in research that informs their thinking and decision making.

Leadership

Benedictine educators are prepared for and willing to assume leadership roles that enable them to affect change and improve educational practice through the application of sound theory and ethical principles. They have learned how to be flexible, supportive, ethical and responsible and they use their knowledge to promote effective educational initiatives that enrich learning experiences.

Social Responsibility

Educators in Benedictine’s programs are dedicated to creating fair and equitable environments that support and enhance the learning of all students. They are able to accommodate their teaching practices in order to address individual differences. They strive to maximize each person’s potential by fostering self-esteem and motivation, and developing strategies that help learners deal with potential intellectual and social challenges. They promote professional relationships with others (colleagues, parents, agencies) to improve educational practice.
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Part I: Introduction to the Dissertation Process

Expectations of a Dissertation

The expectation of the Doctor of Education Program in Higher Education and Organizational Change is a publication quality Dissertation. The Dissertation submission is the final requirement leading to the Ed.D. degree. The manuscript is a scholarly document that reflects a concentrated period of study, research and analysis and partially fulfills the requirements of this advanced degree. Upon completion of the coursework, the document is presented to the Dissertation committee at a final review defense, and then offered as the final requirement for the degree. It is subsequently made available in the University library.

The object of the Dissertation project is to identify, research, and propose fresh recommendations concerning an issue of significance to Higher Education. The project may offer a suitable intervention to achieve a best practice result, assessing the institutional culture in which the intervention will take place. It might address a policy matter to improve the governance, funding, accreditation, effectiveness or management of the institutions, faculty, staff and students in higher education. It might address leadership issues germane to higher education. These areas of inquiry and study are neither prescriptive nor comprehensive.

In all cases, the Dissertation problem selected by students must address an administrative or leadership area of higher education. The program in Higher Education and Organizational Change prepares administrators and leaders, therefore non-administrative topics will not be accepted.

Most importantly, it is expected that the Dissertation provides a significant contribution to the field of study and demonstrates that the author is well versed in the subject matter and capable of high quality research. Students should be prepared to answer the “So what?” question regarding the relevancy and significance of their respective study.

If an intervention is chosen, it should achieve substantive change for an institution or institutions. It should achieve a best practice result. Candidates may initiate an intervention on their own or may partner with a major institutional initiative already in progress at their home institution. Every effort should be made to insure that the data collection process is successful. However, the intent of a quantitative Dissertation is to test the effectiveness an intervention, and justify the results regardless of the outcome. A strong use of research measures and solid analysis of factors that contributed to or inhibited the outcome is expected.

A qualitative study provides an alternative inquiry model that includes careful analysis and interpretation of phenomena. Typically this approach focuses on process rather than outcomes and utilizes carefully planned observation/s of participant/s, in-depth interviewing techniques and/or archival research in an effort to gather substantive data to support the research questions. Effective qualitative research requires a highly structured process for collecting, analyzing and interpreting data. The inherent value of the research depends upon the
researcher’s thoroughness and preparedness, attention to ethical considerations, and insightful and creative use of self-designed protocols that capture the essence of the research inquiry.

**General Guidelines**

Students’ work is overseen by a Dissertation Committee, comprised of the Dissertation Committee Chair, and two Committee members, the Dissertation Director, and Dissertation Reader or Technical Director.

Before beginning work on the Dissertation, students develop a Dissertation Prospectus, a proposal outline, which is formatively reviewed by the Dissertation Committee for feedback throughout HEOC 803 Dissertation Seminar: Dissertation Research. This course culminates in a Committee approved, Dissertation Prospectus, which charts the course for the Dissertation Proposal.

Subsequently, the Dissertation Proposal is finalized in HEOC 875 Dissertation Seminar: Dissertation Defense, and presented for approval by the Dissertation Committee, as part of the Oral Defense. Proposal approval results in Candidacy status, which affirms students’ preparedness for completion of the Dissertation. At this point in the process, students apply for IRB approval to begin their data collection. Official notification from the IRB validates that the research meets the university’s IRB requirements and expectations.

Students complete their Dissertation in HEOC 895 Dissertation (6sh) after the proposal defense has been approved, candidacy status has been conferred, and IRB approval is received.

Students are required to follow the recognized style of the *Publication Manual of the American Psychological Association* (APA manual).

**Dissertation Process: Events/Activities**

- Selection of Dissertation Topic
- Preparation of a Dissertation Prospectus (Dissertation Proposal Outline)
- Selection of Dissertation Chair and Committee Members
- Completion of Dissertation Proposal; Schedule proposal defense
- Completion of IRB approval form, subsequent to Proposal approval
- Implementation and Completion of the Dissertation
- Defend Dissertation before Committee and obtain approval

**Selection of Dissertation Topic**

Students begin the process of searching for a topic in HEOC 705 Issues in Higher Education. This initial course introduces students to major issues and challenges in the field of higher education. Students are encouraged to identify an area of interest, which is compelling, researchable, relevant, and valuable to the field. In the subsequent course, HEOC 715, students
are guided through the research process, based on their topic of interest. The course culminates in a mini-research proposal that serves as an initial foray into the Dissertation process.

Students continue to refine their topics as they progress through their coursework. HEOC 803 Dissertation Seminar: Dissertation Research provides an opportunity to embellish or revise the initial topic of interest or select another topic. As part of the seminar, students are expected to complete a Dissertation Prospectus and select members of their Dissertation Committee. The Prospectus addresses the problem and provides justification of its merit and relevance to the field. The Prospectus provides potential committee members with an opportunity to understand, more fully, the focus of the research and the quality of the work.

**Preparation of a Dissertation Prospectus (HEOC 803)**

The purpose of the Prospectus is to begin the process of conceptualizing the Dissertation Proposal and final Dissertation. The Prospectus addresses the research problem/issue and provides justification of its merit and relevance to the field. The Prospectus provides potential committee members with an opportunity to understand more fully the focus of the research and the quality of the work. The Prospectus should include an overview of recent research on the topic and should reflect students’ understanding and familiarity with substantive and seminal work in the selected field of study.

The direction of the Prospectus may be modified as the Dissertation begins to take shape and as more depth, details and insights emerge.

**Selection of Dissertation Chair and Committee Members**

Each student will prepare and defend a Dissertation Proposal and the final Dissertation under the guidance and assistance of a committee of three members.

All faculty must hold the doctoral degree. Exceptions will be considered in areas of particular expertise such as finance and technology.

Each committee will consist of:

*Dissertation Committee Chair.* This person will function as a reader (see below). S(h)e will also coordinate and monitor Dissertation arrangements between the EdD Program administrators, the Dissertation Committee faculty, and the candidate. S(h)e will work with the Program Coordinator to ensure that timelines and administrative arrangements are met.

*Dissertation Director.* This person will be the primary academic director of the Dissertation. S(h)e will be the content expert, guide and advisor on both the material and research design of the Dissertation. It is expected that the Director will be available to the student at reasonable and regular intervals of time and by mutual convenience. S(h)e will be the primary point of contact with the student on the Dissertation. Comments on the Dissertation by other committee members will be forwarded to the Director and not the student.
The Dissertation Director should be identified early in the student’s program and no later than the time of the HEOC 803 Dissertation Seminar. The Director should plan to work with the student from this time on to completion and defense.

*Dissertation Reader and/or Technical Advisor.* As reader, s(h)e will review the Dissertation in progress as requested, and in final drafts. S(h)e will comment and advise as appropriate on material and design. If requested and approved as Technical Advisor, s(h)e will collaborate with the Director and student on technical material, including but not restricted to quantitative research methodology, information technology, budgets and finance, or human resources.

*Note:* Should the Dissertation Committee Chair also serve as the Dissertation Director, students will then have two separate Readers. This configuration does not change the required total of three advisors.

*Expectations of Committee Members*
All committee members will attend the Proposal and Dissertation defenses as advocates for the student and the work prepared for presentation. They will participate in the defense as appropriate.

All Committee members collaborate and reach consensus regarding the status of the Dissertation prior to the final Oral Defense.

*Committee Member Selection and Approval*
Committee members will be identified by Ed.D. Program Administrators in cooperation with the individual student. The Chair will be a Benedictine Ed.D. faculty member.

The Dissertation Director will hold the doctoral degree, may be a Benedictine faculty member or may be a person elsewhere with equivalent and related credentials and experience.

The Reader and/or Technical Advisor may be a Benedictine faculty member or may be a person from elsewhere with equivalent and related credentials and experience.

All Committee members will usually hold the earned doctoral degree. Exceptions will be made in certain circumstances, such as for technical specialties or exceptional and relevant professional reputation and achievement. In all cases, at least two members of each Committee will hold the earned doctoral degree.

The Ed.D. Program Administration will review and approve all appointments and will provide faculty contracts with compensation commensurate with their respective role on the Committee. If you have selected a committee member who is not a faculty member at the university (full-time or adjunct), be sure to include a current resume/cv with your committee membership form.

Each Committee should be complete and operational toward the end of the student’s participation in HEOC 803 Dissertation Seminar: Dissertation Research.
Completion of Dissertation Proposal; Schedule Proposal Defense (HEOC 875)

Once the Prospectus meets the committee’s expectations, students will complete the Dissertation Proposal in HEOC 875 Dissertation Seminar: Proposal Defense. The Dissertation Proposal addresses the first three chapters of the Dissertation: Introduction; Review of the Literature; and Methodology. Students will plan to complete the Dissertation Proposal, while concurrently completing their coursework. Students are advised to establish a timeline for completing the Dissertation Proposal and to work closely with their Dissertation Director to ensure that the proposal is of the highest quality as a result of careful planning and effective time management.

The format for the proposal will vary depending upon the research problem, purpose and questions. Consult McMillan; Creswell, and other resources listed in HEOC 715, 755, 803, 825, and 875 syllabi for specific guidelines for quantitative, qualitative, and mixed research designs.

Sample Formatting Suggestions for a Dissertation Proposal:
(Note: Your Dissertation Director will provide guidance relative to the format and will help identify the appropriate structure, based upon your overall research intent)

Title Page

Abstract
Limit to approximately 150-300 words and summarize what you are proposing to accomplish. See APA guidelines for specific formatting expectations.

Table of Contents
Refer to APA for an explanation of heading levels.

List of Tables/Figures
Usually not part of a Dissertation Proposal unless a table or chart can clarify information presented in the Introduction or other sections. See APA for formatting.

Chapter One: Introduction
Include:
- A brief introduction to set the stage for the study;
- A clear statement of the problem/issue, which should be highly significant and substantive. Addresses literature sources that support a Theoretical and/or Conceptual Framework. Includes evidence to support the importance of the issue in higher education.
- A rationale for the study, which includes a discussion of the contribution this research will make to theory and/or practice, improving practice and policy (as applicable to your topic); include documentation to support the rationale.
• A precise statement of the purpose of the study, which frames a proposed process where a potential solution or insights can emerge.
• Guiding research questions typically for a qualitative study and hypotheses for a quantitative study.
• Research approach (e.g., QL: Grounded Theory, Ethnography, Narrative, etc.; QN: testing a theory, comparing groups, examining relationships; Mixed Methods) and justify;
• A description of the overall purpose of the remaining chapters.

Chapter Two: Review of the Literature
• Identify key resources that reflect the major categories that relate to your research problem and questions and provide a rationale for the categories selected.
• Consider providing an overview of the major bodies of research that relate to: the themes inherent within your research issue; the theoretical/conceptual frameworks that shape your proposed project; and the overall approach to your proposed methodology.

Chapter Three: Methodology
• Describe the methodology/methods selected and justify, relative to how they are appropriate relative to the research problem, research questions, purpose and current literature/research, and ground your description in a theoretical and philosophical framework. For example, a retention study of African American males may reflect a critical perspective that is informed through critical theory and critical race theory.
• Provide a detailed description of how the proposed methodology will be conducted. Delineate how data will be collected and how much time will be needed.
• Consider relating procedural steps to the research questions.
• Identify the process for “setting up” the proposed study, i.e., identify data-collection sites and the participants and justify the sites and participants relative to the problem under study.
• Include charts and/or tables that clarify the process, as applicable.
• Describe how data will be analyzed and include how reliability and validity will be addressed.
• Explain your research role and describe any ethical concerns that you may have, if you are conducting a qualitative study,
• Include a description of the data-collection instruments used (questionnaires, surveys, interview questions related to research/guided questions; interview guide; etc.) Include proposed instruments in an appendix in the IRB application.
• Include a section for Limitations and Delimitations for quantitative research. Describe any conditions, restrictions, or limitations, which may affect your results. (Include Limitations in Ch. 3, just for the Proposal)
• Consider defining unique terms and indicate how they relate to the study and identify any assumptions that you may have, related to the research.

Proposal Approval Process and IRB Approval Form

Your chapters will be revised as you work through the Dissertation process. Your Dissertation Proposal is scheduled to be completed in HEOC 875 Dissertation Seminar: Proposal Defense.
Your Proposal is reviewed initially by your Dissertation Director. Once your Director thoroughly reviews and supports your work, your proposal will be forwarded to your committee members for their feedback. Your committee should be reviewing your proposal at least two weeks before you schedule the Oral Defense. Typically the Director will work with the committee and will communicate with you regarding their feedback. Once the Committee reaches consensus, you are ready to schedule the hearing for your Proposal defense. Plan a 15-20 minute PowerPoint presentation of your Proposal to your committee. Also bring a copy of your completed IRB application to your Oral Defense. Once the Proposal is approved, your next step is to submit your IRB application and a copy of your validation of NIH training, to the University’s Institutional Review Board via your Dissertation Chair. Once approved, candidacy is conferred, which means you are ready to conduct your research and complete your Dissertation. Provide a copy of the Proposal Approval form to the Program Administrative Assistant. The approval form will become part of your Dissertation file, and serves as a verification of completion of this specific requirement.

**Institutional Review Board (IRB) Information**

The Institutional Review Board (IRB) is an administrative body established to protect the rights and welfare of human research subjects recruited to participate in research activities conducted under the auspices of Benedictine University. The IRB has the authority to approve, require modification of, or disapprove all research activities that fall within its jurisdiction as specified by both the federal regulations and local institutional policy. Research that has been reviewed and approved by the IRB may be subject to review and disapproval by officials of the institution. However, those officials may not approve research if it has been disapproved by the IRB. The IRB will follow established policies and procedures set forth by the National Institute of Health.

All persons who are conducting research under the auspices of Benedictine University are required to have their research reviewed by the IRB. Each research investigator must submit a request for review of research to their Chair, who in turn forwards it to the Institutional Review Board. In addition, you must submit an Informed Consent form for any human subject participation that may pose physical or psychological risk.

**Students must complete one of the IRB Review Request Forms** and bring the appropriate form to the Dissertation Proposal Defense. Please note that an **Expedited Form** is needed for Qualitative and Mixed Methods designs.

The form needs to be submitted to your dissertation Chair, in hard copy (signed by you) and in an electronic format. Your Chair will send this electronic copy to the IRB. IRB information can be accessed via:

https://www.ben.edu/academic_programs/IRB/index.cfm

Once the IRB members complete their review, the results will be forwarded to you and your advisor/Chair. At this time, you should make any recommended changes with the assistance of
your Chair, and send those corrections back to the IRB group reviewing your application. You should expect at least a two-week turn-around time at each step of the IRB process.

**Additional IRB Guidelines for Proposed Project Description of Human Participants and Qualitative Study Details**

**Purpose**
State purpose of study, major research question/s, goals of the study and the overall nature of the research approach you will be using.

**Design/Procedures:** Data Collection and Plans for Maintaining Confidentiality

**Recruitment of Participants:**
- How will you recruit participants? Describe the type of sampling you will use and justify. Provide support for the number of participants you will use in the study. If your study uses less than five participants, confidentiality may be jeopardized. Support the number of participants based on your methodology and justify with reference/s. Typically additional participants may be needed to support your analysis and should be included with a justification.

**Participant Population:**
- Describe the participants’ profiles (e.g. College Presidents, undergraduate students, gender, age range, ethnicity, etc., and as applicable).
- Clarify whether the groups are homogeneous or heterogeneous (e.g., Are Presidents from colleges in the same Carnegie Classification). Using heterogeneous institutions may inadvertently make a President identifiable. How will you control for confidentiality or is the nature of your research general enough to maintain anonymity. Explain and support with reference/s. If you are collecting demographic information or other personal indicators describe what information you are collecting and how it will be used.

**Procedures:**
- Discuss how you will conduct the study and describe what participants will be asked to do. Include copies of the interview questions. Risk of harm may result from a breach in confidentiality. What process will you use to minimize the risk of harm and ensure anonymity? If data from an interview is collected through videotape or audio recordings, who will be transcribing? If it is someone other than you, how will confidentiality be established? These details should be aligned with the contents of your Informed Consent Form, which you will include with your IRB application.
- How will the participants benefit from this research? Describe other benefits to the field of study, society, etc.
Data Analysis:
- Elaborate on the qualitative research approach that you will be using, e.g., Narrative, Phenomenology, Grounded Theory, Ethnographic, Case Study, etc., and justify by supporting and validating the appropriateness of the approach with research.
- Explain the process for coding your data and identifying emerging themes and categories or other frameworks (e.g., analyzing “stories” and “restoring” into a framework that facilitates an interpretation of findings in a Narrative Study). Explain how you plan to organize your data to facilitate your analysis and interpretation of the findings.
- Describe how you will establish the accuracy and trustworthiness of your findings, e.g., triangulation, member checking, intercoder agreement (establishes reliability); rich, thick descriptions (supports transferability of findings) (Creswell (2008), Ch. 10.

Privacy and Confidentiality

Protecting privacy interests of participants
- Describe your process for maintaining confidentiality of data during the data collection phase. Indicate how data will be stored after the study and subsequently destroyed (Include in the Informed Consent Form).
- For example, we recommend that you save your data on a flash drive, which will be stored in the Center for Higher Education and Organizational Change and destroyed after seven years. The flash drive should be labeled with following information: your name, cohort, date of defense, types of data (e.g., transcribed interviews, surveys).

Informed Consent

Procedures and Expectations for a written consent:
- Describe how you will introduce yourself to participants?
- Describe how, where and when you will obtain participant consent, and how much time will be needed for participants to make a decision.
- Confirm that your participants are 18 years or older, as applicable. Students who are under 18 years of age cannot sign the Informed Consent Form.
- If you plan to use an oral consent process, provide an information sheet that includes a list of points you will cover (similar to the script for written consent).
- Attach a copy of the written and/oral consent form/s, as applicable. Remember that the form/s should be aligned with your Proposed Project Plan.

Recommended Resources:


Program Graduation Policy

No Candidate may participate in Commencement until all Ed.D. program requirements are met and the candidate is approved for graduation by the Program Director.

The University awards degrees in May, August and December, with the graduate graduation ceremony only in June.

May Degree Award
A final approved dissertation, with signatures from the Dissertation Committee members must be submitted to the Program Director prior to April 30. The final copy with signatures from the Program Director and Faculty Member will be forwarded to the Dean by May 15. The Dean will complete the review, and sign the signature page prior to May 31. The Program Director will confirm each candidate’s eligibility for May award.

August Degree Award
A final approved dissertation, with signatures from the Dissertation Committee members must be submitted to the Program Director prior to July 31. The final copy with signatures from the Program Director and Faculty member will be forwarded to the Dean by August 15. The Dean will complete the review, and sign the signature page by August 31. The Program Director will confirm each Candidate’s eligibility for an August award.

December Degree Award
A final approved dissertation, with signatures from the Dissertation Committee members must be submitted to the Program Director prior to November 31. The final copy with signatures from the Program Director and Faculty member will be forwarded to the Dean by December 10. The Dean will complete the review, and sign the signature page by December 22. The Program Director will confirm each Candidate’s eligibility for a December award.

Those awarded degrees will be listed in the subsequent June Commencement book and may apply to march in that Commencement.

Candidates must follow Commencement timelines and procedures published on the University website.
Overview: Implementation and Completion of the Dissertation

Chapters 1-3:

Be sure to change the verb tense in Chapters 1, 2 and 3 to reflect the past tense, since the work has been completed at this stage in the process. Expect to revise these chapters so that they reflect your ongoing research and planning in the remaining chapters.

Chapter Four: Presentation of Data

In this chapter you will analyze and interpret your data as you respond to your research questions and/or hypotheses. If a qualitative study, be sure to include direct quotations from the subjects as per your interviews, observations, etc.

Chapter Five: Summary, Conclusions and Recommendations

The final chapter provides a summary of the chapters that lead to your conclusions. You can include recommendations that reflect a practical application of what was learned. Provide a discussion of your findings and interpret your results. For a qualitative study, consider including a model of what transpired in the study. It can be a visual representation (diagram, model, etc.) that illustrates how your research project is grounded in your findings/data.

Defend Dissertation before your Committee and obtain Approval

The Committee Director works with the student throughout the completion of the Dissertation. Once completed, the Director will review the document and share it with the committee members. The members will work with the Director, who will communicate the committee’s feedback to the student. Additional revisions are addressed by the student, reviewed and approved by the committee.

Your Committee Chair will assist you with scheduling your Dissertation Defense. You will forward the completed and final draft document to your Dissertation Committee Chair who will share it with committee members, as needed. Typically the committee reaches consensus before the defense but may request further edits/ revisions after the presentation. Additional revisions are addressed by the student and reviewed and approved by the committee.

Prior to scheduling the Defense, an abstract of the Dissertation is developed by the student and approved by the Director who sends it to the Chair and the Program Administrative Assistant, Kristin Logan, at klogan@ben.edu.

The abstract and announcement of the date and location of the hearing is posted online by the program Administrative Assistant, typically two weeks prior to the defense. Faculty in the College are invited and encouraged to participate, as well as our Ed.D. students. Presenters and participants who are unable to come to campus will use a webinar arranged and announced by the Program.
As part of the Defense hearing, begin with a 20 to 30-minute PowerPoint overview of the key points of your Dissertation study. Subsequently, the presentation will be open for questions from your committee members, and then the audience. If your committee recommends some changes, you will work with your Director, who will/may send the revised Final Draft to the committee members for their approval.

Bring 3-5 copies of the Title/Approval page, and type all necessary information on the page, including the names of your committee members, copied on high quality bond paper (see “Paper” requirements below). Give these pages to the Program Administrative Assistant. Committee member signatures will be added electronically by the Program Administrative Assistant.

After your committee approves your Dissertation, forward an electronic version to the Program Director, who will review, and may request further edits/revisions. When the Dissertation is fully approved, they will sign the Title/Approval pages and forward it to the Dean, College of Education and Health Services.

When the Dean approves the dissertation, follow the Dissertation Binding instructions in the Appendix.

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**Part II: Implementation and Completion of the Dissertation**

**Organization and Structure of Dissertation Contents**

The Dissertation may be arranged in the following order:

- Title/Approval Page
- Copyright Page (or blank sheet of paper)
- Acknowledgements (optional)
- Dedication (optional)
- Epigraph (optional)
- Preface (optional)
- Table of Contents
- List of Illustrative Material (as appropriate)
- List of Abbreviations, Glossary (optional)
- Abstract (optional in manuscript)
- Chapter I – Introduction
  - Background of Study
  - Statement of the Problem and Rationale
  - Purpose of the Study
  - Research Questions/Hypotheses
- Chapter II – Review of the Related Literature
- Best Practice
Additional related literature topics (if needed)

Chapter III – Method and Design
  Hypotheses/Research Questions
  Participants
  Instrumentation
  Procedures
  Design

Chapter IV – Analysis and Results
  Section One (if applicable)
  Section two (if applicable)

Chapter V - Discussion
  Summary, Conclusions, & Recommendations

Reference List
Appendices
Endnotes (optional)
Vita (optional)
Blank Sheet of Paper

Required Content Elements for the Ed.D. Dissertation:

Title and Approval Page

The title/approval page must conform to the sample in the Appendix. All characters must be capitalized and all lines properly centered. Because the left margin must be 1.5 inches to allow for binding, set all margins first and then center the information on the page. Use appropriate vertical spacing between the items on the page that results in an attractive format. The title page does not display a page number.

The title/approval sheet copy is provided to you to duplicate on the same stock paper that your bound copies are printed. Make sure you make enough copies and have each signed by your dissertation committee members. In preparation for the defense be sure to type in the names of your committee members using the format as per the sample (p. 26). The Dissertation Binding Instructions in the Appendix provides more details.

Copyright Page

Upon the completion of the dissertation, copyright privileges are enacted without the requirement of notice or registration with the government. However, if insertion is opted, the notice should appear by itself on the page following the title page. It should be centered and read:

Copyright by Jane Dane, (year)
All rights reserved.
Students who don’t wish to include a copyright page must include a blank sheet to prevent the text from showing through the white space on the title page. This page does not have a number on it and the page does not appear in the table of contents.

Optional Prefatory Pages

The acknowledgments, dedication, epigraph, and preface pages are optional. The dedication and epigraph pages are counted in the pagination, but page numbers are not shown and they are not listed in the table of contents. All pages of the acknowledgements and preface are numbered in lower case Roman numerals (e.g., iii) centered at the bottom of the page; these items appear in the table of contents.

Table of Contents

All pages are numbered in lower case Roman numerals centered at the bottom of the page. It is important that the table of contents accurately reflects the outline and organization of the manuscript; information in the contents must conform exactly to the material in the manuscript. The APA manual is to be followed in preparing the Table of contents.

Lists of Illustrative Material

Tables, illustrations, graphs, etc. that appear in the text must appear in an appropriate list that reproduces the specific titles and page locations of the material. These lists must follow the APA manual. All pages are numbered in lower case Roman numerals centered at the bottom of the page; the list appears in the table of contents.

List of Abbreviations, Glossary

These items are optional. If included, they must follow the APA manual. All pages are numbered in lower case Roman numerals centered at the bottom of the page; these items appear in the table of contents.

Abstract

Should not exceed 250 words. It should carry only the generic heading ABSTRACT centered above the text (do not include title). All pages are numbered in lower case Roman numerals centered at the bottom of the page; this item appears in the table of contents.

Components of a Typical Dissertation

The following provides a sample of how your dissertation may be organized. Your dissertation Director will provide guidance and suggestions. However, you will be expected to follow the recognized style of the *Publication Manual of the American Psychological Association* (APA manual).
Chapter I – Introduction (Background/Overview)
- Describe the purpose of the study and a rationale for its significance
- Provide a broad overview of the background information including the theoretical and conceptual framework
- Include a statement of the research problem
- Indicate the research questions and/or hypotheses
- Provide a definition of terms, as applicable
- Include Limitations and Delimitation/Assumptions (typically included with QN research)
- Identify the need or significance, which defines the problem relative to issues, concerns, practices or gaps in current studies
- Provide an overall justification for the direction of the methodology and examples of the knowledge and practices that will be gained from this work.

Chapter II – Review of the Related Literature
- Provide a thorough and critical analysis and synthesis of the literature related to your topic and overall study
- Substantiate the topic and methodology and provide a documented account to support the theoretical and conceptual framework for the study. The review positions the study within the context of current research in the field
- Organize the literature around themes related to your theoretical and conceptual framework. Summarize the key findings at the end of the chapter.

Chapter III – Methodology and Theoretical Research Framework
- Provide a statement of your research issues, problems or questions
- Describe the overall paradigm (e.g., quantitative, qualitative, mixed) and explains why it is appropriate for this study.
- Provide a substantive epistemological grounding for the methodology that is consistent with the theoretical and conceptual framework upon which the methodology is based.
- Demonstrate how the methodology connects the methods and proposed analysis with the research question/s or hypothesis/es.
- Discuss the role of the researcher (for qualitative studies), which may include the researcher’s previous experiences, identity, biases and assumptions that may impact data collection and interpretation
- Describe the group or sample used in the study and include selection criterion
- Describe in detail the procedures for collecting data, which is linked to the research questions
- Discuss how reliability and validity were determined
- Describe the plan for analyzing data in detail, and provide evidence to support that the basic assumptions of the study have been addressed.

Chapter IV – Analysis and Results
- Provide a detailed description of the procedures and results
- Organize findings so that they are in alignment with the research questions/hypotheses
• Provide narratives that inform your charts, tables, and/or figures, as applicable

Chapter V – Discussion, Conclusions and Recommendations
• Begin with a brief summary of the problem and the major results of your research
• Interpret the results within the grand scope of the applicable literature, the theoretical and conceptual framework, and limitations of the study and limitations, as applicable
• Identify the meaning behind the results, the causes and plausible consequences of these results
• Discuss your conclusions that reflect an analysis and synthesis of the results and the implications or consequences of your findings
• Provide recommendations for further study and dissemination of results.

NOTE: Also consult Roberts’ text, The Dissertation Journey

Reference List
The format of the reference list must conform to the guidelines prescribed in the APA manual.

Appendices
All appendices must be referenced in the table of contents and each must bear a descriptive title.

The first page of each appendix within your document should include, for example: APPENDIX A, followed by a brief description on the next line. All pages of the appendices must have page numbers. All material must meet margin requirements. Appropriate materials may include your survey or other investigative tool/s, the Interview Guide (interview questions), institutional agreement letter or cover letter, and data tables.

Vita (Optional)
Your vita, in narrative form with complete sentences (not a curriculum vitae or resume), should be brief, scholarly, and to the point. The general rule is to include only information regarding your education and professional work.
Preparing the Manuscript
In order to enhance readability and meet publication requirements, all manuscripts must conform to the specifications in this section.

Paper
All copies must be laser printed on high-quality white bond paper 24lbs. and at least 25% cotton. All paper must be 8.5 x 11 inches, free from holes and perforated edges, and unfastened in any way.

Print Specifications
Printing must be on only one side of the paper. The typeface must be consistent throughout the manuscript. To ensure quality reproduction, type size should be 10-, 11-, or 12 point size. Font size may be reduced to 10-point for larger figures or tables. Print should be letter quality with consistently clear and dense black characters. Recognizable dot matrix is not acceptable.

Margins
Every page of the manuscript must carry the correct margins. All material on a page (including page numbers) must be within the margins.

Standard Margins
All pages must have the following margins: (1) left margin: one and one-half inches wide (binding side); (2) right margin: one inch; (3) bottom margin: one inch. All pages, except those noted below, must have a top margin of one inch.

Special Top Margins
The first page of each of the following requires a top margin of two inches: title page, acknowledgements, preface, preliminary lists (but not the table of contents), abstract, chapter, endnotes, reference list, and vita. The first page of each of the following requires a top margin of three inches: dedication and epigraph.

Spacing
The main text throughout the manuscript must be double-spaced. Block quotations, captions, long-headings, and notes should be single-spaced with a double-space between items. Appendices may be single- or double spaced, depending on the nature of the material.

Titles
The first page of the following must carry generic titles, centered above the text and typed in full capitals: acknowledgements, preface, table of contents, preliminary lists, abstract, chapters, endnotes, reference list, and vita. As noted above, the first page of appendices is a cover page with a title centered in the middle of the page.

Documentation of Sources
Students are expected to follow the APA style, using parenthetical references in the body of the text and a reference list.
Illustrative Material
Tables and figures (e.g. charts, graphs, maps, drawings) are to conform to the APA manual. They may be reduced in size when necessary as long as they are readable. Titles and other descriptive matter should appear on the same page as the illustrative material: if it is not possible to fit this material on the same page, it must appear on the preceding page.
Part III
Program Forms and Guidelines

Signature pages for Proposal and Dissertation

IRB forms

Binding instructions
[Title of Dissertation]

A dissertation proposal submitted

by

[Full Name]

to
Benedictine University

in partial fulfillment of
the requirements for the
degree of

Doctor of Education
in
Higher Education and Organizational Change

Lisle, Illinois

Month and Year

Dissertation Committee Director Signature (Please print name) Date

Dissertation Committee Chair Signature (Please print name) Date

Dissertation Committee Reader (Please print name) Date

Dissertation Committee Reader (as needed) (Please print name) Date
[Title of Dissertation]

A dissertation submitted

by
[Full Name]

to
Benedictine University

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of the requirements for the degree of

Doctor of Education
in
Higher Education and Organizational Change

This dissertation has been accepted for the faculty
of Benedictine University

_________________________   _____________________
Dissertation Committee Director   Date

_________________________
Dissertation Committee Chair   Date

_________________________
Dissertation Committee Reader   Date

Julie M. Bjorkman, Ph.D.   Date
Program Director, Faculty

Richard Campbell, Ed.D.   Date
Acting Dean, College of Education and Health Services
**Benedictine University--Institutional Review Board**  
**Statement of Exemption Form**  
**Version 4-29-05**

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<th>Principal (Faculty) Investigator:</th>
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Check all that apply:  
- student project □  
- faculty project □  
- joint faculty/student project □  
- Other □ Specify:  
- Grant research □ Specify:  

**Title of Project**

---

**HIPAA: Health Insurance Portability and Accountability Act**

- □ Yes □ No  Will health information be obtained from the covered entity (a health care provider who bills health insurers)?
- □ Yes □ No  Will the study involve the provision of healthcare in a covered entity, such as Benedictine’s student health center?
- □ Yes □ No  If the study involves the provision of healthcare, will a health insurer or billing agency be contacted for billing or eligibility?

If you answered "NO" to all three questions, you are not subject to HIPAA and do not need to address Page 4 of this form. If you answered “YES” to any of the questions above, you are subject to HIPAA and must attach the HIPAA Worksheet.

<table>
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<tr>
<th>Citation of Exempt Category (definitions below):</th>
<th>□ 1 □ 2 □ 3 □ 4 □ 5 □ 6</th>
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**EXCEPTIONS:** Research involving vulnerable populations such as the mentally or cognitively impaired, prisoners, parolees, pregnant women, and fetuses, cannot be exempt from review even though it meets the criteria of one of the categories below. Research using survey procedures or interview procedures upon children cannot be exempt. Research involving observation of children’s behavior cannot be exempt if the investigator is a participant in the behaviors observed.
EXEMPTION CATEGORIES (45 CFR 46.101(b)): Research activities in which the only involvement of human subjects will be in one or more of the following categories:

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricular or classroom management methods.

2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employment or reputation. Research which deals with sensitive aspects of the subject’s own behavior such as illegal conduct, drug use, sexual behavior, or use of alcohol, cannot be exempt from review.

3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section if (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter. Research which deals with sensitive aspects of the subject’s own behavior such as illegal conduct, drug use, sexual behavior, or use of alcohol, cannot be exempt from review.

4. Research involving the collection or study of existing data, documents, records, pathological specimens or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly, or through identifiers linked to the subjects.

5. Research and demonstration projects which are conducted by or subject to the approval of federal department or agency heads and which are designed to study, evaluate, or otherwise examine: (i) public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.

6. Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the U.S. Food and Drug Administration or approved by the Environmental Protection Agency or the Food and Safety and Inspection Service of the U.S. Department of Agriculture.

CONTINUING STUDIES:

Is this a continuation of an existing IRB approved study? ☐ Yes ☐ No

If yes, please indicate when the IRB approved of the study: ______________________________________

and attach a copy of last year's approved exempt study.

Description of the Proposed Project: Please give a description of the proposed project on a separate page. In addition, indicate how subjects will be recruited, from where, and when. Also address the critical elements of your exemption category as indicated below:

Category 1: Specify whether 1. i or 1.ii applies and briefly explain.
Category 2: Assure that condition 2.i will be met and briefly explain how; and assure that condition 2. ii applies; and confirm that copies of test/survey/interview questions or items are attached.
Category 3: Explain why conditions 2.i and 2.ii cannot be met; and attach copy of test/survey/interview questions or items; and either assure and briefly explain that condition 3. ii applies, or explain subject’s public office and how it precludes anonymity (i.e., 3.i).
Category 4: Briefly explain the nature of the existing data/documents; and briefly explain either their public availability or the procedures to ensure anonymity and confidentiality.
Category 5: Briefly explain method by which the project is reviewed and approved by a federal department/agency head; and identify and describe which of the 5.1 - 5.iv categories apply.
Category 6: Assure that condition 6.i will be met; and assure via documentation regarding approved safety levels that condition 6.ii will be met.
Include attachments that are needed to conduct this study (e.g., Informed Consent Forms, instruments to be used). **If necessary, use additional pages to fully describe the project.**

**CERTIFICATION:** I certify that this research has been reviewed by my Department Chair or Unit Head and meets the requirements for exemption from review by the IRB. I also certify that I have the appropriate credentials and privileges to review this study and that the facilities are adequate.

Department Chair or Unit Head

__________________________________________________________

Date_________________________

Principal Investigator (faculty or staff member)

__________________________________________________________

Date_________________________

Faculty Advisor (if student is Principal Investigator)__________________________________________________

Date_________________________

**IRB Use Only: IRB REVIEW AND APPROVAL:**

IRB Chair__________________________________________________________

Approval Date____________

Exemption Category #____________________
Benedictine University--Institutional Review Board  
Expedited Review Form  
Version 4-29-05

## Principal (Faculty) Investigator:
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## Student and/or Other Investigator Advisor, Reader:
| Address: |  |
| Phone:   | E-Mail address: |

## Other Student and/or Other Investigator Advisor, Reader:
| Address: |  |
| Phone:   | E-Mail address: |

Check all that apply:  student project [ ]  faculty project [ ]  joint faculty/student project [ ]
Other [ ] Specify:  
Grant research [ ] Specify:  
Title of Project  

### HIPAA: Health Insurance Portability and Accountability Act

- [ ] Yes  [ ] No  Will health information be obtained from the covered entity (a health care provider who bills health insurers)?
- [ ] Yes  [ ] No  Will the study involve the provision of healthcare in a covered entity, such as Benedictine’s student health center?
- [ ] Yes  [ ] No  If the study involves the provision of healthcare, will a health insurer or billing agency be contacted for billing or eligibility?

If you answered “NO” to all three questions, you are not subject to HIPAA and do not need to address Page 4 of this form. If you answered “YES” to any of the questions above, you are subject to HIPAA and must attach the HIPAA Worksheet.

**NOTE: Research involving children** in which the investigator is an active participant must undergo an Expedited Review process. Obtaining parents’ permission for their children to participate in the research and, if possible, children’s assent are required components of the Expedited Review.

### EXPEDITED CATEGORIES

Identify the expedited review category which you feel this research activity may qualify under 45 CFR 46.101 and 21.CFR 56.110):  

- [ ] 1  [ ] 2a  [ ] 2b  [ ] 3  [ ] 4  [ ] 5  [ ] 6  [ ] 7  [ ] 8a  [ ] 8b  [ ] 8c  [ ] 9  [ ] 10
7. Clinical studies of drugs and medical devices only when condition (a) or (b) is met. (a) Research on drugs for which an investigational new drug application (21 CFR Part 312) is not required. (Note: Research on marketed drugs that significantly increases the risks or decreases the acceptability of the risks associated with the use of the product is not eligible for expedited review.) (b) Research on medical devices for which (i) an investigational device exemption application (21 CFR Part 812) is not required; or (ii) the medical device is cleared/approved for marketing and the medical device is being used in accordance with its cleared/approved labeling.

8. Collection of blood samples by finger stick, heel stick, ear stick, or venipuncture as follows: (a) from healthy, nonpregnant adults who weigh at least 110 pounds. For these subjects, the amounts drawn may not exceed 550 ml in an 8 week period and collection may not occur more frequently than 2 times per week; or (b) from other adults and children, considering the age, weight, and health of the subjects, the collection procedure, the amount of blood to be collected, and the frequency with which it will be collected. For these subjects, the amount drawn may not exceed the lesser of 50 ml or 3 ml per kg in an 8 week period and collection may not occur more frequently than 2 times per week.

9. Prospective collection of biological specimens for research purposes by noninvasive means. Examples: (a) hair and nail clippings in a nondisfiguring manner; (b) deciduous teeth at time of exfoliation or if routine patient care indicates a need for extraction; (c) permanent teeth if routine patient care indicates a need for extraction; (d) excreta and external secretions (including sweat); (e) uncannulated saliva collected either in an unstimulated fashion or stimulated by chewing gumbase or wax or by applying a dilute citric solution to the tongue; (f) placenta removed at delivery; (g) amniotic fluid obtained at the time of rupture of the membrane prior to or during labor; (h) supra- and subgingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques; (i) mucosal and skin cells collected by buccal scraping or swab, skin swab, or mouth washings; (j) sputum collected after saline mist nebulization.

10. Collection of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice, excluding procedures involving X-rays or microwaves. Where medical devices are employed, they must be cleared/approved for marketing. (Studies intended to evaluate the safety and effectiveness of the medical device are not generally eligible for expedited review, including studies of cleared medical devices for new indications.) Examples: (a) physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subject’s privacy; (b) weighing or testing sensory acuity; (c) magnetic resonance imaging; (d) electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, ultrasound, diagnostic infrared imaging, doppler blood flow, and echocardiography; (e) moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.

11. Research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for nonresearch purposes (such as medical treatment or diagnosis). (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. 45 CFR 46.101(b)(4). This listing refers only to research that is not exempt.)

12. Collection of data from voice, video, digital, or image recordings made for research purposes.

13. Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies. (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. 45 CFR 46.101(b)(2) and (b)(3). This listing refers only to research that is not exempt.)

14. Continuing review of research previously approved by the convened IRB as follows: (a) where (i) the research is permanently closed to the enrollment of new subjects; (ii) all subjects have completed all research-related interventions; and (iii) the research remains active only for long-term follow-up of subjects; or (b) where no subjects have been enrolled and no additional risks have been identified; or (c) where the remaining research activities are limited to data analysis.

15. Continuing review of research, not conducted under an investigational new drug application or investigational device exemption where categories two (2) through eight (8) do not apply but the IRB has determined and documented at a convened meeting that the research involves no greater than minimal risk and no additional risks have been identified.

16. Research using survey procedures or interview procedures upon children. Research involving observation of children’s behavior in which the investigator is a participant in the behaviors observed (45 CFR 46.101(b)).

CONTINUING STUDIES:

Is this a continuation of an existing IRB approved study? [ ] Yes [ ] No

If yes, please indicate when the IRB approved of the study:

and attach a copy of last year’s approved exempt study.
**Description of the Proposed Project:** Please give a description of the proposed project on a separate page. In addition, indicate how subjects will be recruited, from where, and when. Also address the critical elements of your expedited category as indicated above.

Include attachments that are needed to conduct this study (e.g., Informed Consent Forms, instruments to be used, and/or Children’s Assent Forms). **If necessary, use additional pages to fully describe the project.**

**SIGNATURES**

Principal Investigator ____________________________ Date ________________________
I certify that I have the appropriate credentials and privileges to conduct this study and that the facilities are adequate.

Faculty Advisor ____________________________ Date ________________________
Required for student investigators

Department Chair ____________________________ Date ________________________
I certify that the investigator has the appropriate credentials and privileges to conduct this study and that the facilities are adequate.

Dean of College ____________________________ Date ________________________
(Only required if research involves clinical studies with medical procedures or medical tests.)

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<th>IRB Use Only: IRB Review and Approval</th>
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<td>IRB Chair ____________________________ Approval Date ________________________</td>
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<td>Expedited Review Category # __________ Expiration Date ________________________</td>
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<td>Minimal Risk: ☐ yes ☐ no</td>
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<tr>
<td>HIPAA: ☐ Waiver of Authorization ☐ Recruitment Authorization</td>
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**Research Personnel**

Please list ALL research personnel involved in the conduct of this study. All personnel must complete the IRB approved educational program on the protection of human subjects, and provide to the IRB the certification and attestation forms verifying completion of the courses. **The IRB will not review a study without such forms on file for all research personnel.**

<table>
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<th>Name</th>
<th>Title</th>
<th>Department</th>
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**Who Obtains Informed Consent**

I, ______________________________________________ do hereby attest that the following research personnel have read the protocol, understand the study, and are fully knowledgeable of ALL details of the protocol and are able to answer ALL questions from research subjects such as risks and alternative treatments and therapies. Such personnel may obtain informed consent from research subjects along with the principal investigator.

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<th>Name</th>
<th>Title</th>
<th>Department Signature (required)</th>
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**Principal Investigator’s Attestation:**

Signature of Principal Investigator ____________________________ Date ________________________
Dissertation Binding Instructions

After your dissertation has been successfully defended, you must submit three (3) hard copies of your dissertation to the Ed.D. Program Administrative Assistant, Ms. Kristin Logan klogan@ben.edu along with the necessary binding payment.

The Administrative Assistant will add your signature pages and will then submit the copies to the library for binding.

Two copies are placed in the library and one copy is returned to the student. You may order additional copies at the binding cost per copy. Additional copies will require additional signed approval forms.

Dissertation Title/Approval Page: Please type all necessary information on the page, including the names of your committee members, and be sure to make as many copies as you require.

Dissertation Binding Instructions: It is the student’s responsibility to have copies of the dissertation laser printed on high quality, bond paper, 24lbs., and at least 25% cotton. It is suggested that the printing be done at a professional establishment to assure quality. All paper must be 8.5 x 11 inches, free from holes and perforated edges, and unfastened.

The cost of binding is available from the Assistant to the Dean (829-6084). Each student is responsible for the cost of the binding. Copies of your dissertation should be placed in a small box, with your name clearly marked on the outside of the box. The box should be given to the Ed.D. program Administrative Assistant. Your check in the appropriate amount should be made to out to Houchen Bindery and placed in a sealed envelope. The envelope should be paper clipped to the Dissertation Binding Instruction sheet, which is placed on top of the dissertation copies.

Binding generally takes between two to three months. The Periodical Librarian (630-829-6061) will notify you when your bound copies are ready. You can pick them up from the circulation desk.
Dissertation Binding Instructions Form

Title of Dissertation on Front Cover:

By (Type your name):

Year:

Shortened Version of Dissertation Title to be placed on the Spine:

__________________________

(If your title is too long, the bindery will shorten the title that is placed on the spine, but the full title of your dissertation will appear on the front cover.)

Month: ___________ Year: ___________

Binding Style:
(Please Circle One) Red Leather Cover with Gold Letters
Black Leather Cover with Gold Letters

Number of Copies: ______
Three (3) Copies are required, plus any additional copies.

Student Contact Information:

Name: ____________________________

Address: ____________________________

Phone: ____________________________

E-mail: ____________________________