

University of **Insert**  
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TWELVE WORDS

A dissertation submitted in partial satisfaction  
of the requirements for the degree of  
Doctor of Education in Organizational Leadership <**degree**

by

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This dissertation, written by

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under the guidance of a Faculty Committee and approved by its members, has been submitted to and accepted by the Graduate Faculty in partial fulfillment of the requirements for the degree of

DOCTOR OF EDUCATION

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optional page

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## TABLE OF CONTENTS

LIST OF TABLES .....	vii
LIST OF FIGURES .....	viii
DEDICATION .....	ix
ACKNOWLEDGEMENTS .....	x
VITA.....	xi
PROPOSAL SUMMARY OR ABSTRACT.....	xii
Chapter 1: Introduction.....	1
Background.....	1
Problem Statement.....	1
Purpose of the Study.....	2
Theoretical Framework .....	3
Research Questions..... [or Hypotheses]	4
.....	4
Importance of the Study .....	5
Scope of the Study .....	5
Limitations of the Study .....	5
Assumptions About the Study .....	7
The Researcher’s Background.....	7
Definitions of Terms.....	8
Organization of the Study.....	9
Chapter 2: Conceptual Support and Review of Literature .....	11
Thorough Literature Review .....	12
Targeted Literature Review .....	13
Avoid Overly-Extensive Descriptions of Sources.....	14
Chapter 3: Methodology.....	16
Research Model (or Research Design) .....	16
Description of Variables.....	19
Data Sources .....	21
Population.....	23
Participants.....(Could also be named with the heading Sample)	23
.....	23
Sampling Method .....	23
Participant Recruitment .....	24

Data Collection Procedures .....	24
Data Processing .....	26
Instruments .....	26
Data Analysis.....	27
Validity and Reliability Concerns .....	27
Human Subjects Protections.....	28
Instruments .....	31
Deciding How Much Detail to Include .....	32
Chapter 4: Results.....	34
Chapter 5: Discussion.....	38
Conclusions .....	39
Implications .....	39
Recommendations .....	40
Summary.....	41
REFERENCES .....	43

## LIST OF TABLES

	Page
Table 1. Title of Table .....	
Table 2. Title of Table .....	

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## LIST OF FIGURES

Page

Figure 1. Figure caption .....

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## DEDICATION

This dissertation is dedicated to . . . . . (This is a standard way to begin, but you are free to omit this page or to say what you wish.)



## ACKNOWLEDGEMENTS

I would like to thank . . . (it is customary to thank the dissertation committee members, but you are free to acknowledge the help of anyone you wish to.)

VITA

Jane D. Student

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EDUCATION

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## PROPOSAL SUMMARY OR ABSTRACT

Do not indent the first line of the abstract. Always use digits/numerals for numbers in the abstract, regardless of general APA rules. Use the full name of any acronym and include the acronym in parentheses. The abstract must be under 120 words for general publication and under 350 words to meet Pepperdine University's requirements.

Typically, the abstract should not contain any source citations or footnotes. Most schools require one page or less in length, double-spaced with no paragraph breaks. The abstract should contain (a) a statement of the problem or issue studied; (b) research objectives and/or questions; (c) the research methodology employed; (d) a brief description of participants, if any; and (e) a summary of the main results and conclusions. Describe the overall research problem being addressed in the first couple of sentences and indicate why it is important and who would be impacted if the problem were to be solved. You can include a general introduction of the issue in the first sentence, followed by a clear statement of the research problem being addressed. Identify the purpose and theoretical foundations, if appropriate. Summarize the key research question(s). Briefly describe the overall research design, methods, and data analytic procedures. Identify the key results in one or two conclusions. Add only recommendations that capture the heart of the research.

## **Chapter 1: Introduction**

This first section should be a brief introduction to your topic to provide a context for the other sections of this chapter. Some faculty members prefer that this section be brief, half a page or no more than two pages. Others expect this section to be much longer. You may also be expected to include an overview of what is contained in the chapter. The APA 6th edition manual states not to begin with a heading of Introduction. Simply begin by introducing the topic (American Psychological Association, 2010, p. 63, section 3.03).

### **Background**

The background is an overview of why this research topic is currently of theoretical interest or of important social or practical concern. This section briefly describes the current status of research in the area. More detailed descriptions should be found in Chapter 2.

### **Problem Statement**

This section should be a brief statement that identifies the need for the study. You could mention the existing or potential impact of certain events or conditions on various stakeholders, and especially those stakeholders who are the focus of your study. Is there a social, political, or economic problem that results from a lack of knowledge about your topic? You might describe a very specific problem, then a more general related problem that is the eventual outcome of not solving the specific problem.

For some studies, there may not be a specific problem; the research may simply add to a body of knowledge. In that case, the section Purpose of the Study and the section Importance of the Study will suffice, so the Problem Statement section might be omitted.

## **Purpose of the Study**

This section should explain what you plan to accomplish in the overall picture and should relate directly to the problem statement without repeating the problem statement. Mention the overall type of study as one of the following:

- An exploratory study is usually undertaken when little is known about a topic.
- A descriptive study seeks to describe but not to draw conclusions about cause and effect.
- An explanatory study is conducted to test relationships among variables by seeking answers to questions or by testing hypotheses.

In the final stages of writing the proposal, it would be helpful to pick your most accurate and comprehensive sentence describing the study purpose then go through the entire study to make sure this same description is used each time. Although in other types of literature such repetition would be boring and lacking in creativity, in a formal scientific study the need for accuracy and consistency is more important.

State whether your study is quantitative, qualitative, or mixed method. Mention the basic research model or design (see the list in Chapter 3 of this template). State the population of the study and the geographic area or location for the study. This section also answers questions such as the following: Are you seeking to simply fill a gap in the existing body of knowledge about your topic? Are you seeking answers to questions in order to provide policy-makers or practitioners with information that could inform best practices? Are you conducting a program evaluation that is needed to (a) maintain funding and validate current operating modes, (b) discover possible deficiencies, or (c) determine how to correct known deficiencies? Are you assessing a program's positive or negative outcomes, or both? Keep the section concise, no longer than one page.

**Importance of the Study**

This section, if your advisor would like you to include it, could explain the expected implications of conducting or not conducting your study (i.e., the implications of the resulting information being available or not to the public or policymakers).

**Theoretical Framework (or Nature of the Study)**

The theoretical framework is presented in the early section of a dissertation and provides the rationale for conducting your research to investigate a particular research problem (StatisticsSolutions, n.d., para. 1).

Postpositivism, like positivism, is a perspective coming from an assumption that causes are the reasons for outcomes. Research conducted by postpositives, such as scientific experiments, seeks to identify and evaluate the reasons for different problems. Usually the researcher begins with a theory, where focus is placed on observation and measurement of the observations, believing that there exists an objective truth, though understanding that it can be know only imperfectly. This philosophy usually begins with a theory with objective data gathering, observations, and/or instruments to test the theory. The quantitative method of research works well with the postpositivism worldview.

From the social constructivist perspective, the researcher looks at the subject's interpersonal relationships, interactions, and endeavors to understand the research subject's environment. In striving for this understanding the researcher uses open-ended questions to assist in developing a theory or meaning. The qualitative and sometimes mixed method of research works well with the constructivist worldview.

The advocacy or participatory philosophy is concerned with politics, advocating reform for social issues. The researcher advocates for the research participants (particularly people, organizations, or groups that may be alienated from society) through an action plan directed at changing perceived injustices such as suppression or inequality.

In the pragmatic worldview, the researcher is concerned about solutions to a problem and uses all methods in striving to understand the problem, which could include any of the above-mentioned methods (i.e., quantitative, qualitative, and/or action plan). This worldview evolves from situations and consequences with a focus on what works, for the researcher to derive an understanding of a problem. The mixed method of research is the favored application for the pragmatism worldview (Creswell, 2009, pp. 7-11).

### **Research Questions [or Hypotheses]**

The main questions answered in this study are as follows:

[or] The hypotheses investigated in this study are as follows:

- 1.
- 2.

This section ideally should mention the rationale for the questions or hypotheses. In the hypotheses, you need to use concepts that are going to be measured. If integrity and trustworthiness have the same “score” type or measurement type (i.e., the same operational definition), then pick one or the other term to simplify, otherwise readers will expect these are separate concepts separately measured.

### **Importance of the Study**

Explain briefly why the information to be gained through your study is important and to whom it is important. For example, will the findings be helpful to policy makers? Who might benefit from your study and how will they benefit? This section should ideally be no more than a page long. This is not the place for details; it is an overview.

### **Scope of the Study**

Describe the scope of your study. This section is sometimes called *delimitations*. How comprehensive is your study? For example, if you are studying management styles, are you specifically focusing on for-profit organizations or are you also including non-profits and governmental organizations? If you are studying a specific psychological disorder or learning disorder, are your findings meant to apply to only that specific disorder, excluding those with dual diagnoses? If you are conducting a program evaluation, you might specify what type of evaluation. For example, Stufflebeam (2002) gives several categories of evaluations, including the following: context evaluation, input evaluation, impact evaluation, process evaluation, outcome effectiveness evaluation, sustainability evaluation, and transportability evaluation (p. 9). You might mention which of these apply to your program evaluation and which do not. While defining the scope, you will likely also indicate what your study does not cover. This section is sometimes referred to as delimitations. According to Creswell (2005), these are established by researchers to constrain studies in an effort to provide specific generalization of the results.

### **Limitations of the Study**

Creswell (2005) defined research assumptions as factors potentially influencing the findings of a study but beyond the control of the investigator.



Limitations refer to the internal validity of the research, the extent to which the results will be credible and trustworthy (Johnson & Christensen, 2004). This does not mean limits in scope, but how the study might fall short of ideal methods (i.e., necessary limitations on sample size).

What factors impose limits on interpreting the results? This is not the place to go into detailed description of methods or of validity or reliability concerns; it is simply to briefly itemize those concerns. (The time and place to go into detail is after the study is completed, as a limitations section in Chapter 5.) In this section, you might simply state that limits of the sample size or practical restrictions that prevent you from using ideal sampling methods will limit your ability to make generalizations about the results of your study. Are you conducting a pilot or preliminary study lacking a sufficiently large sample for statistical significance? If verbal reports are used and no other data, you might mention the possible biases that may be inherent in relying on verbal reports, such as participants' accuracy of memory or response biases. Are there practical considerations or policies that prevent you from choosing a stronger experimental design? Are the available data sources limited in size or scope? For example, are you limited to use of an incomplete set of archival data? Are you limited in recommending the program or curriculum you are developing because it is only being tested on certain age levels, stages of proficiency, or specific diagnostic categories? In your specific institutional setting, would it be difficult or impossible to randomly assign participants to different treatment groups or types of programs? Is it not possible or practical to include a control group, due to concerns about fairness to the participants? This section answers these types of questions.

### **Assumptions About the Study**

For the purposes of this study, the researcher assumes the following: [These are examples of the type of information included in this section. These are written in very general terms. Ideally, yours would be more specific. Creswell (2005) defined research assumptions as factors potentially influencing the findings of a study but beyond the control of the investigator. These factors are also beyond the scope of available literature to confirm. If there are factors that have literature to give evidence of their status, then they do not need to be in the assumptions section but rather would be mentioned as part of the literature review.]

1. It is assumed that the trained, independent raters scored the pre- and post-treatment assessments objectively and accurately.
2. It is assumed that all respondents to questionnaires, interviews, and understood the questions and answered honestly.
3. It is assumed that the researcher's on-site observations were representative of the normal day-to-day occurrences.
4. It is assumed that implementation of the curriculum or program used in this study can be duplicated in most similar institutions, in other instructional settings, and in other parts of the nation or other nations.

### **The Researcher's Background**

This should be a brief section that mentions your qualifications for conducting the research. This section might do the following:

- Show your ability to make accurate observations, based on your familiarity with a setting.

- Show your ability to gain access to the population, due to membership in the organization or due to personal values that are known to be in line with those of the agencies involved.
- Show your ability to accurately interpret the results, based on your familiarity with a setting or an organization.
- For qualitative studies, this section is often used as a disclosure of potential biases of the researcher, given that some degree of researcher bias is assumed, regardless of the researcher's intention for objectivity or bracketing.

### **Definitions of Terms**

Define all research variables. Also define field-specific terms to clarify potentially unfamiliar usage of terms. When possible cite the literature to defend your definitions.<sup>1</sup>

- Operational definition: Define the key variables, not with the common understandings or dictionary definitions, but in exact and observable terms according to the measures used in your study. This should bring a clear demarcation to a measure of an abstract concept. The common usage of a word cannot be relied on because it may not match exactly the scope or exact nature of the operational definition for your study. A definitions section helps start the reader out with a complete understanding of the concepts. Otherwise some readers not familiar with the terms may simply read on without looking these up and may

---

<sup>1</sup> For Pepperdine students: If you use level 4 heading format (indented, italicized, only first word capitalized) for your list of definitions, then you either have to include each of these in your table of contents (which is cumbersome if you have many definitions) or you must omit/remove all level 4 headings from the table of contents. The dissertation support office is firm on this rule. Instead, you could use the bullet format as shown, which has been approved by the dissertation support office.

not grasp your study as a result. Alternately, if there are only a few, these terms could be defined in footnotes.

- **Procedures:** This term refers to the processes used during the study. These are included in detail not only so that the reader can assess the usefulness and validity of the study that could be affected by the procedures, but also so that future researchers could replicate the study using the same procedures. This would afford the future researcher with more justification for comparing the results of his or her study with the earlier study. These include primarily sampling procedures and data collection procedures, but other procedures may be of interest also, such as acquiring permission for access to populations or sites.
- **Brainstorming:** For the purpose of this study, this term refers to a team process technique in which the leader in generating ideas guides the members of a group. Each member spontaneously contributing ideas until all ideas have apparently been exhausted does this. All ideas are listed. Evaluation judgments are not made during this process. (This entry is included as an example of a description of a procedure that might be used in a study or might be the topic of a study.)

### **Organization of the Study**

This dissertation is divided into five chapters. Chapter 1 discusses the basic premise of this study. This chapter also includes the theoretical framework, significance, and relevant definition of terms within this study. Chapter 2 contains a description of the \_\_\_\_\_, the [organization or population] that is the topic of this study. Chapter 2 provides a review of the most current and relevant literature on this topic [and/or] a review of

classic texts related to this topic. Chapter 3 presents details of the methodology used in this study, including descriptions of the research design, instruments, and procedures. Chapter 3 also discusses the population for this study [or provides a detailed case description, if a case study]. The results and research findings, including statistical analysis and data interpretation, will be presented in Chapter 4. Chapter 5, the conclusion, will include an overview of the study, a discussion about what the researcher found, recommendations for the practical application of the findings, and recommendations for future research.

## **Chapter 2: Conceptual Support and Review of Literature**

The literature review provides the reader with (a) a basic understanding of concepts necessary to comprehend the research results and discussion, (b) a rationale for undertaking the research study, as well as (c) a more comprehensive description of the basis for generating the research questions and hypotheses (going into more depth in the same topics introduced in the background section of Chapter 1). The chapter ends with the summary of relevant literature's results.

In citations, author statements should be referred to as past tense occurrences (i.e., *the author stated, believed, argued*, et cetera rather than *states, believes, argues*, etc.). This makes sense when you consider that the author may have changed his or her views since the time of the publication you are citing.

### **Historical Overview**

A brief presentation of founding research may be appropriate. You might discuss gaps in the research as well as reasons for these gaps.

### **Current Findings**

You might organize this section by discussing general and then specific findings, or you might discuss findings chronologically. Offer the reader different points of view, attempting to set aside biases you may have. The logical flow of ideas should be clarified by transitions between the sections. It would be helpful to readers to state at the beginning the reason for the order of presentation.

## **Extensiveness of Literature Review**

There are two opposite approaches to literature reviews discussed in this section. The approach you take will depend on your own preferences as well as the perspective of your chairperson and committee. The first type of literature review discussed focuses on breadth of investigation, while the second focuses on depth of investigation.

**Thorough literature review.** To conduct a thorough literature review requires that you read all the literature that pertains to your topic that has been published within the last 10 years. This approach demands a sufficiently narrow and specific topic in order to remain manageable. This approach has some benefits.

The thorough approach has the following benefits:

1. You may establish yourself as a thoroughly informed researcher and an expert on your topic.
2. You will be able to determine a specific gap in the available literature and design a study to address this gap, thus ensuring a meaningful contributing to the ongoing body of work.

On the other hand, the main difficulty with this approach is the risk that if your topic is not narrow enough, you may encounter an enormous amount of relevant literature, resulting in several problems. Specific difficulties with the thorough approach might include the following:

1. You may produce a textbook-length literature review that most readers will skip over and that your committee members will find exhausting. Your chairperson might insist on condensing the review. If there is a large amount of research on your topic, you might focus only on the most recent 10 years or the most recent 5 years, relying on these sources to give a general background on the progress of research on your topic.

2. You may delay your graduation because of the amount of time it takes to read, organize, and synthesize an extremely large body of available literature on your topic.
3. You will likely incur a substantially larger bill for editing services if you require them.

**Targeted literature review.** To conduct a targeted literature review means that you choose carefully among the available literature to include only those that are necessary to establish background information for your study. You may want to search only for studies that (a) confirm or disconfirm your particular hypothesis or (b) answer your particular question (S. Krashen, personal communication, May 24, 2005). You definitely will want to include studies that disconfirm your hypothesis or answer the question in ways that do not agree with your views because (a) you will present a more objective view of the topic, (b) you will be able to refine and strengthen your own arguments by taking into account the opposing views, and (c) this gives you a chance to refute the opposing claims. You also should mention that the scope of your literature search was limited.

The targeted approach has the following benefits:

1. You can bypass many sources that are somewhat related to your area of interest but that are largely irrelevant to the point you wish to make, thus saving much time.
2. Your literature review section will be concise and to-the-point, resulting in a readable and perhaps more publishable piece.

The difficulties with the targeted approach might include the following:

1. You might leave out many relevant sources and thus introduce a biased view of the current research regarding your topic.



2. You must justify to your chairperson and committee that this is a relevant approach to your topic, because some faculty members will prefer the thorough literature review approach.
3. In order to find enough relevant data, you might need to (a) search out unpublished sources or personal communication on the topics, or (b) include sources that are published more than 10 years past. Most academicians expect sources cited to be published within the past 10 years of the publication of your dissertation, unless the sources are scarce and except when classic and foundational works in the field are cited.

### **Avoid Overly-Extensive Descriptions of Sources**

Whichever approach you choose, a literature review is not the place to include a synopsis of the content for each source that you cite, but only to relate the research to your study.

Citations can be made in brief statements such as the following: “Several recent studies indicate that . . .” (Aspen, year; Birch, year; Dogwood & Cherry, year). This suffices to establish your point, gives proper credit for authorship, and allows the reader to go to those sources for further information if desired.

### **Use Recent Citations When Possible**

Most academicians suggest using resources no more than 10 years old when possible. It is acceptable to have some resources cited that are older if they are (a) classic studies and not outdated by new findings or (b) contain crucial points not present in more recent studies. New research and literature are continually emerging, so your review should contain mostly findings and theories that are current.

**Literature Search Parameters**

Some schools prefer the inclusion of a section describing the search terms and databases used.

**Summary**

The most useful summary is one that (a) lists the main concepts; (b) briefly reiterates or clarifies relationships between these concepts; and (c) presents a conclusion about the literature, such as that leading researchers are in conflict or are in general agreement about key points.

### Chapter 3: Methods

Leonardo (1998) distinguished between methodology and method, arguing that methodology is what guides our thinking about research, while method concerns the practices utilized to collect data in a study. Methodology, then, is intertwined with the theoretical basis of the study, while the term *methods* would be more related to how the research questions are answered. Both are typically described in Chapter 3, and either term is often used as the title for Chapter 3.

Although there is some overlap and they often seem to be used interchangeably, many academicians also differentiate between the terms *method* and *design*. Methods most often refer to a broader categorization: quantitative, qualitative, or mixed methods. Design can be experimental, correlational (using data from a survey or observations), or descriptive (as in presenting tallies and percentages or verbal descriptions). A design is subordinate to a method but a method is not subordinate to a design. Conventionally certain designs are more associated with either quantitative or qualitative data, but this is not necessarily the case. For example, in a mixed-method study, qualitative data in the form of interview transcripts could be coded and counted, then quantitative comparisons could be made between demographic variables and the frequency counts.

The data collection procedures are subordinate to a design. The procedures section lists a detailed description of how you'll implement the design step by step.

#### **Research Model (or Research Design)**

There are the three over-arching types of research design: exploratory, descriptive, and causal. The goal of exploratory research is to discover ideas and insights, to define a problem

more clearly, and/or generate hypotheses. This is typically accomplished using qualitative data. Descriptive research is usually concerned with describing a population with respect to important variables. Qualitative, quantitative, or mixed methods are appropriate to use, depending on the research questions and data sources. Causal research is used to establish cause-and-effect relationships between variables, which demands quantitative data and analysis to be accepted as statistically valid. Qualitative methods would yield only anecdotal evidence, so any perceived cause-and-effect relationships would be regarded as a hypothesis formation, not hypothesis testing. Experiments are commonly used in causal research designs because they are best suited to determine cause and effect (p. 27).

These are listed somewhat in order from the most conventional (or most convincing) to the least conventional for dissertations or theses in the fields that require APA style. Your study might fall into one or more of the following categories:

- An experiment (an empirical study, which uses quantitative methods of analysis, can be complex to carry out but is the only model that strongly suggests directional causality)
- A descriptive correlation study (a model typically using quantitative methods of analysis for data sources such as a survey or archival data)
- A descriptive phenomenological study using qualitative methods of analysis (e.g., interviews, observations, or use of archival data), which can include quantitative measurements of data
- A mixed methods study using both quantitative and qualitative methods (e.g. a descriptive study such as a correlation study or case study that includes both numerical and textual data)

- A descriptive in-depth case study with findings which explain the theoretical and/or practical aspects of a topic of interest (could use qualitative and/or quantitative methods of analysis, and could include archival data or active databases if the case topic is an organization or system)<sup>2</sup>
- Program development projects (the structure and nature of the program is supported by the literature review)<sup>3</sup>
- Program evaluation projects (using descriptive and/or empirical methods)
- Product development projects (including curriculum design, for example)
- Product evaluation projects (could include a non-physical product, such as software or a system design)
- An original theoretical analysis of an existing issue and/or extended literature review
- The development of a new model for organizational and/or practitioner interventions
- Action research that involves discovering and implementing a solution<sup>4</sup>

An excellent detailed description of some of the above-mentioned designs can be read in the University of Indianapolis dissertation handbook available online. Note that the organization of this chapter is geared toward empirical studies. This section describing research methods might have the following functions:

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<sup>2</sup> This is a typical method in the field of anthropology.

<sup>3</sup> Program development and evaluation has been common in the fields of education and business, while product development and evaluation has been more common in the field of business and other production-oriented fields.

<sup>4</sup> Action research has typically been associated with activist concerns, particularly with social injustice, and often involves inclusion of others (such as students) who assist in carrying out the data collection and implementing the planned solution.

- Explain why your research design is appropriate for answering your research questions or testing your hypotheses.
- Clarify your unit(s) of analysis. Are you comparing individuals within a group (e.g., teachers), are you comparing groups (e.g., the faculty of various schools), or comparing institutions (e.g., comparing the outcomes or policies among schools).
- Clarify your operational definitions. See Appendix A: Research Question Matrix.

Belli (2008) describes classification of research across two dimensions. The first is classification based on purpose, which can be descriptive, predictive, or explanatory. The second is classification based on time, which can fall into one of the following three categories:

1. Cross-sectional research, in which data are collected at one point in time, often in order to make comparisons across different types of respondents or participants.
2. Prospective or longitudinal research, in which data are collected on multiple occasions starting with the present and going into the future for comparisons across time. Data are sometimes collected on different groups over time in order to determine subsequent differences on some other variable.
3. Retrospective research, in which the researcher looks back in time using existing or available data to explain or explore an existing occurrence. This backwards examination may be an attempt to find potential explanations for current group differences. (p. 66)

Law et al. (1998) describes various forms of qualitative studies.

**Qualitative methods.** There has been a trend toward increased use of qualitative methods, especially for the EdD degree. On the one hand, there is value in this type of study. However, students should be cautioned that if they fail to employ the methods accurately, it may

seen by readers as simply taking the easy way out (i.e., a choice made simply because of not knowing statistics well). When using network sampling (also called snowball or chain sampling), who's to know you didn't simply pass out a survey to your own cohort? It is important to detail your recruitment procedures, detail your data collection procedures, and to strive to conduct your study with as much academic integrity as possible. Network sampling is necessary for groups that are hard to find, such as underground or typically non-self-disclosing identities. In most cases, a researcher can solicit a wider variety of participants by simply posting an advertisement at bulletin boards, an ad on the types of paper publications or websites particularly aimed at that group. That will enable researchers to reach a more diverse group than they would by network sampling. It still won't be a random sample, but it may be as close as you can realistically get.

### **Descriptive Studies**

The distinction between descriptive statistics and inferential, also known as inductive, statistics is that descriptive statistics aim to summarize a data set, rather than use the data to learn about the population that the data allegedly represent. This generally means that descriptive statistics, unlike inferential statistics, does not have a basis in probability theory (Trochim, 2006).

### **Description of Variables**

For an empirical study or correlation study, in defining and writing about the variables you wish to study, be careful to make distinctions between variables and the attributes or categories that make up the variables. A variable is a set of characteristics that may vary among individuals, among groups, or over time. For example, the variable *age* is made up of categories

that could be grouped into age brackets or the categories could simply be *x-years-old*. Similarly, *field of study* is a variable that includes numerous disciplines as categories.

Explain in this section how you will measure each variable, not in terms of procedures, but type of measurement. Quantitative studies use ordinal level measurements (higher values on the measuring scale show more of what is being measured), interval measurements (equal differences on the measurement scale reflect equal differences in what is being measured), or ratio level data measurements (combining the properties of ordinal and interval measurements). Qualitative studies frequently use nominal level data. Nominal levels of measurements use numeric values, but the numbers do not have the properties of ordinal and interval measurements; rather the numbers are symbols that name each classification, such as sex and age range (Creswell, 2009, pp. 274, 277-278, 280-281).

### **Data Sources**

If you use more than one type of data source in your study, as is typical for qualitative studies, you may want to group them together in a larger section that breaks into subsections for each data source, as these example headings do. This section should describe the characteristics of the data source(s), in contrast to the later section on Data Collection Procedures that describes the protocol to be used for data gathering activities.

**Interview.** What topics will be covered? Describe this generally. It is customary to include the interview questions as an appendix. Will interviews be structured, semi-structured, or unstructured? Justify your decision about the interview structure. For example, you might make a statement such as the following: In agreement with Patton's (2003) suggestions for open-



ended interviews, the questions are designed to prompt “in-depth responses about people's experiences, perceptions, opinions, feelings, and knowledge” (p. 2).

**Focus groups.** What topics will be covered? Who will lead the groups? How large will the groups be? Will multiple sessions be held with the same group? How long will each session last? How many separate-group sessions will be held?

**Document review.** By what criteria will the documents be included for review? How many will be reviewed? What data will be gathered from the documents? What information does the researcher hope to gain? Where are the documents archived?

**Database review.** What data archives will be used? What categories of data will be extracted? Describe how the data were originally assembled so the reader can assess the validity of the data.

**Site observations.** Will observations be structured, semi-structured, or unstructured? If structured or semi-structured, what categories objects will be noted? The categories might include fieldwork descriptions of activities, behaviors, objects, conversations, interpersonal interactions, as well as organizational and community processes, which are described by Patton (2003) as important observations. You might describe yourself as a participant observer if you are part of the setting observed. Are descriptive data sought or will the researcher simply make frequency counts?

**Artifacts.** What objects will be used or viewed? In what settings will they be found? What information will the artifacts provide?

**Population**

Briefly describe key characteristics of the population. The population is the set of persons that the sample will represent. Many researchers describe the population's size, geographic location, and demographics.

**Participants (Could also be named with the heading **Sample**)**

This section should define your sample and describe the key characteristics. When a sample is very small, consider providing a description of individual participant. If there was attrition, state the number who dropped out and information on the characteristics of drop-outs, and whether they differed in some respect from the other participants. Selective attrition should be discussed if this seems relevant.

**Sampling Method**

Justify your sampling method and how it relates to the research design. What were the factors affecting your choice of sampling design? Did you choose probability sampling (simple random sampling, stratified random sampling, cluster sampling, or systematic sampling) or nonprobability sampling (convenience sampling, purposive sampling, quotas, snowball/referral sampling)? How exactly do you plan to carry out your sampling method (e.g., through use of certain databases and by computer-generated random numbers)? Mention the strengths and benefits of your sampling method. Mention the sample size. What were the factors affecting your choice of sampling method and size? Using a type of sampling that has an acceptable balance of rigor and practicality for your study.

## **Participant Recruitment**

How will participants be recruited? The email text, phone script, or letter used as an invitation to participate is often included as an appendix. You might make a note to “see also the Human Subjects Protections section” to avoid repeating the same information here and in that section, because the recruitment process will include procedures to gain consent and protect confidentiality.

## **Data Collection Procedures**

This should be described in sufficient detail so that the study can be replicated. A timeline of events should be given.

**Interview.** This section answers questions such as the following: Will the interviews be conducted in person or over the phone? Where will the interview take place? Will a script be used to prompt the interviewer? If so, this is often included as an appendix. Will a printed version of the questions be given to the interviewee before or during the interview? How long will the interviews last? Will the interview be recorded (of course, with permission of the interviewee)? If so, by what method? Will the interview be transcribed? If so, by whom? Will the interviewee be given an opportunity to review the transcript before the analysis takes place or before the dissertation is published? (If so, this should also be mentioned in the IRB section.) After the interview data is analyzed, will the preliminary results be sent to the interviewee to seek correction of any mistakes and to allow inclusion of further insights that may occur to the interviewee on review of the analysis?

**Focus groups.** How will the groups be assembled? What instructions will be given to begin the discussion? Will the session be recorded (of course, with permission of the participants)? If so, by what method? How will each session be closed?

**Document review.** How will the documents be identified or located? How will access to the repositories be gained? How will data be extracted (e.g., by reading and note-taking, by electronic search)? How will data be recorded and by whom? Will a trained research assistant be employed? Will a form be used to take notes? If so, it is standard practice to include this form as an appendix.

**Database review.** How will access to the repositories be gained? How will data be extracted (by reading and note-taking, by electronic search)? Will a form be used to record the data? If so, it is standard practice to include this as an appendix.

**Site observations.** How will access to the site be gained? Where will the observer be positioned, for what time periods, and for how many observation sessions? Will the observer be identifiable as such? Will a form be used to record the observations? If so, it is standard practice to include this as an appendix.

**Artifacts.** Will the artifacts be collected, photographed, or simply viewed?

**Survey.** The following steps were taken in the data collection process:

2. The researcher gained access to the student population with permission of the school principal and appropriate district personnel.
3. The researcher completed the requirements of the institutional review board of the school district.
4. The researcher solicited the assistance of homeroom (first period) teachers to pass out and collect the paper-and-pencil surveys during their class time, with permission of the

school principal. The use of only first period teachers ensured that no student would be surveyed twice.

5. To ensure subject anonymity, students were requested to not sign their names or offer identifying information anywhere on the survey.

The researcher used an online survey site (<http://www.zoomerang.com/Research/>) to collect the data.

### **Data Processing**

Data processing may include any of the following: coding, data editing, data entry into computer programs, data cleaning, or data modifying (such as collapsing categories, indexing, or creating new variables from combinations of responses).

### **Instruments**

Published instruments (such as standardized tests) should be described briefly, for example, note what it was designed to measure, format, and the range of score values.

Unpublished instruments should be described in detail. For unpublished instruments (such as a survey you designed), information on the validity and reliability should be reported. The unpublished instrument could be provided in an appendix, or at least a few sample items from it. See Table 1 for an example of how to help readers understand the logical connections among variables (or themes found through qualitative analysis), hypotheses (or research questions), and survey items (or interview questions).

Table 1

*Relationship Among the Variables, Hypotheses, and Survey Items*

---

Variables

Hypotheses

Survey items

### Data Analysis

For the dissertation proposal, the planned methods of data analysis should be described in detail. You might mention which variables will be treated as categorical and which as continuous. Describe why the methods of analysis are appropriate to answer the research questions or appropriate to test the hypotheses, referring to specific literature on research methods. This section should also state the criterion or criteria for deciding whether or not an observed effect will be considered significant. A justification of these criteria might be in order.

One less conventional format for presenting this information is as follows, replacing the term *research question* with *aim*:

**Aim 1.** To examine the association between \_\_\_\_\_ and \_\_\_\_\_.

- Hypothesis 1: \_\_\_\_\_ will account for significant amount of variance in predicting \_\_\_\_\_. Groups to be analyzed include \_\_\_\_\_.
- Analysis: A series of multiple regressions will be conducted on each group of participants.

### Validity and Reliability Concerns

You might choose to discuss validity and reliability throughout this chapter, or you might choose to focus the discussion into one section. If you discuss these topics in one section, you might use subheadings to discuss validity and reliability concerns that affect the sampling

method, instrumentation and data collection, and data analysis. Either way, you may want to mention any actions you plan to take to minimize possible threats to validity and reliability.

### **Human Subjects Protections**

You might choose to discuss human subjects protections throughout this chapter, but you will also be expected to focus the discussion into one section. Mention each of the precautions that will be taken. See the IRB resources provided on your school's website. You might make statements such as the following:

The researcher will comply with the guidelines put forth by \_\_\_\_\_ University regarding the use of human subjects. The researcher has completed the Human Participants Protection Education for Research Teams course (see Appendix E) and will ensure that:

- Participation will be on a voluntary basis and will be of informed consent. Participants will be aware of their right not to participate. It will be made clear that respondents have a choice as to the participation in the study, with no type of penalty for choosing against it.
- The purpose of the research will be made clear to respondents.
- Each participant will be asked if the researcher has permission to audio/video tape their responses. If permission is not given, notes will be taken in writing.
- The risks of participation will be described to the participants in the informed consent letter, such as any psychological stress or physical discomfort that might be anticipated by the researcher.
- Confidentiality and anonymity of each respondent and school will be maintained.

- No deceptive questions or intentions will be used in the survey or in the study.
- Participants will be informed of their right to control any piece of information either by directing that it remain anonymous or that it be omitted from the data set. The researcher will offer the opportunity for the participants to receive a summary of the study results via e-mail for an opportunity to verify the accuracy of his or her statements before the data analysis is started.

The APA (2013) states that researchers must “inform participants about the (a) purpose of the research, expected duration, and procedures; (b) their right to decline to participate and to withdraw from the research once participation has begun; (c) the foreseeable consequences of declining or withdrawing; (d) reasonable foreseeable factors that may be expected to influence their willingness to participate such as potential risks, discomfort, or adverse effects; (e) any prospective research benefits; (f) limits of confidentiality; (g) incentives for participation; and (h) whom to contact for questions about the research and research participant’ rights. The researcher also must provide the opportunity for prospective participants to ask questions and receive answers. The researcher also must obtain informed consent from research participants prior to recording their voices or images for data collection” (sec. 8.02).

**Risks and benefits.** What discomforts or losses might participants experience? What might they gain? Describe any potential risks: physical, psychological, social, and legal. Assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects, or a population to which the subjects belong, in relation to the importance of the knowledge that may reasonably be expected to result. The student might state that very minimal



risks should be offset by the important information garnered by the study, which will be shared with stakeholders.

**Informed consent.** It is customary to include the informed consent form as an appendix. You might make statements such as the following: Participants will be allowed to review the results of the study before its publication to ensure that their statements and overall views have been accurately represented. The researcher will secure a signed consent or an emailed consent from each participant. See Appendix B: Informed Consent Letter.

**Confidentiality [or Anonymity].** How will confidentiality of participants be maintained? For example, will data be presented in aggregate form so that no one participant could be identified by his or her responses? How will anonymity of participants be maintained? For example, will numbers be used to match a participant's demographic data with their responses?

**Storage and destruction of data.** It is customary to describe how the data will be kept safe, who will have access to it, and at what time the raw data will be disposed of, if not kept indefinitely for the purpose of making the database available to future researchers.

### **Example of a Simple Human Subjects Section for Survey Research**

Note to researcher: Notice the following is stated in past tense, as it should be when the study is completed.
--

The researcher complied with the guidelines put forth by her university regarding the use of human subjects. The researcher has completed a course on human participants protection and ensured the following:

- Participation was on a voluntary basis and informed consent was established.

Participants were aware of their right not to participate. It was made clear that

respondents had a choice as to their participation in the study, with no type of penalty for choosing not to participate.

- The purpose of the research was made clear to respondents.
- The risks of participation are considered to be no greater than the normal level of psychological stress or physical discomfort that would be encountered in a normal workday. Potential benefits to the participants are self-reflection about the topics on the questionnaires.
- In reporting the results, anonymity of each respondent was maintained.
- No deceptive questions or intentions were used in the survey or in the study.

The APA (2013) manual states that researchers must “inform participants about the (a) purpose of the research, expected duration, and procedures; (b) their right to decline to participate and to withdraw from the research once participation has begun; (c) the foreseeable consequences of declining or withdrawing; (d) reasonable foreseeable factors that may be expected to influence their willingness to participate such as potential risks, discomfort, or adverse effects; (e) any prospective research benefits; (f) limits of confidentiality; (g) incentives for participation; and (h) whom to contact for questions about the research and research participant’ rights. The researcher also must provide the opportunity for prospective participants to ask questions and receive answers. The researcher also must obtain informed consent from research participants prior to recording their voices or images for data collection” (sec. 8.02). Appendix X shows compliance with these mandates.

### **Instruments**

Although these headings are similar to those used above, this section focuses in detail on the characteristics of the measurement devices.

**Interview questions.** It is customary to describe in detail the nature of the questions. For example, how many are closed-ended, or open-ended? Again, you might refer to the interview questions that are included as an appendix.

**Survey questions.** It is customary to describe in detail the nature of the questions. For example, how many are closed-ended, open-ended, or multiple choice? It a paper-and-pencil instrument or is it taken by computer? Where was the instrument obtained or how was it created? Was permission received for use of copyrighted materials? You might refer to the survey questions that are included as an appendix. If validity has not been tested, some researchers submit the questions to a panel of experts who make recommendations for revision if needed. (Alternately, reliability and validity could be discussed in a separate section such as the one included below.)

**Data entry forms.** If forms will be used for data management during document review or other types of data collection, these are customarily included as an appendix. The purpose of the various forms might be described in this section. How was the format designed to accommodate the data-recorders? Were the forms tested before they were used with actual participants? Were the forms revised based on these tests?

### **Deciding How Much Detail to Include**

For the proposal, it is expected for a student to go on and on about the research method, but for the published dissertation, you are past the learning experience part and are usually expected to present your ideas more professionally. This means you need to remove the redundant or overly-detailed descriptions. For example, you do not need to describe what your study is *not*, or in other words, the alternative methods that you did not utilize. Few readers want to wade through that. It is a burden to the reader and usually not necessary. Most readers expect

a bit of extra description in a dissertation because it is important for the inexperienced researcher to justify choices affecting the research, but to leave too much of this type of description in a dissertation presents the work as more term-paper-like rather than as research by a knowledgeable professional. Serious research assumes readers know the basics of research methodologies and/or can use other sources for this information if needed. Likewise, the experienced reader will know where to look for the purpose of the study. These descriptions are in Chapter 1 and 5 typically, so it is not necessary to make a restatement in Chapter 3. Your chairperson could help you find that appropriate balance and understand areas in which your study might require additional description.

## Chapter 4: Results

The dissertation proposal might include the results chapter—even if it is only a paragraph long—to simply describe what format the findings will be presented in, such as specific types of tables, graphs, or charts. The planned organization of the chapter could be mentioned. For example, the chapter could be organized into sections based on the research questions or hypotheses. Alternately, if several data sources are used, the chapter could be organized according to the various types of data sources. After the data collection and analysis are completed, this chapter of your dissertation should give an answer to each research question. Alternately, it should note which hypotheses were accepted, which were rejected, and why.

If your advisor wishes you to detail the contents of Chapter 4, you might describe it as follows: To present the data for the overall research topic, . . . , charts and graphs depict the findings for those research questions that require presentation of complex data, with brief explanatory descriptions. The content of this chapter is organized by research question, after a description of the general demographic findings.

Be careful to include the participant number (or pseudonym) each time you include a direct or indirect quote. To designate the numbers in a total sample, you must use an uppercase, italicized *N*, and to designate the number of members in a limited portion of the total sample, you must use a lowercase italicized *n* (e.g.,  $n = 100$ ).

**Research Questions**

The particular research questions investigated in this study are as follows:

**Demographics of Participant Group**

Present descriptive statistics for all variables of interest. Continuous measures such as the average score on each measure can be summarized using means and standard deviations, whereas categorical measures can be summarized using counts and percentages.

Table 2

*Summary of Emerging Themes*

Research question	Interview question	Cluster or emerging theme
1. How do ...?	1. ....?	• Theme one
	2. ...?	• Theme two
	3....?	• Theme three
		• Theme four

(Continued)

Research question	Interview question	Cluster or emerging theme
2. Why do ...?	1. ....? 2. ...? 3....?	<ul style="list-style-type: none"> <li>• Theme one</li> <li>• Theme two</li> <li>• Theme three</li> <li>• Theme four</li> </ul>

You might find it helpful to download the description by Blum (2006) on how to write chapters 4 and 5 of a dissertation: [http://www.cybernos.com/UOP/Writing\\_4and5.doc](http://www.cybernos.com/UOP/Writing_4and5.doc)

How to describe the strength of a correlation:

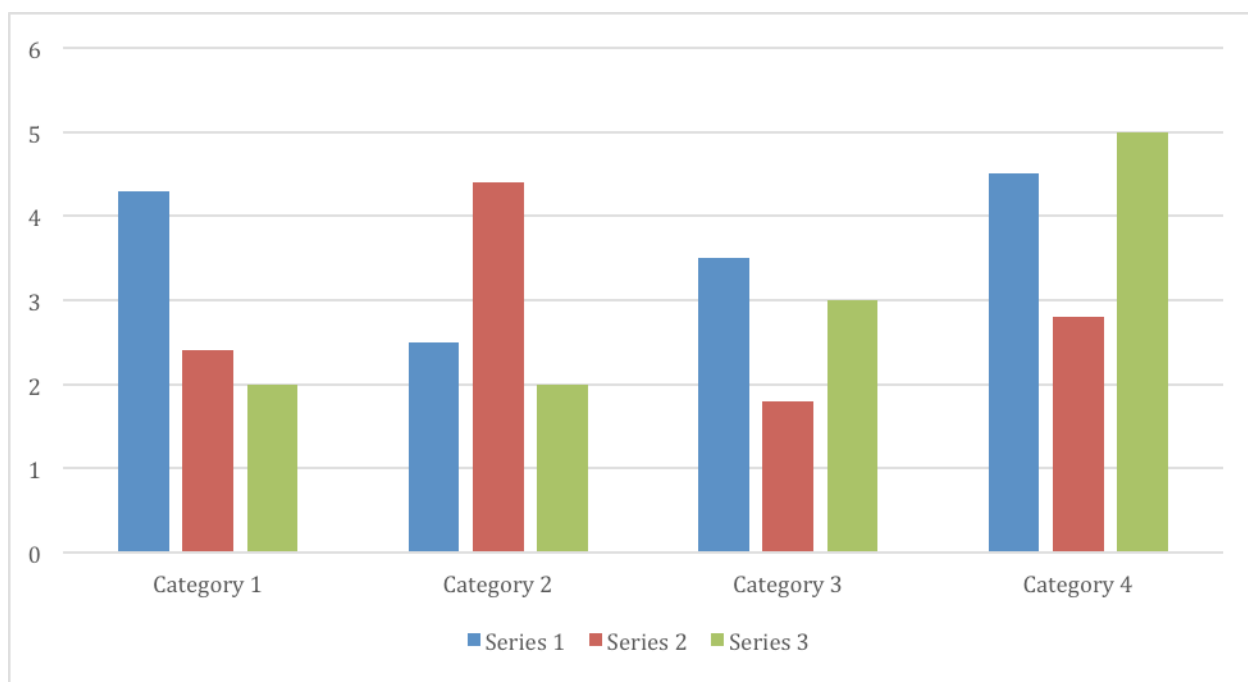
- Opinion 1 for description: A value greater than 0.7 can be described as a strong correlation, between .3 and .7 as a moderate correlation, and less than .3 as a weak correlation. See <http://www.sjsu.edu/faculty/gerstman/StatPrimer/correlation.pdf>
- Opinion 2 for description: A value greater than 0.7 can be described as a very strong correlation, between .4 and .69 as a strong correlation, between .3 and .39 as a moderate correlation, and between .20 and .29 as a weak correlation. See <http://faculty.quinnipiac.edu/libarts/polsci/Statistics.html>

Table 1

*Table Title*

Column head	Column head	Column head	Column head	Column head
Row head	123	123	123	123
Row head	456	456	456	456
Row head	789	789	789	789
Row head	123	123	123	123
Row head	456	456	456	456
Row head	789	789	789	789

*Note.* All explanatory text appears in a table note that follows the table, such as this one. Use the Table/Figure style, available in the styles gallery, to get the spacing between table and note. Tables in APA format can use single or 1.5 line spacing. Include a heading for every row and column, even if the content seems obvious. To insert a table, on the Insert tab, click Table.]



*Figure 1.* Capitalize only the first word and proper nouns and use period at end of caption.

If a table needs to continue to the next page, type (Continued) in parentheses, a space below the table segment, and make it right-justified (to the far right of the page). Then add the table column headers to the segment on the next page.



## Chapter 5: Discussion

You might make statements like the following, depending on what you and your chairperson believe is most appropriate for your study:

- This chapter will begin with a self-evaluation that will indicate my background and theoretical framework so that readers can be aware of possible biases in interpretation.
- In my interpretation of the findings, I will also present other plausible alternative explanations to my inferences.
- I will include a section to discuss general conclusions based on my interpretations of the findings.
- If important implications for policy practice are noted, these will be included in a separate section. My recommendations will focus on . . . . Recommendations will be made for the benefit of . . . .
- To guide future research efforts, I will make recommendations for further study.

If your advisor wishes you to detail the contents of Chapter 5, you might describe it as follows:

In this chapter, the interpretations and implications of the findings are discussed. The interpretation of the findings also presents other plausible alternative explanations to my inferences. The next section discusses general conclusions based on my interpretations of the findings. Important implications are noted. Recommendations focus on policy and practice. Recommendations are made for the benefit of all stakeholders. To guide future research efforts, recommendations for further study suggest useful extensions of research into the topic of this study.

Something to remember when you write Chapter 5: Conclusions are reached based on the data, so they should have a direct conceptual link to the findings presented in Chapter 4. The discussion section is not a summary of the findings but section that ties the findings and conclusions back to the literature.

It is customary to begin with a very brief review of the problem statement, purpose, method, limitations, ethical dimensions, and a brief overview of Chapter 5. These can be headed by subheadings, but they do not need to be if they are sufficiently brief.

### **Conclusions**

Conclusions are how you answer the research questions. The conclusions might be organized by subheadings that relate to the research questions or hypotheses, such as the following:

**Conclusion related to research question 1.** Research question 1 asked: Why...? The findings show that... Conclusions can be related to literature from the literature review. Students may briefly cite studies that support or contradict the findings that lead to each conclusion.

### **Implications**

The findings and conclusions suggest the following three major implications with respect to ... :

1. Briefly list the implications, which includes what could be the practical results or effects of the findings. You might note the possible effect that the facts, new information, action based on the new information, or lack of action could have on various stakeholders. These can be related to literature from the literature review. Make sure you're not repeating what's in the conclusions section.

2. Each research question and (when appropriate) hypothesis is discussed individually, with conclusions drawn. Note: all conclusions must be supported by the research findings.
3. Discuss how any potential limitations may have affected the interpretation of the results.
4. Describe how the results fit with the purpose, significance, and existing literature in Chapter 2.

### **Limitations**

A discussion of the limitations, if this section is included, should focus on specific issues. There are well-known limitations for each methodology, and the discussion of limitations should not be limited to a listing of these typical problems. For example, Palmer, Graham, Taylor, and Tatterson (2002) showed that when asked to report on frequency of different behaviors, participants tended to over report the frequency of behaviors that were considered socially desirable and to underreport frequency of undesirable behaviors. Writers might note these tendencies but should go further to state what effect this most likely would have had on the findings if such bias were present.

### **Recommendations**

The following subsections describe recommendations related to the conclusions and implications discussed previously.

Typically an empirical study is expected to make recommendations based on the findings and only mention the recommendations in the literature that support or contradict the findings. An extended literature review is a type of paper that would go beyond this, or a theoretical paper synthesizing the literature, but dissertation students are expected to keep it simple. Your advisor

may allow you to add a section titled Reflections on the Research in which you can expound on your opinions and observations that do not directly relate to the research question(s).

**Recommendations for practical application.** All recommendations must be supported by research findings. These may include recommendations for policy changes or for certain practitioners.

**Recommendations for future research.** These might be based on suggestions that (a) would correct the validity and reliability concerns in the present study, (b) would correct methodological limitations, or (c) test hypotheses related to implications that your study brought to light. These should not simply be recommendations for possible studies that loosely relate to the topic.

## Summary

In this section, summarize all key points in Chapter 5. The conclusions, implications, and recommendations could be presented in bullet list or a numbered list.

The conclusions for this study are summarized as follows:

- Conclusion 1: A
- Conclusion 2: B
- Conclusion 3: C

The implications for this study are summarized as follows:

- Implication 1: A
- Implication 2: B
- Implication 3: C

The recommendations for this study are summarized as follows:

- Recommendation: A
- Recommendation: B
- Recommendation: C

The study explored ... (a) , (b) , and (c)

Most importantly, the study showed that ...

The study also showed that ...

For example, ...

This finding formed the basis of one recommendation

for action—

[topic of study] perform/affects vital functions in ...

It is important that ... so that ...

Stakeholders can use the results of this study to create a strategy that will help them to...

## REFERENCES

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Stufflebeam, D. L. (2002). *CIPP evaluation model checklist: A tool for applying the fifth installment of the CIPP model to assess long-term enterprises*. Retrieved from [www.wmich.edu/evalctr/checklists](http://www.wmich.edu/evalctr/checklists)

Monroe College. (n.d.). *Exploratory, descriptive, and causal research designs*. Retrieved from [http://www.monroecollege.edu/AcademicResources/ebooks/9781111532406\\_lores\\_p01\\_ch03.pdf](http://www.monroecollege.edu/AcademicResources/ebooks/9781111532406_lores_p01_ch03.pdf)

Microsoft Word 2007 APA reference wizard doesn't ask the student to enter volume and issue numbers of Journals, but these numbers are needed to create complete references. You might also investigate the use of free online reference helps such as Zotero.

Notice the format here is a hanging indent that does not require a manual use of the space bar or tab. This makes it much easier to keep the right format regardless of changes to the text or other aspects of the format.

Soper, D. (2006). The free statistics calculators website [Computer software]. Retrieved from <http://danielsoper.com/statcalc3/default.aspx>

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### Appendix A: Research Question Matrix

This is a form that you may want to use to clarify the logic behind your methods. This can help clarify your plans in your own mind and can help you effectively communicate your methods to your committee. The matrix could later be included as a table or appendix if you believe it would be helpful to readers.

Research questions (or research hypotheses)	Operational definitions of variables	Data sources	Analysis methods
1. For quantitative studies, usually there are hypotheses to prove or disprove, unless you're doing a descriptive study.	In exact terms, such as numerical values, how will you define whether or not the hypotheses were supported? What is the cutoff number by which you will state whether a criterion has been met?	Likert-scale surveys, semi-structured interviews, open-ended interviews, archival data (existing documents), researcher observations	Will your analysis yield descriptive statistics only, or do you have planned comparisons involving correlations?
2.			
3.			

Research questions	Data source	Analytical technique
1. What are participants' perceptions of their own ___ as measured by the ___ Survey, which aligns with National Council for ___ standards?	Surveys self-report	Descriptive statistics
2. What are students' / subordinates' / clients' perceptions of their teacher's / supervisors' / consultants' ___ as measured by the ___ Survey, which aligns	Surveys other-report	Descriptive statistics



with National Council for standards?		
3. Is there a relationship between (a) self-report perceptions of _____ as measured by the _____ Survey and (b) their teacher's / supervisors' / consultants' reports?	Surveys self- and other-report	Correlation analysis
4. Is there a relationship between _____ ?	Surveys and existing documents	Correlation analysis

## Appendix B: Informed Consent Letter

Schools often have samples of how they prefer these to be written.

Signature of participant: \_\_\_\_\_ Date: \_\_\_\_\_

Printed name of participant: \_\_\_\_\_

### Appendix C: Additional Resources

Design and implementation assessment device for qualitative studies:

<http://eprints.ncrm.ac.uk/690/1/0109%2520Qualitative%2520synthesis%2520methods%2520paper%2520NCRM.pdf>

How to critique research: <http://www.attu70.dsl.pipex.com/student/critintro.htm>