

FORMAT AND EVALUATION GUIDELINES
FOR DISSERTATION PREPARATION

Doctoral Program in Educational Leadership at Fresno State
Kremen School of Education and Human Development
California State University, Fresno



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CHAPTER 1: INTRODUCTION

This manual sets forth the requirements for the preparation and submission of dissertations for the Doctoral Program in Educational Leadership at Fresno State (DPELFS). It is the student's responsibility to prepare the dissertation in accordance with the instructions in this manual.

The scholarly work done by the student prior to the final preparation of the dissertation is outside the province of this manual. It is assumed that once the research is complete, a final draft is examined and approved by the dissertation chair and the candidate's dissertation committee. At that point, the candidate is ready to prepare a document for final submission to the Division of Graduate Studies.

The language in which all dissertations are written will be English. This manual also assumes that every dissertation will demonstrate effective communication skills. It is the responsibility of the student that the dissertation demonstrates clarity, correctness, and organization. A student may use the assistance of a professional editor if he or she receives the prior approval of the research advisor; the editorial assistance is limited to the use of language and not to subject matter content or meaning; and all editorial assistance is acknowledged in the preface of the final document.

Characteristics that a dissertation will demonstrate are:

- The establishment of a historical context for the presentation of an innovative and creative approach to the problem analysis and solution.
- A clear understanding of the problem area as revealed by analysis and synthesis of a broad literature base.
- A well-defined research design.

- Clarity in composition and careful documentation.
- Results of sufficient merit to be published in refereed journals or to form the basis of a book or monograph; sufficient detail so that other scholars can build on it in subsequent work.
- The preparation of the author to assume a position within the profession.

Questions regarding dissertation format that are not answered in this manual should be directed to the Dissertation/Thesis Office, Division of Graduate Studies (559-278-2418).

Students should consult the most recent edition of the *Publication Manual of the American Psychological Association* for complete style information (reference format, table and figure layout, special language, numbers, abbreviations, etc.).

CHAPTER 2: FINAL PREPARATION AND PROCEDURES

Submission of Paper Documents

Upon passing the final defense of the dissertation, candidates for the degree of Doctor of Education must submit the completed and signed Report of the Final Examination and Filing of the Dissertation (DPELFS Form 11) to the DPELFS office. The Report of the Final Examination form must include the typed names of the committee members and dissertation chair and the signatures of each member on that committee.

Students must also submit the final publication copy of the dissertation, which includes the original, signed paper copy of the Committee Membership/Approval Page, to the Dissertation/Thesis office in the Division of Graduate Studies. Instructions for preparation of the dissertation follow:

Document Preparation

Print Requirements

1. Text must be set in 13-point Times New Roman. Script fonts are not acceptable. (The Dissertation/Thesis office provides a formatting template for your use that will govern the appearance of the dissertation.)
2. All dissertations must be clean and carefully reproduced; pages that are crooked or that have gray edges, streaks, or spots are not acceptable.
3. All type must be sharp, clear, and unbroken. Visible differences in quality or contrast of print resulting from a faulty or worn printer are unacceptable and will require a reprinting of those portions of the dissertation.

Paper Requirements

The original publication copy may be printed on regular copy paper, as it will be sent to ProQuest/UMI for filming. Publication copies for binding and

library placement must be printed on archive-quality (20 lb./25% cotton) laser paper. The dissertation/thesis consultant in the Division of Graduate Studies will oversee the printing and duplication process for you.

Margins

1. The text of the document must be left justified.
2. The left margin will be set at 1.5". The top margin will be set at 1.2". The bottom and right margins will be 1". Tables and figures use the same margins as text.
3. Headings (i.e., titles of pages, chapter titles) and running text will be set at exactly 24 points below the page number.
4. A subheading at the bottom of a page will be followed by at least two full lines of type. If space does not permit two lines plus a 1" margin, the subheading will begin on the next page. Similarly, a new paragraph toward the bottom of a page will run for at least two lines or be started on the next page. The final few words of a paragraph will not be continued on the next page. At least two full lines of type are required to continue a paragraph on the next page.

Pagination

1. Each page must be numbered, with the exception of the Title Page, which counts as page i but does not show a number.
2. The preliminary pages—including the Abstract, Copyright Page, Committee Membership/Approval Page, Acknowledgement, Table of Contents, List of Tables, and List of Figures—will be numbered with lower-case Roman numerals (ii, iii, iv, etc.) centered 0.83" from the bottom edge of the page. The first page that will show a page number is page ii.

3. All remaining pages—including text, illustrations, appendices, and references—carry consecutive Arabic numerals (1, 2, 3, etc.). The page number will be placed in the upper right-hand corner of the page, right aligned, 0.83” from the top edge and 1” from the right edge.

Spacing

1. The text of the document will be “exactly 24 points” (per the dissertation template).
2. Exceptions are made for the following material, which will be single-spaced:
 - Table and figure captions
 - Tabular material as necessary
 - Appendix material as appropriate
3. Quoted material of over 40 words calls for block quote format: Indent 0.83” from the left margin and carry out to the right margin. Text of block quotes will be set at “exactly 24 points.” (Use the “Block Quote (APA)” style in the template.)
4. References will be set at exactly 24 points (“References” style in template.)

Centering

Centered material is to be centered between the left and right margins.

Indentation

The first line of all paragraphs of running text will be indented 0.5”.

References

1. Citation forms must be consistent with the most recent edition of the *Publication Manual of the American Psychological Association*.
2. All dissertations will have a References section (see Reference Material on page 19).

Tables and Figures

Definitions

1. The word “Table” is used for tabular data in the body of the dissertation and in the appendices.
2. The word “Figure” designates all other illustrative material used in the body and in the appendices, including, for example, graphs, charts, drawings, images, and diagrams.

Preparation

1. All figures and tables, including numbers and captions, will fit within a 6” by 9” area in order to comply with margin regulations.
2. Where material for figures and tables is too large to fit within margin requirements, it may be reduced either by xerography or by means available to the word processing programs (reduction of point size in fonts). Care must be taken that the final reduction be clear and legible.
3. Page numbers, table titles, and figure captions must be the same size as the rest of the text (not reduced).
4. For oversize illustrations, please consult the Dissertation/Thesis Office in the Division of Graduate Studies.

Placement

1. Tables and figures that must be positioned horizontally (landscaped) will face the outer edge of the page, with the widest margin at the binding edge.
2. Tables and figures less than one half-page in length will be included on the same page with the text whenever possible, separated from the text above or below by double spacing. If they exceed a half-page in length, they will be placed on a separate page. Two or more small tables or figures may be placed on a single page.

3. Table numbers and titles will be consistent with APA format.
4. Figure numbers and captions will be consistent with APA format.
5. The placement of the table or figure does not affect the position of the page number (see Pagination on page 3).

Numbering

1. Tables and figures appearing in the body of the paper must be referred to in the text, and will follow as closely as possible the first reference to them.
2. Tables and figures are numbered in separate series. Each table and figure, including any in the appendices, has a number in its own series. Each series is numbered consecutively in Arabic numerals (e.g., Figure 10, Figure 11, Figure 12); or within chapters (e.g., Figure 10.1, Figure 10.2, Figure 10.3).
3. Each table and figure will be separately numbered. Figures will be complete on one page.
4. If a table continues to the following page, the top line should read “Table 10 (continued).” The title is not repeated. Column headings should be repeated.

Titles and Captions

1. Tables will be identified by the word “Table” and be numbered consecutively using Arabic numerals. Double space after the table number and type the table title in italics. Capitalize all major words of the table title, including prepositions of four or more letters (e.g., use “With” and “Between” and “of” and “to”). See the APA manual for sample table titles.
2. Figures will be identified by the word “Figure” and be numbered consecutively using Arabic numerals. The word “Figure” and its corresponding number are typed in italics. Captions for figures are continued on the same line as the figure number. The captions are not

italicized. Figure captions are placed *below* the figure and must follow APA style for capitalization: capitalize *only* the first word of the caption, any proper noun or adjective, and the first word after a colon. (Page 10 of this manual has a sample figure caption.)

3. These titles/captions will appear in the preliminary pages in the List of Tables or List of Figures (see List of Tables on page 17 and List of Figures on page 19.)

Citations

When referring to a table or figure in the text, the full word and number will be used (e.g., Table 10 or Figure 6). The table or figure reference must *precede* the table or figure itself.

CHAPTER 3: ARRANGEMENT OF CONTENTS

Every dissertation has three parts: the preliminary pages, the text, and the reference material. Each part has several sections, which are normally arranged in the order they are discussed below.

Elements of the dissertation will be arranged in the following manner:

1. Preliminary Pages
 - a. Title page
 - b. Abstract
 - c. Copyright page
 - d. Committee Membership/Approval page
 - e. Acknowledgement(s) (optional)
 - f. Table of Contents
 - g. List of Tables
 - h. List of Figures
2. Text (usually divided into chapters and sections)
3. Reference Material
 - a. References
 - b. Appendix

Preliminary Pages

Title Page

1. All information on the title page is centered (see Figure 1).
2. The title of the dissertation will appear in capital letters. This heading is centered and dropped by a double space from the top margin. Words will be used in place of formulas and symbols in the title. The inverted pyramid

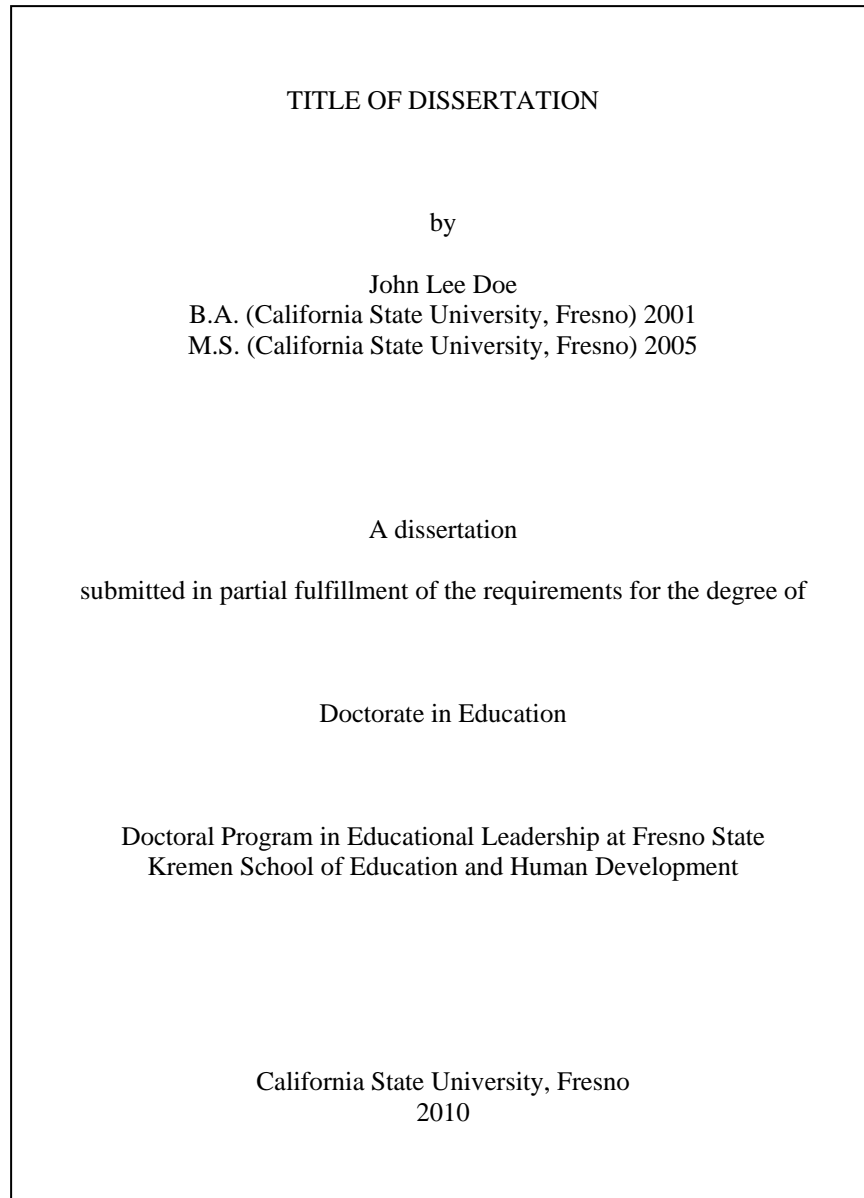


Figure 1. Example of title page.

form is followed for the title when the title consists of more than one line.

If the title is more than one line, double space between the lines.

3. The author's name will be spelled out in full and must match the name on university records; no middle initials are permitted.
4. A listing of earlier schools and degrees immediately follows the author's name.
5. The submission statement names the degree sought, the program and school, the university, and the year.
6. The last line of the title page (the year) will be centered 1" from the bottom edge of the page.
7. Do not number the Title Page. The Title Page counts as "i" but the number does not appear.

Abstract

1. An abstract of no more than 350 words in length must appear immediately after the title page in all doctoral dissertations (see Figure 2).
2. The abstract will consist of the dissertation title followed by the text.
3. The abstract will state briefly the problem discussed in the dissertation, describe the research procedures or methodology, and summarize major findings and conclusions. Language should be kept as clear and concise as possible.
4. The abstract will not include footnotes, citations, illustrative materials, or tables.
5. The candidate's full name as on the title page appears in the right-hand corner of the first page as the first line of text, 0.83" from the top edge and 1" from the right edge of the paper. The month and year the degree is to be conferred appears on the second line below the student's name.

Student's Name
Month Year
Educational Leadership

TITLE OF DISSERTATION

Abstract

[Text of Abstract].....

.....

ii

Figure 2. Example of Abstract form.

“Educational Leadership” appears as the third line of text, below the month/year as the name of the degree program. All three lines above will be right-aligned.

6. The title of the dissertation will appear in capital letters. This heading is centered and dropped by a double space from the top margin. The word Abstract appears a double space below the title of the dissertation. The text of the abstract begins at the left margin one triple space below the word Abstract.
7. Abstract pages are numbered with small Roman numerals centered 0.83” from the bottom edge of the page.

Copyright Page

1. A copyright notice on a dissertation signals to readers that the author holds the copyright registration. Registration establishes a public record of the copyright. For U.S. publications, registration is required before an infringement lawsuit can be filed. The dissertation/thesis consultant will oversee the University Microfilms International (UMI) copyright registration for this university.
2. Doctoral candidates should obtain the UMI information packet from the Dissertation/Thesis Office in the Division of Graduate Studies.
3. Candidates should sign on the appropriate form line and pay the requisite fee (at the time of this printing, \$65) when they pay copying and binding fees at the Kennel Print and Copy Center.
4. The copyright notice will appear on a page immediately following the abstract with the following text centered in the middle of the page:

Copyright by
[Name of Author]
[Year of publication]

5. The copyright page is numbered with small Roman numerals centered 0.83” from the bottom edge of the page.
6. Inclusion of copyrighted materials in a dissertation requires that the student obtain a letter from the copyright owner authorizing use of the materials. The letter must also state that the copyright owner is aware that Proquest/UMI will microfilm the dissertation and may sell copies of it on demand. One copy of each copyright permission letter must be submitted with the dissertation to ProQuest/UMI before it can be published in the dissertation. This letter can be found on the “Thesis” section of the Division of Graduate Studies website.

Committee Membership/Approval Page

1. All information on the Committee Membership/Approval page is centered. (see Figure 3).
2. California State University, Fresno is centered and dropped by a double space from the top margin. Kremen School of Education and Human Development appears immediately below the university’s name. Doctoral Program in Educational Leadership at Fresno State appears immediately below the school’s name.
3. The candidate’s full name appears after “This dissertation was presented by”.
4. The defense of the dissertation date appears after “It was defended on”.

California State University, Fresno
Kremen School of Education and Human Development
Doctoral Program in Educational Leadership

This dissertation was presented
by
John Walter Estudiante

It was defended on
April 1, 2010
and approved by:

Jane Doe, Chair
[Department affiliation]

Joe Lee
[Department affiliation]

John Nabor
[Department affiliation]

##

Figure 3. Example of Committee Membership/Approval page.

5. The Committee Membership/Approval Page must include the names and signatures of the dissertation chair and committee members. Do not provide academic titles (i.e., “Dr.” or “Ph.D.”) before or after committee members’ names.
6. The committee chair must be listed first, with the name typed below the line, followed by the designation “Chair.”
7. Names of the remaining committee members will be placed in order accordance to committee preference, with the name of each member typed below each line.
8. The full department name is centered under each committee member’s name.
9. The Committee Membership/Approval Page is numbered with small Roman numerals centered 0.83” from the bottom edge of the page.

Acknowledgement(s)

1. The heading ACKNOWLEDGEMENT or ACKNOWLEDGEMENTS will appear in capital letters. This heading is centered and dropped by a double space from the top margin; double space below it to the text.
2. The acknowledgement is optional and, if used, should be brief. Acknowledgements in the form of a brief statement of appreciation for special assistance or support, including research and editorial assistance, are what will be included in this section.
3. Acknowledgement pages are numbered with small Roman numerals centered 0.83” from the bottom edge of the page.

Table of Contents

1. See Figure 4 for an example of the Table of Contents.

2. The heading TABLE OF CONTENTS will appear in capital letters. This heading is centered and dropped by a double space from the top margin; double space below it to the text. The actual listing (text) begins at the left margin.
3. The titles of chapters are listed in the Table of Contents, as well as those of 1st- and 2nd-level subdivisions.
4. Indentation in the Table of Contents reflects the level of each division, as shown in Figure 4.
5. Wording, spelling, capitalization, and punctuation in the Table of Contents must be identical to that of the actual titles in the body of the dissertation.
6. Table of Contents pages are numbered with small Roman numerals centered 0.83" from the bottom edge of the page.
7. All material following the Table of Contents is listed, with the exception of lists of tables and figures which are listed separately (see List of Tables on page 17 and List of Figures on page 19). Material that precedes the Table of Contents (e.g., Title Page, Committee Membership/Approval Page, etc.) is not listed.

List of Tables

1. The heading LIST OF TABLES will appear in capital letters. This heading is centered and dropped by a double space from the top margin; double space below it to the text. The listing of tables (text) begins at the left margin.
2. Wording, spelling, capitalization, and punctuation in the List of Tables will be identical to that of the titles that appear on the tables in the text.

TABLE OF CONTENTS	
INTRODUCTION	1
CHAPTER	3
ANOTHER CHAPTER	5
A section of the second chapter	6
Another section	8
Subsection of the section.....	10
Another subsection.....	10
Another section	11
Subsection of the section.....	12
Another subsection.....	13
ANOTHER CHAPTER	15
SUMMARY AND CONCLUSION.....	18
APPENDIX A. TITLE OF THE FIRST APPENDIX	20
APPENDIX B. ANOTHER APPENDIX.....	21
REFERENCES.....	23
##	

Figure 4. Example of Table of Contents.

3. The List of Tables pages are numbered with small Roman numerals centered 0.83” from the bottom edge of the page and continues the numbering from the last page of the Table of Contents.

List of Figures

1. The heading LIST OF FIGURES will appear in capital letters. This heading is centered and dropped by a double space from the top margin; double space below it to the text. The listing of figures (text) begins at the left margin.
2. Wording, spelling, capitalization, and punctuation in the List of Figures will be identical to that of the captions that appear on the figures in the text.
3. The List of Figures pages are numbered with small Roman numerals centered 0.83” from the bottom edge of the page and continues the numbering from the last page of the List of Tables.

Text

Chapters and Divisions

1. Each chapter starts on a new page, with the chapter number and title in capital letters. This title is centered and dropped by exactly 24 points from the top margin; double space below it to the text. See example below.

CHAPTER 1: INTRODUCTION

2. Level 1 section headings are centered, boldface and written in title case (lower and uppercase letters), separated by double spaces from the text above and the text below. See example below.

Background

3. Level 2 headings are flush left, boldface, written in title case, and are separated by double spaces from the surrounding text. See example below.

History

4. Level 3 headings are indented, boldface, lowercase paragraph headings ending with a period. See example below.

Participants in the study. The text continues after the heading.

5. Level 4 headings are indented, boldface, italicized lowercase paragraph headings ending with a period. See example below. See example below.

Sleep-deprived group. Text

See Table 3.1, p. 62 of the APA 6th edition for format of headings.

6. The first line of all paragraphs of running text will be indented 0.5”.
7. The division headings and subheadings are not numbered.
8. The following are normally the chapter titles and section headings of the dissertation:

Chapter 1: Introduction

Purpose of the Study

Background

Context of the Study

Significance of the Study

Theoretical Framework

Definitions

Summary

Chapter 2: Review of the Literature

Chapter 3: Methodology

Purpose of the Study

Research Design

Research Questions

Participants/Sample

Data Collection

Instrumentation

Pilot Study

Procedures

Data Analysis

Limitations

Summary

Chapter 4: Results/Outcomes

Review of Methodology

Results of Research Questions

Summary of the Findings

Chapter 5: Discussion/Summary/Conclusion

Summary of Findings

Discussion of Research Question

Recommendations

Implications for Practice

Implications for Future Research

9. Dissertations that are qualitative in nature may use different chapter titles and/or section headings as approved by the dissertation chair and committee.
10. If the previously published material by the student is included in the body of the document, it must be presented in a manner consistent with the

remainder of the text (i.e., identical typeface, margins, and consistent numbering of tables, figures, and footnotes). Reference citations should be integrated with those for the rest of the document.

11. If the previously published material is placed in the appendix, its size will be adjusted to ensure that the margins are sufficient to support microfilming. Appended previously published material will retain the originally published numbers for tables, figures, footnotes, and bibliographic entries.

Reference Material

References

1. Any books, articles, websites or other published sources (retrievable data) that have been used (cited in the text) either in direct quotation or by reference, must be listed in the References. Personal interviews/raw data (not retrievable) do not appear in the reference list.
2. The heading REFERENCES will appear on the first page of the References itself, centered and dropped by a double space from the top margin. The actual listing of sources begins at the left margin one double space below the word REFERENCES.
3. The list of sources is set at “exactly 24 points” (per “References” style in the template). The first line of the citation starts at the left margin and the second and subsequent lines of that citation are indented 0.5”.
4. The American Psychological Association *Publication Manual* should be used to format the references.
5. The References continues the page numbering sequence that began with chapter 1.

Appendices

1. Appendices contain supplementary or illustrative material or explanatory data too lengthy to be included in the text or not immediately essential to the reader's understanding of the text.
2. Each appendix will be listed with its title in the Table of Contents (e.g., APPENDIX A. TITLE OF THE APPENDIX).
3. If there is only one appendix, the heading APPENDIX will be used. If more than one appendix is needed, the appendices may be divided into APPENDIX A, APPENDIX B, etc. Each appendix must begin at the top of a new page. The heading for each appendix is centered and dropped by a double space from the top margin followed by the title of the appendix, centered and separated by double spaces from the surrounding text. The title is written in capital letters.
4. The appendices continue the page numbering sequence that began with chapter 1.

CHECKLIST FOR DISSERTATION SUBMISSION

- A final publication copy of the dissertation. Student must verify that all pages are presented in correct numerical order and the proper size and orientation; that all tables and figures are present; that all references cited in the text are listed in the References; and, that the Table of Contents lists correct page numbers and titles.
- Completed and signed Report of the Final Examination and Filing of the Dissertation (DPELFS Form 11). The Report of the Final Examination form must include the typed names of the committee members and dissertation chair and the original signatures of each member on that committee.
- One copy of the Committee Membership/Approval page. This page must include the original signatures of each member on that committee.
- Completed and signed UMI Forms & Instructions (included in the Dissertation Submission packet obtained from the Dissertation/Thesis Office in the Division of Graduate Studies).
- Nonexclusive Distribution License form (included in the Dissertation Submission packet) for inclusion of the dissertation in the Dissertation/Thesis Scholar (Madden Digital Scholar).
- Copyright permission letter(s) from the copyright owner(s) must be included if copyrighted material is used. A sample permission letter can be obtained from the Division of Graduate Studies website.

APPENDIX A. DPELFS WRITTEN DISSERTATION RUBRIC

	1	2	3	4	5	Score
1 Introduction	Failed to convey project in context of literature. No rationale. Purpose was unfocused and unclear.	Vaguely conveyed project in context of literature. Weak rationale. Purpose was poorly focused and not sufficiently clear.	Project moderately conveyed in context of literature. Moderately clear rationale. Purpose was somewhat focused and clear.	Conveyed project within context of literature. Moderately-strong rationale. Purpose was clear and focused.	Clearly conveyed project within context of literature. Strong rationale. Purpose was clear and focused.	
2 Review of Literature	Failed to review literature relevant to the study. No synthesis, critique or rationale. Lacks description of research samples, methodologies, & findings.	Inadequate review of literature relevant to the study. Poorly organized. Weak rationale for choice of theoretical perspectives/ empirical studies. Insufficient description of research samples, methodologies, & findings.	Comprehensive review of literature relevant to the study. Moderately well organized. Some mention of the relatedness of scholarship. Moderately clear rationale for choice of theoretical perspectives/ empirical studies. Somewhat focused description of research samples, methodologies, & findings.	Review of the literature is fairly well organized, acknowledging the relatedness of the research and scholarship. The rationale for including/excluding various theoretical perspectives/empirical studies are apparent. Includes description of research samples and methodologies.	Comprehensive review of literature relevant to the study. Well organized, with nuanced critique regarding the relatedness of the research and scholarship reviewed. Includes specific criteria for inclusion/ exclusion of various theoretical perspectives/ empirical studies. Clearly describes research samples, methodologies, & findings.	
3 Methods / Approach	Little or no description of (if applicable): subjects, design/approach, methods/procedures, and statistical analyses.	Inadequate description of (if applicable): subjects, design/approach, methods/procedures, and statistical analyses.	Moderate or excessive description of (if applicable): subjects, design/approach, methods/procedures, and statistical analyses.	Most detail included/slightly excessive detail in description of (if applicable): subjects, design/ approach, methods/procedures, and statistical analyses.	Appropriate detail in description of (if applicable): subjects, design/approach, methods/procedures, and statistical analyses.	
4 Results / Outcomes	Absence of pertinent results. Table/figures are absent or inappropriate, not labeled, and no legend.	Few pertinent results. Table/figures are inappropriate or incomplete, poorly labeled, and inadequate legend.	Some pertinent results not reported; results presented in clear and concise manner. Table/figures generally labeled appropriately and included legend.	Most pertinent results reported and in fairly clear and concise manner. Table/figures labeled appropriately and included legend.	All pertinent results reported and in clear and concise manner. Table/figures are labeled appropriately and included legend.	

	1	2	3	4	5	Score
5 Discussion/ Summary/ Conclusions	Little or no discussion of project findings/outcomes. Displayed poor grasp of understanding. Conclusion/summary not supported by findings/outcomes.	Major topics or concepts inaccurately described. Considerable relevant discussion missing. Conclusions/summary not entirely supported by findings/outcomes.	Discussion is too brief/excessive, needs to be more concise of major findings/outcomes. Several inaccuracies and omissions. Conclusions/summary generally based on findings/outcomes.	Discussion sufficient and with few errors, though not particularly engaging or thought-provoking. Greater foundation needed from past work in area. Conclusions/summary based on outcomes and appropriate, but included no recommendations.	Brief and concise discussion of major findings/outcomes. Was superior, accurate, engaging, and thought-provoking. Conclusions/summaries and recommendations appropriate and clearly based on outcomes.	
6 Writing Quality	The dissertation lacks clarity and precision. Sentences are poorly constructed and confusing. Word choice, grammar, punctuation, and spelling reflects poor grasp of basic writing conventions. Narrative absent. Incorrect use of 5th edition APA.	The dissertation is unclear throughout. Frequent errors in word choice, grammar, punctuation, and spelling. The narrative discussion lacks focus and coherence. Frequent errors in use of 5th edition APA conventions.	The dissertation is moderately clear. Several errors in word choice, grammar, punctuation, and spelling. The narrative lacks focus. Uneven application of 5th edition APA conventions.	The dissertation is written with clarity and precision. Writing is understandable. Word choice, grammar, punctuation, and spelling are adequate. The narrative is logical and coherent. Mostly correct use of 5th edition APA.	The dissertation is written with great clarity and precision. Each sentence is understandable. Word choice, grammar, punctuation, and spelling are excellent. The narrative is logical and coherent. Correct use of 5th edition APA.	
Comments :						

Student's Name: _____

Reviewer's Name: _____

Date: _____

APPENDIX B: DPELFS ORAL DISSERTATION DEFENSE RUBRIC

	1	2	3	4	5	Score
1 Organization	Lacked sequence in presentation or missing information. Presented too little/much material for allotted time.	Poor sequence or illogical presentation of information. Some relevant information not presented. Presentation not well timed.	Some information presented out of sequence. Had some pacing and timing problems.	Information presented nearly complete and relevant and presented in logical sequence. Pace and timing appropriate.	Information presented was complete and in logical order. Easy to follow. Very well-timed and well-paced.	
2 Originality	Problem/purpose lacked creativity or not new. Duplication of previous work. Design/approach inappropriate and/or ignored previous well-established work in area.	Problem/purpose limited in originality and creativity. Design/approach only marginally appropriate or innovative.	Problem/purpose moderately original or creative. Design/approach moderately appropriate or innovative.	Problem/purpose fairly original or creative. Design/approach appropriate or innovative.	Problem/purpose very creative or original with new and innovative ideas. Explored original topic and discovered new outcomes. Design/approach introduced new or expanded on established ideas.	
3 Significance/ Authenticity	Project has no significance/authenticity to field and will make no contribution.	Project has little relevance or significance/authenticity to field and will make little contribution.	Project only moderate relevance or significance/authenticity to field and will make a nominal contribution.	Project has fair relevance or significance/authenticity to field and will make good contribution.	Project extremely relevant or has significant importance/authenticity to field and will make an important contribution.	
4 Discussion/ Summary/ Conclusions	Little or no discussion of project findings/outcomes. Displayed poor grasp of material. Conclusion/summary not supported by findings/outcomes.	Major topics or concepts inaccurately described. Considerable relevant discussion missing. Conclusions/summary not entirely supported by findings/outcomes.	Few inaccuracies and omissions. Conclusions/summary generally supported by findings/outcomes.	Discussion sufficient and with few errors. Greater foundation needed from past work in area. Conclusions/summary based on outcomes and appropriate, included no recommendations.	Discussion was superior, accurate, engaging, and thought-provoking. Conclusions/summaries and recommendations appropriate and clearly based on outcomes.	

5 Delivery	Presenter unsettled, uninterested, and unenthused. Presentation was read. Inappropriate voice mannerisms, body language, and poor communication skills. Poor quality of slides/presentation materials; did not enhance presentation/performance.	Presenter unenthused, monotonous and relied extensively on notes. Voice mannerisms, body language, and communication skills sometimes inappropriate. Poor quality of slides/presentation material; poor enhancement of presentation/performance.	Displayed interest and enthusiasm. Read small parts of material. Occasionally struggled to find words. Generally appropriate voice mannerisms, body language, and communication skills. Moderate quality of slides/presentation materials.	Relied little on notes. Displayed interest and enthusiasm. Good voice mannerisms, body language, and communication skills. Good quality of slides/presentation materials; enhanced presentation/performance.	Relied little on notes. Expressed ideas fluently in own words. Genuinely interested and enthusiastic. Exceptional voice mannerisms, body language, and communication skills. Exceptional slides/presentation quality materials; greatly enhanced presentation/performance.	
Comments :						

Student's Name: _____

Reviewer's Name: _____

Date: _____

APPENDIX C. CRITERIA FOR EVALUATING DISSERTATIONS

Doctoral Program in Educational Leadership at Fresno State (DPELFS) Criteria for Evaluating Dissertations

Directions: This form is designed to be used both as a student “self-assessment” tool and as the summative evaluation of the student’s final dissertation product. The student can use the tool to determine the degree to which their dissertation meets the criteria as outlined below. This form will also be used as the student’s summative evaluation of their dissertation product and will be completed by each committee member and given to the student at the end of their final defense.

Each criterion is cross referenced with both of the rubrics designed for the oral defense and the written dissertation.

I. Dissertation Format Quality Assessment

A. Selecting a Topic of Study

___ Yes ___ No ___ N/A

Is the topic researchable given time, resources, and availability of data? (Oral: Organization; Written: Methods/Approach)

___ Yes ___ No ___ N/A

Is there personal interest in the topic in order to sustain attention? (Oral: Organization; Written: Introduction)

___ Yes ___ No ___ N/A

Will the results of the study be of interest to others? (Oral: Originality, Significance / Authenticity, Discussion /Summary/Conclusions; Written: Introduction, Methods/Approach, Results/Outcomes, Discussion/Summary/Conclusions)

___ Yes ___ No ___ N/A

Is the topic likely to be publishable in a scholarly journal? (Oral: Originality, Significance/Authenticity, Discussion/ Summary/ Conclusions; Written: Introduction, Methods/Approach, Results/Outcomes, Discussion/Summary/Conclusions)

___Yes ___No ___N/A

Does the study a) fill a void, b) replicate, c) extend, or d) develop new ideas in the scholarly literature?
(Oral: Originality, Significance/Authenticity;
Written: Introduction, Methods/Approach,
Results/Outcome, Discussion
/Summary/Conclusion, Writing Quality)

B. Title of the Study

___Yes ___No ___N/A

Are unnecessary words eliminated? (Oral:
Organization; Written: Writing Quality)

___Yes ___No ___N/A

If a double title, is the colon in the correct place?
(Oral: Organization; Written: Writing Quality)

___Yes ___No ___N/A

Is the title no longer than 12 words? (Oral:
Organization; Written: Writing Quality)

___Yes ___No ___N/A

Are articles and prepositions eliminated? (Oral:
Organization; Written: Writing Quality)

___Yes ___No ___N/A

Does the title include the focus or topic of the
study? (Oral: Organization; Written: Writing
Quality)

___Yes ___No ___N/A

Is the title brief? (Oral: Discussion & summary;
Written: Discussion and Summary, Writing Quality)

C. For Quantitative Studies

___Yes ___No ___N/A

Does the study identify a theory, model, or
conceptual framework to be tested in the study?
(Oral: Organization; Written: Introduction)

___Yes ___No ___N/A

Does the study state whether the independent and
dependent variables will be related or whether two
or more groups will be compared in terms of the
dependent variable(s)? (Oral: Organization;
Written: Methods /Approach)

___Yes ___No ___N/A

Does the study illustrate an effect or relationship?
(Oral: Organization; Written: Introduction,
Discussion & Summary)

D. For Qualitative Studies Yes No N/A

Does the study add to the further understanding of the topic? (Oral: Originality; Written: Methods/Approach, Discussion and Summary)

 Yes No N/A

Does the study use words that convey an emerging design because of the inductive mode of the qualitative research process? (Written: Introduction, Methods / Approach)

 Yes No N/A

Does the study eliminate words that suggest a directional approach to the study if a qualitative methodology? (Oral: Organization; Written: Methods / Approach, Discussion and Summary)

II. Dissertation Content Quality Assessment**CHAPTER 1 - INTRODUCTION****A. Introduction** Yes No N/A

Does the introduction set the stage for the entire study? (Oral: Organization; Written: Introduction)

 Yes No N/A

Does the introduction create reader interest in the topic? (Oral: Originality, Significance/Authenticity; Written: Introduction)

 Yes No N/A

Does the introduction establish the problem that leads to the study (see Problem Statement)? (Oral: Organization; Written: Introduction)

 Yes No N/A

Does the introduction place the study within the larger context of the scholarly research? (Oral: Organization; Written: Introduction)

 Yes No N/A

Does the introduction reach out to a specific audience? (Oral: Originality, Significance/Authenticity; Written: Introduction)

 Yes No N/A

Does the introduction conclude with a statement of purpose? (Oral: Discussion & Summary)

B. Purpose of the Study

___ Yes ___ No ___ N/A

Is the purpose concise and to the point? (Oral: Organization, Discussion & Summary; Written: Introduction, Methods/Approach, Results/Outcome)

___ Yes ___ No ___ N/A

Does the purpose use such words as “purpose, intent, and objective” to call attention to this statement as a central controlling idea in a study? (Oral: Organization; Written: Introduction, Methods/Approach, Results/Outcomes)

___ Yes ___ No ___ N/A

Does the purpose clearly mention the central concept or idea being expressed? (Oral: Organization; Written: Introduction, Methods / Approach, Results/Outcomes)

___ Yes ___ No ___ N/A

Does the purpose provide a general definition of the central concept or idea? (Oral: Organization; Written: Introduction)

___ Yes ___ No ___ N/A

Does the purpose include words denoting the method of inquiry to be used in data collection, analysis, and the process of research? (Oral: Organization; Written: Introduction)

___ Yes ___ No ___ N/A

Does the purpose mention the unit of analysis or research site? (Oral: Organization; Written: Introduction)

C. Statement of the Problem

___ Yes ___ No ___ N/A

Does problem statement stimulate interest in your study? (Oral: Originality, Significance/Authenticity; Written: Introduction)

___ Yes ___ No ___ N/A

Does problem statement convey an issue to which a broad readership can relate? (Oral: Originality; Written: Introduction)

___ Yes ___ No ___ N/A

Does problem statement specify the problem leading to the study? (Oral: Originality; Written: Introduction)

Yes No N/A

Does problem statement indicate why the problem is important by giving a historical/theoretical background? (Oral: Organization; Written: Introduction)

Yes No N/A

Does problem statement avoid using idiomatic expressions or trite phrases? (Oral: Organization; Written: Writing Quality)

D. Significance of the Study

Yes No N/A

Does the significance of the study set the stage for the entire study? (Oral: Significance/Authenticity; Written: Introduction)

Yes No N/A

Does the significance of the study create reader interest in the topic? (Oral: Significance/Authenticity; Written: Introduction)

Yes No N/A

Does the significance of the study establish the same problem that leads to the study and was identified in the Purpose of the Study (Oral: Significance/Authenticity; Written: Introduction)

Yes No N/A

Does the significance of the study place the study within the larger context of the scholarly research? (Oral: Significance/Authenticity; Written: Introduction)

Yes No N/A

Does the significance of the study reach out to a specific audience? (Oral: Significance/Authenticity; Written: Introduction)

E. Definition of Terms

Yes No N/A

Are all terms that individuals outside the field of study may not understand defined? (Oral: Organization; Written: Introduction)

Yes No N/A

Are all terms defined when they first appear? (Oral: Organization; Written: Introduction)

Yes No N/A

Are all terms that need defining included in this section? (Oral: Organization; Written: Introduction)

CHAPTER 2 –LITERATURE REVIEW

F. Literature Review

___ Yes ___ No ___ N/A

Is the literature review organized around and related directly to the thesis or research question developed in the Introduction? (Oral: Organization; Written: Review of Literature)

___ Yes ___ No ___ N/A

Does the literature review contain ample research studies to highlight ways in which the problem has been or might be studied? (Written: Review of Literature. Methodology)

___ Yes ___ No ___ N/A

Does the literature review synthesize results into a summary of what is and is not known? (Written: Review of Literature, Discussion and Summary)

___ Yes ___ No ___ N/A

Does the literature review identify areas of controversy in the literature? (Written: Review of Literature)

___ Yes ___ No ___ N/A

Does the literature review formulate questions that need further research? (Written: Review of Literature, Discussion and Summary)

___ Yes ___ No ___ N/A

Does the literature review place each work in the context of its contribution to the understanding of the subject under review? (Written: Review of Literature)

___ Yes ___ No ___ N/A

Does the literature review describe the relationship of each work to the others under consideration? (Written: Review of Literature)

___ Yes ___ No ___ N/A

Does the literature review identify areas of prior scholarship to prevent duplication of effort? (Written: Review of Literature)

___ Yes ___ No ___ N/A

Does the literature review point the way forward for further research? (Written: Review of Literature)

___ Yes ___ No ___ N/A

Does the literature review place one's original work (in the case of theses or dissertations) in the context of existing literature? (Written: Review of Literature)

___ Yes ___ No ___ N/A

Is the literature review organized into categories or themes? (Written: Review of Literature)

___ Yes ___ No ___ N/A

Does the literature review have its own introduction, body, and concluding sections? (Written: Review of Literature, Writing Quality)

CHAPTER 3 - METHODOLOGY

G. Purpose of the Study

___ Yes ___ No ___ N/A

Does the Methodology include a description of the purpose of the study that is consistent with the purpose as outlined in Chapter 1?

H. Research Design

___ Yes ___ No ___ N/A

Does the methodology identify the specific type of research design selected (e.g., case studies, grounded theory, quasi-experimental design, etc.)? (Oral: Organization; Written: Methods/Approach)

___ Yes ___ No ___ N/A

Does the methodology section include a discussion of the type of methodology used (e.g., quantitative or qualitative)? (Oral: Organization; Written: Methods/Approach)

___ Yes ___ No ___ N/A

Does the methodology explain the purpose of the method using citations? (Oral: Organization; Written: Methods/Approach)

___ Yes ___ No ___ N/A

Does the methodology explain why that method was selected? (Oral: Organization; Written: Methods/Approach)

I. Research Questions

___ Yes ___ No ___ N/A

Is (are) the research question (questions) clearly stated? (Oral: Organization; Written: Methods/Approach)

Yes No N/A

Is (are) the research question (questions) specific in its (their) focus? (Oral: Organization; Written: Methods/Approach)

Yes No N/A

Does (do) the research question (questions) match with the intended methodology? (Oral: Organization; Written: Methods/Approach)

J. Participants/Sample

Yes No N/A

Does the methodology describe the population of the study? (Oral: Organization; Written: Methods/Approach)

Yes No N/A

Does the methodology identify and explain the sampling design using citations? (Oral: Organization; Written: Methods/Approach)

Yes No N/A

Does the methodology explain why that sampling design was selected? (Oral: Organization; Written: Methods/Approach)

Yes No N/A

Is the sampling design appropriate to the methodology selected? (Oral: Organization; Written: Methods/Approach)

Yes No N/A

Is the sample described in enough detail to understand who is included in this study but in a manner that still maintains confidentiality? (Oral: Organization; Written: Methods/Approach)

K. Data Collection/Procedures

Yes No N/A

Does the methodology detail the steps of how, when, and who will collect and analyze the data? (Oral: Organization; Written: Methods/Approach)

Yes No N/A

Does the methodology describe how data will be triangulated, if applicable? (Oral: Organization; Written: Methods/Approach)

___ Yes ___ No ___ N/A

Does the methodology describe, in detail, how confidentiality of subjects will be maintained throughout every aspect of the study? (Oral: Organization; Written: Methods/Approach)

___ Yes ___ No ___ N/A

Does the methodology describe how findings will be validated or audited, if applicable? (Oral: Organization; Written: Methods/Approach, Discussion & Summary)

L. Instrumentation

___ Yes ___ No ___ N/A

Does the methodology describe the instruments or data extraction and manner in which the data will be collected using citations? (Oral: Organization; Written: Methods/Approach)

___ Yes ___ No ___ N/A

Does the methodology describe how the instruments or variable selected were selected and/or designed using citations? (Oral: Organization; Written: Methods/Approach)

___ Yes ___ No ___ N/A

Does the methodology explain, using data, how valid and reliable the instruments are (if applicable)? (Oral: Organization; Written: Methods/Approach)

___ Yes ___ No ___ N/A

Are the instruments contained in the appendix? (Oral: Organization; Written: Methods/Approach)

M. Pilot Test

___ Yes ___ No ___ N/A

Does the methodology explain how the instruments were piloted/tested (if applicable)? (Oral: Organization; Written: Methods/Approach)

N. Data Analysis

___ Yes ___ No ___ N/A

Does the methodology identify and describe how data will be analyzed using citations? (Oral: Organization; Written: Methods/Approach)

O. Limitations

___ Yes ___ No ___ N/A

Are all the potential weaknesses of the study described? (Oral: Organization; Written: Methodology)

___ Yes ___ No ___ N/A

Are the limitations appropriate to the methodology? (Oral: Organization; Written: Methodology)

CHAPTER 4 – RESULTS/OUTCOMES**P. Results and Outcomes**

___ Yes ___ No ___ N/A

Does the Results and Outcomes section begin with a review of the methodology? (Oral: Discussion and Summary; Written: Results and Outcomes)

Q. Summary of the Findings

___ Yes ___ No ___ N/A

Does the Results and Outcomes report key findings of the study? (Oral: Discussion and Summary; Written: Results and Outcomes)

___ Yes ___ No ___ N/A

Are key findings supported by references to the data? (Oral: Discussion and Summary; Written: Results and Outcomes)

___ Yes ___ No ___ N/A

Do key findings address the research questions or hypothesis? (Oral: Organization, Discussion and Summary; Written: Methodology, Results and Outcomes)

___ Yes ___ No ___ N/A

Are key findings reported in an organized manner (such as by research question or hypotheses)? (Oral: Organization; Written: Results and Outcomes)

___ Yes ___ No ___ N/A

If found, are key findings that contradict each other reported? (Oral: Organization; Written: Results and Outcomes)

CHAPTER 5 – SUMMARY/ CONCLUSIONS/DISCUSSION

R. Summary of Findings

___Yes ___No ___N/A

Does this section begin with a summary of the primary interpretation of the findings and the conclusion? (Oral: Discussion/Summary/Conclusions; Written: Discussion /Summary/Conclusions)

S. Conclusions

___Yes ___No ___N/A

Is literature used to contradict or affirm the interpretation of findings and conclusion? (Oral: Discussion /Summary /Conclusions; Written: Discussion/Summary/Conclusions)

___Yes ___No ___N/A

Is the conclusion affirmed by the findings? (Oral: Discussion/Summary/Conclusions; Written: Discussion /Summary/Conclusions)

___Yes ___No ___N/A

Are conclusions presented in an organized manner (such as by research question or hypotheses)? (Oral: Discussion / Summary/ Conclusions, Delivery; Written; Discussion/ Summary/Conclusions)

T. Discussion

___Yes ___No ___N/A

Does the discussion proceed in an organized manner (such as by research question or hypotheses)? (Oral: Discussion / Summary/ Conclusions, Delivery; Written; Discussion/ Summary/Conclusions)

___Yes ___No ___N/A

Is the theory or hypothesis that was tested affirmed or denied? (Oral: Discussion/Summary/Conclusions; Written: Discussion/ Summary/Conclusions)

___Yes ___No ___N/A

Do the findings and their interpretation support the conclusion regarding the theory or hypothesis? (Oral: Discussion/ Summary/ Conclusions; Written: Discussion / Summary/Conclusions)

Yes No N/A

Do you address what your data do not tell you about your research questions? (Oral: Discussion/Summary/Conclusions; Written: Discussion/ Summary/Conclusions)

U. Recommendations

Yes No N/A

Are the recommendations based on the findings? (Oral: Discussion/Summary/Conclusions; Written: Discussion/ Summary/Conclusions)

V. Implications for Practice

Yes No N/A

What are the key recommendations for practice? (Oral: Discussion/Summary/Conclusions; Written: Discussion/ Summary/Conclusions)

W. Implications for Future Research

Yes No N/A

What are the key recommendations for future research on this topic? (Oral: Discussion/Summary/Conclusions; Written: Discussion/ Summary/Conclusions)

X. Abstract

Yes No N/A

Does the Abstract contain the purpose of the study? (Written: Writing Quality)

Yes No N/A

Does the Abstract contain the study population? (Written: Writing Quality)

Yes No N/A

Does the Abstract summarize the methodology? (Written: Writing Quality)

Yes No N/A

Does the Abstract summarize the primary finding? (Written: Writing Quality)

Yes No N/A

Does the Abstract summarize the significance of the study? (Written: Writing Quality)

Yes No N/A

Is the Abstract less than 120 words (APA)? (Written: Writing Quality)

Adapted from Creswell, J.W. (1994). *Research design: Qualitative and quantitative approaches*. Thousand Oaks, CA: Sage Publications