

DISSERTATION AND PROPOSAL GUIDELINES

January 2018

PROCEDURES AND GUIDELINES RELATED TO THE DISSERTATION PROPOSAL

General Guidelines of the University of Connecticut Graduate School

Before undertaking dissertation research, a doctoral student must prepare and present (for committee and reviewer approval) a written proposal addressing the scope and content of his/her intended research.

A dissertation proposal, describing the student's intended focus of her/his dissertation research, must be submitted for final review by the School of Social Work Doctoral Program Committee at least six (6) months prior to the student's expected date of degree completion.

If human subjects are to be involved in the proposed research, the student is required to obtain approval from the University of Connecticut Institutional Review Board (IRB) as part of the dissertation proposal review and approval process. IRB approval is required before the dissertation proposal may be forwarded for final review and approval by the Graduate School.

Final approval of the Dissertation Proposal from the University of Connecticut Graduate School must be received at least six (6) months prior to the scheduled date of the student's Oral Defense of the Dissertation.

Procedures of the School of Social Work Doctoral Program

By the end of their second semester, students will have selected a Major Advisor and, in consultation with the Major Advisor, convened an Advisory Committee consisting of not less than two additional members (*see policy on Advisory Committees*) with expertise relevant to either the student's substantive area of interest and/or anticipated research methodology. Throughout their second year of study, students will engage in ongoing exploration and consultation with members of the Advisory Committee, as well as with other faculty, to identify and clarify the substantive area and focus of their proposed dissertation research. In addition, students will complete a minimum of two course electives at the Graduate level (5000 level or above). One of the electives, relevant to the student's research interest, must be taken in a core social science discipline (i.e., anthropology, economics, political science, psychology, or sociology). The other is based on the student's dissertation area or substantive area of interest. (*see policy on Electives*).

During the summer (or term) following completion of all required course work, students are expected to initiate study for their qualifying exams (which are scheduled in August and can be administered under special circumstances in January). One element of the exam is production of an Integrating Specialization Essay (*see policy on General Examination*). One purpose of the specialization essay is to provide students an opportunity to examine and develop an integrative framework (based on knowledge obtained through coursework and independent study) to their dissertation proposal. The Integrating Specialization Essay may serve as the student's first formalized step in examining the literature and areas of potential research inquiry for the dissertation proposal.

In the fall semester of each year, a Dissertation Seminar is convened for all students who have successfully completed the required coursework and passed all elements of the general examination by the start of the seminar. The Dissertation Seminar is designed to assist each student in further clarifying a suitable dissertation topic and in developing an appropriate methodological approach for her/his research. Satisfactory completion of the dissertation seminar requires students to produce a complete first draft of their dissertation proposal and a comprehensive written review of published literature relevant to their topic of interest. Students are encouraged to consult with their Major Advisor and members of their Advisory Committee throughout this semester long process. Although some students may have worked on development of the dissertation proposal at different points throughout their course of study, the proposal may not be submitted for review and approval by the student's Advisory Committee until the student has successfully completed this seminar.

Upon successful completion of the dissertation seminar, students begin the formalized process of meetings and consultations with their Major Advisor and members of their Advisory Committee for the purpose of finalizing the Dissertation Proposal. Specific consultation arrangements and requirements (e.g., frequency, participants, etc.) are cooperatively determined by the student and Major Advisor.

Guidelines for the Dissertation Proposal

Students, in consultation with members of their Advisory Committee, prepare a dissertation proposal describing the research problem, relevant literature, and methodology. Specific content guidelines, suggested formats and instructions for completion of the proposal may be found in Appendices.

The student submits the draft of the Dissertation Proposal to the Advisory Committee and the Doctoral Committee prior to the Proposal Defense.

Dissertation proposals are reviewed with the following questions in mind:

1. Is the proposal well written, well organized and well argued?
2. Does the student demonstrate knowledge of the subject and an understanding of the proposed method of investigation?
3. Does the student show awareness of relevant Social Work and other research?
4. Does the student demonstrate how the proposed investigation contributes to Social Work research, education and practice?

Dissertation Proposal Defense

Dissertation proposal defense dates may be scheduled between the first week in September and May 22. A request to schedule the proposal defense should be made by the Major Advisor to the PhD Program Director (see Appendix D for relevant timelines). The dissertation proposal is sent to the PhD Program Director at least two weeks prior to the defense date. The proposal will be distributed to the Doctoral Program Committee members.

Prior to the formal dissertation proposal defense, students have the option of presenting their proposal to their Major Advisor, the PhD Program Director, and fellow students in a "Mock Defense." This process is purely consultative in nature.

Members of the Doctoral Program Committee and all members of the student's Advisory Committee will be in attendance for the Dissertation Proposal Defense. The student may request inclusion of one support person. The student can choose whether or not other doctoral students can attend. The proposal defense is chaired by the PhD Program Director, unless the Director is on the student's Advisory Committee; in that event, the proposal defense is chaired by the senior ranking member of the Doctoral Program Committee.

The proposal defense begins with the student's 20-minute summary presentation of the Dissertation Proposal. Members of the Advisory Committee and the Doctoral Program Committee may then question the student. At the completion of the questioning, students leave and the Advisory and Doctoral Committee members deliberate. A vote is taken and a simple majority determines the outcome. The student is then invited to return and is informed of the decision by the PhD Program Director.

The student will be informed of one of the following determinations.

- *Accept.*
The student can proceed with the research.
- *Accept with Minor Revisions*
The student must make the required revisions and resubmit the proposal to their Advisory Committee for review. The student's Major Advisor notifies the PhD Program Director of the student's satisfactory completion of the required revisions. The student proceeds with the dissertation research after receiving IRB approval (if required).
- *Accept with Significant Revisions*
The student makes the necessary revisions and resubmits the proposal to their Advisory Committee and the PhD Program Director for review. When the proposal is approved, the student proceeds with the dissertation research after receiving IRB approval (if required).
- *Not Accept*
The student is required to rewrite the proposal and, with Advisory Committee approval, resubmit it for a second defense with the full Doctoral Program Committee.

At the conclusion of a successful defense, the Doctoral Dissertation Coversheet is signed by the student, all members of the student's Advisory Committee, and by the PhD Program Director. Once the final proposal is completed and has IRB approval, this form will be forwarded to the Graduate School, along with the two prior documents.

IRB Review and Approval

The student is required, if relevant, to obtain approval from the University of Connecticut Institutional Review Board (IRB) as part of the dissertation proposal review and approval process. IRB approval is required before the dissertation proposal may be forwarded for final review and approval by the Graduate School. Final approval of the Dissertation Proposal from the University of Connecticut Graduate School must be received at least three (3) months prior to the scheduled date of the student's Oral Defense of the Dissertation (Final Exam).

After IRB approval is received, the student forwards the IRB approval with a copy of the final dissertation proposal to the Doctoral Program Office. A final copy of the proposal (approved by the Advisory Committee),

with the signed Dissertation Proposal Coversheet, and IRB approval (or exception) will be forwarded to the Graduate School for final approval.

Once The Graduate School grants approval, the Dissertation Proposal Approval form will be scanned and e-mailed to the student, the Major Advisor, and the PhD Program Director.

PROCEDURES AND GUIDELINES RELATED TO COMPLETION OF THE DISSERTATION

Candidacy and Dissertation Preparation

Upon acceptance of the Dissertation Proposal by the Executive Committee of the Graduate School, the student becomes a candidate for the degree of Doctor of Philosophy. Prior to this, the student must have passed the General Examination as well as completed any remaining courses on the Plan of Study and fulfilled the supporting-area requirements of the doctoral program.

Focus and Conduct of Dissertation Research

The dissertation is an opportunity for students to identify gaps in current knowledge, to pose relevant research questions, and to conceptualize and carry out independent research in an area of particular interest and significance.

Any research design, including quantitative, qualitative and mixed methods approaches, may be used for dissertation research. Students should select a research methodology appropriate to the research question(s) and their intended focus of study. Selected research approaches must adhere to accepted standards for scientific rigor and the ethical conduct of research.

The student, under the supervision of the Major Advisor, assumes primary responsibility for all phases of the research. Students assume an active and instrumental role in recruitment and screening of research subjects, in conducting interviews and carrying out all data collection strategies, in data entry (including transcription of interviews if narrative data is collected), and in data analysis.

In some limited circumstances, students may obtain assistance with or be exempt from carrying out some specific research tasks. For example, circumstances that might occur include:

1. A student affiliates with a senior researcher in the conduct of a larger research project from which the student “carves out” an independent investigation.
2. A student designs an agency-based research project in which employees of that agency are primary agents of data collection.
3. A student identifies an existing data set to use for secondary analysis.

If other personnel are involved at any stage of the research, the student must obtain IRB approval and the approval of their Advisory Committee.

Role of the Major Advisor and the Advisory Committee

The preparation of the dissertation is under the supervision of the student’s Advisory Committee and must meet all standards prescribed by the Advisory Committee, the PhD Program and by the Graduate School. The Major Advisor oversees the student’s progress in initiating and carrying out research, in conducting data analysis, and in writing the final dissertation. Associate Advisors provide input on methodology and/or content at various stages of the process. The student and Major Advisor will determine, with the Associate Advisors, the roles and the extent of input of all Committee members.

Preparation of the Doctoral Dissertation

It is the student's responsibility to be certain that the dissertation conforms exactly to the specifications prescribed by the Graduate School. Technical specifications for preparation of the Doctoral Dissertation can be found online at the Graduate School website <https://grad.uconn.edu/enrollment-services/doctoral-degree-program/specifications-for-doctoral-dissertation-preparation/>.

Dissertation Formats

There are two dissertation formats available in the School of Social Work: the Traditional Dissertation format and the Article Dissertation format. The candidate and the Major Advisor should discuss which format works best with the candidate's research question(s). Students should check with the PhD Office prior to beginning the dissertation process for the most recent guidelines.

Traditional Format

The traditional monograph format for a dissertation generally has one of the two following basic outlines although the number of chapters and outline may vary:

Quantitative/Mixed Methods Proposal:

Chapter 1	Problem Statement
Chapter 2	Literature Review and Theory
Chapter 3	Methods
Chapter 4	Findings
Chapter 5	Discussion of Recommendations

Qualitative Proposal:

Chapter 1	Introduction (including Theory)
Chapter 2	Methodology
Chapters 3-4 or 3-5	Substantive findings/themes including links to theory)
Chapter 6	Conclusion (Implications for Social Work)

Article Dissertation Format

Introduction

The Article Dissertation offers an alternative format. Under this model, a student writes a minimum of articles for publication in peer-reviewed journals. If a student is interested in pursuing the Article Dissertation format, it would be helpful to contact their Major Advisor and Advisory Committee to discuss the feasibility of this option with their research topic.

I. Number and Nature of Articles

1. The student will write a **minimum** of 3 articles under the Article Dissertation format. Each article is treated as a separate chapter, i.e., they will comprise Chapters 2, 3, and 4 of the dissertation
2. The articles should form a cohesive body of work that supports a theme or themes that are expressed clearly in the introduction to the dissertation (Chapter 1). Two articles must be based on the student's data analysis (quantitative or qualitative). One of the articles may be conceptual in nature, but must be based on the themes of the dissertation overall.
3. Articles that have been previously published prior to the dissertation proposal may be included upon approval of the student's Advisory Committee and the Ph.D. Program Director. Not more than one

article may be previously published prior to the dissertations proposal; this article must represent work undertaken and published while the student is enrolled in the Ph.D. program, must contribute to the identified themes of the dissertation, and be approved by the student's Advisory Committee at the time of the student's proposal.

4. Articles are to be formatted following the style requirements of the journal that has been identified for potential submission. However, in the dissertation, the articles **must** follow University Graduate School guidelines in terms of formatting and presentation.
5. If the Advisory Committee approves a previously published article, the student will be responsible for securing necessary permissions (i.e., from the copyright holder and other authors). If an article is published between the dissertation proposal and the dissertation defense, students are also responsible for securing necessary permissions from the journal. An original letter from each journal that grants permission for the inclusion of the photocopied article in the dissertation is necessary to assure that there are no permission issues or violations of copyright. In requesting a letter of permission, it is important to tell the journal that Digital Commons will be posting the dissertation to third party search engines. The journal usually will require that the journal be the first publisher of the article. Please retain a copy of all permissions granted for your personal file. Copyright issues frequently arise with previously published material. Students need to obtain permission to duplicate copyrighted material (and, possibly, multiple author releases).

III. Journals

1. In consultation with their Major Advisor and Advisory Committee, students will identify journals to which their articles may be submitted. The Advisory Committee should help select journals that will challenge the student and offer a reasonable chance of publication success.
2. Prior to the dissertation defense, the student and Advisory Committee should agree that all unpublished articles included in the dissertation are ready for potential submission to the identified journal.

IV. Authorship

1. Students must be first author on all articles submitted as part of their Article Dissertation.
2. Only one article in a student's Article Dissertation may be co-authored. Members of the student's Advisory Committee will not permit co-authorship, unless the student is working with data originating from a larger study of which an Advisory Committee member is a Principal Investigator. A co-authored article may only be in one student's dissertation.

V. Organization of the Dissertation

1. The dissertation must include an abstract that synthesizes the articles, as well as an introduction (Chapter 1) and a conclusion (Chapter 5, assuming 3 articles are presented).
2. The introduction should include:
 - a. A definition or statement of the problem.
 - b. The importance of the problem, i.e. why it is worth researching, why it matters to the field of social work.
 - c. The theoretical foundation(s) supporting the problem/issue.

- d. An overview of the important literature (overview, because each article submitted for the Article Dissertation will have its own unique literature review).
 - e. The research questions.
 - f. The methodology to be used to answer those questions.
3. The conclusion will briefly summarize the dissertation's major findings, discussion, and recommendations. The student will also present and discuss linkages (i.e., similarities and differences) between the separate manuscripts that are included in the dissertation, striving as much as possible to present the document as representative of a coherent body of work.
 4. The dissertation will be formatted and bound consistent with University of Connecticut guidelines.

VI. Dissertation Proposal and Defense Procedures

1. Dissertations prepared using the Article Dissertation format will be subject to proposal and dissertation defense procedures as specified by program policy. The Article Dissertation format should be chosen in consultation with the student's Advisory Committee during the proposal process.
2. For the dissertation defense, students will present a final document that includes all the elements required by the University of Connecticut Graduate School for a traditional dissertation (e.g., abstract, table of contents, appendices); any previously published article(s); article(s) submitted for publication; and a concluding chapter. Students are encouraged to submit their articles for publication upon completion of their dissertation.

Scheduling the Dissertation Defense (Final Examination)

The PhD Program Director in consultation with the Major Advisor will set a date for the dissertation defense (final examination). The dissertation defense may be scheduled between the first week of September and May 22. The timeline for dissertation defense preparation allows the student to make revisions and submit a "working" copy of the dissertation at least two weeks before the dissertation defense. The student should e-mail an electronic copy of their tentative approval form and working copy of their dissertation to the Office of Student and Academic Services at the School of Social Work, who will submit it to the Graduate School. Invitation to attend the examination is issued to the University and School of Social Work communities. The time and place of the defense (examination) must be posted at least two weeks prior to the defense on the University's Web-based events calendar. Instructions for posting the announcement are available at <http://grad.uconn.edu/enrollment-services/doctoral-degree-program/>.

Dissertation defense (final examination)

The dissertation defense is chaired by the PhD Program Director, unless she/he is a member of the student's Advisory Committee; in that event, the defense will be chaired by another member of the Doctoral Committee. The examining committee consists of a minimum of five members: the student's Advisory Committee and one or two additional examiners chosen from the faculty of the UConn School of Social Work. The student has the option of presenting a Mock Defense prior to the formal dissertation defense to doctoral students, the Major Advisor, and the PhD Program Director.

The student has 20 minutes for presentation. After the presentation, guests will be asked to leave. Members of the Advisory Committee pose questions and are followed by the Examining Committee members, Doctoral Committee members, and, finally, other attendees. At the completion, the Advisory Committee, in consultation with Examining and Doctoral Committee members, vote on the outcome of the defense. The decision regarding whether a candidate has passed, conditionally passed, or failed the examination rests solely with the Advisory Committee, which will take into account the opinions of other participating faculty members. The vote of the Advisory Committee must be unanimous. At the conclusion, the PhD Program Director will invite the student (and support person) to return to the room for more detailed feedback and will inform the student of the outcome. Immediately following the defense (examination), the PhD Program Office sends the official report on the examination to the Graduate Records Office.

Application for the Degree

Formal application for a degree to be conferred must be filed online by the degree candidate using the Student Administration System. Information and instructions can be found on The Graduate School website at <https://grad.uconn.edu/enrollment-services/doctoral-degree-program/>. If filing is not timely, conferral is delayed to the next conferral period, even though all other degree requirements may have been completed on time.

Dissertation Submission and Other Completion Requirements

After a student successfully completes their dissertation defense, the Advisory Committee may require further revisions of the dissertation. Once all the necessary revisions have been completed and approved, a student is ready to prepare the final copy of their dissertation for submission. This is associated with a number of specific and detailed requirements as outlined below by the Graduate School. The requirements outlined on the Dissertation Submission Checklist (<https://grad.uconn.edu/enrollment-services/doctoral-degree-program/dissertation-information/>) are as follows:

- Submit an application for graduation through the Student Administration System
- Electronic submission of dissertation with abstract, title page, approval page, and metadata to the Digital Commons Doctoral Dissertation Collection. For assistance with submission, please refer to <http://digitalcommons.uconn.edu/dissertations/guidelines.html>.
- Complete the Survey of Earned Doctorates. All research-based graduate students are required to complete the survey on-line at <https://sed.norc.org/survey>. Please read it carefully and complete it accurately. Print out the confirmation of completion to be submitted with the Dissertation Submission Checklist.
- Make sure the dissertation title is consistent throughout documentation
- Submit a copy of the completed Dissertation Submission Checklist with the following:
 - One signed approval page with original signatures on white 8 ½ x 11 paper
 - One signed copy of the Report on the Final Examination for the Doctoral Degree <https://grad.uconn.edu/enrollment-services/forms/>.
 - A copy of the confirmation receipt of the Survey of Earned Doctorates

For information concerning the binding of personal copies of your dissertation, please visit <https://grad.uconn.edu/enrollment-services/doctoral-degree-program/dissertation-information/>.

Checklist of Steps Required for Dissertation Defense and Graduation

TIME FRAME	ACTION NEEDED	WHO IS RESPONSIBLE?
At least 2 Months before defense date	<ol style="list-style-type: none"> 1. Set date for completion of “working” copy of dissertation 2. Set date for dissertation defense 	<ol style="list-style-type: none"> 1. Major Advisor 2. Major Advisor in consultation with Advisory Committee and PhD Program Director
At least 6 weeks before defense date	➤ Provide copy of “working” dissertation draft to all Advisory Committee members	➤ Student
At least 1 month before defense date	➤ Receive suggested revisions from Advisory Committee members	➤ Student, Major Advisor
At least 2 weeks before defense date	<ol style="list-style-type: none"> 1. Post time and place of defense on University’s web-based events calendar 2. Submit an electronic “working” copy of dissertation and Tentative Approval form to the Office of Student and Academic Services 3. Identify 4th and 5th members of Examining Committee (to include all Advisory Committee members plus additional faculty needed to reach 5 Examining Committee members) 4. Forward working dissertation and Tentative Approval form to Graduate School 5. Forward working dissertation to Examining Committee members 6. Extend invitation to the School of Social Work Community 	<ol style="list-style-type: none"> 1. Student 2. Student 3. PhD Program Director (or designee) in consultation with Major Advisor 4. Office of Student and Academic Services 5. Office of Student and Academic Services 6. Office of Student and Academic Services
At least 1 week before defense date	1. Conduct a mock defense at doctoral student seminar (recommended)	1. Student
Day of Defense	<ol style="list-style-type: none"> 1. Conduct defense 2. Furnish at least two copies of the Approval Page for original signatures by Advisory Committee members 	<ol style="list-style-type: none"> 1. Student, Advisory/Examining Committee, Doctoral Committee 2. Student/Advisory Committee

	<ol style="list-style-type: none"> 3. Determine outcome of examination 4. Notify student of outcome 5. Furnish two copies of the Report on Final Examination for the Doctoral Degree for original signatures by Committee members 	<ol style="list-style-type: none"> 3. Advisory Committee 4. PhD Program Director/ Chairing member of Doctoral Committee 5. Office of Student and Academic Services
<p>Within 3 days following defense</p>	<ul style="list-style-type: none"> ➤ Send official report of the examination to the Graduate Records Office (original signatures of Advisory Committee members required) 	<ul style="list-style-type: none"> ➤ Office of Student and Academic Services
<p>Prior to Graduation (consult Graduate Records Office for required submission dates based on date of planned graduation)</p>	<ol style="list-style-type: none"> 1. Review and print Dissertation Submission Checklist found on the Graduate School website 2. Apply for Graduation online through Student Admin account 3. Review electronic submission guidelines provided by Digital Commons 4. Submit dissertation electronically to Digital Commons 5. Complete the Survey of Earned Doctorates and print the confirmation receipt of the Survey of Earned Doctorates online submission 6. Submit to the Graduate School: a. online submission confirmation of Survey of Earned Doctorates; b. Approval page with Advisory Committee Signatures; and c. Completed Submission Checklist. 	<ol style="list-style-type: none"> 1. Student 2. Student 3. Student 4. Student 5. Student 6. Student
<p>May of the year in which the defense was completed</p>	<ul style="list-style-type: none"> ➤ Inclusion of student in SSW Recognition Ceremony ➤ Participate in the Graduate School Commencement Ceremony 	<ul style="list-style-type: none"> ➤ Office of Student and Academic Service ➤ Student & Major Advisor

APPENDIX 1: GUIDELINES FOR WRITING THE DISSERTATION PROPOSAL

General Instructions

The text of the dissertation proposal should be 20-25-pages (excluding cover page, abstract, table of contents, references, and appendices), double-spaced. Use a 12-point font with 1-inch margins; citations and references should follow APA format. Each proposal should include an abstract. A title page and table of contents should be placed at the front of the proposal. All key areas, as outlined below, need to be addressed. These components apply equally to all research designs that may be used in completion of the dissertation.

Proposal Outline:

- I. Introduction/Problem Statement
Describe your intended research focus, including a summary of the social problem/issue to be addressed. Provide a detailed description of the background, significance and rationale for your proposed research.
- II. Literature Review
This section should include each of the following elements in the order that is appropriate to your research focus:
 - Identify your conceptual framework. This section should identify the major theoretical ideas that will guide your study.
 - Provide a concise review of relevant literature. Place the study in the context of existing research.
 - Summarize your literature review, identify gaps and/or limitations in the existing literature, and develop a rationale for the proposed study. Include within this rationale an answer to the “so what?” question, i.e., why your proposed research is important and/or relevant to social welfare/social work practice.
- III. Methodology
Provide a complete description of your proposed study.
 - Begin this section with a statement of your research question(s) and/or hypotheses.
 - Describe your research design. Address issues and concerns that are appropriate to the design selected.
 - Describe your sampling plan. Provide a rationale for the plan selected.
 - Describe the data collection strategies, and instrumentation if relevant, that you plan to use. Provide nominal (conceptual) and operational definitions of each of your major independent and dependent variables (if quantitative); describe major conceptual areas to be examined (if qualitative). Include a discussion of the validity and reliability of any measurement instruments to be used.
 - Briefly describe your plan to obtain University of Connecticut IRB approval for your proposed research. Specify how you will protect confidentiality or anonymity of research subjects (when appropriate). A draft of your IRB application form should be attached as an appendix.
 - Identify conditions that could affect your ability to implement your research design. Describe your plan to deal with these concerns.
- IV. Data Analysis Plan
 - This description of your data analysis section should be guided by your hypotheses/research questions. For each hypothesis/research question, specify the dependent and independent variables and describe what statistical analytic procedures you plan to use.
 - If a qualitative design is used, specify the analytic approach (e.g, constant comparative method, content analysis, thematic analysis, etc.) and what, if any, qualitative software will be employed.

- Describe briefly the limitations your study will have in terms of generalizability, reliability, validity, etc.

V. Summary

- Note the importance of your study, relevance to social work, potential implications for practice and education, etc.
- Provide a brief summary of anticipated outcomes of your study.

VI. Include cited references as a separate section.

VII. Appendices to be included (no page limit).

- Copy of your C.V.
- Timeline of dissertation activity
- Copies of recruitment materials and an informed consent form (if human subjects are involved), IRB form, letters of agreement, interview guides, questionnaires and other instruments, and other relevant documents should be included as appendices.

TITLE

By

STUDENT FULL NAME

Dissertation Proposal

Submitted in partial fulfillment of the requirements for completion of
the Degree of Doctor of Philosophy in Social Work,
in the Graduate School of Social Work, University of Connecticut

Date Submitted

APPENDIX 3: SAMPLE FORMAT – DISSERTATION PROPOSAL TABLE OF CONTENTS

Section headings are illustrative.

TABLE OF CONTENTS

ABSTRACT	
Problem Statement
Literature Review
Conceptual Framework
Significance, Rationale, and Justification
Methodology
<i>Research Question</i>
<i>Research Design</i>
<i>Sampling</i>
<i>Data Collection</i>
<i>Protection of Human Subjects</i>
<i>Potential Challenges</i>
Data Analysis
<i>Data Management</i>
<i>Validity/Reliability; Evidence of Scientific Rigor</i>
<i>Study Limitations</i>
<i>Anticipated Outcomes</i>
Summary
References
APPENDICES (listed in order of presentation within text)
1. Recruitment Materials	
2. Screening materials	
3. Instruments/Interview Guides	
4. Informed Consent	
5. Timeline	
6. Budget	
CURRICULUM VITAE
INSTITUTIONAL REVIEW BOARD APPLICATION

THE UNIVERSITY OF CONNECTICUT
Specifications for Preparation of the Doctoral Dissertation

Abstract-- An abstract is required. The body of the abstract may not exceed 350 words in length. Please see the sample in the required formatting link above.

Minimum Margins -- The minimum acceptable margins for all pages of the dissertation and the abstract are 1 inch on left and 1 inch on the top, bottom, and right.

Paper Requirement for the Approval Page--The Approval Page submitted to The Graduate School must be printed on 8.5 x 11 inch white paper. Only original signatures are accepted.

Font and Point Size -- Recommended fonts include Arial, Times New Roman, and Helvetica with a point size of either 11 or 12.

Print -- Print should be clear, clean, and dark with no shadows or stray marks. Remember to remove tracking changes.

Spacing -- The text of the dissertation should be double spaced. Long quotations, footnotes, appendices, and references may be single spaced.

Photographs and Graphics -- Photographs, graphics, and scanned images in the dissertation should be high quality. The use of color is acceptable.

Use of materials copyrighted by others -- Any material included that goes beyond "fair use" requires written permission of the copyright owner. See specifications on Digital Commons. It may be useful to include these in the dissertation as an appendix.

Pagination -- Preliminary pages (the title page, optional copyright page, approval page, acknowledgments, table of contents, and the like) are to be numbered consecutively using lower case Roman numerals. The title page number may be suppressed. All pages of the text, appendices (if any), and references must be numbered consecutively using Arabic numerals. The abstract is not paginated. Page number locations should be consistent throughout the document.

Landscape pages -- The top of a landscape page should be at the left margin and the bottom at the right margin. The page number is to be in the same relative position as on the portrait pages.

Sequence of the main components of the dissertation -- The appropriate order of the major sections of the dissertation follows: the abstract, the title page, the copyright page (optional), the approval page, acknowledgments, table of contents, the text, appendices (if any), and the references. The order of the appendices and the references may be reversed if the appendices are lengthy.

Footnotes, Endnotes, and References -- The format that is accepted in your discipline or that is prescribed by your advisory committee should be followed.

Photocopied journal articles in the dissertation -- When appropriate, photocopied articles already published in journals may be included in a dissertation. Photocopying must conform to the margins noted above. An original letter from each journal, granting permission for the inclusion of the photocopied article in the dissertation is necessary to assure that there are no permission issues or violations of copyright. In requesting a letter of permission, it is important to tell the journal that Digital Commons will be posting the dissertation to third party search engines. The journal usually will require that the journal be the first publisher of the article. Please retain a copy of all permissions granted for your personal file.

General Information

- Submit ONE electronic copy of your dissertation to [Digital Commons](#). Follow the instructions found in the Submission Guidelines link of the Author Corner. Use only the link located in Dissertation Information.
- Effective May 9, 2016, a printed copy of the dissertation is no longer required by the Library.
- Submit to The Graduate School: [Dissertation Submission Checklist.pdf](#) along with ONE original dissertation approval page on standard white paper with all required *original signatures*, [Report on the Final Examination for the Doctoral Degree.pdf](#) with original signatures, embargo period requested, and a copy of the receipt of submission to the Survey of Earned Doctorates.
- To ensure efficient degree auditing of student records at graduation time, please be sure you have already submitted a Doctoral Plan of Study, a Report on the General Examination for the Doctoral Degree, and a Dissertation Proposal for the Doctoral Degree to The Graduate School. Review your transcript and make sure grades are posted for all courses listed on your plan of study including dissertation research credits. Any discrepancies cause delays in graduation.
- Your electronically submitted dissertation will be reviewed by The Graduate School administrator for format compliance and you will receive notification if any revisions need to be made. Use an unsigned, properly formatted Approval Page in the electronic submission of your dissertation. Once the dissertation is approved by The Graduate School administrator, your dissertation will be posted to Digital Commons and will be publicly viewable on the web according to the embargo period you selected. You will receive notification via e-mail of the posting. You will not be able to make changes or revisions to your dissertation submission after it has been approved and published in the Doctoral Dissertation Collection of UConn's Digital Commons.

IMPORTANT NOTE: Your dissertation is a publication reflecting the results of your research and academic pursuits; it is a direct representation of you, your research, and your department. Once approved for publication in the time frame you selected, your dissertation is available for the access you have specified. It is the responsibility of the doctoral student and the student's advisory committee to assure that the dissertation is of ready-to-publish appearance and quality.

The dissertation title must be consistent on all pages. Double-check your dissertation prior to submission for grammatical errors, punctuation, capitalization, and spelling. Look for appropriate conversion of symbols and fonts and verify that graphs and charts meet expectations.

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APPENDIX 5: SAMPLE TABLE OF CONTENTS FOR DISSERTATION
Quantitative

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Section headings and page numbers are illustrative.

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QUALITATIVE

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Article Dissertation

Sample Table of Contents

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