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INTRODUCTION

Alliant International University is committed to excellence in all academic programs. This commitment is especially important in the doctoral programs where the objective is to produce scholars who are prepared to contribute to the advancement of knowledge in their respective disciplines and to the application of knowledge to real-world problems.

The doctoral dissertation demonstrates a student’s readiness to join scholars in advancing the knowledge and practice of a discipline. Student research presented in the dissertation merits publication by ProQuest and presentation in the Alliant University Library for public use. The quality level of a dissertation from this university must be such that the contribution of a doctoral graduate will be respected by the academic and practitioner communities in the discipline. The value of a doctoral degree from Alliant International University depends on the acceptance of our graduates in these academic and practitioner communities.

This Dissertation Handbook contains the policies and procedures that apply to doctoral programs that require a dissertation in the Hufstedler School of Education at Alliant International University. These guidelines are set forth to maintain uniformity in the physical format of the manuscript. Candidates are additionally responsible for adhering to current requirements at the time of filing a manuscript.
Roadmap to the Doctorate
Educational Leadership and Management

GSE 9901 (3 unit class)
Write dissertation plan
Establish committee
Begin Chapter One

GSE 9902* (3 units)
Write Chapters One, Two, and Three independently
(under supervision of your chair)

Proposal Defense
(Present Chapters 1, 2, 3
to your Committee)
Pass

Institutional Review Board (Reviews proposal – approves or sends back for corrections)

GSE 9920* (3 units)
Conduct Research
Write Chapters Four and Five

Apply for Graduation – 60 units minimum
(Apply in January for Graduation in May)

Proposal Defense
Defend Chapters 1, 2, 3, 4, 5 to Committee
Turn in ALL required paperwork/documents
Pass

Congratulations, Doctor!

* Course may be repeated
DISSE YTATION POLICIES AND PROCEDURES

Dissertation Quality

The quality of a university is judged by the quality of its graduates. Doctoral graduates are judged by the quality of their dissertation research. An AIU doctoral student is expected to produce a dissertation that:

• is based on original research that makes a significant contribution to the knowledge in the discipline;
• reflects the integration of practice and scholarship;
• addresses a problem of interest to current practitioners;
• is of publishable quality; and
• demonstrates mastery of specialization area within the degree program as well as competence in evaluating the literature and practice of that area of specialization.

The research strategy, scope of the research, and academic rigor should be consistent with the highest-level dissertation research that is expected in the discipline. Faculty members should direct students to research areas that will satisfy these requirements and assure that research proposals and conceptual designs provide the foundations for high-quality work.

A dissertation is expected to consist of objective research; it is not an essay or a statement to support a position. The following guidelines will assist in developing a dissertation:

• The purpose of the dissertation should be clear, achievable and consistent throughout.
• The concepts, ideas, and questions at issue should be clearly defined, relevant to the problem identified in the dissertation, and of significant depth.
• The point of view from which the research is conducted should be of significant breadth, fair and objective, and clearly stated.
• If empirical data are used, they should be defined, measured, collected, analyzed and interpreted so as to avoid bias.
• All assumptions made by the author of the dissertation should be clear, justifiable and consistent.
• Implications and consequences of the research should be completely and clearly articulated, realistic, and significant.
• Inferences and conclusions made by the author of the dissertation should be clear, supported by the research, reasonable, consistent and of significant depth.

Selection of a dissertation research topic is a collaborative effort between the student and the prospective chairperson. A student works independently to complete the dissertation but must meet with the chairperson and appropriate committee members on a regular basis to assure that the work will satisfy the quality expectations of the University. Failure to obtain the chairperson’s approval at appropriate stages of the research may result in a completed dissertation that is not approved and requires substantial revision or selection of another topic.
PREREQUISITES FOR DISSERTATION SERIES

1. **Course Work**: Students must complete or be enrolled in all required course work with the exception of dissertation courses before taking the comprehensive examination or enrolling in the dissertation series (GSE 9901, GSE 9902, GSE 9920, GSE 9950). The comprehensive examination may be taken concurrently with the last semester of course work.

2. **Comprehensive Examinations**: All Ed.D. Candidates must successfully complete the comprehensive examination prior to enrolling in the dissertation series. This examination is administered in late April, in late July, and in mid-November each year, and is evaluated by the Hufstedler School of Education Comprehensive Exam Committee.

DISSERTATION FORMAT

The Hufstedler School of Education requires the use of the American Psychological Association (Sixth Edition of APA Publication Manual) style for the dissertation. Guidelines and samples of Alliant are included in this notebook.

DISSERTATION TOPICS

Dissertation topics MUST be within the context of the student’s program of study in the Hufstedler School of Education. These include:

- TESOL (Teaching English to Speakers of Other Languages)
- Educational Leadership and Management
- Educational Psychology
- Higher Education Administration

DISSERTATION SERIES

The dissertation series includes GSE 9901, GSE 9902 and GSE 9920 as described below. Students must demonstrate satisfactory progress at all stages of the dissertation series. GSE 9950 Dissertation Extension is offered for candidates maintaining enrollment while completing their dissertation.

<table>
<thead>
<tr>
<th>Course</th>
<th>Units</th>
<th>Repetition</th>
</tr>
</thead>
<tbody>
<tr>
<td>GSE 9901</td>
<td>3</td>
<td>Taken once</td>
</tr>
<tr>
<td>GSE 9902</td>
<td>3</td>
<td>May be repeated*</td>
</tr>
<tr>
<td>GSE 9920</td>
<td>3</td>
<td>May be repeated*</td>
</tr>
<tr>
<td>GSE 9950 (if needed)</td>
<td>3</td>
<td>May be repeated*</td>
</tr>
</tbody>
</table>

* With Chair and Program Director’s approval as long as progress is being made.
**GSE 9901 Dissertation Plan**

**Course description:** Identification of a research problem in education, completion of a Dissertation Plan, an outline of Chapter 2 (Review of the Literature), selection of a dissertation committee chairperson and committee members as evidenced by the acceptance of the “Approval of Dissertation Committee” form. **Students must have the “Approval of Dissertation Plan” form signed by the GSE 9901 professor and dissertation chair.**

**Steps:**

1. Develop the Dissertation Plan, which includes Chapter 1 and an outline of Chapter 2 (Review of the Literature). Chapter 1 includes the following areas: introduction, background of the problem, research questions, purpose of the study, importance and scope of the study, research and hypotheses, research methodology, theoretical framework, and definition of key terms. The outline of Chapter 2 (Review of the Literature) should identify and discuss the issues, trends, problems, theories and constructs, research and practice related to the study.

2. Submit the completed Dissertation Plan to the GSE 9901 professor for review.

3. Select a dissertation chair and committee members and submit Dissertation Plan to them for review.

4. Have committee members sign the “Approval of Dissertation Committee” form. Once the form is signed by the committee, the student gives the form to the Program Director, who will provide copies to the student and the dissertation chair.

5. Have the dissertation chair sign the “Approval of Dissertation Plan” form.

6. Attend all GSE 9901 class sessions.

Students must complete GSE 9901 within a maximum of three (3) semesters. If students do not successfully complete GSE 9901 in three (3) semesters, they must meet with the Hufstedler School of Education Faculty Appeals Committee to seek continuation in the program. Students who do not make satisfactory progress on their dissertation may be referred to the Student Evaluation and Review Committee (SERC).

**GSE 9902 Dissertation Proposal**

**Course description:** Completion of Chapter 1 (Introduction of Research Problem and Purpose), Chapter 2 (Review of the Literature), and Chapter 3 (Research Method and Procedures). This course requires completion and oral defense of the dissertation proposal and approval by the dissertation committee and the university Institutional Review Board (IRB).

**Steps:**

After the second week of the semester, schedule a meeting with your dissertation chair to discuss your progress. Then,

1. Successfully complete Chapter 1, Chapter 2 and Chapter 3.

2. Fill out and have the “Approval of Proposal Meeting Date” form approved.

3. Present the proposal and have the proposal approved by the candidate’s dissertation committee.

4. Fill out and have the dissertation committee sign the “Approval of Dissertation Proposal” form.

5. Send the proposal and all required IRB forms to the IRB (Institutional Review Board)
and obtain its approval.

6. After the IRB approval is received, the student can begin data collection (and not before).
Students must complete GSE 9902 within a maximum of three (3) semesters. If students do not successfully complete GSE 9902 in three (3) semesters, they must meet with the Hufstedler School of Education Faculty Appeals Committee to seek continuation in the program. Beyond three semesters in GSE 9920, students must enroll in GSE 9950 Dissertation Extension. Students who do not make satisfactory progress on their dissertation may be referred to the Student Evaluation and Review Committee (SERC).

GSE 9920 Dissertation Preparation
Course description: Supervised research and writing of dissertation, successful completion of the dissertation, oral defense, and placement of dissertation in the library

Steps:
1. Complete the written dissertation and receive permission from Dissertation Chair to schedule the oral defense.
2. Fill out the “Approval of Oral Defense Date” form and obtain the required signatures.
3. Distribute final copies of Dissertation to all committee members a minimum of two weeks prior to final defense date.
4. Successfully defend the dissertation.
5. Fill out and have approved the “Final Defense” form for the written dissertation and oral defense.
6. Submit the necessary forms and dissertation materials to the library.
7. Apply for graduation

Students must complete GSE 9920 within a maximum of three (3) semesters. If students do not successfully complete GSE 9920 in three (3) semesters, they must meet with the Hufstedler School of Education Faculty Appeals Committee to seek continuation in the program. Beyond three semesters in GSE 9920, students must enroll in GSE 9950 Dissertation Extension. Students who do not make satisfactory progress on their dissertation may be referred to the Student Evaluation and Review Committee (SERC).

Note: Students must be officially enrolled in order to receive assistance on their dissertation. Faculty are not expected to provide support on holidays or during semester breaks.

Once the “Final Defense” form is signed, students no longer have to register for GSE9920.

GSE 9950 Dissertation Extension (3, 5, or 10 units)

Extension of dissertation research beyond GSE 9920. May be repeated for credit. Registration is required each semester for any student who has completed all dissertation coursework but who has yet to finish the dissertation.

Throughout the process, students must demonstrate satisfactory progress at all stages of the dissertation series.
TIMELINES

1. Once the dissertation series (GSE 9901, GSE 9902, GSE 9920 or GSE 9950) has begun, the student MUST maintain continuous enrollment, with the exception of summer.

2. The student has a maximum of ten years to complete the entire degree (including coursework). A leave of absence does not change time limits.

3. Deadline dates for defense and library filing are published in the AIU schedule of classes.

4. Students who are planning to participate in the commencement ceremony must successfully defend their dissertation no later than March 15 (of the commencement year). All necessary dissertation/graduation forms must be completed and accepted by the appropriate office/department no later than April 1 (of the commencement year). If students have any questions/concerns about these timelines they should contact their program director.

   Note: In order to guarantee participation in commencement, students should plan with their chair to defend and submit the required documents well in advance of the deadline. If there are corrections (there are usually corrections), additions, missing documents, this allows time for the student to make the necessary arrangements/corrections.

Please also remember that at the end of the spring semester faculty and staff are involved in planning for graduation, summer classes, finals and grades. They may not be as frequently available to help – so it is important to plan ahead.
Approval of Dissertation Plan

As you gather your committee, you will also need approval from your chair for the topic you are planning to study. The chair will consider the elements of the plan and determine whether the study is feasible and worthy of research. Sometime it may take more than one revision before you reach agreement on your plan. Do not be discouraged. Your chair has likely read many dissertations and can offer sound advice for getting your project off to a good start.

Complete the following form and attach your plan. Take both of these documents to your chair for approval.
APPROVAL OF DISSERTATION PLAN

Student’s Name ___________________________________________ ID # ______________

Program __________________________________________________________

Proposed Dissertation Topic or Title:

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________

APPROVED:

__________________________________________ Date __________________________

Committee Chairperson

__________________________________________

Signature

Distribution List:
1. Student
2. Program Director
3. Dissertation Chair
The Dissertation Committee

The Composition of the Dissertation Committee
The dissertation committee consists of a minimum of three members. The chair and at least one member of the committee must be members of the faculty of the College/Department in which the student is receiving the degree. All committee members must have doctorate degrees; however, in limited fields (such as Fine Arts), a Masters degree may be considered a terminal degree. To request a waiver of this requirement, the student must file a completed Request for an Exception to an Academic Policy form with the dissertation chair. The request must be for a committee member only, and it must have the signature of the Dean of the Hufstedler School of Education.

The chair and at least one member of the committee must be core Alliant faculty members. 

External committee members (not currently Alliant faculty members) may be selected to serve on dissertation committees. The student must submit the required forms (see the following section) and the curriculum vitae from the perspective member to the Alliant program director.

Once the committee has been membership approved, the program director must approve any changes in committee membership. Should a new chairperson or member require any dissertation modifications, the student will be required to comply.

Selecting a Chairperson
Cone and Foster (2006) wrote:

“Selecting a chairperson for your project is a crucial step in the thesis/dissertation process and goes hand in hand with selecting a topic. A good chairperson will provide expertise in your topic area, specific feedback on your work, and support as well as an occasional kick in the pants if you need it to keep going. A poor chairperson will provide few of these and may, in fact, make your life miserable as you negotiate the dissertation or thesis process.

“Before approaching a faculty member as a potential chairperson, consider the chair's role. Although the specifics of this role vary from school to school and from chairperson to chairperson, some general functions of the chair are reasonably consistent. First, the chairperson helps the student develop the research idea and methodology. Second, the chairperson provides the first line of quality assurance for the project. Thus, he or she reads and critiques multiple drafts of each section of the thesis or dissertation. Third, the chairperson approves the proposal for and the final version of the project before permitting the student to submit these documents to other committee members.

“At the doctoral level, chairpersons vary from those who see the dissertation as a totally collaborative process in which they are fully involved to those who want students to report in only when drafts are complete or if they encounter major problems. If you prefer to work independently, hands-off chairpersons are likely to be attractive. If you are like the majority of students, however, you will want a more active chair. If you do, consider three important factors when deciding whom to invite to chair your project: (a) how well you could work with the faculty member, (b) how much expertise he or she has in your research area, and (e)
how skilled the person is at the specific tasks required to guide you smoothly to a completed thesis or dissertation. If you choose well, you will work comfortably with your chairperson and obtain specific, timely, and specialized guidance on your project. Working with a good chairperson is like going to a good dentist: The process may not be enjoyable or painless, but it may not be as bad as you anticipate. And the final product is worth it!” (Cone and Foster, 2006, *Dissertations and Theses from Start to Finish (2nd ed.)* pp. 49-50)

Occasionally, students may encounter difficulties in selecting a chair. Cone and Foster (op. cit.) offer the following reasons and suggestions.

In our experience, the most common reason for this problem lies in the student's choice of topic. Faculty members may turn you down because they think your topic is trivial, poorly thought out, or outside their areas of expertise. Students who get their hearts set on a particular research question, develop it without faculty guidance, and present it to faculty members as a fait accompli are particularly likely to be turned down on topical grounds. The solution, of course, is to approach faculty members earlier in the process, talk with them about topics that fit their interest areas as well as your own, and let the faculty member know you are flexible and open to feedback about what is important and what is not . . .

Another reason for failure to find a chair lies in the student's failure to investigate fully. You get your heart set on a particular faculty member and then discover that faculty member cannot take on another student, is going on sabbatical, or for some other reason is unavailable. You then conclude that you "can't find a chair." As disappointing as it may be, you may need to explore other topic areas that would increase other faculty members' interest in working with you . . .

Finally, some students cannot find mentors because their academic or personal problems drive prospective chairs away. Students who have had repeated difficulty in their training program may find that few faculty members are willing to undergo the projected agony of working with them. If this is your difficulty, you should honestly appraise the situation. First, you will need to identify your contribution to these problems. Have you been unreliable, antagonistic, abrasive, or inflexible? Do you lack basic graduate level academic skills and need extensive remediation? Second, you will need to decide whether a change in your skills, behavior, or attitude can be achieved in a relatively short amount of time . . . It is difficult to shift a negative reputation, and you may need to work harder and make more compromises than other students to talk a faculty member into taking you on as a student and to overcome his or her negative expectations of you . . .

If you do not believe you can make the changes required to be successful in your graduate program in a reasonable amount of time, consider either (a) taking a leave of absence to work on the problem or (b) exiting graduate school gracefully and finding a career that suits you better. Although the latter is a drastic step, repeated problems in graduate school are likely to predict similar problems in job situations that have comparable requirements. Is it really worth staying in a profession for which you are not well suited? Or would you be better off cutting your losses and finding something else that capitalizes on your strengths rather than exploiting your weaknesses? (pp. 61-62).
Role of the Dissertation Committee Chairperson

The chair is responsible for supervising the design of the research, the development of the written proposal, the conduct of the research, and the preparation of the final document. In doing so, the chair asserts that the dissertation is academically sound, is clearly and correctly written, and offers an original contribution to the field.

The chair is also responsible for ensuring that the student follows both professional and University guidelines for the protection of human subjects and that he or she obtains necessary permission to conduct the research before initiating subject recruitment and data collection. For guidelines on research involving human subjects, refer to the Institution Review Board section.

The chair must approve the proposal and final document before the student distributes copies to the committee and before the committee can meet formally. Thus, the chair must attest that the dissertation is ready for defense before a date for the defense can be set.

The chair is not an editor. The student has the responsibility of assuring professional editing of the document so that it complies with the appropriate APA format and is written in Standard American English. The chair is responsible for assuring that the document meets these requirements, regardless of the required professional editing.

Role of the Dissertation Committee Members

Committee members are responsible for meeting with the student, both individually and as a group, to discuss the proposal. Individual consultations are ordinarily used to discuss selected aspects of the work. Although members may consult on various portions of the dissertation, their role is considerably less extensive than that of the chair. Committee members are not normally involved in editing drafts of the proposal and dissertation before the chair approves them for distribution. They are responsible, however, for reading and critiquing preliminary versions of the proposal and oral defense meetings and voting to pass or fail the defense and dissertation.

Changes in Committee Membership

Occasionally, committee members may ask to be replaced (retirement, moving, workload, etc.). In some instances, and for valid reasons, the student may initiate a request to replace a committee member. When this occurs, the student should contact his/her program director for assistance in filling the vacancy. Sample Committee Replacement forms are found in the next section.

Enrollment in Dissertation Courses

In order to receive dissertation support from Alliant faculty members, doctoral students must be continuously enrolled in dissertation coursework (GSE 9901, GSE 9902, GSE 9920) every fall and spring until their dissertation is completed. Because the summer semester is optional, doctoral students wishing to work on their dissertation with their chair during the summer must enroll in one of the dissertation courses. [Please note: enrollment in the summer involves only the student and the chair – not committee members. This is because most Alliant faculty members are not on contract during the summer.]
Committee Forms

The Approval of Dissertation Committee form must be signed by all your committee members. Note that the chair signs twice. When you have obtained all the necessary signatures, you will return the original to the Program Director. Be sure to make a copy for yourself and your chair.

If it becomes necessary to change members of your committee at any time during the writing of your dissertation, complete the Change in Committee form. Obtain the signatures from the outgoing and incoming members and return the original to the Program Director. Make copies for yourself and your chair.

If you have selected a committee member who is not a current Alliant faculty member, complete the External Dissertation Committee Approval form. Obtain the committee member’s signature and attach his/her curriculum vitae. Take the form and the CV to your Program Director for approval. Make copies for yourself and your chair.
APPROVAL OF DISSERTATION COMMITTEE

Student’s Name ___________________________________________ ID # __________________
Degree and Program _______________________________________________________________
Proposed Thesis Topic or Title ______________________________________________________

PROPOSED COMMITTEE COMPOSITION
The following have agreed to serve on the dissertation committee for the above named student.
NOTE: If one of the members is off-campus, a resume (including Social Security Number) must be attached to this form.

Chairperson (Please Print) __________________________________________ Signature

Area of Specialization

Committee Member (Please Print) __________________________________________ Signature

Area of Specialization

Committee Member (Please Print) __________________________________________ Signature

Area of Specialization

APPROVAL
Agree to Committee Composition: _______________________________ Date ____________

Recommended Approval of the Committee: __________________________ Date ____________

Approved: ___________________________________________________________ Date ____________

Distribution List:
1. Student
2. Program Director
3. Dissertation Chair
EXTERNAL DISSERTATION COMMITTEE APPROVAL

STUDENT ___________________________ ID# ___________________________

PHONE ___________________________ EMAIL ___________________________

Area of Specialization _______________________________________________

I am petitioning for the acceptance of the following individual as a member of my dissertation committee:

Proposed Committee Member’s Name __________________________________________

Organization or Affiliation __________________________________________________

Address _________________________________________________________________

City ___________________________ State ___________ Zip _______________________

Specialty or Field ___________________________ Contact Phone(s) _________________

I agree to serve as a member on the dissertation committee of the above named candidate.

_____________________________ __________________________
Proposed Committee Member’s Signature Date

Candidate’s rationale for selecting this committee member.

Note to candidate: Attach a copy of the proposed Committee Member’s curriculum vitae to this form

APPROVAL:

_____________________________ __________________________
Program Director Date

Distribution:
1. Program Director
2. Student
3. Dissertation Chair
CHANGE IN DISSERTATION COMMITTEE

STUDENT _______________________________________________ ID#________________________

Area of Specialization____________________________________________________________________________________

The following have agreed to serve on the dissertation committee for the above named student. NOTE: If one of the members is off-campus, a resume (including Social Security number) must be attached to the form.

Justification for Change:____________________________________________________________________________________

____________________________________________________________________________________

From: ____________________________________________ To: ____________________________________________

CHAIRPERSON (please print) CHAIRPERSON (please print)

______________________________ ________________________________

Signature Signature

______________________________

Area of Specialization Area of Specialization

From: ____________________________________________ To: ____________________________________________

MEMBER (please print) MEMBER (please print)

______________________________ ________________________________

Signature Signature

______________________________

Area of Specialization Area of Specialization

From: ____________________________________________ To: ____________________________________________

MEMBER (please print) MEMBER (please print)

______________________________ ________________________________

Signature Signature

______________________________

Area of Specialization Area of Specialization

APPROVAL:

______________________________ ________________________________

Dean Date

Distribution:
1. Program Director
2. Student
3. Dissertation Chair
Alliant International University
Hufstedler School of Education

Dissertation Proposal Defense Procedures

Revised Fall 2012
Alliant International University
Hufstedler School of Education

Proposal Defense Preparation and Procedures

The Proposal Defense
After candidates have satisfactorily completed Chapters One, Two and Three of your dissertation, they will prepare to defend their proposed study with their committee and Alliant’s Institutional Review Board. The decision concerning a candidate’s readiness to defend his/her proposal is made in conjunction with his/her chair.

The purpose of the proposal defense meeting is to:

- Ascertain the feasibility of the proposed study/project;
- Answer any questions that are unclear in the written proposal;
- Raise potential difficulties that might not have occurred to the student regarding the conduct of the proposed research, and suggest alternatives where possible;
- Clarify any issues regarding procedural details—rationales for selection of methodology, instrumentation, subject pool, and so forth— that would need correction in order to facilitate the completion of the proposed study.

At the Proposal Defense, candidates come prepared to discuss their dissertation plan and research questions (Chapter One), their review of the pertinent literature (Chapter Two), and the Method they will use to collect and analyze data (Chapter Three). Candidates may present the information in a PowerPoint presentation, overheads, charts, or other appropriate format. After the presentation (about 30 minutes), the committee will ask questions about the study and the proposed methods. Following this discussion, the candidate will leave the room while the committee discusses the candidate’s readiness to go forward.

After the committee has made its decision, the candidate is called back to the room where the chair informs the candidate of the committee’s decision. The decision will be either 1) to submit the study to the Institutional Review Board or, 2) to make revisions to the proposal and/or forms before submitting to the Institutional Review Board. If a candidate is asked to redo any part of the dissertation or any of the required forms, typically the chair will be the one to verify that the candidate has addressed the committee’s concerns. After this has been accomplished, the required forms are submitted to the IRB.

Preparation for the Proposal Defense
At least two weeks before Proposal Defense, candidates send the following to the chair and each committee member:

- Notice of Proposal Defense Date.
- Spiral-bound, edited copy of Chapters One, Two and Three (Committee members need this information in advance to allow time for careful review).

Additionally, candidates must bring all the required forms for the Institutional Review Board (IRB). Copies of the forms follow.
**Note:** Not every form in this packet is required. Candidates should read the directions at the top of each page to determine whether the form applies to their study. If there are questions, candidates should contact their Chair or the Program Director.

Within this notebook, are the following forms required for Committee and IRB approval including:

1. Approval of Oral Defense Date
2. Notice of Proposal Defense Date
3. IRB Application
4. IRB Proposal Template
5. IRB Addendum or Revision to Research Proposal.
6. Informed consent Template
7. Informed Assent Template
8. Subjects’ Bill of Rights (in English and Spanish)
9. Subjects’ Bill of Rights (if using secondary data)
10. Consent to Audiotape/Videotape
11. Do Not Disturb Sign

Students must not collect data prior to satisfactory completion of the proposal meeting and approval by the Institutional Review Board (IRB). If a pilot study is to collect data for trial of an instrument or some other facet of the study before the proposal is approved, approval of the pilot study by both the committee and the IRB must be obtained before the pilot study is initiated (see the role of the IRB).

Minor changes in procedure or design may sometimes be necessary after the actual study has begun. If these changes are minimal (for example, a slight change in instructions), then the chair alone can approve them. If major changes are necessary (for example, a reduction in the sample size, change in design, etc.), then the student should first secure the chair’s approval and then discuss the changes with the committee. It is important to secure the full committee’s endorsement of major changes in writing. This endorsement can be secured without another full committee meeting unless one of the committee members requests a meeting. The final dissertation should reflect the implementation of the methodology as it was agreed upon during the proposal meeting or with written approval of the chairperson.

After all of the above forms and the Proposal Defense are completed, candidates may then submit them to the Research Office.

Throughout this process, if there are any questions or concerns, contact the Chair and/or Program Director.
Proposal Defense Checklist

At least one month prior to the Proposal Defense

_____ Meet with chair to reach agreement that your proposal is ready to defend.

_____ Set a date for the Proposal Defense. Secure signature of your chair on Approval of Proposal Defense Date form.

_____ Submit the Approval of Proposal Defense Date form to the campus ELM Program Director.

_____ Have Chapters 1-3 professionally edited. Include your Reference section and Appendices.

_____ Complete the appropriate IRB forms listed below.

Two weeks before Proposal Defense

_____ Send each of your committee members the Notice of Proposal Defense Date.

_____ Deliver a spiral-bound, edited copy of your dissertation to each of your committee members. The dissertation should include the title page, abstract (excluding the Results), Chapters 1, 2, 3, References, and Appendices.

_____ Prepare for your presentation – arrange for room, materials, AV equipment as needed

Proposal Defense

Bring the following completed forms with you on the day of your Proposal Defense. Note: Not every form is required. Read the directions at the top of each page to determine whether the form applies to your study. If you have any questions, contact your Chair or Program Director.

_____ IRB Application

_____ IRB Proposal

_____ IRB Addendum/Revision

_____ Informed Consent Agreement

_____ Informed Assent Agreement

_____ Subjects’ Bill of Rights (or the Subject’s Bill of Rights, with your signature, if you are using only secondary data)

_____ Consent to Audiotape/Videotape

_____ Do Not Disturb Sign (and scotch tape)
APPROVAL OF ORAL DEFENSE DATE

Submit this form with a copy of your dissertation to your Chair and Program Director two weeks prior to the oral defense date.

PART 1: To be completed by Student:

Student’s Name ____________________________ ID # __________________

Degree and Program: ____________________________

Proposed Dissertation Title ____________________________________

________________________________________________________________

Oral Defense:

Time: ______________________________________

Date: ______________________________________

Equipment Requested: __________________________

Room #: ____________________________________

Committee Chairperson: _________________________

Committee Members: ____________________________

___________________________________________

___________________________________________ (Optional fourth member)

PART II. To be completed by the Committee Chair:

Committee Chairperson: _________________________ Date: __________________

Program Director: _____________________________ Date: __________________

Distribution List:
1. Student
2. Program Director
3. Dissertation Chair

ELM Dissertation Handbook 25
NOTICE OF DISSERTATION DEFENSE

STUDENT NAME: ____________________________________________________________

Will be presenting his/her proposed dissertation,

TITLE: ____________________________________________________________________

________________________________________________________________________

at the following date, time, and

location: DATE: ______________

TIME: ________________________ ROOM: ______

COMMITTEE MEMBERS: ____________________________ Chairperson printed

_____________________________ Committee member

_____________________________ Committee member

Candidate's Signature

Student: This notice DOES NOT have to be signed by committee members. Distribute one (1) copy to each Committee member along with a spiral bound copy of your Chapters One, Two and Three immediately after coordinating and setting your defense date and time (at least two weeks prior to your defense)
INSTITUTIONAL REVIEW BOARD PROCEDURES AND EXPLANATIONS

Role of the Institutional Review Board (IRB)
The role of the IRB is to review all research proposals to ensure the protection of human subjects as required by federal regulations. The term “research proposals” includes any pilot studies to be conducted before being approved at the proposal meeting. Approval of a pilot study by both the committee and the IRB must be obtained.

Students are required to submit the research proposal to the IRB for approval before a pilot study is initiated, and/or after successful completion of the proposal meeting. **Note: No data collection may begin until this approval is obtained.**

If the pilot study or research proposal is not approved, students will be required to consult with their dissertation chair, make the necessary changes, and resubmit to the IRB.

The primary function of the IRB is to help assure that risks to human subjects are minimized and are reasonable in relation to the anticipated benefits, that there is informed consent, and that the rights and welfare of subjects are maintained.

The IRB consists of six members--five faculty members from AIU and one member from the community at large. The Hufstedler School of Education recommends faculty members for appointment to the dean; the IRB recommends the community member. The dean, after consultation with the IRB, appoints members for two-year terms commencing September 1.

The IRB may withhold approval to begin, suspend, or terminate approval of research that is not being conducted in accord with IRB requirements, or that has been associated with unexpected serious harm to subjects. The sponsoring agency will be informed of such action. Violation of this policy will subject the researcher to disciplinary proceedings. Violation by a student will be considered a violation of the Academic Code of Conduct. Violation by an employee will be considered a violation of Policy 3-100, Guide to Personal Conduct, of the Employees Policies and Procedures handbook.

"Human subject" means a living individual about whom an investigator conducting research obtains:
   1. Data through intervention or interaction with the individual, and/or
   2. Identifiable private information.

"Research" means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. Activities, which meet this definition, constitute research for purposes of this policy, even if they are conducted or supported under a program, which is considered research for other purposes. For example, some demonstration and service programs may include research activities.
Federal regulations which govern research with human subjects conducted or supported by the Federal Government, including the Federal Policy for the Protection of Human Subjects, 4.F.R. Part 46, the NIH Guidelines on the Inclusion of Women and Minorities as Subjects in Clinical Research and the Belmont Report of April 18, 1979, form the basis of this policy.

The individual researcher is responsible for ethical practice, including activities by collaborators and assistants, all of whom incur parallel obligations. The University is responsible for helping to safeguard the rights and welfare of human subjects involved in all research projects conducted either:

1. under the direction of an employee or agent in connection with his or her University responsibilities or recognizing his or her affiliation with the University;
2. by a student for any course, degree, credential, or activity directly related to his or her University affiliation; or
3. by an outside agent.

Specifically, to approve research, the IRB will determine that all of the following conditions exist:

1. Risks to subjects are minimized.
2. Risks are reasonable in relation to anticipated benefits, if any, to subjects and to the advancement of knowledge.
3. Selection of subjects is equitable.
4. Informed consent will be obtained and documented.
5. Where appropriate, the research plan makes adequate provision for monitoring collected data to ensure subjects safety.
6. There are adequate provisions to protect the privacy of subjects and maintain confidentiality of data.
7. Where any of the subjects are likely to be vulnerable to coercion or undue influence, additional safeguards have been included in the study to protect subjects.

**Protection of Human Subjects Policy**

The Institutional Review Board (IRB) must approve all research proposals involving human subjects before data collection (including surveys, interviews, observations, experiments, and/or physical procedures) begins. Secondary use of data may also require IRB approval.

Dissertations are sometimes developed from case evaluations where the data are essentially collected before the dissertation is designed and before informed consent is obtained. Federal guidelines state that treatment is separate from research, and case evaluations do not require review where the primary purpose of the case was treatment. The distinction between research and practice is blurred because both often occur together in research designed to evaluate a therapy and when notable departures from standard practice are classified as “experimental.” The general rule is that if there is any element of research in an activity, that activity should undergo review for the protection of human subjects.

Federal Policy does not require review of research that is conducted as part of a class. Class related research that meets the criteria for no risk or minimal risk will not require review. The following areas of class related research do not require review.

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as:
a. research on regular and special education instructional strategies;
b. research on the effectiveness of, or the comparison among, instructional techniques, curricula, or classroom management methods.

2. Research involving use of educational tests, survey procedures, interview procedures, or observation of public behavior unless:
   a. information obtained is recorded in such a manner that human subjects can be identified, directly or indirectly through identifiers linked to the subjects; and
   b. any disclosure of the human subjects responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

3. Research involving the use of educational tests, survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph two of this section if:
   a. the human subjects are elected or appointed public officials or candidates for public office; or
   b. Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

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

5. Taste and food quality evaluation and consumer acceptance studies:
   a. if wholesome food without additives is consumed, or
   b. if food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe by the FDA, EPA, or the U.S. Department of Agriculture,

If there is any doubt, the proposed research should be reviewed. Time is a problem for class related research; however, the review can be completed in time if the professor obtains approval before the quarter starts, students forward proposals at the beginning of class, and the research satisfies the guidelines for expedited review.

The IRB will review research proposals during the Summer Semester in accordance with a schedule that will be promulgated through University e-mail.

Assigning Risk Levels

No risk (level 1) research:

You must receive IRB approval, even if you are conducting no-risk research.

No risk (level 1) research: (a) poses no physical, psychological and social risk to participants; and (b) is conducted in a way that ensures that no one, not even the researcher, can identify specific data with individual participants. Federal Guidelines indicate that the following types of research are considered to pose no risk to participants:
Research conducted in established or commonly accepted educational settings involving normal educational practices such as (a) research on regular and special instruction strategies, or (b) research on the effectiveness of, or the comparison among, instructional techniques, curricula, or classroom management methods.

Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), if information is recorded in such a manner that the participants cannot be identified directly or through identifiers linked to them.

Research involving survey or interview procedures except where the following conditions exist: (a) responses are recorded in such a manner that the human participants can be identified directly or through identifiers linked to the participants AND; (a) the participants’ responses, if they become known, could place them at risk of criminal or civil liability or be damaging to the participants’ financial standing or employability, OR (b) the research deals with sensitive aspects to the participants’ own behavior, such as illegal conduct, drug use, sexual behavior, or use of alcohol, OR (c) the research entails stress for the participants. All research involving survey or interview procedures is exempt when the respondents are elected or appointed public officials or candidates for public office. Purely anonymous surveys are almost always exempt from full review.

Research involving the observation (including observation by participants) of public behavior except where the following conditions exist: (a) observations are recorded in such a manner that the human participants can be identified directly or through identifiers linked to them, AND; (b) the observations recorded about the individual, if they become known, could place the participant at risk of criminal or civil liability or be damaging to the subjects financial standing or employability, OR (c) the research deals with sensitive aspects of the participants’ own behavior, such as illegal conduct, drug use, sexual behavior, or the use of alcohol.

Research involving the collection or study of existing data, documents, records, pathological or diagnostic specimens if these sources are publicly available OR if the information is recorded in such a manner that participants cannot be identified directly or through identifiers linked to them. In the latter case, the data must be anonymous EVEN to the investigator.

**Minimal risk (risk level 2) research:**

**Minimal risk (risk level 2)** is defined as the degree of risk associated with daily life or with routine physical or psychological examinations. Minimal research must be reviewed, but need not be examined by the full IRB. Usually, minimal risk research is reviewed by one IRB member who acts as the designee of the IRB.

Note, however, that research involving prisoners, pregnant women, or infants always requires review by the full IRB. Review of research involving incarcerated participants must include a prison representative on the IRB. This is true even if the study poses no more than minimal risk (see Federal Regulations for more details).
Research posing more than minimal risk (risk levels 3 and 4):

Minimal risk is defined as the degree of risk associated with daily life or with routine physical or psychological examinations. **Great than minimal risk is rated level 3** when the procedures pose social, psychological, or physical risks that exceed what would usually be encountered in routine physical/psychological examinations, but those risks are unlikely to lead to severe, pervasive or lasting harm on the part of the participants. An example of level 3 research might occur when adults in a community sample are exposed to a mood induction procedure to produce negative affect, followed by an experimental task and a procedure to reduce the negative mood.

The risk level of a study is rated 4 when the research procedures have the potential to have severe, pervasive or irreversible negative effects on the participants. Examples of level 4 research include (but are not limited to) studies of experimental medical treatments that may be life-threatening and studies that expose vulnerable individuals to highly stressful circumstances. Research that poses more than minimal risk must be evaluated by the full IRB.

**Procedures for Submitting Research Proposals to the IRB for Review and Approval**

Research activities involving no more than minimal risk to the subjects *and* in which the only involvement of human subjects will be in one or more of the categories listed in the section on expedited review may be reviewed by the IRB through the expedited review procedure. Research proposals, which are not eligible for expedited review, must undergo full committee review (Source: 46 F.R. 8392).

"Minimal risk" means that the probability and magnitude of anticipated harm or discomfort to a subject is no greater than that ordinarily encountered in daily life or during the taking of routine physical or psychological examinations or tests.

**How to Submit a Protocol**

All applications for research involving human subjects in a doctoral dissertation must be reviewed by the student's dissertation chair, who will assess the management of potential risk to subjects and to ensure the use of proper procedures. After completing this review, the chair will assign a risk assessment and sign the signature sheet. Upon approval by the chair, the student submits completed documentation to the IRB. Doctoral dissertations must have successfully passed the oral proposal meeting prior to IRB submission.

A formal IRB protocol must be submitted AND APPROVED IN WRITING BEFORE RESEARCH MAY BEGIN. Use the protocol directions to address each of the issues listed in the form. You may type your responses into the form itself. The IRB protocol should be typed, and answers should be complete. Incomplete protocols or protocols containing numerous errors may be returned for editing prior to review. See Appendix for the IRB Application Protocol Form.

Prepare the relevant consent and assent forms and include copies of these with your protocol. Include copies of measures, stimuli, etc., if these are not commonly used (examples of commonly used instruments include personality tests such as the MMPI and Rorschach, intelligence tests, widely-used tests of psychological symptoms such as the Brief Symptom
Inventory or the Beck Depression Inventory). As part of the review, the IRB must examine the content of materials to which participants will be exposed to determine whether exposure to this material poses risks to research participants.

Complete the IRB submission cover sheet and sign it. If you are a student, obtain the signature of an Alliant International faculty member who sponsors or oversees the research (often the chairperson of the dissertation). Submit a hard copy of all materials as outlined in the process located in the Appendix, pg. 80.

Protocols that entail more than minimal risk or that involve incarcerated participants, pregnant women, or infants must be submitted at least 2 weeks prior to the next scheduled IRB full board meeting to be considered at that meeting.

Outcomes of the Review Process

The IRB forwards its disposition of the application to the researcher and the research advisor if the researcher is a student.

If the application is not approved, the researcher must address the concerns of the IRB and resubmit the application for a second review, redesign the research project, or withdraw the application completely. The researcher must inform the IRB which alternative will be pursued.

If the researcher is a student and the application is not approved, the research advisor should meet with the student to review ways in which the project might be altered to address the concerns of the IRB and become eligible for resubmission. Alternatively, the student may redesign or withdraw the research project. The student must convey to the research advisor his or her decision regarding the returned human subject documentation. The research advisor must pass this information to the IRB staff for record keeping purposes. The research advisor must ensure that the student understands the follow-up reporting procedures.

Expedited Review

The IRB chair will review the application for completeness. If all documents are present and criteria for expedited review are met, the Chair will forward the packet to a committee member for review. The reviewer will return the packet, along with a written comment regarding approval or necessary revisions, to the IRB chair who will notify, in writing, the researcher (and research advisor if researcher is a student) of the application status.

If the application is not complete, the IRB chair will indicate in writing deficiencies that need to be addressed before the application can be reviewed.

Research Categories for Expedited Review

Research activities may be reviewed through expedited review procedures when risk is minimal and children are not involved.

Notification of IRB Decisions

You will be notified in writing of the IRB’s decision about your protocol. During fall and spring semesters, exempt and expedited protocols usually take 2-3 weeks to process from the date of receipt in the Research Office. Please be advised that processing times are ordinarily longer when school is not in session and over the summer months. The IRB does not process protocols when campus is closed (e.g., Winter and Spring breaks) or when faculty or staff are not under
contract.

Investigators proposing research that entails more than minimal risk (i.e., level 3 or level 4) may attend the IRB meeting when their protocol is being discussed to clarify their procedures. Ordinarily investigators wait outside the meeting room and are invited to join the IRB only after the IRB has had the opportunity to discuss the research. Attending the meeting is only recommended if the study poses particular ethical issues, has complex procedures, or involves vulnerable population

Investigators whose work is reviewed by the full IRB may ordinarily expect to hear the IRB decision regarding the research in writing within a week of the meeting.

Research with Children
Research involving children is subject to the same review process as other research activities. Because of the vulnerability of the population, expedited review for research proposals involving minors is not possible.

“Children” refers to individuals under the age of 18 years. Because minors are unable to give informed consent, federal policies have allowed parental permission as an acceptable alternative to obtaining consent from the actual research participants. In addition, it is strongly recommended that assent be obtained from the children themselves. Parental permission must be obtained prior to contacting the child participant.

Documentation of Informed Consent
A consent form is documentation that the process of informed consent has taken place. The consent form must be submitted to and approved by the IRB. The form includes the following elements of informed consent.

1. Participants must be fully informed in language that is comprehensible to them or their representative of:
   a. the purpose and procedures of the study, and
   b. any potential risks they may be exposed to by participating in the research. In obtaining permission for their participation, participants must not be coerced or unduly influenced and should understand that they may withdraw permission at any time, without penalty to themselves.

2. The subject or the subject's legally authorized representative must have an adequate opportunity to read the form before it is signed.

3. The consent must be obtained under circumstances that provide the prospective subject or representative sufficient opportunity to consider whether or not to participate and that minimize the possibility of coercion or undue influence.

4. The form must be signed by the subject or the representative. A copy must be given to the person signing the form.

5. The investigator must obtain the informed consent of the subject or the subject's legally authorized representative before the investigator may involve the subject in research.

6. The form must include the statement, "I hereby agree to participate in the research," or, "My signature below indicates my willingness to participate in this research project."

7. The form must not include language through which the subject waives any rights or releases the investigator, sponsor, or institution from liability for negligence.
When the IRB agrees that risk is minimal and data are collected by blind mailing of questionnaires or responses through the Internet where respondents are anonymous, a signed consent form will not be required. A statement of the risk involved and a statement that return of the questionnaire or response on the Internet constitutes consent to participate will be included on the research instrument.

When data are collected through the Internet and respondents can be identified, a signed consent form or the equivalent will be required. At the present time, there are no clear guidelines regarding what would constitute an Internet equivalent to a signed consent form. Approval or equivalents will be considered on a case-by-case basis. The University counsel will be consulted when there is any question regarding the adequacy of an equivalent to the signed consent form.

**Informed Consent, Basic Elements**
The informed consent must include the following elements:

1. A statement that the study involves research, an explanation of the purposes of the research, and a description of the procedures, including identification of any procedures, which are experimental;
2. The expected duration of the subject's participation;
3. A description of reasonably foreseeable risks or discomfort to the subject;
4. A description of any benefits to the subjects or to others;
5. A statement regarding confidentiality of records and reports;
6. For research involving more than minimal risk, a statement regarding compensation or treatment if injury occurs;
7. A statement that participation is voluntary and that the refusal to participate involves no penalty or loss of benefits to which the subject is otherwise entitled;
8. A statement informing subjects of their right to quit the study at any time without penalty or loss of benefits to which the subject is otherwise entitled; and
9. The name and contact information should questions arise about the research, subjects’ rights, or if research-related injury occurs.

Modification of this procedure may be permitted by the IRB when:

1. The risk is minimal;
2. The rights and welfare of the subjects will not be adversely affected;
3. The procedure of obtaining informed consent would invalidate the objectives of the research;
4. Alternative means of conducting the research are not available or would be less advantageous to the subject; and
5. Subjects will be provided with additional pertinent information after participation whenever appropriate.

Persons should never be treated as means to another's ends. If the research is to involve persons of other countries or cultures, the investigator should consider consulting the WHO/CIOMS Proposed International Guidelines for Biomedical Research Involving Human Subjects, or regional and national research ethics committees familiar with the customs in the community in which the research is to be done.
Parental or Guardian Permission for Research with Children
Permission obtained from parents for their child’s participation must adhere to the same
guidelines as informed consent for adult participants. Parents or guardians must be fully
informed in language that is comprehensible to them of:
1. the purpose and procedures of the study, and
2. any potential risks to their child from participating in the research.

In obtaining permission for their child’s participation, parents must not be coerced or unduly
influenced and should understand that they may withdraw permission at any time, without
penalty to themselves or their child. For research involving minimal risk, permission of one
parent is sufficient. However, if the risk is greater than minimal and no direct benefit to the
participants is possible, both parents must give permission, unless one parent is deceased,
unknown, or incompetent, or only one parent has legal responsibility of custody and care of the
child.

Children’s Assent
“Assent” is the affirmative agreement from an individual to participate in research. In order to
give assent, children must be provided with information regarding the type of participation
requested and possible risks involved. It is the responsibility of the researcher to provide this
information in language appropriate to the children’s age and level of comprehension. Mere
failure to object should not be construed as assent.

It is recognized that there are some situations when children’s assent may not be possible due to
the age of the child (e.g., infants or very young children) or the nature of the research project
(e.g., investigations of behavioral treatments to decrease disruptive behaviors). In such cases, the
IRB will evaluate the situation and delineate appropriate safeguards for the child participant.

Parental Permission and Child Assent
Generally, if parental permission has been obtained, but the child does not give his or her assent
to participate, the researcher must respect the minor’s wishes. However, if a potential and
exclusive benefit to the child is likely from participation in the research and parental permission
has been obtained, a child’s assent may not be required. For such research, additional safeguards,
determined by the IRB, will be mandated.

Wards
For additional protections and procedures for research involving children who are wards of the
State or any other agency, institution, or entity, researchers should contact the IRB and refer to
45 C.F.R. Section 46.409.

Researcher’s Additional Responsibilities
When it is not clear whether the research involves human subjects at risk, the researcher must
follow the procedures applicable for full committee review. The researcher is responsible for
assuring that documentation of compliance with the policy on informed consent is available.

The researcher must not initiate changes in the research for which IRB approval has been given
without the review and approval of these changes by the IRB. The researcher may submit minor
changes of previously approved research under the expedited procedures.
At the end of the project, the researcher, whenever possible, will provide each subject with a full clarification of the nature of the research and offer to make the results of the study available to him or her. Where scientific or humane values justify delay in providing or withholding such information, the investigator acquires a special responsibility to assure that there are no damaging consequences for the subject.

If the research project extends beyond the yearly anniversary of the IRB original approval, the researcher must resubmit the original approval form and accompanying documentation, along with a brief description of the progress and any changes, which may be made in the research for review and approval by the IRB.

Additional protections are mandated for research involving prisoners as subjects; researchers should contact the IRB for information and refer to 46 C.F.R. 46.301, et seq.

Cooperative Research
The University's requirements and assurances are applicable when research is conducted at or in cooperation with another entity if any University employee or student is a researcher and the University is involved in any way.

Administrative Overview
The University will exercise appropriate annual administrative overview to assure that its practices and procedures designed for the protection of the rights and welfare of human subjects are being effectively applied and are in compliance with the requirements of federal, state, and local laws.

The IRB chair will prepare an annual report for the college deans, which includes a listing of all proposals submitted to the IRB and an indication of the action being taken by the committee. The chair will also keep a report of the follow-up documentation and re-submittal of disapproved proposals. This report and the original copy of each proposal and documentation will be forwarded to the dean's office for archival purposes.

For research involving animals, researchers should follow American Psychological Association Guidelines.
Frequently Asked Questions About the IRB

I am a student writing a dissertation. When should I submit my IRB protocol?

You must receive IRB approval before you may begin collecting any data. Your chairperson must sign your IRB application. We recommend submitting the protocol after your proposal has been approved by your committee, so that the procedures have been finalized. There is one exception: if you need to collect pilot data before getting your proposal approved, submit a protocol for the pilot work before you collect the pilot data. Submit a second protocol for the larger study after your committee has approved your proposal.

The reason for submitting your IRB protocol AFTER your committee approves your proposal is that procedures, measures, etc., can change when the dissertation committee reviews your proposal. Changes in your procedures will require that you file an amendment to your protocol and go through the review process a second time. You may not collect data until your amendment has been approved in writing.

How long will it take to get IRB approval?

How long it takes depends on how complete your application is, whether your consent form is adequate, the level of risk associated with your study, whether you are studying populations governed by special regulations, and when you submit your protocol. Plan on a minimum of two-three weeks during the semester if everything is in order. Plan on a minimum of 3-4 weeks at other times, assuming your research will be evaluated using expedited review.

Incomplete protocols or protocols and consent forms that need revision require a second review, either by a member of the IRB or by the committee as a whole. Save time by being thorough from the outset!

The level of risk determines the amount of time the review process will take because studies that involve more than minimal risk must be reviewed by the entire IRB. Minimal risk and no risk studies that do not involve special (protected) populations can be reviewed by a single reviewer and usually do not require a meeting of the full committee. This is called “expedited review.” These reviews generally can be done more quickly than full committee reviews.

Research involving protected populations may also require review by the entire committee, even if the study only involves minimal risk. For example, research with prisoners (incarcerated populations) requires review by the entire committee and a prison representative must also attend the meeting to review the procedures. If the IRB does not contain a prison representative as a member, a visiting member will be invited for this purpose, but this can take time to schedule. Other protected populations are residents or clients of institutions for individuals with senility, mental illness or mental retardation (where the individual’s capacity for informed consent may be compromised). Be advised that special Federal Regulations apply to prisoner, children, pregnant women and neonates. There is a link to these regulations earlier in this website.
When you submit your protocol is important. The IRB may meet less often over the summer months when faculty are not under contract; IRB schedules over the summer vary from year to year. Materials submitted when the staff person in charge of sending out protocols is on vacation will take longer to process. In addition, faculty are off contract during much of the December holiday season. In general, expect longer turn around time for research proposals submitted at times other than during the normal fall and spring semester academic calendars. Protocols submitted at the very end of the semester may also be subject to delays when faculty are not under contract to the University.

What are the most common problems with consent forms?

Several common problems will result in your consent form being returned for revision before the IRB will approve your research. These include:

1. Leaving out required elements that must be included in a consent form. Among the most common omissions are a) enough description of the procedures participants will experience, b) the title of the study, c) information about who to call with questions (including the IRB office), d) information about opportunities for some sort of intervention in studies that involve more than minimal risk.

2. Using language that is too elaborate or technical for lay people with varied levels of education to understand.

3. Typographical, spelling, and proofreading errors in the consent form.

What are the most common problems with IRB protocols?

Common problems include:

1. Inadequate information about procedures. Your description of the study should allow the reviewer to understand what the research participant will experience during your study.

2. Failure to include copies of research stimuli and instruments the participant will complete during the study. These include, for example, copies of questionnaires (unless they are published and extremely well known outside your own research area, such as the MMPI or an IQ test) for quantitative studies and a full list of questions to be asked for qualitative studies that use interviews. The reviewer needs to look at these to assess whether sensitive information will be disclosed, etc.

3. Inaccurate assessment of risks and benefits. For definitions of different levels of risk, see related documents.

4. Recruitment procedures. Give details about how you will recruit and screen potential participants, what questions you will ask and what data you will collect about them, and what information you will give them. Include copies of recruitment flyers, ads, etc.
Request for Approval of Research - IRB

Alliant International University Institutional Review Board
Request for Approval of Research
IRB Application Protocol Form – (v: 11-15-12)

Written approval of this research by the IRB is required PRIOR to initiating the research (e.g., recruiting participants or collecting ANY data in all but archival studies). Submit this Application Protocol as a single file in MS Word to your campus IRB. Include this IRB Application Protocol Form, supporting materials, and required appendices as part of your submission. Incomplete protocols will not be reviewed. Please answer all questions. Use N/A if an item is not applicable.

Please see the Appendix for the complete IRB Application Protocol form (pg.).
IRB Addendum or Revision to Research Proposal
(Approval valid for one year from date below)

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Telephone numbers:  
Home  
Cell or other  

Title of Research Study:  

This is an:  
_____ Addendum  
_____ Revision (By submitting a revision you are indicating that there is a significant increase in risk or significant decrease in benefit to the subject or subjects)  

Please describe (in detail) the proposed addendum or revision(s) (e.g., number of subjects originally proposed, or site change for the study). Be sure to include page #’s or paragraph locations affected by the change(s) in your original IRB proposal (Be sure to attach a copy of your original proposal).

Approval of student researcher and dissertation Committee (for student research)

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Reviewed and approved by Program Director: ___________________________  Date: __________
INFORMED CONSENT AGREEMENT

NOTE TO USERS OF THIS TEMPLATE: THIS IS INTENDED AS A GUIDE FOR MATERIAL TO INCLUDE AND NEED NOT BE REPRODUCED VERBATIM. ADDITIONAL INFORMATION MAY BE INCLUDED AS IT PERTAINS TO THE SPECIFIC STUDY (SEE IRB GUIDELINES).

(Title of study here)

You are being asked to participate in a research study. However, before you give your consent to be a volunteer, we want you to read the following and ask as many questions as necessary to be sure that you understand what your participation will involve.

INVESTIGATOR (and Dissertation supervisor, if student research)

PURPOSE OF THE RESEARCH You are invited to participate in the research project entitled, {Title} which is being conducted at Alliant International University under the direction of [PI, Others]. The purpose of this study is {type in purpose – be brief but provide sufficient detail so that the subject may understand the scope of your work. You need not disclose hypotheses}

FEMALES OF CHILDBEARING POTENTIAL (USE ONLY AS NECESSARY FOR STUDY)
(DO NOT include if this does not pertain to your study)

PREGNANCY RISK POTENTIAL (USE ONLY AS NECESSARY FOR STUDY)
(DO NOT include if this does not pertain to your study)

PROCEDURES TO BE FOLLOWED DURING THE RESEARCH This research {or experiment} will take place in [place and duration of involvement]. {Describe procedures, such as “You will be asked to complete various questionnaires in which you will evaluate…” Be careful to avoid professional jargon. Strive for 6th grade readability.} Your participation will take about {tell how many hours and over what length of time}

EXPERIMENTAL PROCEDURES (if applicable, not all studies involve untried procedures)

ALTERNATIVE PROCEDURES (include if this is an intervention or treatment study to describe other options for dealing with the problem or issue that are available other than the procedures in this study).

RISKS There are minimal /some {choose appropriate descriptor} risks to participation in this study, including ........ {Describe other risks, such as "answering the surveys (or participating in this study) might cause you to feel upset or anxious. If so, you may stop at any time.”} For research involving more than minimal risk, indicate how you will deal with any negative experiences as a result of the research. {IF only minimal risk, you may delete the following statement;} While you are a participant in this study,
please notify the research investigator immediately if you experience any unusual or unexpected side
effects.

BENEFITS OF THE RESEARCH  *If you are offering an incentive indicate this here. If no incentive, the
following statement may be included or modified as applicable.* The only direct benefit to you if you
participate in this research may be that you will learn about how *psychology experiments* are run and
may learn more about *subject of this research*. Others may benefit by learning about the results of this
research.

ALTERNATIVES TO THIS RESEARCH  *If appropriate, add statement of alternative procedures.
Otherwise, indicate that the alternative is not to participate in the research.*

CONFIDENTIALITY:  You have (your child has) a right to privacy and all information identifying you
(your child) will remain confidential (private), unless otherwise required by law. *Tell how you will
maintain confidentiality (e.g., The consent forms with signatures will be kept separate from responses,
which will not include names and which will be presented to others only when combined with other
responses). Describe any public dissemination of the results that you expect (e.g., The results of this study
may be published in scientific journals, or be presented at professional meetings as long as you are (your
child is) not identified and cannot reasonably be identified from it). However, it is possible that under
certain circumstances data could be subpoenaed by court order.

QUESTIONS ABOUT THE RESEARCH
If you have questions regarding this research project or your participation, you may call  *give
investigator name and phone number and (if student research) chairperson/supervisor and phone
number*. Should you have any additional concerns, please contact the Institutional Review Board at
Alliant International University (858) 635-4448 during normal working hours.

MANDATORY REPORTING OF CHILD OR ELDER ABUSE  *Only include if disclosure of this
information may occur*. California law mandates the filing and reporting of reasonable suspicions of
child or elder abuse. Participation in this research could result in the investigator being required to report
child or elder abuse.

SUBJECT RIGHTS AND RESEARCH WITHDRAWAL
Your participation in this study is voluntary. If you choose not to participate in this study, there will be no
penalty or loss of benefits to which you are otherwise entitled and your relationship with Alliant
International University or *add or substitute other entities as appropriate* will not be affected. In
addition, you may discontinue participation at any time without any penalty or loss of benefits. You may
also refuse to answer any questions you do not wish to answer.

We have tried to explain all the important details about the study to you. If you have any questions that
are not answered here, the investigator will be happy to give you more information.

SIGNATURE AND ACKNOWLEDGMENT  *this section must be on the same page as signatures*
My signature below indicates that I have read the above information and I have had a chance to ask questions to help me understand what my participation will involve. I agree to participate in the study until I decide otherwise. I acknowledge having received a copy of this agreement and a copy of the **_SUBJECT’S BILL OF RIGHTS._** I have been told that by signing this consent form I am not giving up any of my legal rights.

<table>
<thead>
<tr>
<th>Signature of Research Participant</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Researcher’s Name (Print Clearly)</td>
<td>Contact phone number</td>
</tr>
<tr>
<td>Researcher’s Signature</td>
<td>Date</td>
</tr>
<tr>
<td>Name of Supervisor or Chair (Print Clearly)</td>
<td>Contact phone number</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>For Research Office Only:</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>IRB#:</em></td>
</tr>
<tr>
<td>This study is valid from:</td>
</tr>
</tbody>
</table>

---

*ELM Dissertation Handbook* 47
SUBJECT BILL OF RIGHTS

(To include as component of Informed Consent; Eliminate references to drugs (#2, 5), or medical treatment (#6), if not pertinent to your study.)

As a participant in a research study or as someone who is requested to give consent on behalf of another for such participation, you have certain rights and responsibilities. It is important that you fully understand the nature and purpose of the research and that your consent be offered willingly and with complete understanding. To aid in your understanding, you have the following specific rights:

1. To be informed of the nature and purpose of the research in which you are participating.

2. To be given an explanation of all procedures to be followed and of any drug or device to be utilized.

3. To be given a description of any risks or discomforts that can be reasonably expected to occur.

4. To be given an explanation of any benefits that may be expected to come to the subject as a result of this research.

5. To be informed of any appropriate alternative procedures, drugs, or devices that may be advantageous and of their relative risks and discomforts.

6. To be informed of any medical treatment which will be made available to the subject if complications should arise from this research.

7. To be given an opportunity and encouraged to ask any questions concerning the study or the procedures involved in this research.

8. To be made aware that consent to participate in the research may be withdrawn and that participation may be discontinued at any time without affecting continuity or quality of your medical care.

9. To be given a copy of the signed and dated written consent form if requested.

10. To not be subjected to any element of force, fraud, deceit, duress, coercion, or any influence in reaching your decision to consent or to not consent to participate in the research.

If you have any further questions or concerns about your rights as a research subject, please contact your doctor.
If only secondary sources will be used in the proposed research, the Subjects Bill of Rights is not applicable. [Note to researcher: please sign, date, and attach to Subject’s Bill of Rights if your study only uses secondary data]

Signature  

Date
SUBJECT BILL OF RIGHTS
(Derechos de los Participantes)

Como participante en una investigación o como alguien que se la pide consentimiento a favor de uno de los participantes, usted tiene ciertos derechos y responsabilidades. Es importante que usted entienda la naturaleza y el objective de la investigación y que su consentimiento es ofrecido voluntariamente y con una compresión complete. Para ayudar su compresión, usted tiene los siguientes derechos.

1. De ser informado de la naturaleza y objective de la investigación en la cual usted participa.

2. Que se le dé una explicación de todos los procedimientos que serán seguidos y de cualquier droga o instrumento que se vayan a utilizar (ninguna droga o instrumento serán utilizados en esta investigación).

3. Que se le dé una descripción de cualquier riesgo o incomodidad que se suede razonablemente esperar que ocurra.

4. Que se le dé una descripción de cualquier beneficio que pueda esperarse hacia el participante como resultado de la investigación.

5. De ser informado de cualquier procedimiento alternative y apropiado, droga, o instrumento que pueda ser ventajoso y de su posibles riesgos e incomodidades.

6. De ser informado de tratamiento medico que suede ser disponible al participante si hay laguna complicación como resultado de la investigación.

7. Darle la oportunidad y animarlo a hacer preguntas cerca de la investigación o de los procedimientos que esta involucre.

8. De ser informado que su consentimiento para participar suede ser revocado y que su participación suede ser discontinuada en cualquier momento sin afectar la continuidad o calidad de la atencion medica del participante.

9. De ser entregado una copia del consentimiento escrito, ya firmado y con fecha, si usted lo pide.
10. A no ser sometido a ningún elemento de fraude, engano, compulsion, coerción, o a ninguna influencia en tomar la decisión de dar consentimiento o participar en esta investigación.

Si tiene preguntas adicionales o laguna preocupación sobre sus derechos como participante de la investigación, por favor comuníquese con doctor
INFORMED ASSENT AGREEMENT GUIDELINES

Include the following information making sure everything is expressed in language appropriate to the developmental level of the participants.

1) Title of the study
If the title includes technical terms, use more general terms to describe your study. For example, if your study is entitled: “fMRI and evoked potentials in cognitively compromised students” you may want to change it to “Brain wave activity in Special Education Students.”

2) Your name and contact information

3) What you may ask potential participants to do in your study
Fully describe to what the participant is assenting. Be specific about what participation involves and how long it will take. For example, “(NAME OF INVESTIGATOR) is doing research on family relationships. You are being asked to help (him/her) by answering some questions about how you feel about your brothers and sisters. However, before you give you agree to help, we want you to understand what you are being asked to do.”

4) Potential risks and benefits
Be sure to describe any risks associated with participation. You should also describe any incentives you intend to offer your participants.

5) Confidentiality
Describe how you will protect the participant’s privacy and confidentiality. For example, “I understand that my name won’t be used and the researcher will not tell anyone how I answered any questions.” If there are limits to participant confidentiality because of his or her status as a minor, provide a description of those limits. For example, “Your parents will be given a summary of your performance on the learning task, but they won’t be told which test questions you missed.”

6) Right to withdraw or not participate
Inform your participants of their right to withdraw at any time without penalty. Due to their increased vulnerability to obey authority figures, this section must be very explicit and clear. For example, “I understand that I don’t have to answer any questions that I don’t want to, or that make me feel uncomfortable, and if I feel uncomfortable, I can talk with (Researcher’s name and phone number) about it. I can stop being in this study at any time and no one will get mad at me.”

7) Mandatory reporting of child or elder abuse
Inform participants that confidentiality may be broken if abuse is disclosed. For example, “I understand that all of my answers will be kept private from other people, unless it is something that may be harmful to me, or someone else, which means the researcher will have to tell someone else about it.”

8) Signature line
Include space for participant’s signature.
SAMPLE FOR CONSENT TO AUDIOTAPE/VIDEOTAPE

Alliant International University, San Diego Campus
Institutional Review Board
10455 Pomerado Road
San Diego, CA 92131

Consent to be Audiotaped or Videotaped

As part of educational research audio/videotaping is occasionally used. The main purpose of recording is to capture educational practice and student learning for further review. It has been explained to me that these tapes will be used only in conjunction with this research project.

I hereby give my consent to participate in this program and be audio/videotaped for such purposes. The content of these tapes may be transcribed. I understand that these materials will only be used for the purposes of this research. If the videotapes/audiotapes are to be used for other purposes, my permission must be secured in advance.

My signature indicates that I have read and agreed to voluntarily participate in audiotaping/videotaping.

Signature: ____________________________ Date: ________________

As the parent/custodian/guardian of the above minor child, I agree to let him or her participate in this study. I understand that no harm will result in what he or she is required to do. I also understand that my child is free to discontinue his or her participation if they feel uncomfortable in what is asked of them, or no are longer interested in volunteering.

Parent/Guardian/Custodian: ____________________________ Date: ________________

Researcher: ____________________________ Date: ________________

STUDENT: After reviewing the template instructions above, complete the Proposal and the Consent Agreement templates following this page. Click in the shadowed areas and type the information required.
PLEASE DO NOT DISTURB!!

PROPOSAL DEFENSE

IN PROGRESS

STUDENT

NAME:

DATE: ____________________________________________

TIME: ____________________________________________

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ORAL (FINAL) DEFENSE

The Oral Defense Meeting

All committee members must be present for the oral defense. The candidate must present the complete, edited, spiral bound dissertation to the committee and department Program Director at least two weeks prior to the oral defense meeting. The oral defense begins with a brief presentation of the study and its findings by the student. Committee members may then raise questions about the study and its implications. The student should take notes regarding any changes that the committee recommends and incorporate these changes into the final document.

The defense itself is perceived as an oral examination of the student’s competence to independently conduct research. The student should be able to explain the rationale for choices that he or she made in conducting the study and in writing the dissertation, explain the limitations of his or her methodology and statistical procedures, and discuss the results appropriately by placing them in the context of existing theory and research.

The defense lasts approximately one to two hours. If any committee member feels that the meeting has not provided sufficient time to appraise fully the competency of the student’s dissertation or defense, then a continuation of the defense may be requested.

At the conclusion of the defense, the committee dismisses any visitors and asks the student to leave the room. The committee then takes two votes:

1. whether to pass the written document (pending any revisions directed by committee members), and
2. whether to pass the oral defense.

If the committee fails the document, the oral defense automatically fails; however, it is possible to pass the document and fail the oral defense. In this case, the student must schedule a second defense. If the committee fails the second oral defense, the dissertation is not approved.

The chairperson is ordinarily responsible for approving revisions of the written dissertation made after the defense. Committee members, however, may also ask to approve changes. Submission of the final version to the program director on campus for final review should occur only after all committee members approve the final results. In addition to the above, the following guidelines apply for the oral defense:

1. In order to participate in spring commencement ceremonies, the candidate must successfully defend his/her dissertation no later than March 15 of the year he/she intends to graduate.

2. Because the oral defense is a solemn occasion and the culmination of an individual's formal academic training, professional decorum should be maintained at all times.

3. The oral defense is scheduled only after the chair has approved the dissertation for final defense. The oral defense does not serve as a working committee meeting.
4. The oral defense should be scheduled through the school’s Program Director with the approval of the Committee Chair.

5. The candidate contacts the appropriate administrative assistant to make arrangements for a room to hold the defense.

6. The candidate makes arrangements for the appropriate audio-visual equipment to support his/her presentation.

7. Notice of the oral defense must be posted two weeks in advance with members of the academic community invited to attend. The document must also be available in the appropriate college or school office for review two weeks in advance of the oral defense date.

8. The candidate delivers the edited, spiral-bound copy of the dissertation to each committee member and department Program Director at least two weeks prior to the Oral Defense. This allows the committee to see the document in its entirety.

9. The candidate completes all the forms and required documents necessary to award the degree (see the FINAL DEFENSE FORMS section of this notebook).

10. The Chair may permit family and friend to attend the Oral Defense Meeting (if requested by the student), however, students must recognize that approval of the dissertation is not guaranteed. Celebrations should not be scheduled on campus as part of the oral defense.

11. Use of video and still cameras during the oral defense is prohibited. Tape recorders may be used in consultation with the chair.

After the committee chair, committee members, and dean have approved a dissertation, it must be submitted to the AIU University Library. See the **Electronic Submission Process in Appendix, #B.**
One month before the Oral Defense Date

_____ Approval of Oral Defense Date signed by your Chair
_____ Approval of Oral Defense Date turned in to the Program Director

At least two weeks before the Oral Defense Date

_____ Send a copy of the Dissertation Defense Date form to your chair and each committee member
_____ Deliver a spiral-bound copy of your complete dissertation to each member of your committee (giving them the opportunity to review the complete document prior to the defense). This should be what you believe to be the final, best, library-ready copy of your dissertation. It should be printed single-sided, on regular paper.

What to bring to the Oral Defense

_____ Graduation Completion Signature Sheet for Doctoral Degrees
_____ 2 unbound copies of Dissertation (each copy must be original printing on paper that is at least 25% cotton content and printed on a laser printer). Before printing the entire dissertation on the cotton paper, print a trial page. Check that the print is sharp, dark and doesn’t smudge.
_____ Each copy of the dissertation must be in the exact order given in the GSOE Dissertation Handbook
_____ Each copy must be in a separate box with your name on the outside.
_____ 2 original cotton Committee/Dean signature page for original signatures of your committee in black ink (your committee will sign these after your successful defense, and dean’s signature will be obtained through the department)
_____ 1 additional copy of the signature page (for the Registrar).
_____ 2 additional copies of the title page (Registrar and Dean).
_____ 2 additional copies of the abstract (Research Office and Dean).
_____ Completed copy of Publishing Your Doctoral Dissertation with UMI® Dissertation Publishing (pages 3-4), which is an agreement to have your dissertation published on microfilm.
_____ $55.00 cashier’s check or money order (no personal checks) payable to ProQuest Information and Learning Company for publishing fee.
_____ Completed copy of page 5 (Publishing Your Doctoral Dissertation with UMI® Dissertation Publishing) authorizing registration of your claim to copyright. [Note: this is optional]
_____ $65.00 cashier’s check or money order (no personal checks) payable to ProQuest Information and Learning Company to copyright your dissertation. (The two fees to ProQuest may not be combined in one payment.)
$32.59 personal check, cashier’s check or money order payable to Golden Rule Bindery for binding the Library copies of your dissertation.

A copy of each letter of permission you received from the copyright holder (applicable only if your dissertation contains copyrighted material) and/or written permission from the author of other material reproduced in your dissertation that does not originate with you and is not in the public domain (does not include short quotations).

Two note cards with your current contact information listed on each one (name, permanent address, phone number and current email address).

Other Considerations

You may bring extra cotton signature pages to your final defense if you wish to bind a copy(ies) for yourself with the original signatures of your committee members.

You may contact the Golden Rule Bindery for specifications in binding personal copies.

If you have any data on the hard disk in the computer room, save onto disk and then erase.

You are required to meet with the Financial Aid Office for a brief exit interview if you have any loans through the school.
APPROVAL OF ORAL DEFENSE DATE

Submit this form with a copy of your dissertation to the School two weeks prior to the oral defense date.

PART I: To be completed by Student:

Student’s Name ____________________________  ID # ____________________
Degree and Program ____________________________________________
Proposed Dissertation Title ________________________________________

Oral Defense:

Time: ____________________________

Date: ____________________________

Equipment Requested: ____________________________

Room #: ____________________________

Committee Chairperson: ____________________________

Committee Members: ____________________________

______________________________
______________________________

PART II. To be completed by the Committee Chair:

Committee Chairperson: ____________________ Date: ________________

Dean: ____________________ Date: ________________

Distribution List:
1. Student
2. Program Director
3. Dissertation Chair
ALLIANT INTERNATIONAL UNIVERSITY, SAN DIEGO CAMPUS
HUFSTEDLER SCHOOL OF EDUCATION
DOCTORAL PROGRAMS

NOTICE OF DISSERTATION DEFENSE

STUDENT NAME: ______________________________________________________

Will be presenting the oral defense of his/her dissertation,

TITLE: ______________________________________________________________________

____________________________________________________________________________

per the following date, time, and location:

DATE: __________________________

TIME: __________________________

ROOM: __________________________

COMMITTEE MEMBERS: ----------------------------------
Chairperson printed name

Reader

Reader

Candidate's Signature

Student: This notice DOES NOT have to be signed by committee members. Distribute one (1) copy to each Committee member and one (1) to the Research Office immediately after coordinating and setting your defense date and time (at least two weeks prior to your defense) to allow time for posting.

Research Office: Copy to graduation pending file.
ALLIANT INTERNATIONAL UNIVERSITY-SAN DIEGO-GSOE

GRADUATION COMPLETION SIGNATURE SHEET FOR DOCTORAL DEGREES

1. Begin completion of this form after Oral Defense date has been set.
2. Obtain signature/initials from each department checked below to complete the administrative requirements for graduation.
3. Bring this completed form to your Oral Defense.

Degree being earned:
☐ Educational Leadership and Management (EdD)
☐ Educational Psychology (PsyD)
☐ Teaching English to Speakers of Other Languages (TESOL) – (EdD)
☐ Technology and Learning (EdD)

PLEASE PRINT:

1. ____________________________________________________________________________
   Full name as it should appear on diploma __________________________ Student ID# ________ Home Phone Number ________
   Emphasis Area __________________________ Year of Entry __________________________

2. __________________________________________________________
   FORWARDING ADDRESS FOR DIPLOMA:
   Street Address ______________________________________________________________________
   City __________________________ State __________________________ Zip code __________________________

3. __________________________ __________________________
   FINAL CLEARANCE (You must clear each area listed below) Initials/Date
   a. __________________________ __________________________
      LIBRARY (See Library Assistant)
      ☐ No overdue books, tapes or other materials
      ☐ Turn in all library materials
      ☐ Clear any library fines __________________________
   b. __________________________ __________________________
      STUDENT AFFAIRS: (See Graduate Advisor)
      ☐ Completed Comprehensive Examination
      ☐ Completed Writing Proficiency Exam __________________________
   c. __________________________ __________________________
      BUSINESS AFFAIRS: (See Assistant Business Officer)
      ☐ No unpaid tuition/fees __________________________
   d. __________________________ __________________________
      INFORMATION SYSTEMS AND TECHNOLOGY: (See Coordinator)
      ☐ Deletion from computer use list at the end of semester __________________________

   __________________________________________________________
   APPOINTMENTS ARE NECESSARY FOR DEPARTMENTS LISTED BELOW
   ☐

   e. __________________________
      FINANCIAL AID:
      ☐ Exit Interview (Have forms completed and inform us if you receive final aid) __________________________
   f. __________________________
      REGISTRATION AND RECORDS
      ☐ Survey of Earned Doctorates completed
      ☐ Transcript review
      ☐ Receipt of final course grades (All graduates will be signed off after grades are received) __________________________
   g. __________________________
      RESEARCH OFFICE (DH 311A & C)
      ☐ All other departments above signed off
      ☐ Receipt of Final Dissertation Copies
      ☐ Additional forms per Dissertation Checklist __________________________

   __________________________ __________________________
   Student’s signature: Date:

____________________________ __________________________
Last degree requirements met: Status change entered into CARS __________________________

____________________________ __________________________
Transcript finalized: Final copies of clearance form distributed: __________________________

____________________________ __________________________
Registrar’s Signature: Date __________________________
PLEASE DO NOT DISTURB!!

ORAL DEFENSE
IN PROGRESS

STUDENT

NAME:

DATE:

TIME:

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SEQUENCE OF FRONT MATERIAL

Sequence of Front Material

The front material in a dissertation should be presented in the following sequence:

<table>
<thead>
<tr>
<th>Item</th>
<th>Page Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. first title page</td>
<td>no page number</td>
</tr>
<tr>
<td>2. abstract</td>
<td>no page number</td>
</tr>
<tr>
<td>3. title page</td>
<td>no page number</td>
</tr>
<tr>
<td>3. copyright page</td>
<td>ii</td>
</tr>
<tr>
<td>4. committee/dean signature page</td>
<td>iii</td>
</tr>
<tr>
<td>5. dedication (optional)</td>
<td>iv</td>
</tr>
<tr>
<td>6. acknowledgements (optional)</td>
<td>v</td>
</tr>
<tr>
<td>7. table of contents</td>
<td>number beginning after last page of acknowledgements (small Roman numerals)</td>
</tr>
<tr>
<td>8. list of tables (if four or more tables in text)</td>
<td>number beginning after last page of table of contents (small roman numerals)</td>
</tr>
<tr>
<td>9. list of figures (if four or more tables are in text)</td>
<td>number beginning after last page of list of tables (small roman numerals)</td>
</tr>
<tr>
<td>10. list of plates (if four or more figures are in text)</td>
<td>number beginning after last page of list of figures (small roman numeral)</td>
</tr>
<tr>
<td>11. Introduction</td>
<td>1</td>
</tr>
</tbody>
</table>

Pagination

Numbered pages in a dissertation are to be paginated with small Roman numerals for front matter, and with Arabic numerals for the text, references and appendices. Periods, dashes or parentheses are not to be used in pagination. Specific instructions for pagination follow.

First Title Page and Abstract

The first title page and abstract in a dissertation will ultimately appear first in the bound work. However, the first title page and abstract are not considered to be part of a dissertation or thesis. Therefore, they are not to be counted as pages in the manuscript nor are they paginated.

Pages to be Counted
The second title page is the first page to be counted as part of a dissertation. It is to be counted as page i, even though it is not paginated. Every subsequent page in the manuscript is counted as a page, although some are not paginated.

The Text
Each page of text is to be paginated lower center, one inch above the bottom of the page.

Title Page
The title page must include the information and conform to the typing specifications shown on the sample title page that follows. The original manuscript must include two title pages: one at the beginning of the work to precede the abstract, and one to follow the abstract and precede the remaining front material.

Typing the Title
As illustrated on the sample title pages that follow, the title page should be typed to appear as an inverted pyramid. The same form should be used in typing the title on the abstract and the committee/dean signature page.

Abstract
An abstract is required with all dissertations. The purpose of the abstract is to provide a clear, concise summary of the purpose, methods and findings of the research. The information provided in the abstract should be organized into three sections: the problem, method and results as shown in the example that follows. Since ProQuest UMI Dissertation Services will publish the abstracts of dissertations, it is essential that abstracts conform to their regulations on length. A dissertation abstract must not exceed 350 words Every word on the page must be counted, beginning with the heading. The dissertation specialist will reject abstracts that exceed length limitations since ProQuest will not accept them for publication.

Copyright Page
Every dissertation must be copyrighted and must include a copyright page. Copyright may also be filed for theses. Although the filing of copyright is carried out by ProQuest UMI Dissertation Services, the copyright page included prior to the text provides protection against unfair use of any part of the work. A sample copyright page is included with the examples that follow.

Committee/Dean Signature Page
The committee/dean signature page must be included in a dissertation or thesis to indicate that each committee member and the dean have approved the work in final form. The committee/dean signature page, as shown in the following example, should be prepared at the time the final version of the work is being typed. After the author has carefully proofread the final manuscript and corrections have been made, the work should be submitted to each committee member for final review. Signatures of approval should be recorded in black ink. When all committee members have approved the work and signed the committee/dean signature page, the complete original manuscript should be submitted to the Academic Advisor for review of form and style. After the manuscript has been approved, the student should deliver the work to the dean of the appropriate college for final review and signed approval.
Dedication
The dedication, as shown in the following sample, is an optional part of the front matter in a dissertation and should be included if the author wishes his or her study to be received in honor of a person, group, or ideal important in bringing about the completion of the work. Dedications are usually brief, ranging in length from a phrase to a few sentences.

Acknowledgments
The acknowledgments, as shown in the following sample, is an optional but recommended part of the front matter in a dissertation. The purpose of the acknowledgments is to express gratitude to those groups or individuals who contributed their assistance or guidance during the research. As a courtesy, members of the dissertation committee should be thanked. The diction used in the acknowledgments should be formal.

Table of Contents
The table of contents, as shown in the following sample, should list everything which follows it in the dissertation or thesis, including the list of tables (when applicable), list of figures (when applicable), list of plates (when applicable), chapter titles, A-level headings, B-level headings, references and appendices (or appendix).

List of Tables
A list of tables, as shown in the following sample, should be included among the preliminary pages if four or more tables are included within the text. The list should provide complete titles and page numbers of all tables. When listing table titles, the first letters of nouns, pronouns, adjectives, verbs and adverbs are capitalized; the first letters of prepositions (e.g., “in”, “at”, “between”, “among”, “for”) are not capitalized.

List of Figures
A complete list of figures, as shown in the following sample, should be included if four or more figures are included within the text. Complete titles and page numbers should be provided.

When listing figure titles, the first letters of nouns, pronouns, adjectives, verbs and adverbs are capitalized; the first letters of prepositions (e.g., “in”, “at”, “between”, “among”, “for”) are not capitalized.

List of Plates
A complete list of plates should be included if four or more plates are included within the text. Complete titles and page numbers should be provided. When listing plate titles, the first letters of nouns, pronouns, adjectives, verbs and adverbs are capitalized; the first letters of prepositions (e.g., “in”, “at”, “between”, “among”, “for”) are not capitalized. A sample list of plates is not included, but the format is similar to the list of figures.
ELEMENTARY PRINCIPALS’ AND TEACHERS’ PERCEPTIONS OF
BILINGUAL ELEMENTARY SCHOOL CURRICULA
IN CALIFORNIA

A Dissertation
Presented to the
Faculty of the
Hufstedler School of Education
Alliant International University

In Partial Fulfillment
of the Requirements for the Degree of
Doctor of Education

by
Joseph T. Student
San Francisco, 2002
Abstract of Dissertation

THE RELATIONSHIP BETWEEN CHILDREN’S SELF-CONCEPTS AND FAMILY INTERACTION PATTERNS

by

John T. Student, Psy.D. Alliant

International University

Committee Chairperson: Jane T. Professor, Ph.D.

THE PROBLEM. The purpose of this study was to investigate the relationship between children’s self-concepts and interaction patterns which function within the family.

METHOD. A correlational study was conducted, and 60 students who were enrolled in public school classes, grades two through five, were administered two tests. The Human Figure Drawing Test was used to assess self-concept, and the Family Relations Test was used for the purpose of defining family interaction patterns.

RESULTS. The first hypothesis, which predicted a relationship between children’s self-concepts and family interaction patterns, was supported. Correlation coefficients were statistically significant at the .05 level of confidence. The second hypothesis, which predicted a relationship between children’s self-concepts and their dependency on other family members, was not supported.

Results of the study supported the premise that the family system, which consists of the interaction patterns or means of communicating which family members develop within the family as a working whole, is directly related to the way the developing child learns to perceive himself.
Three basic conditions emerged related to children’s negative self-concepts. They were: (1) and absence or scarcity of positive communications received from other family members; (2) the presence of what children perceived to be negative communications going from themselves to the male parent; and, (3) an absence of communication with other family members with an accompanying focus on self.

Children who perceived themselves as receiving many positive communications from all family members also perceived themselves positively.

NOTE: DISSERTATION ABSTRACTS MUST NOT EXCEED 350 WORDS INCLUDING THE TITLE. THESIS ABSTRACTS MUST NOT EXCEED 150 WORDS.
THE RELATIONSHIP BETWEEN CHILDREN’S SELF-CONCEPTS
AND FAMILY INTERACTION PATTERNS

A Dissertation
Presented to the
Faculty of the
Hufstedler School of Education
Alliant International University

by
Joan T. Student

Approved by:

______________________________  ______________________________
Jill T. Harmon, Ph.D.           Date
Chairperson

______________________________  ______________________________
Thomas R. O’Donnell, Ph.D.     Karen Schuster Webb, Ph. D

______________________________
Susan P. Brentwood, Ed.D.

______________________________
Thomas R. O’Donnell, Ph.D.

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DEDICATION

To the families who devoted their time, energy and interest to this research project
ACKNOWLEDGMENTS

I would like to express sincere gratitude to my committee members, Dr. Joseph Klein, Dr. Carol Foreman and Dr. Samuel Rogers, for their invaluable support and guidance in the planning and implementation of this research project. Special thanks are also extended to Dr. William Kaufmann for his willingness to serve as a consultant with regard to the statistical design of the study.

Finally, I must convey my deep appreciation to the directors, counselors and staff of the Grove Community Center and the South County Family Services Center for their participation in the study. Without their contributions of time and resources, this study would not have been possible.
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NOTE:  
(1) EACH SUCCESSIVE HEADING TITLE IS INDENTED 3 SPACES FROM THE
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(2) EACH SUCCESSIVE LINE IN MULTI-LINE TITLES IS INDENTED 3 SPACES
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2. EACH SUCCESSIVE LINE IN MULTI-LINE TITLES IS INDENTED 3 SPACES FROM THE FIRST LETTER IN THE FIRST LINE.
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Alliant International University Institutional Review Board  
Request for Approval of Research
IRB Application Protocol Form – (v: 11-15-12)

Written approval of this research by the IRB is required **PRIOR** to initiating the research (e.g., recruiting participants or collecting **ANY** data in all but archival studies). Submit this Application Protocol as a single file in MS Word to your campus IRB. Include this IRB Application Protocol Form, supporting materials, and required appendices as part of your submission. **Incomplete protocols will not be reviewed.** Please answer all questions. Use N/A if an item is not applicable.

**THIS BOX FOR IRB OFFICE USE ONLY:**

<table>
<thead>
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<th>Date:</th>
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**Title of Study**

**PRINCIPAL INVESTIGATOR (PI)**

<table>
<thead>
<tr>
<th>Name:</th>
<th>Title:</th>
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<tr>
<th>Phone Number:</th>
<th>Student ID (if applicable):</th>
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**CO-INVESTIGATORS**

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</table>
NOTE: If additional investigators are included, please list them below, including name, title, mailing address, and e-mail address.

For all research in which the Principal Investigator (PI) is a student, please also complete the following:

<table>
<thead>
<tr>
<th>Alliant Faculty Sponsor/Project Chairperson:</th>
<th>Title:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program, School, and Campus:</td>
<td>Email Address:</td>
</tr>
</tbody>
</table>

Please list any other Alliant faculty involved in supervising the project (e.g., readers or members of dissertation or thesis committees, other faculty collaborators on the research):

Is this a revision of a previously reviewed protocol?

Yes [ ]
No [ ]

Type of research proposed (Check all that apply):

<table>
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<tr>
<th>Pilot</th>
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<tbody>
<tr>
<td>Student</td>
</tr>
<tr>
<td>Faculty</td>
</tr>
<tr>
<td>Staff</td>
</tr>
<tr>
<td>Analysis of secondary data (data already collected for other purposes; e.g., archival data)</td>
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</table>

Level of risk to human participants in proposed research (Check that which is relevant):

| 1 – NO RISK | (No Risk means that the study has no social, psychological or physical danger to participants; see Systematic Guidelines for the Protection of Human Participants in Research for details). |
| 2 – MINIMAL RISK | (Minimal Risk means that the probability of harm or discomfort anticipated in the research are not greater than those ordinarily encountered during the performance of routine physical, psychological, or educational examinations or tests). |
| 3 – MODERATE RISK | (Moderate Risk means that the risk to participants is beyond what would normally be experienced in typical daily life. The study may involve intrusive questions or procedures or use protected populations (e.g., infants, prisoners, etc.)). |
| 4 – HIGH RISK | (High Risk means that participants may be exposed to risk that may have lasting psychological or physical consequences). |
NOTE: Levels 3 and 4 must be reviewed by the full IRB Committee.

Does the research focus on or seek to enroll participants from any of the following vulnerable categories? If so, check **ALL** that apply. If none apply, check the **final box only**.

<table>
<thead>
<tr>
<th>Category</th>
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<tr>
<td>Chronic physical or mental condition</td>
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<td>Cognitively impaired</td>
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<td>Current and/or former patients of investigator(s) or faculty sponsor</td>
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<td>Institutionalized (e.g., hospitalized, hospice, assisted living, residential treatment)</td>
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<td>Limited or non-readers</td>
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<td>Mentally ill</td>
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<td>Military personnel to be recruited for the study by military personnel</td>
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<td>Minors</td>
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<td>Poor/uninsured</td>
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<tr>
<td>Pregnant women</td>
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<tr>
<td>Prisoners</td>
</tr>
<tr>
<td>Terminally ill</td>
</tr>
<tr>
<td>Wards of the state (e.g., foster children)</td>
</tr>
<tr>
<td>Students or employees of PI, study staff, or research sponsor</td>
</tr>
<tr>
<td>Students to be recruited in their educational setting (e.g., in class or at school)</td>
</tr>
<tr>
<td>Others vulnerable to coercion <strong>(Specify)</strong></td>
</tr>
<tr>
<td>The research does <strong>NOT</strong> focus on or seek to enroll participants from vulnerable categories</td>
</tr>
</tbody>
</table>

Is the research funded in whole or in part by an outside agency (e.g., a grant or contract) or have you applied for funding?

<table>
<thead>
<tr>
<th>Option</th>
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<tbody>
<tr>
<td>No</td>
</tr>
<tr>
<td><strong>Yes.</strong> the research has been funded</td>
</tr>
<tr>
<td><strong>Yes.</strong> proposal is under review by outside agency</td>
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</table>

If yes, list sponsoring agency: ________________________________

Grant/award number (if funded): ________________________________

Principal Investigator of grant/contract: ______________________

Is any special expertise above and beyond that represented on the IRB required to evaluate this protocol? (e.g., prisoners [need prison representative to review]; medical review [for medically-related invasive procedures or interventions])

<table>
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<th>Option</th>
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<tr>
<td>No</td>
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<td><strong>Yes</strong></td>
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If yes, please explain: ________________________________
Statement of Investigator(s):
The signature(s) of the investigator(s) indicates agreement with the following:

*This research will be conducted in accordance with procedures described in this protocol and approved by the IRB, university policies which govern research with human participants, and applicable laws in the state and country in which the research is conducted.*

Signatures: (Your typed name constitutes your signature).

Principal Investigator: ____________________________ Date: ____________

Student investigators must also obtain the approval of a faculty sponsor/chairperson before the protocol can be submitted. Documentation of faculty sponsor approval can be submitted in one of two ways: 1) The faculty sponsor may sign a printed out physical copy of this one page of the form using a pen. The student investigator should scan this signed single page into pdf format. Insert the pdf copy into the present document below the signature line (see below for instructions); OR 2) The faculty sponsor may send an email from the faculty sponsor’s faculty email address to the IRB (e.g., the office that accepts IRB protocols for your campus address). This email must contain the statement below along with the title of the research and the student PI’s name.

I have read and reviewed this application for completeness and accuracy, and I approve it as submitted.

Signature of Alliant Faculty Sponsor: ____________________________

Date: ____________

How to insert pdf pages into a Word document:
You can just copy and paste the signatures and/or other pdf pages into the application if you scan the hardcopies to a pdf. Then when you open the pdf file click on the “Tools” tab, select the “Select & Zoom” option, and finally choose the “Snapshot” option. This will allow you to build a box around the information you want to copy and paste. You will need to take a separate “Snapshot” of each individual pdf page and then paste them individually into the Word document.
APPLICATION PROTOCOL SUBMISSION CHECKLIST (v: 11-15-12)

PARTICIPANT RECRUITMENT AND DATA COLLECTION MAY NOT BEGIN UNTIL THE IRB PROVIDES FORMAL WRITTEN APPROVAL OF THE STUDY.

The following is a list of what must be included for your protocol to be considered complete and to initiate the review process. Place an X in each box you have completed. You must submit this completed checklist as part of your protocol. **Check each item that has been completed; use N/A if an item is not applicable.** A protocols with a checklist lacking Xs or N/As is considered incomplete and will not be reviewed.

<table>
<thead>
<tr>
<th>IRB Request for Approval of Research, Application Protocol Form (all questions answered or N/A indicated)</th>
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<tbody>
<tr>
<td>Principal Investigator Signature</td>
</tr>
<tr>
<td>Faculty Sponsor Signature (required for student research)</td>
</tr>
<tr>
<td>Appendices (include as part of electronic protocol file. Place this material after the IRB Application Protocol Form):</td>
</tr>
<tr>
<td>Written recruitment notices, advertisements, etc. for soliciting participants</td>
</tr>
<tr>
<td>Copies of all measures, forms, stimuli, interview materials, etc. except those in common use (e.g. intelligence tests, MMPI, Rorschach, Child Behavior Checklist, Beck Depression Inventory, NEO, 16PF). Single copies of copyrighted instruments or a list of questions contained in copyrighted instruments may be included, in accord with the Fair Use Doctrine.</td>
</tr>
<tr>
<td>CONSENT FORM(S) designed for your participant population. Consent forms are usually optional for Level 1 research. <strong>UNLESS THE IRB GRANTS A WAIVER OF SOME OR ALL ELEMENTS OF CONSENT, CONSENT FORMS SHOULD INCLUDE THE FOLLOWING</strong> (check each box to indicate that this information is contained in your consent form or indicate NA if not applicable to your study):</td>
</tr>
<tr>
<td>1. State that study involves research.</td>
</tr>
<tr>
<td>2. Identify individual(s) conducting the research, their highest degree earned, and their university or agency affiliation.</td>
</tr>
<tr>
<td>3. Describe briefly the purpose of the study.</td>
</tr>
<tr>
<td>4. Describe briefly procedures to be followed.</td>
</tr>
<tr>
<td>5. Describe alternative treatments that the participant might pursue (if relevant).</td>
</tr>
<tr>
<td>6. Describe measures/instruments to be completed.</td>
</tr>
<tr>
<td>7. Give length of time required to participate in the study.</td>
</tr>
<tr>
<td>8. Describe compensation or reward for participating (and requirements for receiving this).</td>
</tr>
<tr>
<td>9. Specify that participants have the right to refuse to participate, decline to answer questions, and withdraw at any time from the study without penalty.</td>
</tr>
<tr>
<td>10. Describe how confidentiality will be maintained (include who will have access to the data, when and how raw data will be destroyed).</td>
</tr>
</tbody>
</table>
11. Describe audio-recording or video-recording (if relevant); including information on storage, transcription, and destruction of such materials.

12. Describe limits to confidentiality (e.g., reporting requirements for child, dependent adult, or elder abuse).

13. Identify reasonably foreseeable risks and benefits (if any) to participants in the study.

14. For foreseeable risks, indicate how negative reactions to the research will be handled, whether treatment will be provided, who will be financially responsible for any needed intervention/treatment.

15. Identify individuals responsible for the study (e.g., the researcher, faculty sponsor for students) and how to contact them (e.g., phone numbers, email addresses).

16. Identify how to contact the IRB office for general questions about rights of research participants.

17. For medical experiments, include a copy of the “Experimental Participant’s Bill of Rights” (see Systemwide Guidelines for the Protection of Human Participants in Research, section “Providing Information Needed for Informed Consent” for details).

18. Specify that participants may request a summary of the aggregate results of the study once the study has been completed if they wish.

19. Specify that the participant has received a copy of the consent form.

20. Include a signature and date space for the participant, parent or guardian.

21. Include a signature and date space for the researcher.

**Assent form(s), if participants include minors or adults who do not have the capacity to give their own consent.**

**Instructions:** Please provide information on each of the following. If the question is not applicable to your study, enter “NA” or “not applicable” as your answer.

**I. STUDY OVERVIEW**

What is the purpose of the research? Provide a brief (1 page or less) ABSTRACT describing the study. Describe briefly the specific aims of the research, why the topic is important, and the procedures you will follow.
II. PARTICIPANTS

II.A. How many participants do you plan to recruit? Please indicate (a) the planned sample size, (b) the minimum and maximum number in your study, (c) the rationale for the sample size and range.

NOTE: If the number increases by more than 15% above your maximum, you will need to amend your study prior to increasing enrollment size.

II.B. Age range of participants: ________________________________

II.C. Inclusion criteria for participation in the research

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II.D. Exclusion criteria for participation in the research
NOTE: List circumstances that will exclude someone from participation, not just the absence of inclusion criteria (e.g., primary language not English, evidence of cognitive impairment, score above xx on a screening measure, presence of active psychosis).

II.E. If the research focuses on members of vulnerable populations (see above), provide rationale for studying them.

II.F. Describe how you will ensure that selection of participants is equitable in light of the purposes of the research and the setting in which the research will be concluded. Equity means that the opportunity to participate is available to all persons who meet the criteria for inclusion and that individuals are not excluded based on gender, ethnicity, etc., except when such exclusion is essential in light of the purpose of the research.
III. RESEARCH PROCEDURES

III.A. Describe your recruitment procedures, including any initial screening to ensure participant eligibility (attach scripts, ads, etc. in appendices).

III.B. Will the participant be audio or video recorded?

<p>| | |</p>
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<tr>
<td>No</td>
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<tr>
<td>Yes</td>
<td>(Specific permission must be included in the consent form; do not use a separate consent for recording. Be sure to address storage, transcription, and destruction of such materials in your application and consent form).</td>
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</table>

III.C. Describe what the participant will be asked to do. Briefly outline your procedures from entry (after recruitment and screening for inclusion) to completion of the study. Include inducements offered to participants, methods of assessment, methods of assignment to group, and procedures. Be explicit in the description of any physical, psychological, occupational, or social stressors; drugs, ingested substances; experimental conditions; aversive stimuli; or any deprivations that are planned.
III.D. Describe types and content of your measures. Include interview, questionnaire, and/or survey questions (multiple choice, fill-in-the-blank, etc.). Attach copies of demographic or biographical forms, and structured interviews, and any measures that are NOT in common use (common use measures include WISC, MMPI, BDI, NEO, CBCL, 16 PF, etc.) as appendices. For copyrighted measures, provide either a copy of the measure (this is permitted under the fair use doctrine) or a list of items/stimuli and the rating scale. For archival studies, describe the specific information you will retrieve from existing records.
III.E. How long will participation take? (Describe approximate time commitment)

III.F. Describe what will happen at the end of participants’ involvement in your study. Describe any follow-up contact you plan to have with participants. If your study requires debriefing, please describe the process, including the approximate time between completing the study procedures and debriefing.

III.G. If the study involves a treatment or intervention to ameliorate or to prevent a physical, educational, occupational, or psychological difficulty, please explain how that treatment will differ from standard care that participants would ordinarily receive.

III.H. Describe the setting(s) in which you will conduct the study (e.g., school, business, clinic, internet). If you will collect data in an organization other than Alliant (e.g., school, business, clinic), describe how and from whom you will obtain permission to use the site, and how you will comply with the site’s requirements for conducting research in their organization.
If you have already obtained written permission from one or more research sites, please include this as an appendix to your protocol.

### III.I. Will you conduct any part of the study outside the United States of America?

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<thead>
<tr>
<th>No</th>
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<tr>
<td>Yes (List country/countries):</td>
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</table>

If yes, describe research regulations or laws relevant to the conduct of research in the country in which the research will be done, and how you will comply with them.

### IV. RISKS AND BENEFITS

#### IV.A. What are the potential risks and benefits of participating for the individual participant?

**NOTE:** The contributions of the research to science and participant compensation are not considered benefits to the individual.

#### IV.B. Describe the steps you will take to minimize risk (if the study entails risk).

#### IV.C. Greater than minimal risk research also requires investigators to describe how they will respond to research-related injury or negative events. For greater than minimal risk studies (level 3 or 4), please complete the following two items (IV.C.1 and IV.C.2). If not applicable (i.e., your study entails minimal risk or less), indicate NA or “not applicable.”

**IV.C.1.** Explain how the potential benefits from conducting the research for participants and for the field (including knowledge gained) outweigh the risks.
IV.C.2. Provide a detailed explanation of steps you will take to deal with any negative events that occur as a result of the participant’s involvement in the research. Specifically indicate who will be responsible for costs incurred via research-related event or injury. Remember to include this information in the consent form as well.

V. CONSENT PROCEDURES

Attach all consent forms (and assent forms, if required) as appendices.

V.A. Describe how the consent process (and, for minors, the assent process) will be conducted (e.g., who will conduct the consent process and what will this process entail; who will provide consent (participants, parents or guardians of minors).

V.B. Describe steps you will take to prevent actual or perceived coercion (e.g., when recruiting patients, prisoners, employees, students, or others in situations in which the researcher or data collector is perceived as having power over the participants, or participants may not feel able to freely consent, speak openly, or decline to respond to questions).

V.C. Please indicate the language(s) of the participants you plan to enroll. Consent forms and other participant materials must be in language easily understood by the participant.

<table>
<thead>
<tr>
<th>Language</th>
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<tbody>
<tr>
<td>English</td>
</tr>
<tr>
<td>Other language(s) Specify:</td>
</tr>
</tbody>
</table>

V.D. If you are enrolling non-English speaking participants, please explain how you will
ensure that (a) participants receive appropriate information about what participation in the research entails, (b) how you will ensure that the consent form is clear and understandable to participants, (c) how translations of research materials will be done to ensure clarity and correctness (professional translators, back translation, use of indigenous informants, etc.).

V.E. Are you asking to waive some or all required components of informed consent? (e.g., using deception in your study, online studies, waiving signature requirements on consent forms, intentionally withholding relevant information from participants). Note that online studies that will obtain consent via methods other than signatures require a waiver of the signature requirement.

| No | Yes |

If yes, please describe the waiver you are requesting and how your study meets the requirements for a waiver or modification of the consent process (see Systemwide Guidelines for the Protection of Human Participants in Research, section titled “Waivers and Modifications of the Consent or Assent Process” for details).

VI. CONFIDENTIALITY

VI.A. Are the data completely anonymous? (Anonymous means that it is impossible for anyone, including the researcher, to link a specific individual with his/her data. Videotaped data and most audiotaped data are not anonymous.)

| No | Yes |

VI.B. What provisions will be made to safeguard the confidentiality of the data? Include provisions for de-identifying research records, ensuring that internet data cannot be linked to specific participants, obtaining a Certificate of Confidentiality for sensitive information, etc. Indicate in detail how computerized records will be handled to protect confidentiality if the data are not anonymous and contain sensitive information.
VI.C. Who will have access to the data?

VI.D. What will be done with the data (including audio or video recordings) when the study is completed? How long will the raw data be kept? Who will destroy any data that can be linked to specific participants, when, and how? (please ensure compliance with Systemwide Guidelines for the Protection of Human Participants in Research, section titled “Researcher Records”). If the data are not anonymous and contain sensitive information, indicate in detail how computerized records will be stored and/or fully erased to minimize risks of disclosure of personally-identifying information.

VI.E. Will you be accessing participants’ educational or medical records?

| No    | Yes |

If yes, describe how you will comply with FERPA or HIPAA regulations if data are not completely anonymous.
SPECIAL ADDITIONAL REQUIREMENTS FOR STUDIES WITH PREGNANT WOMEN

If you plan to enroll pregnant women, complete the following (otherwise leave blank):

The IRB reviews research according to the requirements of Federal Regulation 45 CFR 46. One section of that regulation (45 CFR 46.204 (h), (i), (j)) requires the IRB to make specific determinations whenever pregnant women are enrolled in research. If you plan to enroll pregnant women, you must assure the board of the following by signing in the space provided below:

- No individuals involved in the research will offer any inducements, monetary or otherwise, to terminate a pregnancy;
- Individuals engaged in conducting the research will have no part in any decisions as to the timing, method, or procedures used to terminate a pregnancy; and
- Individuals engaged in conducting the research will have no part in determining the viability of a neonate.

Signature of Principal Investigator: __________________________

Date: __________________________

Signature of Faculty Sponsor (for student research): __________________________

Date: __________________________

APPEND ALL ADDITIONAL MATERIALS BELOW (consent forms, measures, site approval letters, etc.) as part of this file.
B. Library Dissertation/Doctoral Project Clearance Form

Section 1: COMMITTEE CHAIR COMPLETES THE FOLLOWING

The manuscript of ____________________________ meets the guidelines for format and style established by Alliant International University. By signing this form, I affirm that a) the student has successfully defended the document, and b) the chair and committee have formally approved ALL requested edits, c) the student has completed program requirements pertaining to the dissertation or doctoral project (e.g., has submitted forms required by the program); d) I have inspected and approved both the hard copy and the electronic copy of the dissertation the student submitted.

Name: ___________________________________ Signature: ________________________________________________

Date of chair signature: _________________ E-mail address: ____________________________________________

Section 2: STUDENT COMPLETES THE FOLLOWING

I, _____________________________ (please print clearly), am submitting to Alliant International University the final manuscript of my dissertation or doctoral project. I understand that one copy will be bound, catalogued, and maintained by the Library for use by others, and that the second copy - in the form of an electronic file - will be digitized for archiving, with the digital copy accessible online to the scholarly community.

ID number: ______________ Signature: ___________________________________________________________ Date:

__________________________________________

Full title of dissertation/doctoral project:

__________________________________________________________________________________________

Section 3: LIBRARY STAFF COMPLETES THE FOLLOWING

☐ Final manuscript complies with program format instructions.
  *Once this form has been initialed and dated by the Library no changes can be made to either the electronic or the hardcopy submission of the student’s dissertation or doctoral project.

☐ One (1) copy of final manuscript (including a signed signature page). Must be printed on 100% cotton-content, watermarked - no embossing, minimum 24 lbs paper. No linen; manuscript paper only.
  NOTE: Additional bound copies can be purchased through ProQuest or by contacting a local binding service.

☐ Check, in the sum of $XX.XX, made payable to ‘Alliant International University’.
☐ Completed Alliant Library Dissertation/Doctoral Project Cataloging Form.

☐ Final manuscript (PDF) uploaded to ProQuest/UMI.

SIGNATURE: ____________________________________________ DATE Signed: ____________________________

STAFF: Once complete, send a copy of this form to:

sdregistrar@alliant.edu or (858) 635-4849 [Fax]
Library Dissertation/Doctoral Project Clearance Process

(DRAFT 4.0)

STEP 1: (Recommended but not mandatory) Student meets with Academic and Administrative Support Services to review any questions about the dissertation clearance process. The student is reminded that he or she should contact the Library DCR (Dissertation Clearance Representative) to schedule a preclearance meeting to be held after a successful defense and when all required changes to the dissertation have been completed. Library staff request that appointments be scheduled at least xxx days in advance.

STEP 2: (Recommended but not mandatory) After: a) successfully defending the work, b) completing all post-defense revisions required by the committee, and c) ensuring the proper formatting of the manuscript, the student meets with the Library DCR who provides an overview of the final clearance process (see STEP 7).

STEP 3: Library DCR instructs student to upload manuscript to UMI/ProQuest.

STEP 4: The library ensures that the student has a copy of or knows where to find the ‘Library Dissertation/Doctoral Project Clearance Form’ and reiterates that ‘Section 1’ of the form, which declares that all final edits have been made by the student, must be signed by the dissertation Committee Chair. If the form is not signed the student is ineligible for final library clearance.

STEP 5: Student submits Library Dissertation/Doctoral Library Clearance Form, signed by chairperson, to DCR and uploads the electronic copy of the manuscript. The DCR reviews the formatting of the manuscript and provides feedback/comments if the document does not meet requirements for submission. The DCR e-mails copy of the feedback to the student and the Chairperson.

The student repeats Step 5 until the document is acceptable. When the document is acceptable, the student procedes to step 6.

STEP 6: The Library DCR performs a final review of the approved electronic manuscript.
**Final approval must be given by Library DCR before student prints a hard copy**  
Student schedules a clearance date with the library to deliver hard copy of the manuscript and supporting clearance forms. Students who are unable to meet in person may mail the above documents to the library as an alternative.

**STEP 7:** The student meets with the Library DCR in person or by telephone and arrives with (or has mailed):

- Signed ‘Library Dissertation/Doctoral Project Clearance Form’.
- One (1) copy of final manuscript (including a signed signature page). Must be printed on 100% cotton-content, watermarked - no embossing, minimum 24 lbs paper. No linen; **manuscript paper only**.
- Check, in the sum of $XX.XX, made payable to ‘Alliant International University’.
- Completed **Alliant Library Dissertation/Doctoral Project Cataloging Form**.

**STEP 8:** If the above is met, DCR verifies that electronic version has been uploaded to ProQuest and cleared as acceptable. Library DCR completes ‘Section 3’ of the **Library Dissertation/Doctoral Clearance Form** and sends form to the Registrar, retains a copy, and e-mails a copy to the student.

**STEP 9:** Library DCR ships hard copy to (*bindery selection pending*) and approves and delivers electronic copy of manuscript to UMI/ProQuest.