

**Guidelines for the Preparation and Submission of  
Theses and Dissertations  
(Third Edition)**



**The Graduate School  
Fayetteville State University**

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1200 Murchison Road  
Fayetteville, North Carolina 28301  
[www.uncfsu.edu](http://www.uncfsu.edu)

Telephone: (910) 672.1681  
Fax: (910) 672.1470

Revised: September 2011

October 10, 2011

This revision of *A Guide to the Preparation and Submission of Theses and Dissertations* reflects the work of Drs. Doreen B. Hilton, Viviette L. Allen, LaDelle Olion, Linda Wilson-Jones, and Tawannah Allen.

Fayetteville State University reserves the right to change, delete, or add to any part of this publication as it deems necessary for the good of the University. Every attempt will be made to keep changes to a minimum and to communicate changes to all students.

October 10, 2011

## Contents

1. Introduction and Orientation
  - An Introductory Note to Students from the Dean
  - Student Learning Objectives of a Thesis or Dissertation
  - Resources for Specific Style and Writing Standards
2. Policies and Procedures
3. Organization Guidelines
4. Submission and Editing-Procedures and Standards
5. Acknowledgement of Sources and References
6. Appendices
  - A Thesis and Dissertation Checklist
  - B Key Events and Dates (2011-2012)
  - C Dissertation Progress Log
  - D Thesis Progress Log
  - E Application for the Use of Human Subjects in Research
  - F Informed Consent Process for Internet-based Research

## CHAPTER ONE

### Introduction and Orientation

A written thesis or dissertation is required of several degree programs at Fayetteville State University. The purpose of a thesis and dissertation is to provide an experience in scholarship that will be of enduring value to the student in understanding information and in providing tangible evidence of the student's development as a scholar. The *Guidelines for the Preparation and Submission of Theses and Dissertations* is designed to assist graduate students, thesis and dissertation advisors, and other members of the thesis and dissertation advisory committees at Fayetteville State University in producing a quality product.

Neatness and correctness in form of the thesis and dissertation are second in importance only to accuracy and soundness of research. The *Guidelines for the Preparation and Submission of Theses and Dissertations* is to be used as a guide to assist the degree candidate in the preparation of an acceptable document. This manual is intended to be used in conjunction with the approved style manual for the student's discipline.

*NOTE:*

All information in this manual is subject to regular review and revision. Please consult with your committee chairperson and [www.uncfsu.edu](http://www.uncfsu.edu) for current and degree-specific guidelines.

October 10, 2011

## **An Introductory Note to Students from the Dean**

Thank you for your commitment to graduate-level education and to academic excellence. A thesis or dissertation is a landmark event that involves an enlightening but challenging and often frustrating process. While your committee, department, and the Graduate School can offer advisement and support, the quality and successful completion of your project is dependent upon your own personal motivation, concentration, sustained optimism, and hard work. To produce original, rigorous, and ethical scholarly work, you must anticipate the investment of vast intellectual energies, time, and resources and the mandate to fulfill multiple requirements. You must possess the willingness to remain fully committed to research, writing, revision, and rewriting across a lengthy period. Your resultant document has the potential to be read and critiqued by scholars across the globe, now and in future generations. Its merit is a reflection of you, your department, and your institution, Fayetteville State University. Your written work is a key component of your academic legacy and may likely be the source of subsequent publication and future professional pursuits. Your thesis or dissertation is tangible evidence of your cumulative achievement and should serve as a proud contribution to your chosen discipline.

This manual is designed to assist you and to promote the quality of your thesis or dissertation. It is intended to be a general overview of standards and policies established by The FSU Graduate School. It cannot be exhaustive or all-inclusive. Your thesis or dissertation must also meet the expectations and requirements of the university, your advisory committee and its chairperson, your department, your field, the Institutional Review Board or IRB (as applicable), and the style (APA, MLA, Chicago) in which the document is written.

I encourage you to read and adhere to this manual carefully. Your attention to detail is required in order to produce a quality thesis or dissertation.

Sincerely,

LaDelle Olion, Ph.D.  
Dean of The Graduate School

October 10, 2011

### **1.01 Student Learning Objectives of a Thesis or Dissertation**

To produce original, rigorous, and ethical research, analysis, critical, or creative work that demonstrates knowledge and skills, supersedes proficiency, and contributes to the relevant body of literature

To produce a written document that accurately reflects the research or focus of study, demonstrates academic integrity, is free from grammatical, spelling, and structural errors, and conforms to the standards established by the student's institution, discipline, department, and committee

## 1.02 Resources for Specific Style and Writing Standards

ACS Style Guide: A Manual for Authors and Editors (American Chemical Society)

ASA Style Guide (American Sociological Association)

Chicago Manual of Style

Kate Turabian's A Manual for Writers

MLA Handbook for Writers of Research Papers (Modern Language Association)

Publication Manual of the American Psychological Association

Scientific Style and Format: The CBE Manual for Authors, Editors, and Publishers (Council of Biology Editors)

### *NOTE:*

Please consult with your committee chairperson and [www.uncfsu.edu](http://www.uncfsu.edu) for the specific format, standards, and manual (type and edition) that is required for your discipline and degree.

With the final draft for review by the Theses and Dissertation Editor, attach a note stating which style guide and edition was used in the preparation of your document.

## CHAPTER TWO

October 10, 2011

## **Policies and Procedures**

Preparing and evaluating every thesis or dissertation is the joint responsibility of the graduate student, the thesis or dissertation advisor, and the members of the Thesis or Dissertation Advisory Committee. Communication and interaction among all of these participants are keys to producing a thesis or dissertation of the highest possible quality. All theses or dissertations are to be written in English unless the Thesis or Dissertation Advisory Committee obtains explicit permission from the Dean of The Graduate School, certifies its competence to judge the quality of the thesis or dissertation, and demonstrates that a foreign language is more relevant than English for the purpose of the work.

### **2.01 Graduate Student Responsibilities**

The graduate student is responsible for all aspects of the preparation of the thesis or dissertation and publications based on the thesis or dissertation research, including the following:

1. Subject matter and content.
2. Quality of data, evidence, and logical reasoning.
3. Organization and format.
4. Editorial, linguistic, and bibliographic quality.
5. Quality of word processing (typing), illustrations, and duplications.

Additionally the student has the following responsibilities, to:

1. Establish an advisory committee that adheres to Graduate School policies
2. Understand and adhere to Graduate School guidelines, policies, and procedures
3. Understand and adhere to the University's policies regarding the use of humans and/or animals in research are adhered to
4. Adhere to the highest ethical standards of research throughout the thesis or dissertation process
5. Meet/communicate with the committee chair on a regular basis
6. Consult with committee members and request feedback as needed

7. Attend a thesis and dissertation preparation workshop
8. Request a committee meeting as needed
9. Understand and adhere to Graduate School policies and procedures
10. Maintain continuous enrollment throughout the thesis or dissertation process
11. Work with committee chair to establish a timeframe and deadlines for completing each phase of the process
12. Adhere to established deadlines
13. Provide committee members with thesis or dissertation drafts, expecting feedback within approximately three (3) weeks
14. Respond to committee's feedback in a timely, appropriate, and constructive manner
15. Know and adhere to deadlines established by the committee, department, Graduate School, and University
16. Revise the thesis or dissertation incorporating feedback from the oral defense before submitting the final draft to The Graduate School for review by the Thesis and Dissertation Editor
- 17. Submit one (1) hard copy of the thesis or dissertation (after the oral defense and after revisions from the oral defense have been made) to The Graduate School for review and editing at least three (3) weeks before the end of the semester, expecting feedback within approximately three (3) weeks.\* **Note: Beginning Fall 2012 copies must be submitted to The Graduate School for review and editing earlier to meet the earlier deadline for submission of the final four copies. In Fall Semester 2012, the four final copies of the thesis or dissertation must be submitted to The Graduate School for binding by November 1, 2012 for Fall 2012 graduation and by April 1, 2013 for Spring 2013 graduation.****
18. Make the corrections and revisions from the Thesis and Dissertation Editor and resubmit the revise draft according to instructions received from The Graduate School
19. Produce a scholarly thesis or dissertation that is free of errors and that adheres to the *Guidelines for the Preparation and Submission of Theses and Dissertation*
20. Submit four final copies of thesis or dissertation to The Graduate School for binding by December 2, 2011 for Fall 2011 graduation and by April 30, 2012 for Spring 2012 graduation. The Graduate School will notify student and committee when the thesis or

dissertation is approved as the final document for the four copies. **NOTE: In Fall Semester 2012, the four final copies of the thesis or dissertation must be submitted to The Graduate School for binding by November 1, 2012 for Fall 2012 graduation and by April 1, 2013 for Spring 2013 graduation.**

\* Although the average turnaround time for a review by the thesis and dissertation editor is approximately three (3) weeks, the student should be mindful that during the weeks approaching graduation, several documents may be under review, and thus, the turnaround time may be significantly longer.

## **2.02 Advisory Committee Chairperson Roles and Responsibilities**

The Committee chairperson has the overall responsibility for guiding the student through all phases of the thesis or dissertation process to the successful completion. The chairperson is responsible for monitoring the process to ensure that a scholarly thesis or dissertation is produced. Additionally the chairperson has the following responsibilities, to:

1. Be able and willing to supervise the student throughout the process
2. Be accessible to the student and provide adequate feedback to student in a timely manner
3. Work with student to establish a timeframe and deadlines for completing each phase of the process
4. Ensure that all Graduate School policies and procedures are followed
5. Ensure that the University's policies regarding the use of humans and/or animals in research are followed
6. Inform the student of University's regulation regarding maintaining continuous enrollment throughout the thesis or dissertation process
7. Encourage student to attend a thesis and dissertation preparation workshop
8. Inform the student of the appropriate style manual style required by the department
9. Ensure that the student produces a scholarly thesis or dissertation that is free of errors and that adheres to the *FSU Guidelines for the Preparation and Submission of Theses and Dissertation*

10. Read drafts of the thesis or dissertation and provide adequate feedback in a timely manner, typically within approximately three (3) weeks
11. Ensure that all procedures are carried out fairly and without bias
12. Chair all committee meetings, including the oral defense
13. Schedule oral defense through The Graduate School by the deadline published in The Graduate School Schedule of Events and Deadlines

### **2.03 Advisory Committee Roles and Responsibilities**

The committee's responsibilities begin with the thesis or dissertation proposal and extend through the successful oral defense of the thesis or dissertation. Committee responsibilities include the following, to:

1. Be able and willing to work with the student throughout the process
2. Be accessible to the student
3. Meet and determine appropriateness and feasibility of the student's proposed topic and proposal
4. Review and approve methodology and any instrumentation to be used in the study
5. Determine if the proposed research involves human or animal subjects and advise student of the process required to obtain approval, if needed
6. Read drafts of the thesis or dissertation and provide adequate feedback in a timely manner, typically within approximately three (3) weeks
7. Ensure that the student produces a scholarly thesis or dissertation that is free of errors and that adheres to the *Guidelines for the Preparation and Submission of Theses and Dissertation*
8. Participate in and evaluate the student's performance in the thesis or dissertation oral defense

### **2.04 Formation of Advisory Committee**

The student must choose a thesis or dissertation committee in consultation with the major advisor. A list of all faculty with graduate faculty status who are eligible to serve on thesis and

dissertation committees is posted on The Graduate School website ([www.uncfsu.edu/graduate school/](http://www.uncfsu.edu/graduate-school/)). The following guidelines must be adhered to:

1. The committee will consist of a minimum of three (3) graduate faculty, one of whom must be the chair of the Advisory Committee and one must be from outside the student's major department.
2. The committee chair must be a faculty member in the student's academic program.
3. All committee members must have current graduate faculty status and must be approved by the chair of the department/director, dean of the school or college, and the Dean of The Graduate School. The Committee Membership Form is posted on The Graduate School website.
4. If the approved committee membership changes, a new form indicating the proposed new membership must be submitted for approval.

## **2.05 Institutional Review Board (IRB) Approval**

**All** research involving human or animal participants or subjects conducted by students, faculty, and staff at Fayetteville State University must be must be approved by the FSU Institutional Review Board (IRB) **before** the study is conducted. If the proposed study involves subjects from an external agency (e.g., public school, another university), approval must be obtained from the external agency prior to requesting IRB approval from FSU. Documentation of the approval from the external agency must be attached to the FSU IRB application packet. **No** surveys, tests administration, or data collection of any type is to be conducted before FSU IRB approval has been granted. Students must submit a copy of the IRB approval letter to the advisory committee chair and to the Dean of The Graduate School **before** they begin conducting the study. Therefore, students should plan to submit the application for IRB approval early in the thesis or dissertation process. Persons involved in research are expected to be committed to the highest standards of integrity and ethical behaviors. Persons involved in any phase of research are expected to be knowledgeable of and abide by the University's Human Subjects Policy. Failure to abide by the policy will be considered a violation and will be dealt with accordingly. Students are advised to discuss

with their advisory committee chair any questions or concerns they have regarding the implementation of their research according to the policy. The Human Subjects Policy can be found at <http://www.uncfsu.edu/research/index.htm>.

The appropriate completed and signed forms are to be submitted to the department chair for approval before being submitted to the Office of Sponsored Research and Programs (OSRP) for review by the IRB. The department chair will return the approved forms to the thesis or dissertation advisory committee chair for submission to the Office of Sponsored Research and Programs. This process will allow the committee chair to have documentation of the date submitted to OSRP and to follow up on the request at the appropriate time, if needed.

The request for IRB approval must be submitted with either the prospectus or full proposal. It is recommended that the request be submitted after the theoretical framework of the study has been agreed on by the full committee. Persons conducting research are required to complete the computer based training located at <http://phrp.nihtraining.com/users/login.php> before submitting requests to OSRP. A copy of the Certificate of Completion received after completing the training must be submitted with the IRB application. Make and retain a copy of your completed application packet with signatures for your records.

## **2.06 Thesis/Dissertation Proposal**

The thesis and dissertation processes begin with a proposal which must be approved by the advisory committee, department chair, college/school dean, and the Dean of The Graduate School. The proposal specifies what the student expects to do and how it will be accomplished. The student should consult with the chair of the advisory committee regarding the expected content and format of the proposal. Generally, a proposal consists of the following:

1. Introduction that provides general background information that addresses the significance of the proposed study
2. Objective of the study: A concise and specific statement of the purpose of the study
3. Literature Review: Review of the theoretical literature and empirical literature

4. Methodology to be used in the study: Includes design, procedures for collecting data, instrumentation, description of sample, validity and reliability of instruments, and plan for IRB review and approval
5. Timeline: A plan for the progress of the study through each phase
6. References: Using the appropriate style guide, list all references cited in the proposed

Once the committee approves the proposal, the *Thesis (or Dissertation) Proposal Approval Form* with all required signatures should be submitted to the Dean of The Graduate School for approval. A copy of the proposal must be attached to the approval form. The Dean of The Graduate School will return a copy of the *Thesis (Dissertation) Proposal Approval Form* to the candidate, advisory committee chair, department chair, and college/school dean after it has been processed.

## **2.07 Thesis/Dissertation Oral Defense**

The oral defense is an academic evaluation. The oral defense must be scheduled at least **four (4) weeks** before graduation and is open only to committee members, university teaching faculty, and special approved guests. The *Thesis (or Dissertation) Oral Defense Scheduling Form* with all required signatures must be received by the Dean of The Graduate School at least two weeks prior to the requested dates for the oral defense. The Dean of The Graduate School will announce the time and place of the defense to the university faculty. **NOTE: Beginning Fall 2012, the oral defense must be scheduled at least eight (8) weeks before graduation.**

The results of the oral defense can be an unqualified pass, a modified pass depending on recommendations for changes, or a failure. If the candidate fails the first defense, he/she will be allowed a second opportunity at a later date. The committee chair submits the results of the oral defense to the Dean of The Graduate School within three (3) days of the defense using the *Thesis (or Dissertation) Oral Defense Results Form*.

## **2.08 Additional Dissertation Requirements**

### **Dissertation Prospectus Oral Forum**

The Dissertation Prospectus Oral Forum is a scholarly reflection and discussion that is designed to support doctoral candidates through participant input and feedback on their research efforts. It is *not* an approval process. A public presentation of a dissertation prospectus is required prior to the completion of the full dissertation proposal and the submission of the proposal for approval.

### **Required Resource Manual**

Doctoral students are required to use Glatthorn, A.A., & Joyner, R.L. (2005). *Writing the winning thesis or dissertation: A step-by-step guide*. (2<sup>nd</sup> ed.). Thousand Oaks, CA: Corwin Press in the preparation of their dissertations. This manual offers guidance through all phases of the dissertation process including selecting a topic, selecting committee members, developing the prospectus and proposal, writing each chapter, and defending the dissertation.

### **2.09 Degree Time Limit**

All master's degree requirements, including the thesis, must be completed within six (6) calendar years from the date of the first course(s) carrying graduate degree credits applicable to the student's degree program. No courses, including transferred or substituted courses, can be older than six (6) calendar years at the time a student graduates.

Doctoral degree requirements, including the dissertation and transfer credits, must be completed within eight (8) calendar years from the date of enrollment in the first course(s) carrying graduate degree credits applicable to the student's program. No courses, including transferred or substituted courses, can be older than eight (8) calendar years at the time a student graduates.

### **2.10 Thesis and Dissertation Binding – Personal Copies**

Binding of copies of theses and dissertations, beyond the required copies submitted to The Graduate School, is the responsibility of the candidate. Additional copies can be ordered when submitting the required four (4) copies by completing the optional form provided by University Microfilms, Inc. (UMI) and submitting it in addition to the paperwork required for

processing thesis and dissertation documents. The total amount of the order should be included in the form of a money order. The UMI form can be found on The Graduate School website under “Forms.” Assistance in locating other bindery vendors for personal copies can be obtained by contacting the Charles W. Chesnutt Library.

## 2.11 Copyrights

Candidates have the option to register their theses or dissertations for copyright and should consult with their advisory committee chair and the Reference Librarian of the Charles W. Chesnutt Library concerning the desirability and the usefulness of copyrighting. The copyright form can be completed and submitted when submitting the required four (4) copies. UMI will act as the agent with the Library of Congress Copyright. If candidates wish to handle the copyright registration directly themselves, they may write the Copyright Office, Library of Congress, Washington, D.C. 20559 or telephone (202) 707-9100

## 2.12 Ethical Considerations for Writing and Publication

Adherence to ethical principles helps to support the integrity, originality, validity, and/or reliability of empirical and creative academic work. Each phase of preparation and presentation requires scrupulous attention to the details of ethical conduct. Ethical writing incorporates the following qualities:

- Authenticity characterized by facts, honesty, accuracy, and the avoidance of false or exaggerated claims or implications
- Transparency or clarity of source, purpose, procedures, and findings
- Thoroughness or the inclusion and objective critique of contrasting and dissenting arguments and literature and the identification of limitations of studies
- Proper and accurate referencing of all sources and information used in the thesis or dissertation

- Disclosure or the clear declaration of funding, employment, relationships, or sources of personal gain that might present or imply a conflict of interest.

For more complete guidelines related to academic honesty, research, confidentiality, storage of data, and work with live participants, the student must consult with the advisory committee and review university policies and discipline-specific ethical principles. The student should note that a lack of knowledge cannot be considered a reasonable defense to the violation of ethical standards and that violations can result in rather weighty penalties to include dismissal or the rescinding of a conferred degree.

### **2.13 Copyright or Trademark Protected, Licensed, and Limited Use Materials**

It is the student's responsibility to comply with any legal obligations for any information employed in development and conduct of research and in the writing and publishing of a thesis or dissertation. Some materials, instruments, and images have legally protected restrictions on their use, duplication, quotation, modification, or distribution. For example, tests, scales, and survey instruments and their instructions or protocols may require the advance and specific written permission of the author and/or publisher. Product or corporate names may require inclusion of a symbol (™ © ®) designating ownership or registry of the brand or intellectual property. The student may not assume that any material, no matter how familiar, is in the public domain for unrestricted use. The student must fully understand any contractual stipulations or agreement in that some may require specified acknowledgements or sharing of data with the original author or publisher.

### **2.14 Cultural and Gender Competence**

Fayetteville State University has established high standards for cultural and gender competence and fairness. These values must be reflected in the documents produced at this institution. Use of disparaging and biased language and assumptions is unacceptable.

## **CHAPTER THREE**

### **Organization Guidelines**

#### **General Structure of a Thesis or Dissertation**

Title Page

Abstract

Acknowledgement (Optional)

Dedication (Optional)

Table of Contents

List of Tables (If applicable)

List of Figures (If applicable)

List of Abbreviations (If applicable)

Chapter One (Introduction, Statement of Problem, Hypotheses, Key Variables,  
Population of Interest, Study Samples, Terms and Definitions, Limitations)

Chapter Two (Literature Review)

Chapter Three (Method)

Chapter Four (Results)

Chapter Five (Discussion, Conclusions)

References (Based on style manual, labeled: References, Works Cited, or Bibliography)

Appendix/ Appendices (Must include evidence of IRB approval, if applicable)

#### ***NOTE:***

All elements listed above are required unless otherwise stipulated or as exceptions are made by the committee or style manual based on the nature of the thesis or dissertation (for example, creative works often vary from the basic format).

### 3.01 Title Page Requirements

1. Complete title of the thesis or dissertation
  - The title must centered and typed in all capital letters.
  - The title must accurately reflect the subject matter and scope of the work.
  
2. Full formal name of the author (student)
  - The author's name should be preceded by the word, "by".
  - The author's name must be centered and typed in all capital letters.
  - The author's name should be stated First Name, Middle Name, Last Name, (and if applicable, any abbreviated qualifiers such as Jr., Sr., III).
  
3. Description or statement of purpose for the document (Centered)
  - A Thesis (or Dissertation) submitted to the Graduate Faculty of
  - Fayetteville State University
  - in partial fulfillment of the
  - requirements for the Degree of
  - Master (or Doctor) of \_\_\_\_\_
  
4. Department (Centered and typed in all capital letters)
  
5. Fayetteville, North Carolina, USA (Centered)
  
6. The Month and Year the advisory committee accepts the thesis or dissertation (Centered, no comma between the month and the year)
  
7. Approval signature lines for advisory committee chair and committee members

Type APPROVED BY:

Type blank lines for signatures

Type the full and correctly spelled name and degree of each

Ask about preferred name presentation (for example: inclusion of middle initial, hyphenation of name...)

Indicate committee role (chairperson or director and members)

8. Original signatures of all committee members are required for each final copy of the Thesis or Dissertation.
9. The Title Page is not numbered. It is assumed to be page i (one) of the document.

Title Page (Sample)

A TITLE IN ALL CAPITAL LETTERS THAT ACCURATELY  
REFLECTS THE RESEARCH OR SUBJECT

by

First Name Middle Name Last Name

A Thesis (or Dissertation) submitted to the Graduate Faculty of

Fayetteville State University

in partial fulfillment of the

requirements for the Degree of

Master (or Doctor) of \_\_\_\_\_

DEPARTMENT OF \_\_\_\_\_

Fayetteville, North Carolina, USA

Month Year

APPROVED BY:

\_\_\_\_\_  
1<sup>st</sup> Name Initial Last Name, Degree, Chair of Thesis/Dissertation Advisory Committee

\_\_\_\_\_  
1<sup>st</sup> Name Initial Last Name, Degree,  
Thesis/Dissertation Advisory Committee  
Member

\_\_\_\_\_  
1<sup>st</sup> Name Initial Last Name, Degree,  
Thesis/Dissertation Advisory Committee  
Member

### 3.02 Abstract—Requirements

The purpose of an abstract is to provide a comprehensive summarizing preview of the work or research described in the thesis or dissertation. According to the APA Publication Manual (2010, p. 26), “a well-prepared abstract can be the most important single paragraph” of a document. Brevity and careful selection of language are essential for a successful abstract in that the abstract for a Thesis should be 150 words or fewer and the abstract for a Dissertation should not exceed 350 words. This element should be titled, ABSTRACT (capitalized and centered) followed by the title of the thesis or dissertation, the student’s name, and the name of the chairperson of the advisory committee. The title and spelling of names must exactly match those found on the Title Page. The abstract should be double-spaced and aligned to the left margin but not justified at the right margin. Do not indent the first line of the abstract or the first line of paragraphs contained therein. Traditionally, the abstract is one of the final elements written because it must serve as a complete and accurate summary of the entire work. Please see the style manual used to prepare the document for detailed information on scope and function, verb tense, referencing, and required elements (such as statement of problem, methodology, key findings).

#### **Abstract (Sample)**

##### ABSTRACT

Student’s Last Name, First Name, Middle Name. The Exact and Full Title of the thesis or dissertation (Under the direction of A.A. Professor, PhD)

The text of the abstract.

### 3.03 Acknowledgment and Dedication Guidelines

While these elements are truly optional, it is entirely appropriate to express gratitude or pay tribute to those who have contributed to the process; works as extensive and significant as a thesis or dissertation often require the assistance and support of many people. While an acknowledgement or dedication is personal, please be aware that they will be a part of a publically distributed document. The writer should strive to achieve a positive tone, balance, brevity, and restraint.

Recommendations:

- Even if the exceptional contributions of one member are mentioned, acknowledge the entire advisory committee. Example, I would like to thank my advisory committee and, in particular, Dr. A. Professor for exceptional support and encouragement.
- Check for the correct spelling of names (Michele vs. Michelle, McCoy vs. McKoy...)
- Avoid nicknames. A child might enjoy a cute sounding name but later might, as an adolescent or adult, feel embarrassed by that name.
- Be positive and fair. Avoid statements such as, “some of my committee members did not think that I could do it but...”)
- Avoid too many references to self (I, me, my, mine...)
- Avoid overly personal, sentimental, or romantic details such as, “to my deepest and only true love...”

### 3.04 Table of Contents Guidelines

List each section that follows the Table of Contents (example, List of Table, List of Figures, Chapter One→Appendices) but do not list any section that precedes it (example, Title Page, Abstract, Acknowledgement, Dedication, Table of Contents). Use a standardized format with spacing and indentation that allows for uniformity and coherence of presentation and that precisely and accurately identifies the page number where each item can be located. Listed titles or headings must be identical to those found within the text of the paper. The Table of Contents is to be double-spaced.

### **3.05 List of Tables, List of Figures (Symbols or Abbreviations) Guidelines**

A list of Table(s) or Figure(s) are required if any table or figure is included within the text of the paper. When multiple abbreviations and/or symbols are used, a list of definitions or meanings must be included. All titles, definitions, and meanings must be identical to those found within the text and must be used in a consistent manner throughout the thesis or dissertation.

## **Chapters One to Five**

Each chapter must fulfill specific requirements that may vary by department or by the style manual used to prepare the document. While some chapters may require similar information, avoid redundancy. Strive for writing that is compelling, meaningful, avoidant of slang and excessive jargon, and free of errors. The following are general guidelines.

### **3.06 Chapter One—Introduction**

Chapter one generally includes an introduction and overview of the work, the problem statement, and the main thesis or purpose of the work. A brief introduction to the literature, primary assertions, hypotheses, arguments, key variables, population of interest, study sample, definitions, and terms are usually presented or introduced in this chapter. The limitations of study should also be stated.

### **3.07 Chapter Two—Literature Review**

Chapter two should be a comprehensive and critical review of pertinent literature that, depending on the type of thesis or dissertation, should include empirical findings and theory. Evidence from the literature should be used to develop cogent and logical argument to justify and to support the work reflected in the thesis or dissertation. The literature review should include information about the specific topic studied, the population of interest, the research paradigm or method, and deficits or problems within the existing literature. Specification of sources is essential; vague generalizations such as, “many agree” or “some scientists suggest” are to be avoided.

### **3.08 Chapter Three—Method**

Chapter three must provide sufficient detail to allow for study critique and replication. Exact details must be provided on research design, sampling techniques, materials, and procedures.

### **3.09 Chapter Four—Results**

Chapter four presents information on data and data analysis findings. Avoid inclusion of interpretation or discussion in this chapter.

### **3.10 Chapter Five—Discussion/Conclusions**

Chapter five addresses interpretation, implications and/or applications of the data or findings within the context of the hypotheses and literature introduced in earlier chapters.

## **Referencing Guidelines**

The authenticity and trustworthiness of a thesis or dissertation strongly depend on the accuracy of referencing. Errors in referencing can suggest plagiarism and a lack of academic rigor. The student must carefully follow the guidelines for referencing established in the style manual used to prepare the document. If a source is used within the text of the document, it must be included on the list of references and any item found on the list of references must be cited within the text of the thesis or dissertation.

### 3.11 References (APA Format Sample)

#### REFERENCES

- American Psychological Association. (2001). *Publication manual of the American Psychological Association* (5<sup>th</sup> ed.). Washington, DC: Author.
- American Psychological Association. (2009). *Publication manual of the American Psychological Association* (6<sup>th</sup> ed.). Washington, DC: Author.
- Galvan, J. L. (2004). *Writing literature reviews: A guide for students of the social and behavioral sciences* (2<sup>nd</sup> ed.). Glendale, CA: Pyczak Publishers.
- Gibaldi, J. (2003). *MLA handbook for writers of research papers* (6<sup>th</sup> ed.). New York, NY: Modern Language Association of America.
- Gibaldi, J. (2009). *MLA handbook for writers of research papers* (7<sup>th</sup> ed.). New York, NY: Modern Language Association of America.

### 3.12 Works Cited (MLA Format Sample)

#### WORKS CITED

American Psychological Association. Publication manual of the American Psychological Association 5<sup>th</sup> ed. Washington, DC: American Psychological Association, 2001.

---. Publication manual of the American Psychological Association 6<sup>th</sup> ed. Washington, DC: American Psychological Association, 2009.

Galvan, Jose. Writing Literature Reviews: A Guide for Students of the Social and Behavioral Sciences 2<sup>nd</sup> ed. Glendale: Pyrczak, 2004.

Gibaldi, Joseph. MLA Handbook for Writers of Research Papers. 6<sup>th</sup> ed. New York: Modern Language Association of America, 2003.

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## **Appendices**

Appendices are used for materials that supplement or enhance the thesis or dissertation but due to length or detail, may not be appropriate for inclusion within the text of the document. Each Appendix must be properly labeled and referenced and must be listed in the Table of Contents. Inclusion of tangible evidence of approval or waiver (if applicable) is a required element.

## **CHAPTER FOUR**

### **Submission and Editing Procedures and Standards**

For the most current information, standards, and forms, please visit the Fayetteville State University Graduate School website at: [www.uncfsu.edu/graduateschool/](http://www.uncfsu.edu/graduateschool/)

October 10, 2011

## Thesis and Dissertation Submission and Editing Procedures

At least three (3) weeks prior to graduation, following the oral defense and after student has made required changes and corrections from the oral defense, the student is to submit one (1) paper copy (printed on regular paper) of the thesis or dissertation to The Graduate School for review and editing by the Thesis and Dissertation Editor. The thesis or dissertation should be proofread carefully by the student and assessed by the committee chair, department chair, and school/college dean prior to submitting it to The Graduate School. The *Thesis Approval Form* or *the Dissertation Approval Form*, with all required signatures, should be submitted to The Graduate School with the thesis or dissertation. **Note: Beginning Fall 2012 copies must be submitted to The Graduate School for review and editing earlier to meet the earlier deadline for submission of the final four copies. In Fall Semester 2012, the four final copies of the thesis or dissertation must be submitted to The Graduate School for binding by November 1, 2012 for Fall 2012 graduation and by April 1, 2013 for Spring 2013 graduation.**

Using the *Guidelines for the Preparation and Submission of Theses and Dissertations* and the appropriate writing/publication style manual (e.g., *APA Publication Manual*), the Thesis and Dissertation Editor will review the thesis or dissertation and submit written feedback to the student and committee chair via the *Thesis/Dissertation Checklist*. The *Thesis/Dissertation Checklist* form is posted on The Graduate School website under Student Resources and under Faculty and Staff Information. It is recommended that the student examine this checklist, prior to submitting the document to the editor. The standards upon which the checklist is based can be found within the *Guidelines for the Preparation and Submission of Theses and Dissertations*.

The Graduate School will send the Editor's feedback and resubmission instructions via email to the student and the committee chair. The student, in consultation with the committee chair, will make the necessary changes to ensure the document adheres to the *Guidelines for the Preparation and Submission of Theses and Dissertations*. The Graduate School will inform the student and the committee Chair when the thesis is approved for submission as the final

document. Once approved, the student is to submit to The Graduate School final copies that meet all submission and standards.

The goal of the editing process is to enhance the overall quality of the completed document. Please expect that the editing process may be lengthy and may require multiple rounds of review and revision. The average turnaround time for a review by the thesis and dissertation editor is approximately two (2) weeks. However, the student should be mindful that during the weeks approaching graduation, several documents may be under review, and thus, the turnaround time may be significantly longer. Therefore, the student is encouraged to have the oral defense as early as possible and make the revisions from the advisory committee so that the final draft can be submitted to The Graduate School for review by the Thesis and Dissertation Editor as early as possible.

#### **4.01 Thesis and Dissertation Editor Responsibilities**

The Thesis and Dissertation Editor's responsibilities include:

1. Conducting Thesis and Dissertation Preparation Workshops
2. Conducting an editorial review of the final draft and providing written feedback to the student and advisory committee chair

## Summary of Standards

### 4.02 Spelling, Grammar, Punctuation, and Word Usage

The overall quality and credibility of a thesis or dissertation may rest with the fundamentals of composition and grammar. A thesis or dissertation must reflect the work of an academic expert and thus must be free of spelling, grammar, punctuation, and word usage errors. Writing errors can create skepticism about the rigors and worth of the entire work. Prior to submission to the Graduate School, a thesis or dissertation should be physically and electronically proofread by the student and reviewed and cleared by the advisory committee. In the oral defense and editing process, it is quite likely that errors will be identified. The successful student will be objective and diligent when considering and implementing recommended revisions.

### 4.03 Paper Quality

The final document must be printed on 8½ x 11 inch white bond paper. The paper must contain no less than 25% rag content and be of no less than 20-pound weight. All elements of the document, including graphics and appendices must be placed on the same quality of paper as the text.

Submission(s) for review by the thesis and dissertation editor should be on regular paper.

### 4.04 Duplication

The document must be printed on one side of the paper only. Print and images must be clearly legible, permanent, sharp, and of high contrast. Black ink is required (except as permitted by the advisory committee or style guide for items such as specified graphics, images, or default Internet addresses). Color and B&W photographs, drawings, diagrams, or maps must be clear, sharp, and reflect high quality duplication. Such images must be properly referenced and must comply with copyright laws.

#### **4.05 Photographs and Prints**

Direct reproduction or reprinting is preferred. Attached materials must be mounted firmly, flat, and dry with good quality rubber cement, casein glue, or dry mounting tissue. Photo mounting corners, transparent tape, or staples are not acceptable.

#### **4.06 Spacing**

Each section within the document should be double-spaced unless otherwise specified in the style guide that governs the standards for the document. Some variance in spacing may be permissible such as in the placement of tables, figures, or reprints or with some lengthy quotations, tables, footnotes, multi-line captions, and bibliography entries may be single spaced.

#### **4.07 Typeface/ Font**

The consistent use of standard typeface or font such as 12-pt Times New Roman is required unless otherwise permitted by the advisory chair and committee or style guide. Please refer to the applicable style manual for guidelines on the proper use of boldface, italics, and underlining.

#### **4.08 Margins**

For each page, one-inch (1-inch) margins are required for the top, right, and bottom margins and to facilitate binding, and one and one half-inch (1 ½ - inch) and margins are required for the left margin.

#### **4.09 Page Numbering**

Page numbers should be typed at the top or bottom right margin of the page, one-inch (1-inch) from the edge of the paper OR page numbers should be centered at the top or bottom of the page one inch (1-inch) from the edge of the paper.

Use lower case Roman numerals (iii, iv, v...) for pages prior to the first page of Chapter 1 and use Arabic numbers (1,2,3,4,...) starting on the first page of Chapter one through to the final page of the document. All numbers must be in sequence. The Title Page and the Abstract are generally not numbered but their numbering is assumed. Therefore the Acknowledgment and/or Dedication usually are found on pages iii and iv and the Table of Contents usually begins on page v.

No punctuation is used with page numbers. There should be no blank pages within the document.

Decisions about numbering the Abstract and inclusion of headers or footers must be made in consultation with the advisory committee and the style manual.

#### **4.10 Abbreviations and Symbols**

The use and format of any abbreviation or symbol must be uniform throughout the document and must conform to the style manual used to prepare the document. A full name or brief explanation should accompany the initial use of any abbreviation or symbol. Some abbreviations have multiple references. For example, APA can refer to the American Psychological Association, the American Psychiatric Association, the American Pediatric Association and so forth. Writers must allow for a readership that expands beyond their region. For example, NC may not readily mean North Carolina to an international reader and the name Georgia may identify more than one place.

When several abbreviations and/or symbols are used, a separate list with appropriate definitions, must be included.

#### **4.11 Format and Placement of Tables, Figures, and Reprints**

Tables, figures, and reprints are designed to present in a condensed or graphic format data, graphs, models, and other complex information. A table contains tabulated data and may include computer printouts. Figures and reprints can consist of photographs, charts, graphs, plates, drawings, and diagrams. To avoid disruption of writing, lengthy or expansive tables, figures, or reprints should be placed as an appendix rather than in the text of the paper.

The format and placement of tables, figures, and reprints must conform to the style manual used to prepare the document.

General standards for a table, figure, or reprint include the following:

- Within the text directly following the first reference to it, insert the table, figure or reprint
- Tables, figures, or reprints that are half a page or less may appear on the same page as text separated above and below by triple spacing
- Each must have an identifying number and must be numbered in a separate series.
- Each must have a concise and accurate title and/or caption
- The number and title, or caption for each table must be placed two lines below the top line of the table
- The number and title or caption of each figure or reprint must be placed two lines below the last line or bottom of the figure or reprint

#### **4.12 Correction of Errors**

Corrections using white-coated paper, correction fluids, or erasures are not permitted. Since it is the student's responsibility to save copies of documents, the use of hard drive and back-up portable memory devices is strongly advised.

### 4.13 Common Errors and Frequently Misused Terms

Excellence in writing is difficult and even professional writers make mistakes. The following list has been derived from observations based on the review and editing of several theses and dissertations. It is suggested that during all phases of the student consult (a) the style manual used to prepare the document, (b) an excellent collegiate dictionary, (c) a graduate level manual or textbook on grammar and composition and/or (if applicable) (d) a graduate level manual or textbook on terms related to statistics and data analysis.

Affect (vs. effect, effects)

Abbreviations (i.e., e.g., etc.)

Criteria vs. criterion

Data vs. datum

Dependent Variable(s) and Independent(s)

Etc.—avoid due to lack of specificity

Impact (variations used as a verb)

Mediating and moderating Variables

Noun-pronoun agreement (number, gender)

Participants (vs. subjects)

Population

Principle (vs. principal)

Sample

Subject-verb agreement

That (vs. which)

That (vs. who)

Who, whom, whose

Verb tense

## CHAPTER FIVE

### Acknowledgement of Sources and References

#### Acknowledgement of Sources

As a revision, this document contains significant portions of prior versions. It is acknowledged that information and formats contained in former versions and carried forth to this current version have been obtained or adapted from other institutions of higher learning and more specifically from the *Fayetteville State University, Department of Educational Leadership Dissertation Writing Manual*, the *North Carolina State University Preparation of Theses* and the *University of North Carolina at Chapel Hill, A Guide to the Preparation and Submission of Theses and Dissertations*.

## REFERENCES

- American Psychological Association. (2009). *Publication manual of the American Psychological Association* (6<sup>th</sup> ed.). Washington, DC: Author.
- Cone, J. D., & Foster, S. L. (2006). *Dissertations and theses from start to finish: Psychology and related fields* (2<sup>nd</sup> ed.). Washington, DC: American Psychological Association.
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- Gibaldi, J. (2009). *MLA handbook for writers of research papers* (7<sup>th</sup> ed.). New York, NY: Modern Language Association of America.
- Strunk, W., Jr., & White, E.B. (2000). *The elements of style* (4<sup>th</sup> ed.). Needham Heights, MA: Pearson.
- Turabian, K.L. (2007). *A manual for writers of research papers, theses, and dissertations: Chicago style for students and researchers* (7<sup>th</sup> ed.). (W.C. Booth, G.G. Colomb, & J. M. Williams, Eds.). Chicago, IL: University of Chicago Press.
- Zinsser, W. K. (2006). *On writing well: The classic guide to writing nonfiction* (30<sup>th</sup> Anniversary ed.). New York, NY: HarperCollins.

## APPENDICES

## Appendix A

### Thesis and Dissertation Checklist

#### Thesis and Dissertation Submission

- After the oral defense, after student has made required changes from the oral defense, and at least 3 weeks prior to graduation, the student should submit one (1) hard copy of the document on regular paper to Ms. Deborah Robinson in The Graduate School for review by the Thesis and Dissertation Editor. (*Note that the document should be reviewed by the department chair and school/college dean prior to submitting it to The Graduate School for review by the Editor.*) The appropriate *Thesis Approval Form* or *the Dissertation Approval Form* must be attached.
- Using the *Guidelines for the Preparation and Submission of Theses and Dissertations* and the appropriate style manual (e.g., **APA Manual**), the Thesis and Dissertation Editor will review the thesis/dissertation and submit written feedback to the student and advisory committee chair using the Thesis/Dissertation Checklist. (The *Guidelines* is posted on The Graduate School Website under Student Resources and under Faculty and Staff Information.)
- The student, in consultation with the advisory committee chair, will make the necessary revisions and submit the revised document to The Graduate School for a follow-up review.

Student's Name \_\_\_\_\_

Title of Thesis/Dissertation \_\_\_\_\_

	Required/Optional	Descriptions/Guidelines	Comments
Paper and Duplication	Required	<ul style="list-style-type: none"> <li>• 8 ½ x 11 inch white bond paper</li> <li>• No less than 25% rag content and no less than 20-pound weight.</li> <li>• All duplication must produce permanent, sharp, high-contrast, black image.</li> <li>• Color photographs, maps, and charts should be of high contrast. Avoid blue colors. Print on one side of paper only.</li> </ul>	
Spacing	Required	<ul style="list-style-type: none"> <li>• Double-spaced</li> <li>• Long quotations, table footnotes, multiline captions, and bibliographical entries may be single-spaced</li> </ul>	
Type Face	Required	<ul style="list-style-type: none"> <li>• Appropriate type face such as Times New Roman must be used consistently throughout</li> </ul>	

Title Page	Required	<ul style="list-style-type: none"> <li>• <b>Original</b> signatures of <b>all</b> committee members on <b>all</b> copies.</li> <li>• Title must be identical to that on abstract.</li> <li>• Is not numbered but is considered to be first page (i) of preliminary pages.</li> <li>• Date is the date Committee accepts thesis/dissertation</li> </ul>	
Margins & Page Numbering	Required	<ul style="list-style-type: none"> <li>• Page numbers: Typed one inch from the top/bottom and one inch from the right side of the paper OR centered on top/bottom of page one inch from top/bottom.</li> <li>• Margins: Top, bottom, and right should be one-inch wide. Left should be 1 ½ inches wide.</li> <li>• All tables, figures, reprints, etc. must adhere to these requirements.</li> <li>• Lower case Roman numerals used to number preliminary pages beginning with title page</li> <li>• Arabic numerals used to number text beginning with first page.</li> <li>• No punctuation is used with numbers.</li> <li>• Every page, except abstract should be numbered.</li> </ul>	
Table of Contents (T of C)	Required	<ul style="list-style-type: none"> <li>• List all sections following it.</li> <li>• List all headings and subheadings as they appear in the body of document.</li> <li>• No material preceding T of C is listed.</li> <li>• Spacing and indentation of T of C should indicate unity and coherence of study.</li> </ul>	
Abstract	Required	<ul style="list-style-type: none"> <li>• Should state the research problem, most important findings, and methods used in study.</li> </ul>	

		<ul style="list-style-type: none"> <li>• Maximum length for thesis: 150 words</li> <li>• Maximum length for dissertation: 350 words</li> <li>• Is preceded by name of student, title of study, name of committee advisor/chair</li> <li>• Double spaced</li> <li>• Page is totally unnumbered</li> <li>• Precedes title page</li> </ul>	
Dedication, Biography, Acknowledgements	Optional	<ul style="list-style-type: none"> <li>• Personal to student and may contain any appropriate information</li> </ul>	
List of Tables, Symbols, Figures, and Abbreviations	Required	<ul style="list-style-type: none"> <li>• Must be included if any tables or figures appear in the document.</li> <li>• Descriptive titles in the lists must be identical to those in the text.</li> <li>• Each list appears on a separate page.</li> </ul>	
Reference Documentation	Required	<ul style="list-style-type: none"> <li>• Appropriate documentation or references for original literature presented in the document.</li> <li>• Use one citation format consistently throughout the document according to the style manual used.</li> </ul>	
Appendices	Optional	<ul style="list-style-type: none"> <li>• Used for material used but not appropriate for inclusion in the text of the document.</li> </ul>	
Abbreviations and Symbols	Required	<ul style="list-style-type: none"> <li>• Any abbreviations and symbols used must be uniform throughout the document and must be consistent with the style manual used to prepare the document.</li> <li>• When many abbreviations and/or symbols are used, a separate list with appropriated definitions must be included.</li> </ul>	
Spelling, Grammar, Punctuation	Required	<ul style="list-style-type: none"> <li>• Entire document must be free of spelling, grammatical, and punctuation errors.</li> </ul>	
Correction of Errors	Required	<ul style="list-style-type: none"> <li>• Corrections using white-coated paper, correction fluids, or erasures are not permitted.</li> </ul>	

Photographs and Prints	Optional	<ul style="list-style-type: none"> <li>• Must be placed on same quality paper as the text</li> <li>• Must be mounted firmly with good quality rubber cement, casein glue, or dry-mounting tissue</li> <li>• Photo mounting corners, transparent tape, or staples are not acceptable.</li> </ul>	
Placement of Tables, Figures, and Reprints	Required	<ul style="list-style-type: none"> <li>• Table: Tabulated data including computer printout sheets</li> <li>• Figure: Photographs, half-tone prints, charts, maps, graphs, plates, drawings, diagrams</li> <li>• Consult style manual for design and organization of tables and figures</li> <li>• Insert in text directly after first reference to the table/figure.</li> <li>• Tables/figures on half page or less may appear on same page as text, separated from text below and above by triple spacing.</li> <li>• Each table/figure must have an identifying number and must be numbered in separate series.</li> <li>• Each table/figure must have a caption.</li> <li>• Number and caption for each <u>table</u> must be placed two lines below top line of the table.</li> <li>• Number and caption for each <u>figure</u> must be place two lines below last line or bottom of figure.</li> </ul>	

Signature of Thesis/Dissertation Editor \_\_\_\_\_ Date \_\_\_\_\_

## Appendix B

### Key Events and Dates (2011-2012)

#### **Fall Semester 2011**

##### **Thesis and Dissertation Preparation Workshop with Thesis and Dissertation Editor**

Saturday, September 17, 10:00 a.m. - 12:00 p.m. Room 125, Continuing Education Building

Friday, September 23, 5:00 p.m. – 7:00 p.m. Room 125, Continuing Education Building

##### **Oral Defense:** Last day for students to submit *Thesis or Dissertation Oral Defense Scheduling*

Friday, October 21

*Forms* with required signatures (all applications must be submitted two weeks prior to requested date of oral defense; students are encouraged to submit applications early).

##### **Last Day for Thesis and Dissertation Oral Defense**

Thursday, November 10

##### **Graduation Reception** (for all graduate students who will graduate during December 10, 2011)

Thursday, November 17

##### **Last day to submit one (1) copy of thesis/dissertation to The Graduate School for review by Thesis and Dissertation Editor** (thesis/dissertation must be submitted with the *Thesis or Dissertation Approval Form* with all required signatures).

Friday, November 18

Students are encouraged to submit copy before the deadline.

##### **Deadline for submission of four (4) final copies of Thesis/Dissertation to The Graduate School (with approval)**

Friday, December 2

##### **Final grades due for graduating students**

Monday, December 5

October 10, 2011

**Deadline for graduating students to remove incomplete (I) grades given for Fall Semester 2010 (Incomplete grades become 'F' grades after this date.)**

Monday, December 5

**Fall Commencement**

Saturday, December 10

**Deadline for students not graduating to remove incomplete (I) grades given for Fall Semester 2010 (Incomplete grades become 'F' grades after this date.)**

Monday, December 12

**Spring Semester 2012**

**Thesis and Dissertation Preparation Workshop with Thesis and Dissertation Editor**

Friday, February 10, 5:00 p.m. – 7:00 p.m. Room 125, Continuing Education Building

Saturday, February 18, 10:00 a.m. - 12:00 p.m. Room 125, Continuing Education Building

**Oral Defense:** Last day for students to submit **Thesis and Dissertation Oral Defense Scheduling Form** with required signatures (all applications must be submitted two weeks prior to requested date of oral defense; students are encouraged to submit applications early).

Monday, March 19

**Last Day for Thesis and Dissertation Oral Defense**

Thursday, April 5

**Last day to submit one (1) copy of thesis/dissertation to The Graduate School for review by Thesis and Dissertation Editor** (thesis/dissertation must be submitted with the **Thesis and Dissertation Approval Form** with all required signatures). Students are encouraged to submit copy before the deadline.

Monday, April 9

**Graduation Reception** (for all graduate students who will graduate during May 5, 2012)

Tuesday, April 19

**Deadline for submission of four (4) final copies of Thesis/Dissertation to The Graduate School (with approval)**

Monday, April 30

**Final grades due for graduating students**

Monday, April 30

**Deadline for graduating students to remove incomplete (I) grades given for Spring Semester 2011 (Incomplete grades become 'F' grades after this date.)**

Monday, April 30

**Spring Commencement**

Saturday, May 5

**Deadline for students not graduating to remove incomplete (I) grades given for Spring Semester 2011 (Incomplete grades become 'F' grades after this date.)**

Monday, May 7

## Appendix C

### Dissertation Progress Log

This log is maintained by the doctoral candidate. The log contains important tasks that are essential to the successful completion of a scholarly dissertation in a timely manner. The candidate should sign and ask the committee chair or appropriate committee member to sign upon the completion of the task. A signature below confirms that the task has been completed. Note: Several tasks listed may need to be repeated numerous times. Additionally, the committee chair may request that other tasks be added to the log.

Task	Date completed	Candidate's Signature	Chair/Committee Member's Signature
Decide the K-12 issue you are considering researching and develop a conceptual framework paper (no more than five pages)			
Discuss the conceptual framework with each prospective dissertation advisory committee member. A copy of the paper must be provided to each prospective member			
Select dissertation advisory committee. ( <i>Committee Membership Form</i> is posted on Graduate School website). All committee members must have current graduate faculty status.			
Meet with full advisory committee for orientation to dissertation committee processes and preliminary discussion of research proposal			
Prepare prospectus concept paper for the study and discuss with advisory committee chair			
Hold oral proposal prospectus forum with full advisory committee			
Discuss results of forum with advisory committee chair			
Review research design with research expert (Research Center is available)			
Discuss proposal draft with advisory committee chair			
Present proposal to full advisory committee			
Receive proposal approval by full advisory committee ( <i>Proposal Approval Form</i> is posted on Graduate School website)			
Submit signed <i>Dissertation Proposal Approval Form</i> with copy of proposal to Dean of The Graduate School for approval			
Receive proposal approval from Dean of the Graduate School			

October 10, 2011

Obtain committee chair's signature on IRB application to use human subjects, if applicable			
Request approval from external agency to use human subjects, if applicable			
Receive written documentation of approval from external agency to use human subjects, if applicable			
Submit IRB application for approval to use human subjects FSU Office of Sponsored Research and Programs with written approval documentation from external agency, if applicable			
Receive FSU IRB Approval to use human subjects, if applicable			
Mail or distribute data collection instrument			
Meet with advisory committee chair to finalize chapters 1-3			
Meet with full advisory committee concerning chapters 1-3			
Meet with advisory committee chair concerning chapters 4-5			
Meet with full advisory committee on completed draft of chapters 4-5			
Analyze and interpret data			
Obtain feedback on interpretation of data from research expert			
Complete full draft of chapters 4-5			
Present final revised draft to full advisory committee			
Obtain approval of dissertation for oral defense from full advisory committee			
Submit <i>Dissertation Oral Defense Scheduling Form</i> to Dean of The Graduate School to request an oral defense			
Defend dissertation at oral defense			
Complete all required revisions from oral defense			
Submit one copy of revised dissertation on regular paper to The Graduate School for review by Thesis and Dissertation Editor. <i>Dissertation Approval Form</i> with all required signatures must be submitted with the dissertation			
Complete all required revisions from Thesis and Dissertation Editor			
Submit one copy of dissertation on regular paper with required revisions from Thesis and Dissertation Editor complete to The Graduate School for			

review by Thesis and Dissertation Editor, if instructed by The Graduate School			
Make all required revisions from Thesis and Dissertation Editor, if instructed by The Graduate School			
Submit one copy of dissertation on regular paper with required revisions from Thesis and Dissertation Editor complete to The Graduate School for review by Thesis and Dissertation Editor, if instructed by The Graduate School			
Submit four (4) copies of approved dissertation on required paper to The Graduate School			

## Appendix D

### Thesis Progress Log

This log is maintained by the master's candidate. The log contains important tasks that are essential to the successful completion of a scholarly thesis in a timely manner. The candidate should sign and ask the committee chair or appropriate committee member to sign upon the completion of the task. A signature below confirms that the task has been completed. Note: Several tasks listed may need to be repeated numerous times. Additionally, the committee chair may request that other tasks be added to the log.

Task	Date completed	Candidate's Signature	Chair/Committee Member's Signature
Decide the issue you are considering researching and develop a short conceptual framework paper (no more than five pages)			
Discuss the conceptual framework with each prospective thesis advisory committee member. A copy of the paper must be provided to each prospective member			
Select dissertation advisory committee. ( <i>Committee Membership Form</i> is posted on Graduate School website). All committee members must have current graduate faculty status.			
Meet with full advisory committee for orientation to thesis committee processes and preliminary discussion of research proposal			
Discuss proposal draft with advisory committee chair			
Present proposal to full advisory committee			
Receive proposal approval by full advisory committee ( <i>Thesis Proposal Approval Form</i> is posted on Graduate School website)			
Submit signed <i>Thesis Proposal Approval Form</i> with copy of proposal to Dean of The Graduate School for approval			
Receive proposal approval from Dean of the Graduate School			
Obtain committee chair's signature on IRB application to use human subjects, if applicable			
Request approval from external agency to use human subjects, if applicable			
Receive written documentation of approval from external agency to use human subjects, if applicable			
Submit IRB application for approval to use human subjects FSU Office of			

Sponsored Research and Programs with written approval documentation from external agency, if applicable			
Receive FSU IRB Approval to use human subjects, if applicable			
Collect data			
Meet with advisory committee chair to finalize chapters 1-3			
Meet with full advisory committee concerning chapters 1-3			
Meet with advisory committee chair concerning chapters 4-5			
Meet with full advisory committee on completed draft of chapters 4-5			
Analyze and interpret data			
Obtain feedback on interpretation of data from research expert			
Complete full draft of chapters 4-5			
Present final revised draft to full advisory committee			
Obtain approval of dissertation for oral defense from full advisory committee			
Submit <i>Thesis Oral Defense Scheduling Form</i> to Dean of The Graduate School to request an oral defense			
Defend dissertation at oral defense			
Complete all required revisions from oral defense			
Submit one copy of revised thesis on regular paper to The Graduate School for review by Thesis and Dissertation Editor. <i>Dissertation Approval Form</i> with all required signatures must be submitted with the thesis			
Complete all required revisions from Thesis and Dissertation Editor			
Submit one copy of thesis on regular paper with required revisions from Thesis and Dissertation Editor complete to The Graduate School for follow-up review, if instructed by The Graduate School			
Submit one copy of thesis on regular paper with required revisions from Thesis and Dissertation Editor complete to The Graduate School for review by Thesis and Dissertation Editor, if instructed by The Graduate School			
Submit four (4) copies of approved thesis on required paper to The Graduate School			

## Appendix E

### APPLICATION FOR THE USE OF HUMAN SUBJECTS IN RESEARCH

Fayetteville State University

Institutional Review Board Human Rights in Research Committee

**2011-2012 APPLICATION FOR THE USE OF HUMANS SUBJECTS IN RESEARCH**

Proposal: 2012-P-\_\_\_\_\_

Reviewer:\_\_\_\_\_

Status: Exempt\_\_\_/Expedited\_\_\_

Omission of documents will yield an incomplete application and prolong your review process. Responses are rendered within 14 business day to the Principal Investigator. **Questions can be directed to Dr. Robert Brown, IRB Chair, at [rbrown20@uncfsu.edu](mailto:rbrown20@uncfsu.edu), prior to the submission of your application.**

#### Checklist for application submission:

- IRB Application with applicable signatures and one copy
- Certificate of human subjects training for all key personnel
- Applicable consent form
- Child assent form (if applicable)
- Recruiting materials (phone script, fliers, ads, etc)
- Survey/questionnaire(s), focus group or interview questions (if applicable)
- Conflict of interest/financial interest disclosure (if applicable)
- Letter(s) of support or agreement (if conducting research at another agency, school, etc)
- When appropriate, include IRB approved protocol from other involved institution or organizations

#### Applications should be delivered to:

The Office of Sponsored Research and Programs

Attn: Mrs. Kimberlee Hyman

Nursing Education and Research Center, Room 317

Fayetteville, NC 28301

This study will be reviewed in accordance with federal regulations governing human subjects research including those found at 45 CFR 46 (Common Rule), 45 CFR 164 (HIPAA), where applicable.

**Principal Investigator (PI):** [This individual assumes **overall** responsibility for 1) development and submission of this IRB application, 2) obtainment of legally effective informed consent and assent (as applicable) from prospective subjects by all authorized personnel listed on this IRB application, 3) the performance of research interventions, and 4) the presentation or publication of the data.]

October 10, 2011

<b>PI Status: (check one):</b> <input type="checkbox"/> FSU Faculty <input type="checkbox"/> FSU Staff <input type="checkbox"/> FSU Undergraduate Student <input type="checkbox"/> FSU Graduate Student <input type="checkbox"/> Visiting Scholar <input type="checkbox"/> Non FSU Affiliation (Specify Institution): (Complete appropriate section below)		
<b>Office Location or Mailing Address:</b> (This is the address to where all IRB correspondence will be sent.)		
<b>Department:</b>		
<b>Project Title:</b>		
<b>Phone Number:</b> (   )		<b>University Email:</b>
<b>Co-Investigator #1:</b>		<b>Department:</b>
<b>Co Investigator #2:</b>		<b>Department:</b>
<b>Key Study Personnel:</b> Key personnel are defined as individuals who participate in the design, conduct, or reporting of human subjects' involvement in the research. At a minimum, these individuals may be involved in conducting procedures and obtainment of legally effective informed consent/assent. All key personnel must have sufficient knowledge about the protocol to facilitate effective interaction with the subject as well as complete the Human Subjects Training. If personnel have not been identified please list TBD in the Name column.		
<b>Names (or TBD*)</b>	<b>Position</b>	<b>Department</b>
<b>Is internal or external funding being sought for this research?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>Funding Source(s):</b> _____		
If yes, you must (1) submit a complete copy of that proposal as soon as it is available and (2) provide one copy of the funding announcement and all relevant forms, instructions, etc., with your original copy of this application. Does the funding agency require notification of Institutional Review Board approval? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Project period dates _____ to _____		
<i>This is required information, must be future dates - after you have received final IRB approval to conduct your research.</i>		
<b>Other Institutional Review Boards</b> Does the research involve another institution or site? <input type="checkbox"/> Yes <input type="checkbox"/> No		
- If yes, please list all institutions and sites: _____		
- Has any other IRB approved this project? <input type="checkbox"/> Yes <input type="checkbox"/> No   If <b>Yes</b> , please provide a copy of the approval letter with this application. If <b>No</b> , will any other IRB be asked for approval? <input type="checkbox"/> Yes (please specify which IRB) <input type="checkbox"/> No		
<b>Certificate(s) of Human Subjects Training</b> All Principal Investigators, Faculty Advisors, Co-Investigators, Research Assistants, Graduate Assistants, personnel and volunteers associated with the study must complete the training. NOTE: certificates from		

the following locations will be accepted:   ▪ NIH Office of Extramural Research - <http://phrp.nihtraining.com>

▪ Office of Human Rights Protection - <http://ohrp-ed.od.nih.gov/CBTs/Assurance/login.asp>

▪ Collaborative Institutional Training Initiative (CITI) – subscription is required

\_\_\_\_\_  
Principal Investigator's Signature

\_\_\_\_\_  
Date

The activity described herein is in conformity with the standards set by our department and I assure that the Principal Investigator has met all departmental requirements for review and approval of this research.

\_\_\_\_\_  
Department Chair's or Dean's Signature

\_\_\_\_\_  
Date

**II. COMPLETE THIS SECTION IF THE PRINCIPAL INVESTIGATOR IS A GRADUATE STUDENT (NOTE: Graduate Faculty Status is required for all Thesis/Dissertation Chair or Advisors.)**

Check one:    Thesis    Dissertation    Other \_\_\_\_\_

Has the Thesis/Dissertation Committee approved the proposal?    Yes   Date Approved: \_\_\_\_/\_\_\_\_/\_\_\_\_    No

Name of Thesis/Dissertation Advisor: \_\_\_\_\_

Advisor's Department: \_\_\_\_\_   Advisor's Phone No.: \_\_\_\_\_

**III. COMPLETE THIS SECTION IF THE PRINCIPAL INVESTIGATOR IS AN UNDERGRADUATE STUDENT**

Check one:    Class Project/Paper    Honors Project    Independent Study    Other \_\_\_\_\_

Name of Research Supervisor/Class Instructor: \_\_\_\_\_

Department: \_\_\_\_\_   Phone No.: \_\_\_\_\_

Course Name (if applicable): \_\_\_\_\_

October 10, 2011

#### IV. INVESTIGATOR ASSURANCES AND AFFIRMATION OF COMPLIANCE:

I agree to follow the procedures outlined in the summary description and any attachments to ensure that the rights and welfare of human participants in my project are properly protected. I understand that the study will not commence until I have received approval of these procedures from the IRB: HRRC; I have complied with any required modifications in connection with that approval. I understand that additions to or changes in the procedures involving human participants, or any problems with the rights or welfare of the human participants must be promptly reported to the IRB. I further understand that if the project continues for more than one year from the approval date, it must be re-submitted as a renewal application.

**\*NOTE:** You (the investigator/researcher) are required to notify the IRB: HRRC if any substantive changes are made in your research prospectus/protocol, if any unanticipated adverse events are experienced by subjects during your research, and when your project has ended. **Important:** If your project lasts longer than one year, you (the investigator/researcher) are required to notify the Office of Sponsored Research and Programs in writing of *Notice of Project Ending* or *Request for Continuation* at the end of each year. See the OSRP website for the proper form at <http://uncfsu.edu/research> Failure to notify the IRB of the above may result in disciplinary action under the FSU campus student and faculty misconduct policy. You are required to keep copies of the informed consent forms and data for at least three years.

**\*(Required for all Investigators):** I affirm the accuracy of this application, and I accept responsibility for the conduct of this research, the supervision of human participants, and maintenance of informed consent documentation as required by the IRB: HRRC.

---

Investigator's Signature

Date

---

Co-investigator's Signature

Date

#### V. APPROVAL OF FACULTY ADVISOR/SPONSOR

**\*(Required for all faculty advisors)** By signing - you as Faculty Advisor affirm the accuracy of your students application and accept responsibility for the conduct of this research, the supervision of the researcher (student) in ethical conduct of research, and maintenance of informed consent documentation as required by the IRB.

Supervisor or Committee Chair Signature (for student investigator)

Date

**VI. DESCRIPTION OF PARTICIPANTS:**Anticipated number to enroll (if applicable): \_\_\_\_\_ Gender:  Males  Females**Please check all that apply**

- Fayetteville State University employees/students
- Prisoners – include authorization from appropriate correctional department(s)
- Minors (17 years of age or younger) - include child's assent and parent's consent forms
- Pregnant Women
- Vulnerable populations, which include, but are not limited to persons with physical or mental disabilities, cognitive impairments (including persons in institutions)
- Use of Protected Health Information
- Non English speaking subjects
- Persons otherwise dependent on the researcher (such as students of the researchers, etc.)
- Students in a school system. Name of School/System \_\_\_\_\_
- Other populations (explain) \_\_\_\_\_
- Existing Data (specify source) \_\_\_\_\_
- \_\_\_ Data already collected for another research study
- \_\_\_ Data already collected for administrative purposes (e.g., Medicare data, hospital discharge data)
- \_\_\_ Medical records (custodian may also require form, e.g., HD-974 if UNC-Health Care System)
- \_\_\_ Electronic information from clinical database (custodian may also require form)
- \_\_\_ Patient specimens (tissues, blood, serum, surgical discards, etc.)
- \_\_\_ Other (specify): \_\_\_\_\_

**Which of the following best describes your proposed activity?**

- Program evaluation?  Class projects for educational purposes only?
- QI/QA for internal purposes?  Center or core grants (to establish infrastructure)?

October 10, 2011

- Training grants?  Demonstration projects?
- Other? Explain \_\_\_\_\_

**Will the research be conducted on the FSU campus? \_\_Yes \_\_\_\_\_No.** If no, please indicate the location(s) of the study and attach an institutional consent letter that details their participation in the researcher's study. \_\_\_\_\_

**VII. IDENTIFIERS: (check all of the identifiers that will be collected and associated with your study).**

- a. \_\_\_ Names
- b. \_\_\_ Telephone numbers
- c. \_\_\_ Any elements of dates (other than year) for dates directly related to an individual, including birth date, admission date, discharge date, date of death. For ages over 89: all elements of dates (including year) indicative \_\_\_\_\_ of such age, except that such ages and elements may be aggregated into a single category of age 90 and older
- d. \_\_\_ Any geographic subdivisions smaller than a State, including street address, city, county, precinct, zip code and their equivalent geocodes, except for the initial three digits of a zip code
- e. \_\_\_ Fax numbers
- f. \_\_\_ Electronic mail addresses
- g. \_\_\_ Social security numbers
- h. \_\_\_ Medical record numbers
- i. \_\_\_ Health plan beneficiary numbers
- j. \_\_\_ Account numbers
- k. \_\_\_ Certificate/license numbers
- l. \_\_\_ Vehicle identifiers and serial numbers (VIN), including license plate numbers
- m. \_\_\_ Device identifiers and serial numbers (e.g., implanted medical device)
- n. \_\_\_ Web universal resource locators (URLs)
- o. \_\_\_ Internet protocol (IP) address numbers
- p. \_\_\_ Biometric identifiers, including finger and voice prints
- q. \_\_\_ Full face photographic images and any comparable images
- r. \_\_\_ Any other unique identifying number, code, or characteristic, other than dummy identifiers that are not derived \_\_\_\_\_ from actual identifiers and for which the re-identification key is maintained by the health care provider and not \_\_\_\_\_ disclosed to the researcher
- s. \_\_\_ **NONE** of the above

**VIX. Please REMOVE the information within the blue brackets and only provide your response in that area.** Do not copy chapters associated with your thesis or dissertation to the application. All information must be incorporated into the application itself. Use as many separate sheets of paper as you need to respond fully to the questions in this section to minimize delays in your review.

**A. PURPOSE AND RATIONALE:**

[Provide a summary of the background information, state the research question(s), and tell why the study is needed. If there is no external funding proposal, provide a rationale and literature review, including references. If a complete rationale and literature review are in an accompanying grant application or other type of proposal, only provide a brief summary here.]

**B. RESEARCH SUBJECTS:**

[Information is required even if existing data is being used. Describe the sources of potential participants, recruitment strategies, and how and where you will contact them. If participants are chosen from records please describe of the type of records as well as documentation of approval for use of the records. Describe all relevant characteristics of the participants with regard to age, ethnic background, sex, institutional status (i.e., patients or prisoners), and their general state of mental and physical health. Attach a copy of any and all recruitment materials to be used e.g. advertisements, bulletin board notices, email scripts, letters, phone scripts, or URLs. Explain who will approach subjects to take part in the research and what will be done to protect the subjects' privacy in this process. Clarify if participants will receive any inducements before or rewards after the research study (stipends, gift cards, reimbursement for travel or parking, value of monetary token, etc.) and the source of sponsorship. Be aware that payment over a certain amount may require the collection of the subjects' Social Security Numbers. Describe the subjects about whom personal information will be collected. Where active recruitment is required, please describe inclusion and exclusion criteria. Where the research involves extraction or collection of personal information, please describe from whom the information will be obtained and what it will include.]

**C. STUDY DESIGN, METHODOLOGY AND PROCEDURES:**

[Describe the research study and if applicable all personnel to be associated with the study. Explain expertise of Investigator, any co-investigators or other key personnel listed in the application, and how it relates to their specific roles on the study team. Discuss the study design (including hypotheses and/or research questions); study procedures; sequential description of what subjects will be asked to do; assignment of subjects to various arms of the study if applicable; how will participants be recruited; how data are to be collected (questionnaire, interview, focus group or specific procedure such as physical examination, venipuncture, etc.); who will administer the questionnaires. Include information on who will collect data, who will conduct procedures or measurements. Indicate the number and duration of contacts with each subject and location; outcome measurements; and follow-up procedures. Attach a copy of all questionnaires, interview guides, instruments and flyers. If applicable, please provide documentation of use authorization from instrument create or proof of purchase. ]

**D. DATA ANALYSIS:**

[Describe the data to be used for the research study to include, if applicable, an explanation of the type of identifiers that will be collected. Tell how the qualitative and/or quantitative data will be analyzed. Explain how the sample size is sufficient to achieve the study aims. This might include a formal power calculation or explanation of why a small sample is sufficient (e.g., qualitative research, pilot studies). Letters of authorization from agency officials must be included.]

**E. CONFIDENTIALITY OF DATA:**

[Describe procedures for maintaining confidentiality of the data you will collect or will receive. What procedures will be used to safeguard identifiable records of individuals and protect the confidentiality and privacy of participants? If this is not possible, state why. Describe how you will protect the data from access by those not authorized. How will data be transmitted among research personnel? Where relevant, discuss the potential for deductive disclosure (i.e., directly identifying subjects from a combination of indirect IDs). Describe your plans for disposition of data or human biological specimens that are identifiable in any way (directly or via indirect codes) once the study has ended. Describe your plan to destroy identifiers, if you will do so.]

**F. RISKS AND BENEFITS:**

[Describe in detail the immediate or long-range risks to participants, if any, that may arise from the procedures used in this study. Risks may be embarrassment, physical, psychological, social, legal, or economic. They would

include side effects, risks of placebo, risks of normal treatment delay, etc. Indicate any precautions that will be taken to minimize these risks. Describe what will be done to minimize these risks. Describe procedures for follow-up, when necessary, such as when subjects are found to be in need of medical or psychological referral. If there is no direct interaction with subjects, and risk is limited to breach of confidentiality (e.g., for existing data), state this. Also describe the anticipated benefits to participants and to society from the knowledge that may be reasonably expected to result from this study. If there is no direct benefit to the individual subject, say so here and in the consent form (if there is a consent form). Do not list monetary payment or other compensation as a benefit.]

**G. INFORMED CONSENT:**

[Informed consent can be in either written or oral format. If you request a waiver of informed written informed consent, please state your justifications (Please note that waiver of informed consent is only granted in limited circumstances and therefore an informed consent should always be prepared and submitted with your application on University letterhead). If an oral consent is planned, attach a copy of the text of the statement. The consent should include identification of 1) the researcher(s), 2) explanation of the nature and purpose of the study and the research method, 2) duration of research participation, 3) a description of how confidentiality/anonymity will be maintained, 4) mention of participants' right to withdraw their participation and their data from the study at any time without penalty, 5) information about the reasonably foreseeable risks and benefits (If there are no foreseeable risks and benefits please state so), 6) the voluntary nature of his or her participation, 7) who to contact regarding questions about participants' rights or injuries, 8) and a statement that the research has been approved by the Institutional Review Board at Fayetteville State University. Attach a copy of the written informed consent, web script or oral informed consent, with this application. For Non-English speaking subjects please include a translation of the informed consent in their language. (See OSRP Informed Consent checklist and other sample forms at [www.uncfsu.edu/research](http://www.uncfsu.edu/research)). Non-English tools must be accompanied by a letter from an authorized translator of its accuracy.]

**H. PROTECTED HEALTH INFORMATION (PHI):**

[If the researcher needs to access Protected Health Information (PHI) to identify potential subjects who will then be contacted, you will need a *limited waiver of HIPAA authorization*. If this applies to your study, please provide the following information: (a) Under this limited waiver, you are allowed to access and use only the minimum amount of PHI necessary to review eligibility criteria and contact potential subjects; (b) What information are you planning to collect for this purpose? (c) How will confidentiality/privacy be protected prior to ascertaining desire to participate? (d) When and how will you destroy the contact information if an individual declines participation?]

**I. DEBRIEFING STATEMENT:**

[The participants also should be debriefed about their behavioral response(s) to the study. In the debriefing statement describe the reason(s) for conducting the research, the way to obtain the general results of the study, and the person(s) and/or professional resources to contact if the participant has any questions or concerns as a result of his/her participation.]

- J. GENERALIZABLE KNOWLEDGE:** Will the proposed activity result in the development of or contribution to generalizable knowledge? \_\_\_\_\_ yes \_\_\_\_\_ no If no, please explain.  
 [Generalizable knowledge might include information presented to a broader audience or published with the intent of drawing scientific conclusions or increasing the body of scientific knowledge. This would not typically describe projects that are intended solely for internal assessment purposes, such as quality improvement, quality assurance, and program evaluations.]

**K. SUMMARY OF THE RESEARCH/ABSTRACT:**

[Summarize the proposed research using *non-technical* language that can be readily understood by someone outside the discipline. Explain briefly the research design, procedures to be used, risks and anticipated benefits, and the importance of the knowledge that may reasonably be expected to result. *Use complete sentences (limit of 300 words or approximately one paragraph).*]

**L. USE OF THE RESULTS:**

[Describe with specificity to whom will the results be presented (class, conference, published article, other, etc).]

**SAMPLE CONSENT FORM**

**[Title of your study- IRB Study #: ]**

You are invited to participate in a study of **[a brief description of your study]**.

My name is **[put your name in]**, and I am a **[your position with the University, e.g., a faculty member, if a student site the name of the Principal Investigator or Advisor]** at Fayetteville State University, Department of **[your department]**. I hope to gain a better understanding about **[a brief description of what you hope to learn from this study]**. You will be one of **[number]** participants chosen to participate in this study.

If you decide to participate, you may be asked to participate in the following phases of data collection: **[list the phases that the subject will be involved with; give a brief description of each task the subject will have to perform]**. You may decide not to participate in any task or you may decide to not answer any questions on the questionnaire, inventories, or during the interviews that make you feel uncomfortable or embarrassed **[list any other risks that the subject may be exposed to]**; you may stop your participation at any time during the study. There is **[no monetary compensation or monetary compensation (chose one). If there is monetary compensation or credit given specify the amount]** for participation in this study. I will make all reasonable efforts to accommodate your schedule and time constraints.

Any information that is obtained in connection with this study and that can be identified with you will remain confidential and will be disclosed only with your permission. **Audio tapes and transcription, completed questionnaires, journals, and scores on inventories will be kept under lock and key. All audio tapes and video tapes will be erased following data collection, analysis, and manuscript development.** At no time will your name or institution be identified in reports, papers, or publications.

Your decision whether or not to participate will not affect your future relations with Fayetteville State University. If you decide to participate, you are free to discontinue participation at any time.

You are making a decision whether or not to participate. Your signature indicates that you have read the information provided above and that you have decided to participate. You may withdraw at any time after signing this form, should you choose to discontinue your participation in this study.

If you have questions, please ask me. If you have additional questions later, I will be happy to answer them. You can reach me at **[your phone number and email]** or write me at **[your name and address]**. **[If the research is a student project, please include identical information for the researcher and the Faculty Sponsor. The student researcher should identify him/herself as a student of FSU.]** If you have questions or concerns, at any time during this study, about your rights as a research subject you may contact:

Dr. Robert A. Brown, Chair Human Rights and Research Committee

Fayetteville State University

Fayetteville, NC 28301-4298

(910) 672-2272 rbrown20@uncfsu.edu

You may keep a blank copy of this form for your records.

---

Signature of Participant

Date

Signature of Investigator

Date

*This project has been approved by the Fayetteville State University Institutional Review Board Human Rights in Research Committee*

*(Phone: 910-672-1569)*

October 10, 2011

## WAIVER OF INFORMED CONSENT DOCUMENTATION

- **Use this form** to request a waiver of the requirement
    - to obtain a signed consent document (cannot be used for FDA-regulated research) or
    - to give participants a signed copy of the document.
  - **Do not use this form** to request a waiver of part or all of the informed consent process. Instead, use the [Waiver of Consent](#) or [Waiver of Authorization and Informed Consent](#). Instead, contact the Office of the Sponsored Research and Programs' IRB Administrator at (910-672-1569).
  - **General information about informed consent can be found at:**  
<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm#46.116>
- 

1. IRB Protocol Title:

2. Principal Investigator:

3. Choose one of the checkboxes below, indicating why the waiver of documentation is being requested for this research, and provide protocol-specific details as requested.

- Confidentiality Risk—Respond to Items a-c, below:
- A.** Would the only record linking the subject and the research be the consent document?  Yes  
 No
- B.** Would the principal risk be the potential harm resulting from a breach in confidentiality?  Yes  
 No
- C.** Describe your plans to ask each subject whether he/she wants documentation linking his/her name with the research, and how each subject's wishes will govern (e.g., a document could be used for the informed consent process, subjects would be asked if they wanted a signed copy to document their consent, and those who did not would receive an unsigned copy).
- The research involves no greater than minimal risk and no procedures for which written consent is normally required outside the research context. Respond to Item a, below.
- A.** Describe plans, if any, that you have for providing subjects with a written statement regarding the research. (*Note: The IRB may require that a written statement be given to the subject.*)

By signing this request for waiver of informed consent documentation, I certify the information included in it is accurate.

---

Principal Investigator's Signature

---

Date

**WAIVER OF CONSENT**

- **Use this form** to request a waiver of informed consent when HIPAA does not apply to the information being collected.
  - **Do not use this form** if you are also requesting waiver of patient authorization (HIPAA) to use protected health information in research. Use the Waiver of Authorization and Informed Consent instead.
  - **Do not use this form** if the research or a demonstration project is to be conducted by or subject to the approval of state or local government officials and is designed to study, evaluate, or otherwise examine public benefit or service programs. Instead, contact the Office of the Sponsored Research and Programs' IRB Administrator at (910-672-1569).
  - **General information about informed consent can be found at:**  
<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm#46.116>
- 

1. IRB Protocol Title: \_\_\_\_\_

2. Principal Investigator: \_\_\_\_\_

3. Provide protocol-specific responses to Items a-d that describe why the waiver is being requested for this research.

a. Describe why the research involves no more than minimal risk to the subjects:

b. Describe why the waiver or alteration will not adversely affect the rights and welfare of the subjects:

c. Describe why the research could not practicably be carried out without the waiver or alteration of informed consent:

d. Do you expect that additional pertinent information will become available during or after the research?  Yes  No      If yes, describe how the information will be provided to participants:

By signing this request for waiver of informed consent, I certify the information included in it is accurate.

October 10, 2011

By signing this request for waiver of informed consent documentation, I certify the information included in it is accurate.

---

Principal Investigator's Signature

---

Date

## **WAIVER OF HIPAA AUTHORIZATION AND INFORMED CONSENT**

- **Use this form** to request a waiver of patient authorization to use protected health information (PHI) in research. Complete Items 1-4. To also request a waiver of informed consent, complete Item 5.
- **Do not use this form** to request a waiver of informed consent when Health Insurance Portability and Accountability Act (HIPAA) does not apply. Instead, use the Waiver of Informed Consent form.
- **Do not use this form** if the research or a demonstration project is to be conducted by or subject to the approval of state or local government officials and is designed to study, evaluate, or otherwise examine public benefit or service programs.
- **General information about informed consent can be found at:**  
<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.html#46.116>

Protected health information (PHI) is defined under the HIPAA regulations as

information that is a subset of health information, including demographic information collected from an individual, and: (1) is created by a health care provider, health plan, employer, or health care clearinghouse; and (2) relates to the past, present or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present or future payment for the provision of health care to an individual; and (i) that identifies the individual; or (ii) with respect to which there is a reasonable basis to believe the information can be used to identify the individual.

---

1. IRB Protocol Title:

2. Principal Investigator:

3. Request to Waive HIPAA Authorization for Research. Provide protocol-specific responses to the following items that describe why the waiver is being requested for this use of PHI in this research.

a. The use/disclosure of protected health information (PHI) involves no more than minimal risk to the privacy of individuals.

i. Describe the plan to protect the identifiers from improper use and disclosure:

ii. Describe the plan to destroy the identifiers at the earliest opportunity consistent with conduct of the research, unless there is a health or research justification for retaining the identifiers or such retention is otherwise required by law:

b. Describe why the research cannot practicably be conducted without the waiver or alteration of patient authorization to use PHI in research:

c. Describe why the research cannot practicably be conducted without access to and use of the PHI:

#### 4. Non-FSU Disclosure or Use of PHI

Do you plan to use the waiver from the FSU IRB to justify disclosure or use of PHI from a non-FSU covered entity? Yes  No  If yes, complete a and b.

a. What covered entity or entities will disclose or use the PHI?

b. What PHI will the entity or entity disclose or use and how?

*If the IRB approves this request for waiver, the PI can forward the IRB-issued waiver to the non-FSU covered entity as documentation of the waiver of authorization for the disclosure of PHI to FSU. Please note the entity may or may not accept the IRB's waiver and may request an additional review.*

#### 5. Request to Waive or Alter Informed Consent Along with HIPAA Authorization

Complete this item only if you are requesting a waiver or alteration of informed consent along with the waiver of HIPAA authorization. Provide protocol-specific responses to the following four items that describe why the waiver of consent is being requested along with this use of PHI in this research.

a. Describe why the research involves no more than minimal risk to the subjects:

b. Describe why the waiver or alteration will not adversely affect the privacy, rights and welfare of the subjects:

c. Describe why the research could not practicably be carried out without the waiver or alteration of informed consent:

d. Describe how, whenever appropriate, the subjects will be provided with additional pertinent information after participation:

**By signing this request for waiver of patient authorization, I certify that the PHI will not be reused or disclosed to any other person or entity, except as required by law, for authorized oversight of the research study, or for other research for which the use or disclosure of PHI would be permitted.**

Check here if also requesting waiver of informed consent.

---

Principal Investigator's Signature

---

Date

## ORAL CONSENT SCRIPT

---

Protocol Title:

IRB #: 2012- P-0000 <<To be assigned after submission of application>>

Principal Investigator:

<<Remove all blue instructions before submitting to the IRB>>

You are being asked to participate in a research study about <<describe project in non-technical language; explain purpose of the research.>> <<Explain why the subject is being invited to participate.>>

If you agree to participate you will be asked to <<insert brief description of research procedure(s) and how long it will take.>> <<Insert statement to explain what information will be recorded about subjects, how confidentiality will be maintained, etc.>> <<Describe alternative procedures, if any.>> You will receive <<describe payment; where there is none, state as such>> as payment for your participation.

The risks associated with the research study are <<describe foreseeable risks or discomfort to subjects; time, burden and discomfort during interviews using sensitive questions are common risks and discomforts of studies that use an oral consent process.>> << For questionnaires, be sure to state that subjects may refuse to answer any question(s) that they do not wish to answer.>> <<Example: "The risks of this research study are minimal, which means that we do not believe that they will be any different than what you would experience at a routine clinical visit or during your daily life." or "There are no known risks to you from taking part in this research study.">>

The benefits which may reasonably be expected to result from this research study are <<describe any benefits; if there is no direct benefit to subject, describe potential benefit to people in the future as

a result of information gathered in the research study.>> <<Example: "This study will not make your health better. It is for the benefit of research.">>

Please understand your participation is voluntary and you have the right to withdraw your consent or discontinue participation at any time without penalty. Neither your current nor future involvement with Fayetteville State University will be jeopardized if you choose not to participate.

If you have any questions about this research study you can contact me at <<provide your phone number.>> If you have any concerns, complaints, or general questions about research or your rights as a participant, please contact FSU's Institutional Review Board (IRB) Human Rights in Research Committee (HRRC) Chairperson, Robert A. Brown at 910-672-2272 or rbrown20@uncfsu.edu. <<If possible, hand out a separate business card or contact sheet to subjects which includes the contact information above.>>

## Appendix F

### **INFORMED CONSENT PROCESS FOR INTERNET-BASED RESEARCH**

Internet data collection via email, list serves, electronic bulletin boards and web surveys falls under the purview of the Institutional Review Board.

The Internet is an insecure medium as data in transit is vulnerable. So, internet data collection is rarely private, anonymous, or even confidential. The potential source of risk is harm resulting from a breach of confidentiality. This risk is accentuated if the research involves data that places subjects at risk of criminal or civil liability or could damage their financial standing, employability, insurability, reputation or could be stigmatizing.

For Internet-based surveys, it is usually appropriate to use implied informed consent. Participants would still need to be presented with the consent information, but would be informed that their consent is implied by submitting the completed survey. Please see the following sites for implied informed consent templates:

1. Internet-based surveys can include at the end of the informed consent text, "I agree" or "I do not agree" buttons on the website for participants to click their choice of whether or not they consent to participate.
2. If the IRB determines that some sort of documented consent is required, the consent form can be mailed or emailed to the participant who can then sign the form and return it via fax or postal mail.
3. Researchers conducting web-based research should be careful not to make guarantees of confidentiality or anonymity, as the security of online transmissions is in question. A statement in the informed consent form indicating the limits to confidentiality is typically required. The following statement may be used: "Your confidentiality will be maintained to the degree permitted by the technology used. Specifically, no guarantees can be made regarding the interception of data sent via the Internet by any third parties."
4. The instrument should be formatted in a way that will allow participants to skip questions if they wish to or provide a response like "I choose not to answer."
5. Researchers working with children online are subjects to [Children's Online Privacy Protection Act \(COPPA\)](#) in addition to the human subjects regulations. Researchers are prohibited from collecting personal information from a child without posting notices about how the information will be used and without getting verifiable parental consent.
6. For assistance developing your online tool, contacting the Office of University Testing Services (x1217) is recommended.

